Strategic Plan for 2017 – 2020

Table of Contents

Executive Summary 1

Mission and Vision 3

Strategic Planning FY 2017 – FY 2020 4

Background 4

Process 4

Goals and Objectives 6

Priorities 7

Implementation and Accountability 8

Conclusion 8

Appendices

A. Oversight Committee 9

B. Strategy Screen 10

C. Goals, Objectives & Metrics 11

D. Action Plan 13

D. Implementation Dashboard 38

EXECUTIVE SUMMARY

In April 2016, The American Association of Orthodontics Foundation (AAOF) began its first strategic planning process in more than a decade. Facilitated by The Rome Group, AAOF Board, staff, and members contributed to the creation of the 2017 – 2020 strategic plan under the direction of an ad hoc Oversight Committee. The strategic planning process consisted of gathering stakeholder input, analyzing AAOF's past performance, examining current operations and exploring future opportunities, and culminated in a two-day Strategy Session.

At the core of any organization's work is its mission and vision. As part of the planning, the Oversight Committee reviewed and recommended refreshed mission and vision statements.

> Mission Statement
> The mission of the AAOF is to advance the orthodontic specialty by supporting quality education and research that leads to excellence in patient care.
>
> Vision Statement
> Patients have access to innovative and effective orthodontic care provided by qualified orthodontic specialists.

Throughout the planning process, the Board and staff were mindful of the changing environment in which AAOF works. The use of a strategy screen helped the organization prioritize and evaluate its potential work and identified the following as the AAOF's strategic direction for the next three to five years.

- To support orthodontic education and research that improves patient care; and
- To restructure fundraising efforts to meet the changing dynamics of the Orthodontics specialty and the giving practices of today's orthodontists.

The development of AAOF's strategic goals and objectives to advance this strategic direction was rooted in three concentration areas: awards & programming, fundraising & engagement, and governance & administration. Goals were developed by answering the following questions:

- How can AAOF best advance the orthodontic specialty?
- What areas of investment will best accomplish that aim?
- How can the foundation raise the additional funds needed to achieve its goals?
- What organizational assets and infrastructure is needed to best meet its mission into the future?

The Oversight Committee developed the following goals to address those three concentration areas.

Awards & Programming

1. Advance the Orthodontic Specialty through effective and strategic allocation of AAOF funds.
2. Elevate the Orthodontic Specialty by demonstrating clinical outcomes.

Fundraising & Engagement

3. Increase the impact and effectiveness of our fundraising efforts.
4. Increase awareness of AAOF's work and its impact.

Governance & Administration

5. Expand and fully engage the Board of Directors.
6. Develop the organizational infrastructure to support the work of AAOF.

AAOF recognizes the need to be strategic and disciplined as it addresses the changing needs of the orthodontics specialty. With the Board's leadership and the commitment of the staff, the AAOF will be well positioned to advance the orthodontic specialty by supporting quality education and research that leads to excellence in patient care.

Strategic Plan 2017 -2020

Vision and Mission

At the core of any nonprofit is its mission and vision. An organization's mission drives a nonprofit's decision and actions; its vision is aspirational. The American Association of Orthodontists Foundation's (AAOF) Board adopted the following mission and vision statements as part of its planning process.

Mission Statement

The mission of the AAOF is to advance the orthodontic specialty by supporting quality education and research that leads to excellence in patient care.

Vision Statement

Patients have access to innovative and effective orthodontic care provided by qualified orthodontic specialists.

STRATEGIC PLANNING FOR 2017 – 2020

Background

In the 1980's AAOF's Board of Directors outlined a new vision for how the organization would support orthodontic education and research. Originally titled "A Case for The Future," this major gift campaign and the resulting Awards program remains substantially the same today as when first developed. Today that campaign is called "Continued Commitment to the Specialty" and takes a three-tiered approach to raise funds for the Awards program:

- Vanguard Society: a $5,000 pledge, payable five years after residency with five years to fulfill;
- Regents Society: pledges of $25K or more; and
- Keystone Society: planned gifts

Occasionally AAOF has launched a special giving campaign, such as the AAOF Craniofacial Growth Legacy Collection, which has allowed for targeted pledges. Though close to $40 million has been pledged in the ensuing 20+ years with more than $30 million redeemed, AAOF's fundraising has been stagnant in recent years.

Since 1994, the AAOF Awards Program has provided just over $10.8 million in funding, primarily for junior faculty, including 210 Fellowship Awards, 205 Research Awards, and over 1,000 Gifts in support of orthodontic residency programs. In 2015 AAOF provided close to $800,000 in grants for research and, most recently, in support of the AAOF Craniofacial Growth Legacy Collection project.

Though the charitable arm of the American Association of Orthodontists (AAO), AAOF is a separate 501(c)3; with its own Board of Directors. The Board structure was established in the 1980's and members represent the eight AAO regions throughout the United States, the National Campaign Chair, National Vanguard Society Chair, and National Planned Giving Chair, three "public" directors, and three ex officio Directors from the AAO. Though there have been minor changes since that time, the structure remains largely the same as when first developed.

AAOF has met with great success in the last 30 years; however, as the specialty changes, the Board of Directors recognizes the need to "press pause" and reassess all aspects of the organization - mission, Board and staff structure, fundraising strategy and grants program. Issues such as Board engagement, succession planning, and the rising education debt held by orthodontists all must be addressed.

Given this changing environment, AAOF's leadership decided to undertake a strategic planning process to address questions such as:

- How can AAOF best advance the orthodontic specialty?
- What areas of investment will best accomplish that aim?
- How can the Foundation raise the additional funds needed to achieve its goals?
- What organizational assets and infrastructure are needed to best meet AAOF's mission in the future?

Process

In March 2016, the American Association of Orthodontists Foundation hired The Rome Group to facilitate the creation of a strategic plan that would set the organization's direction through 2020. The Rome Group consultants, Elizabeth George, Ashley Holmes and Ellen Howe, worked closely with AAOF staff and Board leaders throughout the planning process to ensure that the strategic plan reflects the AAOF's mission and

priorities. To oversee the planning process, AAOF convened an Oversight Committee comprised of the Executive Vice President of the Foundation, Board members, and active AAOF members. A list of Committee members may be found in Appendix A.

The planning began by gathering information from AAOF, including governing documents, fundraising data, financial reports, and more. Key to understanding AAOF's work and role in the community were a series of individual and group interviews. In total, The Rome Group talked with 31 people, including Board members, Award recipients, donors, and orthodontic residents. In addition, a survey was inaugurated at the AAO national conference and then sent to all AAOF members, and was completed by 406 individuals.

AAOF then held a two-day "Strategy Session" designed to provide input into different components of the strategic plan. The Strategy Session was attended by the Oversight Committee, plus other Board members, practicing orthodontists, award recipients, two residents, and representatives of other areas within the specialty. 38 people contributed to the Strategy Session. The Session included a thorough review of AAOF's current operations and achievements, including AAOF fundraising trends, awards, and stakeholder feedback. Key to planning was the development and use of a "strategy screen," which helped prioritize and evaluate AAOF's potential work. The strategy screen is presented in Appendix B. The strategic direction discussed for AAOF to pursue is to:

- Support orthodontic education and research that improves patient care; and
- Restructure fundraising efforts to meet the changing dynamics of the Orthodontics specialty and the giving practices of today's orthodontists.

From the deliberations at the Strategy Session, The Rome Group drafted a revised mission, vision and goals and objectives that would support AAOF in moving in this direction. These strategic plan components were then vetted by the Oversight Committee.

The results of the analysis, discussion, input and feedback by the Oversight Committee are six Strategic Goals, two each in the areas of Awards & Programming, Fundraising & Engagement, and Governance & Administration, with supporting objectives that will allow AAOF to accomplish those goals.

Strategy is the purview of the Board; operations planning falls to staff. To ensure that AAOF's plan is implemented, AAOF's staff developed an Action Plan that includes tactics or approaches to accomplish each objective, timing, resources needed metrics and the responsible party. This Action Plan should be reviewed periodically and may be revised as circumstances change. The Action Plan is presented as the final appendix, Appendix D, to the strategic plan.

GOALS AND OBJECTIVES

AAOF identified six strategic goals for 2017 – 2020, each with several objectives. These are laid out to be practical and actionable; thus progress can and will be measured along the way. A table of metrics for each objective may be found in Appendix C. The development of the strategic goals and objectives was rooted in three concentration areas: awards & programming, fundraising & engagement, and governance & administration.

Awards & Programming

1. **Advance the Orthodontic Specialty through effective and strategic allocation of AAOF funds.**
   - Objective 1: Review allocation policies and procedures.
   - Objective 2: Promote and support maintenance of high quality academic programs in Orthodontics.
   - Objective 3: Enhance and expand investments in research to include Orthodontic residents, academicians and practitioners.
   - Objective 4: Support innovative, experiential and/or evidenced-based practices in orthodontic care.
   - Objective 5: Explore opportunities to conduct research on Practice Management.
   - Objective 6: Establish a process to evaluate the impact and effectiveness of AAOF's grant funding.

2. **Elevate the Orthodontic Specialty by demonstrating clinical outcomes.**
   - Objective 1: Invest in research that demonstrates the impact of orthodontics.
   - Objective 2: Fund research that provides value to AAO members.
   - Objective 3: Encourage publication and dissemination of research funded by AAOF.

Fundraising & Engagement

3. **Increase the impact and effectiveness of our fundraising efforts.**
   - Objective 1: Analyze costs and benefits of hiring staff with sole function as fundraiser.
   - Objective 2: Expand the donor base through engagement of new audiences.
   - Objective 3: Enhance and expand the ways in which donors can contribute.
   - Objective 4: Review and update the Foundation's fundraising policies and procedures.
   - Objective 5: Explore alternative revenue generation opportunities.
   - Objective 6: Establish fundraising goals for each fund development effort (ex: Vanguard Society, Regents, etc.), including new initiatives.

4. **Increase awareness of AAOF's work and its impact.**
   - Objective 1: Revise and enhance AAOF's case statement.
   - Objective 2: Expand and enhance AAOF's communication strategy to appeal to various audiences.
   - Objective 3: Review and update website and social media strategy.
   - Objective 4: Leverage Orthodontic annual events (AAO Annual Meeting, GORP, etc.) to cultivate greater connections throughout the year.

Governance & Administration

5. **Expand and fully engage the Board of Directors.**
   - Objective 1: Review and refresh, as appropriate, Board structure and composition.
   - Objective 2: Evaluate board recruitment, orientation and evaluation processes.
   - Objective 3: Engage all board members in actively fulfilling their governance and fundraising responsibilities.

Objective 4: Align committees with the strategic plan and monitor progress.

6. **Develop the organizational infrastructure to support the work of AAOF.**
   Objective 1: Determine staff and financial resources necessary to implement strategic plan.
   Objective 2: Develop a succession plan for AAOF's leadership.

Prioritization

To focus the organization's activities, five areas were identified as priorities. These priorities reflect two overarching themes: support of the mission and preparation for the departure of AAOF's long-term staff leadership, anticipated before or shortly after the length of the plan. Best practices in succession planning include ensuring that the Board is vibrant and engaged, building leadership within the organization, and securing the organization's financial position. The five priority objectives are presented in the table below.

Table 1

Objectives	Responsible	2017				2018	
		Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1-2	Qtr 3-4
5.1, 5.2, 5.3: Board development efforts (pgs 32 – 34)	Ad Hoc Committee						
3.1, 6.1 Prepare business plan for hiring fundraising staff (pgs 22, 36)	Board						
6.2 Develop a succession plan for staff (pg 37)	Ad Hoc Committee						
1.2, 1.3, 1.4, 1.6 Refresh current & introduce new Awards Programs (pgs 14-16, 18)	Ad Hoc (oversight by PARC Committee)						
3.2, 3.3, 3.6 Expand donor base through new audiences (pgs 23, 24, 27)	Board						

Note: Dark grey indicates periods in which majority of activity will take place; light grey indicates periods in which some activity will take place; white space indicates little or no activity will take place.

Throughout the planning process, several tactical ideas surfaced and were captured. Where appropriate, these tactics have been woven into the Action Plan presented in Appendix D. This Action Plan will be reviewed and updated periodically to ensure that AAOF is effective and efficient in the execution of the strategic plan.

IMPLEMENTATION AND ACCOUNTABILITY

AAOF's strategic plan is ambitious and achievable with many moving parts. The Board – as a whole, through committees, and as individual Board members – will need to play an active role in both implementing and tracking plan activities. Appendix E provides a recommended dashboard for quarterly updates to the Board on the plan as a whole. It is recommended that Committees with responsibility for specific objectives (e.g.: PARC with Objective 1.1 – Review allocation policies and procedures) develop similar dashboards for their assigned objectives that include the tactics/approaches. During periods of major activity, Committees may decide to update their dashboards monthly rather than quarterly.

Regular updates and reporting to the Board will strengthen accountability and increase the likelihood that the strategic plan will be implemented.

CONCLUSION

The American Association of Orthodontists Foundation recognizes the need to be strategic and disciplined as it addresses the changing needs of the orthodontics specialty. Since the mid-1990's AAOF has used a three-tier giving program to build an endowment that supports orthodontic education and research. The strategic planning process has provided a venue to raise questions, promote discussion, and identify a course of action that will position AAOF to enhance patient care by advancing the orthodontic specialty through innovative research, education and collaborations. With the Board's leadership and the commitment of the staff, the AAOF will be well positioned continue to deliver this mission.

Appendix A: Oversight Committee

David Angus

Robert Bray

Rick W. Fuchs

Eric Nease

Stephen Roehm

Christopher Vranas

Robert Hazel, staff

Appendix B: Strategy Screen

The strategy screen is a tool for making decisions about AAOF's current and future work. Strategies and programs are evaluated based on a set of criteria. Comparisons can be made among strategies or programs or each can be considered individually. Decisions then may be made whether to implement based on the criteria.

CRITERIA	Strategy 1	Strategy 2	Strategy 3	Strategy 4
Meets MISSION				
Do we have the internal infrastructure to support or implement: do we have the time, talent/expertise necessary?				
Meaningful Return on Investment: can it be financially justified?				
Compelling & Timely: to donors and perspective donors				
Potential for Long-term Impact/Viability				
Innovative: does it advance the field in new ways?				
Inclusive: does it engage a broad and diverse group of stakeholders?				

APPENDIX C: Goals, Objectives and Metrics

This table presents the strategic goals and objectives with metrics for tracking each objective.

Goal	Objective	Metric
Advance Orthodontic Specialty	1. Review allocation policies & procedures	New/Revised policies & procedures in place and approved by Board
	2. Promote/maintain high quality Academic programs	Selection criteria; # of applicants; awards given
	3. Invest in research to Include residents, academics, practitioners	Selection criteria, # of applicants; awards given by constituent group
	4. Explore conducting research on Practice Management	Selection criteria, # of applicants; awards given
	5. Support innovative & evidenced-based practices through academic or experientially-based research	Selection criteria, awards given
	6. Evaluate impact & effectiveness of AAOF's funding	Evaluation completed; recommendations followed
Elevate Orthodontic Specialty	1. Research the impact of orthodontics	Studies completed
	2. Fund research that provides value to AAO members	# grants that reflect AAO member needs
	3. Encourage publication of AAOF funded research	# publications disseminated by AAOF; # publications of AAOF funded research by others
Increase Impact & Effectiveness of Fundraising Efforts	1. Hire staff with sole function as fundraiser	Successful staff person, # donors in 2nd year, $ raised in 2nd year
	2. Expand donor base through new audiences	# new donors, # donors from target groups
	3. Expand ways donors can contribute	# donors acquired by new giving methods, # donors who give additional gift
	4. Review & update fundraising policies & procedures	Additional donor info in database; updated gift acceptance policies
	5. Explore alternative revenue generation opportunities	New revenue generation opportunities in place, $ raised
	6. Establish goals for fund development categories	# donors from each category, $ raised in each category

Goal	Objective	Metric
Increase Awareness of AAOF's Work and Impact	1. Revise case statement	New case statement in place, # meetings to share case with donors
	2. Expand communication strategy to appeal to various audiences	Segmented audiences & messaging in place & used
	3. Update website & social media strategy	# new social media followers, # unique visits to website
	4. Leverage events to cultivate connections throughout year	# attendees at AAOF events, # residents engaged, # new Vanguard members
Expand & Engage Board of Directors	1. Review & refresh Board structure and composition	New Board structure, diversity on Board
	2. Evaluate Board recruitment, orientation & evaluation	Increased Board participation
	3. Engage Board members in governance & fundraising	Increased Board participation, improved scores on Board evaluation
	4. Align committees with strategic plan & monitor progress	Documented progress on strategic plan implementation
Develop Structure to Support AAOF's Work	1. Determine staff & financial resources to implement strategic plan	Budget for implementation, Implemented plan
	2. Develop succession plans for AAOF leadership	Succession plans in place, "transfer of knowledge" documents in place

APPENDIX D: ACTION PLAN

Awards and Programming

Goal 1: Advance the Orthodontic Specialty through effective and strategic allocation of AAOF funds.

Objective 1.1: Review allocation policies and procedures.

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Assign Ad Hoc PARC Committee to shepherd the process.	Feb 28, 2017	PARC Committee	▪ Revised (as necessary) policies and procedures ▪ Documentation of all policies and procedures
Survey other Association foundations re their allocation practices; research best practices in funding research and education.	June 30, 2017		
Recommend revisions to any policies and procedures that need to be updated, particularly In light of any new funding initiatives.	July 2017 Board Mtg		
Reflect changes in awards materials.	Posted June 1 2018		
Refresh as new funding initiatives are adopted.	Ongoing		

Resources Required:

- PARC Committee members willing to serve on Committee
- Access to other Association foundations' information / time for surveying or interviewing other Association foundations' staff.
- Access to best practices research (organizations such as Gateway Center for Giving, Grantmakers for Effective Organizations, the Center for Responsible Philanthropy, and others may have materials that will prove useful).

Awards and Programming

Goal 1: Advance the Orthodontic Specialty through effective and strategic allocation of AAOF funds.

Objective 1.2: Promote and support maintenance of high quality academic programs in Orthodontics.

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Develop "high quality" with measurable criteria using department chairs, program director and other educators.	December 2017	PARC Committee	▪ Criteria for selection ▪ # applicants ▪ Awards given
Investigate / consider funding for academic programs, including technology, scholarships, residency programs, or other needs:	December 2017		
Develop clear selection criteria and grant guidelines	March 2018		
Reflect changes in awards materials.	June 2018		
Award first new grants	July 2019		

Resources Required:

- Access to academic program leaders to determine interest areas (focus groups? Interviews?)
- Time & attention of PARC Committee to establish selection criteria and grant guidelines
- Refreshed or new grants materials for different funding initiatives – new text, design costs, printing costs
- Revised grant applications – printing costs + changes to website

Notes:

- Funding period is, "officially" July through June; Awards Materials are to be posted NLT July 1.

Awards and Programming

Goal 1: Advance the Orthodontic Specialty through effective and strategic allocation of AAOF funds.

Objective 1.3: Enhance and expand investments in research to include Orthodontic residents, academicians and practitioners.

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Identify new or revisit current funding criteria for each of the following constituent groups: • Residents • Practitioners • Academicians	June 2017	PARC Committee	▪ Criteria for selection ▪ # applicants by constituent group ▪ Awards given by constituent group
Develop clear grant guidelines for each constituent group	December 2017		
Reflect changes in awards materials.	June 2018		
Actively solicit grants for new/expanded audiences, particularly those underrepresented in grant applications (ex: practitioners)	June 2018		
Award first grants under new guidelines	July 2019		

Resources Required:

- Time & attention of PARC Committee to establish selection criteria and grant guidelines
- Refreshed or new grants materials for different constituents – new text, design costs, printing costs
- Revised grant applications – printing costs + changes to website
- Time & commitment of AAOF Board, PARC Committee members, and other ambassadors to reach new audiences

Awards and Programming

Goal 1: Advance the Orthodontic Specialty through effective and strategic allocation of AAOF funds.

Objective 1.4: Explore opportunities to conduct research on Practice Management.

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Develop clear selection criteria and grant guidelines	June 2017	PARC Chair & Board Liaison and AAOF EVP (See #1 below)	▪ Criteria for selection ▪ # applicants ▪ Awards given
Reflect changes in awards materials.	June 2017		
Develop communication strategy for disseminating information	June 2017		
Award first new grants	June 2018		

Resources Required:

- Time & attention of PARC Committee to establish selection criteria and grant guidelines
- Refreshed or new grants materials– new text, design costs, printing costs
- Revised grant applications – printing costs + changes to website
- Communication strategy (see Objective x.x below)

Notes:
The Board has approved this being implemented, essentially as noted above; following established procedure modifications of this level (i.e., mostly administrative at this point) are delegated "officially" to the PARC Chair, PARC Board Liaison and the AAOF EVP.

Awards and Programming

Goal 1: Advance the Orthodontic Specialty through effective and strategic allocation of AAOF funds.

Objective 1.5: Support innovative and/or evidence-based practices in orthodontic care though academic or experientially-based research. (Note: The results of this objective will be incorporated into the grant guidelines of Objectives 1.2, 1.3 and 1.4 above)

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Develop criteria for assessing: • What is innovative • What is considered "evidenced-based" (i.e., how much evidence is required) • What constitutes experientially-based research	December 2017	PARC Committee	▪ Criteria in place ▪ Inclusion in grants materials ▪ Awards made
Include information re interest in innovation, experiential and/or evidence-based practices in call for proposals	June 2018		
Use criteria when making grant decisions (see Objectives 1.2, 1.3 & 1.4)	March 2019		

Resources Required:

- Research into definitions of each category
- Time & attention of PARC Committee to establish criteria
- Refreshed or new grants materials – new text, design costs, printing costs (included in previous objectives)
- Revised grant applications – printing costs + changes to website (included in previous objectives)

Awards and Programming

Goal 1: Advance the Orthodontic Specialty through effective and strategic allocation of AAOF funds.

Objective 1.6: Establish a process to evaluate the impact and effectiveness of AAOF's grant funding.

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Establish an Ad Hoc Committee to oversee the process	June 2017	Ad Hoc Committee	▪ Evaluation completed ▪ Recommendations followed
Determine if feasible as a Center Grant or whether outside counsel is required.	Sept 2017		
Implement decision: Make Center Grant award or hire outside counsel.	After new funding priorities established but before first awards made … December 2018?		
Implement evaluation process as designed	June 2019/TBD		
Analyze results and adjust funding based on results	June 2020/TBD		

Resources Required:

- List of potential consultants
- Funding for consultant (budget roughly $25,000)
- Time and focus of staff, PARC and other Board members

Notes

- Ad Hoc Committee of perhaps 5 or so, to include both Board and PARC representation, with the latter to be in the minority.
- If we were to include a Call for Proposals within the existing Awards Program, this this could be accomplished, perhaps, more quickly, as opposed to an outside consultant. If the former, there would be no additional budgetary implication, as this would come from the already existing Awards Budget.

Awards and Programming

Goal 2: Elevate the Orthodontic Specialty by demonstrating clinical outcomes

Objective 2.1: Invest in research that demonstrates the impact of orthodontics.

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Fund an evaluation study to identify quality outcomes (may be consultant and may be research grant).	June 2018	Task Force of Board + Non Board members overseen by PARC or Executive Committees	▪ Consultant hired / researcher funded ▪ Results of study
Disseminate findings.	June 2022		

Resources Required:

- Funding for consultant / university researcher (budget roughly $50,000)
- Time & commitment of Task Force members
- Time and focus of staff and Board members

Notes:

- This might be accomplished more quickly if this was accomplished through the Awards Program, for example, from the Category 4/Center Award, initially through a Planning Grant and then through a more ambitious undertaking, e.g., this could be the Next Big Thing along the lines of the Collections Project ($1.5 million) of the Education Innovation Award/Faculty Mentoring ($250K)

This would likely need to be a longitudinal study over three or more years.

Awards and Programming

Goal 2: Elevate the Orthodontic Specialty by demonstrating clinical outcomes

Objective 2.2: Fund research that provides value to AAO members.

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Hold focus groups to determine what research would be most helpful to practicing orthodontists.	December 2017	PARC Committee	▪ # grants that reflect AAO member research needs
Incorporate ideas into funding criteria and grant guidelines, as appropriate.	June 2018		

Resources Required:

- Access to AAO members
- Incentive for participation in focus groups
- Focus group facilitators, if not staff or PARC members
- Flexibility in grant criteria

Notes:

- If focus groups are completed by 12/2017, this could be folded into the Awards Materials so that the revised document might be posted June 2018 for 2019/2020 funding.

Awards and Programming

Goal 2: Elevate the Orthodontic Specialty by demonstrating clinical outcomes

Objective 2.3: Encourage publication and dissemination of research funded by AAOF.

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Translate the Foundation's investments in research into practice	June 2018	TBD	▪ Communications plan in place ▪ # publications disseminated by AAOF ▪ # of publications of AAOF funded research by others
Develop and implement a communications plan for disseminating research that incorporates multiple media to reach different audiences	June 2018		
Provide press releases and other publication materials to Universities and other parent bodies of award recipients	June 2018		

Resources Required:

- Communications consultant
- Social media acumen
- Final reports of funded research
- Funding for press releases

Notes:

- The information available via the web site ("Awards Summary….") is likely sufficient to do an initial press release NLT 12/2017; and a more thorough vetting will take more time than that.
- We use an outside vendor, thus press releases typically run $750+/- each.

Fundraising and Engagement

Goal 3: Increase the impact and effectiveness of our fundraising efforts

Objective 3.1: Prepare a business plan to hire staff with sole function as fundraiser.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Define and prioritize what AAOF needs from a potential fundraiser (e.g. major gifts experience, donor software management, grant writing, public speaking, orthodontics knowledge)	March 2017	Board (New Fund Development Committee or Ad Hoc Committee) & Staff	▪ A successful staff person ▪ # new donors in 2nd year ▪ $ raised in 2nd year
Conduct research on direct and indirect costs associated with hiring a fundraiser with the desired set of skills	March 2017		
Analyze the potential ROI of hiring a fundraiser (understanding that 1st year returns are usually less than the salary costs)	March 2017		
Vet and discuss the pros and cons in committee & present findings to the board	June 2017		
Develop a plan for the board to help underwrite his/her salary for year 1, if a fundraiser is hired	June 2017		
Develop a job description, as appropriate and post OR develop and alternative fundraising plan for current board and staff	June 2017		

Resources Required:

- Board and staff time.
- Investment in potential staff salary (depending on job description, $50K - $80K).
- Funds for job posting, search, and vetting of a candidate (potential need for help from a search firm).

Notes:

- March 2017 deadline would give us time to develop something at least of a preliminary nature for the Board to review in February; June 2017 deadline would mean that this would be before the Board prior to the July Meeting.

Fundraising and Engagement

Goal 3: Increase the impact and effectiveness of our fundraising efforts

Objective 3.2: Expand the donor base through engagement of new audiences.

Tactics / Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Define target audiences and potential donors (e.g. recent graduates, residents, faculty, vendors, corporate partners)	June 2017	Board (New Fund Development Committee or Ad Hoc Committee) & Staff	▪ # new donors ▪ # of donors from target audience ▪ # of peer to peer cultivation & solicitation meetings ▪ # of board members engaged in fundraising ▪ # of visits to schools or target audience activities
Explore targeted cultivation strategies for each audience (e.g. social media promotion, school competitions, leveraging annual events, corporate sponsorship opportunities)	June 2017		
Develop a menu of giving opportunities targeted to each audience (e.g. sponsorship opportunities, monthly giving, named awards, new research initiatives)	October 2017		
Develop a timetable for initiation of new cultivation and solicitation methodology, including training for board and staff	October 2017		
Develop and implement a plan that emphasizes face-to-face cultivation and solicitation, when possible (e.g. leveraging faculty to make the ask for vanguard members, using the annual events)	December 2017		
Develop and implement a peer-to-peer fundraising plan, which should include personal assignment of prospects and timelines for solicitation	December 2017		
Visit each of the 70 orthodontic programs once per training cycle.	Ongoing		

Resources Required:

- Past donor data
- Board commitment and follow-through.
- Social media acumen
- Access to academic programs, faculty, annual AAO events, etc.
- Draft script for peer-to-peer fundraising

Notes:

- Dates reflect Governance calendar, i.e., Board Meetings.

Fundraising and Engagement

Goal 3: Increase the impact and effectiveness of our fundraising efforts

Objective 3.3: Enhance and expand the ways in which donors can contribute.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Prioritize the target audiences, to focus the new giving opportunities considered	2017 – 2nd Qtr	Board (New Fund Development Committee or Ad Hoc Committee) & Staff	▪ # of donors acquired through new methods of giving ▪ # of donors who are personally thanked ▪ # of donors who give an additional gift
Explore new methods for giving, which are targeted at selected audiences (e.g. electronic giving, monthly giving programs, alternative pledge repayment terms)	2017 - 3rd Qtr		
Work with AAO to determine the ability to and pros & cons of an "opt in" when paying AAO dues	2017 – 3rd Qtr		
Review and update gift acknowledgment procedures (e.g. personal thank you notes, public recognition, awards, etc.)	2017 – 3rd Qtr		
Develop systems to support new and enhanced giving opportunities	2017 – 4th Qtr		
Develop a communication plan for the new giving opportunities/methods/acknowledgement	2017 – 1st Qtr		
Roll out new giving opportunities/methods	2018 – 2nd Qtr		

Resources Required:

- Board and staff time.
- Investment in new methods of giving.
- Collaboration or support from a communications expert.
- Agreement from AAO.

Notes:

- Some of these may be accomplished more quickly, e.g., the "opt in" with the AAO.
- Some of these tactics may require revamping our website

Fundraising and Engagement

Goal 3: Increase the impact and effectiveness of our fundraising efforts

Objective 3.4: Review and update the Foundation's fundraising policies and procedures.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Review current fundraising policies & procedures (ex: peer-to-peer volunteer solicitation, "pyramid" approach, etc.) to determine efficacy.	2018 – 1st Qtr	Board (New Fund Development Committee or Ad Hoc Committee) & Staff	▪ Additional donor details entered into the database ▪ Gift acceptance policies updated
Consider adding new gift entry procedures which capture not just pledge commitments, but solicitor, ask & proposal details, response	2018 – 1st Qtr		
Begin capturing additional donor data in the fundraising database, including calls, meetings, connections & affiliations, interests and priorities (may require working with a database professional)	2018 – 2nd Qtr		
Update the foundation's gift acceptance policies, where/if indicated, in accord with changes to giving opportunities, campaigns, and strategies	2018 – 3rd Qtr		

Resources Required:

- Board and Staff time.
- New tracking mechanisms for donor cultivation, solicitation, and stewardship.
- Potential investment in a database consultant.

Notes:

-

Fundraising and Engagement

Goal 3: Increase the impact and effectiveness of our fundraising efforts

Objective 3.5: Explore alternative revenue generation opportunities.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Explore intellectual property rights of AAOF funded research	2019 – 1st Qtr	Board (New Fund Development Committee or Ad Hoc Committee), PARC Committee & Staff	▪ New alternative revenue generation opportunities vetted ▪ $ raised from new revenue
Consider making "venture capital" investments in orthodontic research	2019 – 3rd Qtr		
Identify and apply for "intermediary" or pass-through grants	2020 – 1st Qtr		
Investigate opportunities to collaborate with other health associations, among other entities (e.g., alumni associations) in fund development	2020 – 3rd Qtr		

Resources Required:

- Board and staff time.
- Potentially a contract grants writer and attorney.
- Access to other health associations

Fundraising and Engagement

Goal 3: Increase the impact and effectiveness of our fundraising efforts

Objective 3.6: Establish fundraising goals for each fund development effort (ex. Vanguard Society, Regents, etc.), including new initiatives.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Pull and review donor data from the last five years by fundraising effort	2017 – 2nd Qtr	Staff	▪ Established "attainable with a reach" goals set for each fund development effort ▪ # and $ from each category
Develop prospect lists for donors who could upgrade and target schools/residency programs to partner with – set target amounts	2017 – 3rd Qtr		
Develop % increase goals for revenue raised by strategy based on historical data and prospect lists, including # of new donors, # of renewals, and # of upgrades for all current and new fundraising opportunities	2017 – 4th Qtr		
Begin benchmarking fundraising goals	2018 – 1st Qtr		

Resources Required:

- Staff time.
- Reports from the donor database.

Fundraising and Engagement

Goal 4: Increase awareness of AAOF's work and its impact.

Objective 4.1: Revise and enhance AAOF's case statement.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Develop a board committee to review the AAOF's current case for support	2017 – 4th Qtr	Board (New Fund Development Committee or Ad Hoc Committee) & Staff	▪ New or Updated Case Developed ▪ Dissemination of case to all key stakeholders ▪ # of meetings held to share the case with key donors
Articulate key messages that need to be included in a revised case statement, which reflect the organization's ambitious strategic goals (e.g. include emphasis on value add of research resulting from AAOF awards)	2017 – 4th Qtr		
Craft a clear call to action, with an inspiring and ambitious need, being sure to present a value proposition that appeals to a wide range of audiences	2018 – 2nd Qtr		
Explore a re-design of the AAOF case, reflecting donor interests (e.g. infographics, outcome statistics, and giving opportunities)	2018 – 2nd Qtr		
Develop a dissemination plan for the foundation's enhanced and updated case	2018 – 3rd Qtr		

Resources Required:

- Board and Staff time.
- Funds for graphic design.
- Funds for collateral pieces

Fundraising and Engagement

Goal 4: Increase awareness of AAOF's work and its impact.

Objective 4.2: Expand and enhance AAOF's communication strategy to appeal to various audiences.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Develop a grid that outlines different communication methods and how AAOF can use them to reach segmented markets	2018 - 2nd Qtr	Board (New Fund Development Committee or Ad Hoc Committee) & Staff	▪ Development of segmented audiences and messaging ▪ Implementation of messaging
Segment the case for support for easy communication	2018 – 3rd Qtr		
Explore developing segmented messaging for various audiences, across various communication methods (e.g. the value of resident research grants and faculty support for residents, research on the outcomes of specialty care for practicing orthodontists, award opportunities and collaborations for faculty)	2018 – 4th Qtr		
Begin utilizing messaging at events, cultivation meetings, and on the website (e.g. create a "how we impact" page on the website that discuss how the foundation impacts residents, practitioners, and faculty)	2019 – 1st Qtr		
Leverage the AAO "AP"	2019 – 1st Qtr		

Resources Required:

- Board and staff time.
- Investment in Communications consultant
- Social media acumen

Fundraising and Engagement

Goal 4: Increase awareness of AAOF's work and its impact.

Objective 4.3: Review and update website and social media strategy.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Review website and social media analytics to determine current use	2018 – 1st Qtr	Board (Ad Hoc Communications Committee) & Staff Board & Staff	▪ # of new social media followers ▪ # of unique visits to the website
Develop key goals and metrics for communication strategy	2018 – 1st Qtr		
Hire a communications consultant to build a social media strategy.	2018 – 2nd Qtr		
Develop a calendar of social media and website content, which leverages annual events, award applications and announcements, and donor recognition	2018 – 3rd Qtr		
Develop a strategy for sharing the impact of research funded by the foundation (e.g. consider a virtual annual report that relies heavily on easy to digest infographics which is hosted on the website)	2018 – 3rd Qtr		
Explore some integration with the AAO social media strategy	2018 – 4th Qtr		

Resources Required:

- Board and staff time.
- Investment in communications consultant.
- Social media acumen
- Partnership with AAO communications.

Note:

- These tactics may be accomplished sooner.

Fundraising and Engagement

Goal 4: Increase awareness of AAOF's work and its impact.

Objective 4.4: Leverage Orthodontic annual events (AAO Annual Meeting, GORP, etc.) to cultivate greater connections throughout the year.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Explore making the AAOF conference breakfast a celebration of the AAOF's impact over the last year (feature break out research, honor generous donors, and invite as many people as possible to spread brand awareness)	2017 – 2nd Qtr	Staff	▪ # of attendees at the AAOF conference breakfast ▪ # of residents who are engaged at GORP ▪ # of new vanguard members ▪ Development of event calendar
Develop a plan for how to cultivate residents at GORP that enables them to learn more about the foundation and gives them opportunities to get involved throughout the year	2017 – 3rd Qtr		
Segment the annual fundraising calendar by target audience and strategy for engagement	2018 – 1st Qtr		
Develop and market a function specifically to Vanguards, Regents and Keystones.	2018 – 2nd Qtr		

Resources Required:

- Staff time.
- Potential Ad Hoc Board Committee.
- Resources for the Breakfast.

- Maybe we could have functions marketed (only?) to Vanguards, Regents and Keystones.

Governance and Administration

Goal 5: Expand and fully engage the Board of Directors.

Objective 5.1: Review and refresh, as appropriate, Board structure and composition.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Identify alternative Board selection models (other than geographic representation) and pros and cons of each, including researching other national association foundations' Boards' structures.	June 2017	Ad Hoc Committee of the Board	• Adherence to Board rotation policy • Use of Board Grid • Breadth of diversity on Board
Compare AAOF Board rotation policy with industry standards	June 2017		
Develop and use a "Board Grid" that outlines characteristics, skills and competencies needed on the Board.	June 2017		
Increase the Board's diversity – age, gender, and race - through cultivation of a breadth of potential Board members.	June 2017		
Consider additional Board Committees, such as Fund Development and Governance.	June 2017		

Resources Required:

- Access to information on other national association foundations' board structure.
- Information on standards for Board service and Board Committees. (BoardSource and CompassPoint may be good resources)
- Information on current and prospective Board members to complete Board Grid
- Board agreement that change is needed

Notes:

- Ad hoc Committee should be 5 – 7 and have included a wide stake holder representation.

Governance and Administration

Goal 5: Expand and fully engage the Board of Directors.

Objective 5.2: Evaluate Board recruitment, orientation, and evaluation processes.

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Adopt a Board recruitment strategy that includes identifying potential Board members and encouraging them to engage in volunteer opportunities with AAOF. (See Board Grid tactic under Objective 5.1)	January 2018	Ad Hoc Committee of the Board	Board recruitment strategy in place and followed. Written description of Board roles & responsibilities. Board orientation process in place and followed. Annual Board evaluation. Board Commitment Document in place and used. Increased Board participation.
Develop and implement a comprehensive and systematized Board member onboarding process.	January 2018		
Clearly define Board roles & responsibilities. Communicate them in advance to prospective Board members.	January 2018		
Institute a Board Commitment document that is signed annually; develop metrics for Board members re meeting those commitments.	June 2018		
Institute an annual Board evaluation survey. Review results and, as appropriate, tweak Board practices and policies based on results.	June 2018		

Resources Required:

- Access to industry standards and best practices (BoardSource, CompassPoint, BridgeSpan Consulting Group, and others are good resources).
- Resources to engage outside counsel
- New Board Committee: Governance Committee

- As a priority, this tactic may need to be sped up.

Governance and Administration

Goal 5: Expand and fully engage the Board of Directors.

Objective 5.3: Engage all Board Members in actively fulfilling their governance and fundraising responsibilities. (Note: Two tactics are the same as those in Objective 5.2)

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Clearly define Board roles & responsibilities. Communicate them annually to returning Board members and in advance to prospective members.	June 2018	Ad Hoc Committee of the Board	Documented Board roles & responsibilities Signed Board Commitment sheets. Annual Board self-evaluation. Increase in Board participation
Institute a Board Commitment document that is signed annually; develop metrics for Board members re meeting those commitments.	June 2018		
Institute an annual Board member self-evaluation survey.	June 2018		

Resources Required:

- Understanding of industry standards re Board roles and responsibilities (BoardSource is a great source for this information) and Board adoption of a set of roles & responsibilities.
- Sample Board Commitment documents.
- Sample Board member self-evaluation surveys.
- Funds for outside counsel.

Governance and Administration

Goal 5: Expand and fully engage the Board of Directors.

Objective 5.4: Align committees with the strategic plan and monitor progress.

Tactics/Approaches	Completion Date	Responsible Party	Key Metric(s)
Consider addition of Governance and Fund Development Committees. (See 5.1 above.)		Ad Hoc Committee of the Board	Documented progress on strategic plan implementation
Structure Board meeting agendas according to Strategic Priorities.	June 2018		
Include strategic plan updates in Committee Reports.	June 2018		

Resources Required:

- Additional Board Committees.
- Board attention.

Note:

- Sequentially, this objective will be best approached after other e-structuring pieces were in place prior to implementing some of the above.

Governance and Administration

Goal 6: Develop the organizational infrastructure to support the work of AAOF.

Objective 6.1: Determine staff and financial resources necessary to implement strategic plan.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Clearly outline staff support needed to implement the strategic plan. Assess whether current staffing level, plus recommended full-time fundraiser, is sufficient. If not, determine whether to scale back plan or add staff.	June 2017	Ad Hoc Committee of the Board	▪ Comprehensive implementation plan ▪ Budget for strategic plan implementation
Develop a financial plan to support enhancements to AAOF's infrastructure. Estimate costs by year of proposed action plan.	December 2017		
Prepare annual budgets with strategic planning costs included.	June 2018		

Resources Required:

- Honest assessment of Board and staff capacity, including available time.
- Estimates of costs
- Funding

Notes:

- June 2017 might be too ambitious.

Governance and Administration

Goal 6: Develop the organizational infrastructure to support the work of AAOF.

Objective 6.2: Develop a succession plan for AAOF's staff leadership.

Tactics/Approaches	Completion Date	Responsible Party(ies)	Key Metric(s)
Develop format for "transfer of knowledge documents," including donor relationships, formal and informal policies and procedures, key community contacts, institutional history, etc. Set deadline for staff to complete documentation.	March 2017 (June 2017?)	Ad Hoc Committee of the Board	▪ Succession plans in place for leadership positions ▪ Transfer of knowledge documents
Prepare written succession plans for staff likely to retire within 5 years. (Use resources such as CompassPoint's *Departure-Defined Succession Planning: The Seven Essential Elements for a Successful CEO Transition* to guide the process).	March 2017		
Develop a board succession plan that identifies leaders in their first term and grooms them for future leadership positions.	June 2017		

Resources Required:

- Format for "transfer of knowledge" documentation.
- Time to prepare "transfer of knowledge" documents
- Resources for developing thoughtful succession plans for long-term leaders. (United Way, BoardSource, CompassPoint, Bridgespan Group, and others have resources on-line)
- Ad hoc Board Committee (or Governance Committee) to develop a board succession plan. (BoardSource is a good resource for researching Board succession plans)