CWRU Advancement Services

ADVANCE Training Manual

The mission of **Advancement Services** is to support Case Western Reserve University in serving society as a leading center for education, research, and world and community leadership.

We provide high quality technology and information management services to our advancement professionals both in central university relations and the individual schools.

Advance is utilized by development and alumni affairs staff to maintain connections within our community, to record relevant, relationship-building information and as a fundraising resource.

CASE WESTERN RESERVE
UNIVERSITY · EST. 1826

Case Western Reserve University

Advancement Services

The Mission of Advancement Services is to support Case Western Reserve University in serving society as a leading center for education, research, and world and community leadership. This is accomplished by providing high quality technology and information management services for our advancement professionals both in central university relations and the individual schools. Services provided include Gifts Processing, Biographical Maintenance, Central Files Repository, Prospect Identification and Research, Prospect Management and Tracking, Reporting and Analysis and Advance Technical Support.

Ellucian Advance fundraising software is the product we use to manage and maintain data about alumni and friends of the university. The Advance database contains biographical and philanthropic information on alumni, corporations, foundations, students, friends and other affiliates of the university. Advance data is utilized by CWRU development and alumni affairs staff to maintain connections within our community, to record relevant, relationship-building information and as a fundraising resource. All new Advance users are required to attend training prior to accessing the confidential database.

The Department of Advancement Services works closely with many departments on campus to assist in development and alumni affairs operations. Departments supported by Advancement Services include: Annual Fund, Alumni Relations, Planned Giving, Donor Relations, Government & Community Relations, and Corporate Relations as well as the Development & Alumni Relations offices in each individual school. In addition, we support the offices of Career Services and Marketing & Communications as they communicate with alumni regarding upcoming events & newly created programs.

The Department of Advancement Services is located at BioEnterprise, 11000 Cedar Avenue, Suite 300, Cleveland Ohio 44106.

Version 1.0, Revised January 2014

Table of Contents

Table of Contents

Table of Contents

Table of Contents

CASE WESTERN RESERVE
UNIVERSITY · EST. 1826

1 Advance Fundraising Software
Department of Advancement Services

1.1 History & Mission

The mission of the Advancement Services department is to support Case Western Reserve University in serving society as a leading center for education, research, and world and community leadership. This is accomplished by providing high quality technology and information management services to departments such as development, alumni affairs, marketing, admissions and career services.

Advancement Services maintains the official alumni and donor database, Advance, to manage and maintain data about alumni and friends of the university. The Advance database contains highly confidential biographical and philanthropic information on alumni, corporations, foundations, students, friends and other affiliates of the university and is utilized by various departments to maintain connections within our community, to record relevant, relationship building information and as a fundraising resource.

Advancement Services provides the following services:

- Prospect research and identification
- Reporting and data analysis
- Gift and biographical data administration
- Prospect management and tracking
- Advancement systems support
- Desktop computer support
- Central files

1.2 Department of Advancement Services

Many sub-departments exist within the Advancement Services department to support the overall fundraising efforts of the university.

- Executive Management
- Central Files
- Gifts and Biographical Maintenance
- Prospect Management
- Prospect Research
- Information Technology

Management

- Executive Director
  Cindy Creegan
- Gifts & Bio Maintenance
  Madelyn Miller
- Prospect Research
  Dorothy Oluonye
- Prospect Management
  Stuart Oakes
- Information Technology
  Brian Rosen

Contact Information

- General Info
  uris-gen@case.edu
- Central Files
  uris-files@case.edu
- Development Requests
  devreq@case.edu
- Giving Questions
  uris-gift@case.edu
- Biographical Updates
  uris-data@case.edu
- Prospect Assignments
  uris-pros@case.edu
- Research Requests
  uris-res@case.edu
- Helpdesk/Training
  advancetrainer@case.edu

Mailing Address

Advancement Services
BioEnterprise
11000 Cedar Avenue, Suite 300
Cleveland, OH 44106-7035
216.368.8552
www.case.edu/development/univ_dev/

CASE WESTERN RESERVE
UNIVERSITY · EST. 1826

2 Advancement Services Security Policies

Ellucian Advance fundraising software is the product used by Case Western Reserve University to manage and maintain data about alumni and friends of the university. The Advance database contains highly confidential biographical and philanthropic information on alumni, corporations, foundations, students, friends and other affiliates of the university. Advance data is utilized by CWRU development and alumni affairs staff, as well as other departments such as marketing and career services, to maintain connections within our community, to record relevant, relationship building information and as a fundraising resource. Due to the confidential nature of the data contained in the Advance database, the following security policies have been enacted. In addition, all new Advance users are required to complete Advance training provided by the Department of Advancement Services to gain access to the system.

◆ Advance Training Policy

◆ Advance Access Policy

◆ Records Information Release Policy

◆ FERPA Policy

◆ ITS Acceptable Use Policy

2.1 Advance Access Policy

Due to the highly confidential nature of the data in the Advance database, only select staff members who have completed official Advance training are granted access to the system. Questions regarding this policy? Email advancetrainer@case.edu.

ACCESS PERMITTED:

◆ Permanent CWRU Employees

◆ Temporary CWRU Employees hired through Kelly Services

ACCESS DENIED:

◆ Case Western Reserve University Student Workers

◆ Student Workers hired through Kelly Services

◆ Interns

2.2 Terminating Advance Access

Due to the confidential nature of the Advance database, a staff member of the hiring department should notify advancetrainer@case.edu immediately when an employee with Advance access terminates their CWRU employment. Once notified, an Advancement Services employee will ensure that employee can no longer access the Advance database.

2.3 Advance Training Policy

Advance training is a continuing education process due to the complexity of the Advance database. In order to gain basic access to Advance, every employee must attend *Session 1: Introduction to Advance*. Based on the employee's position and job description, additional sessions may be necessary. For more information on Advance Training, please visit the Advancement Services website: http://www.case.edu/development/univ_dev/. **Questions? Contact advancetrainer@case.edu.**

Training is held at the BioEnterprise Building (11000 Cedar Avenue, Suite 300) with each session running approximately two hours. Follow the procedure below to register for trianing:

♦ A staff member of the hiring department contacts advancetrainer@case.edu with the new employee's start date, position title, name and case network ID (abc123). The advance trainer will grant the new employee access to the Advancement Services website.

♦ The new CWRU employee registers for the appropriate Advance training sessions by navigating to 'Advance Training & Manuals' then 'Register for Advance Training' on the Advancement Services website.

♦ The new employee will attend all registered Advance training sessions. After each session the employee will complete and pass that session's Advance quiz. The new employee will then be granted access to the specified Advance module.

2.4 Email Subscriptions

In addition to the extensive catalog of Advance canned reports, Advancement Services provides a series of reports that are delivered straight to your e-mail inbox. Upon completion of Advance training, new users are added to the following aliases:

New Gifts, Payments and Pledges
Provides a list of all transactions processed in Advance the previous day.

New Contact Reports
Provides a list of all contact reports (for visit credit) filed in the past week.

Weekly Snapshot
This report is designed to give Prospect Managers a quick look at recent activity for their prospects. It includes information on upcoming and past due tasks, gifts and pledges received, address changes and contact reports (filed by someone other than the Prospect Manager). It is sent on Mondays and all Prospect Managers are automatically subscribed.

Alumni Emails: iModules Seed List
If a CWRU staff member wants to receive copies of emails that are sent to Advance constituents, the staff member should send a request to devreq@case.edu to be added to the iModules Seed List. This list is copied on all emails that will be sent from within iModules. This is a great source of upcoming event information across the university.

Unsubscribe Process: If users no longer wish to receive these communications, they should e-mail devreq@case.edu with their request for removal.

2.5 Records Information Release Policy

The Case Western Reserve University Advancement Services (Advance) maintains a database of biographical and gift/pledge information about University alumni and friends in accordance with the general needs and expectations of the University community. The information contained in this database is intended exclusively for purposes related to Case Western Reserve University's programs.

It is the desire of Advancement Services to support the ongoing activities of Case Western Reserve University by providing assistance for programs, communications, and events which bring together alumni, donors, and friends of the University. In order to provide the best possible service to those with legitimate needs for such information, and at the same time maintain the confidentiality of the information entrusted to us by our alumni, the following policies have been developed. These policies have been approved by the Executive Director of Advancement Services and will apply to every request for information.

Statement of Information Release Policies:

I.   The following may request information from the Advance database:

A.   University-affiliated organizations and alumni constituent groups, in support of approved activities (see list of approved activities below). Those organizations include but are not limited to:

1.   Case Western Reserve University Alumni Relations personnel

2.   Case Western Reserve University, University Relations personnel

3.   Administrative units of Case Western Reserve University

4.   Academic units of Case Western Reserve University

5.   Athletic units of Case Western Reserve University

6.   Central Administration

7.   Career Development Center(s)

In cases of dispute about whether an organization has a legitimate affiliation with the University, the final decision will rest with the Executive Director of Advancement Services.

B.   Other colleges and universities seeking the location of alumni with degrees from both Case Western Reserve University and the requesting institution.

C.   Law enforcement agencies and student loan agencies.

D.   Agencies that assist Alumni & Development Systems in locating Case Western Reserve University's lost alumni (e.g. USPS Locator Service).

E.   Upon establishing their status in our system by providing their social security number (in the case of alumni) or other iden tifying fact(s), individuals may request public information for an individual. Requests for public information must be made in writing, stating the reason for the requested information.

All requests from anyone else seeking information on another person will be forwarded to that person so that he/she can decide whether or not to contact the requestor. No information will be released for those records coded "Do Not Mail" indicating the alumnus or alumna has requested no University contact.

All requests for information from members of the media must be referred to the Case Western Reserve University Office of Marketing and Communications or similar professional school office.

2.5 Records Information Release Policy, continued

II.　　　Following is information that may be released from the Advance database:

Information available for release is confined to **"public information"** which is limited to:

    1.　　　Full name

    2.　　　Mailing Address

    3.　　　Degree(s) and date of degree(s) awarded by Case Western Reserve University

    4.　　　School(s) from which degree(s) was/were granted with major field of study

"Public information" will be provided only to those requestors identified in I.A through I.E above.

Federal law severely restricts the amount of information that may be released on current students. No information on students will, therefore, be released based on data maintained by Advance. All requests for information on current students should be forwarded to the appropriate Registrar's office.

Information provided to volunteer alumni constituent groups will be limited to those alumni who are affiliated with the requesting group.

III.　　　The following statements specify the acceptable internal uses of information from the alumni database:

  A.　Advancement Services will make available information from its database for the support of approved, University-related activities. Approved activities include the following:

    1.　　　Alumni relations

    2.　　　Development

    3.　　　Public relations

    4.　　　Government relations

    5.　　　School/department communications to alumni/constituents

    6.　　　University-sanctioned research

    7.　　　Continuing education programs

    8.　　　Student recruitment

In cases of dispute about what constitutes an approved activity, the final decision will rest with the Executive Director of Advancement Services or his/her designee.

  B.　Information maintained by Advancement Services is not available for release for non-related commercial or political purposes.

  C.　If the information provided will result in the preparation of lists or directories that are to be published in book, magazine, newsletter or other forms for general distribution among alumni groups, prior to publication the release of data must be approved by the Executive Director of Advancement Services or his/her designee and each individual who might be included must be provided the opportunity to indicate in writing whether he/she wishes to be excluded.

2.5 Records Information Release Policy, continued

D. Requestors of data from Advancement Services may contract the services of outside vendors (e.g. data processing consultants, direct mail firms, marketing and merchandise firms, alumni relations affinity partners, etc.) to process and/or distribute information obtained from Advance. In these cases:

1. The vendor must agree to use the information only for the purpose intended by the University client. The sale or transfer of the information by the vendor is strictly prohibited and a contract with the vendor must be reviewed and approved by the University's Attorney's Office.

2. If the project in question results in the publication of directories or lists as identified in III.C. above, the procedures outlined in III.C. must be followed prior to publication.

3. The vendor must ensure the prompt return of any University owned CD's or electronic files or software provided in fulfillment of the contract.

4. In all cases involving the use of outside vendors or contractors, the absolute confidentiality of the information provided from the alumni database is the responsibility of the requestor.

IV. Formats available for distribution of information.

Information may be obtained in the form of lists, electronic files such as Excel spreadsheets, CDs, and downloads by authorized university representatives in support of approved activities as noted in III.A of this document. It is the responsibility of the unit requesting information to maintain the absolute confidentiality of that information as specified in this policy statement.

For the general Alumni constituent group, the preferred source for dissemination of public information is the on-line Alumni Directory. Advancement Services understands that Alumni serving the University in a volunteer capacity may require more extensive information. Subject to the restrictions of FERPA, biographic information will be released to Alumni Volunteers or third party vendors providing they 1.) read and sign this policy agreement indicating understanding of and agreement with this policy and 2.) they agree not to create any electronic list or local database of the requested data. The data is to be used solely for the purpose indicated by the Alumni Volunteer when requesting the information and is to be destroyed in a responsible manner once the purpose has been fulfilled.

At no time will gift/pledge data or data pertaining to the prospect management system be released to alumni, alumni volunteers, or other constituents outside of the university community without the express approval of the Executive Director of Advancement Services or his/her designee.

V. Compliance with the above policy.

Failure to abide by any of the policies stated within this document may result in denial of access to information contained in the Advance database. Request for reinstatement of access to this information must be approved by the Executive Director of Advancement Services or his/her designee and must include written assurance of future compliance with these policies.

2.6 FERPA Policy

Academic Record Privacy (FERPA)

The Family Educational Rights and Privacy Act of 1974 (FERPA) contains several provisions that are important to students. First, the university may not release personally identifiable student records to a third party, with certain specific exceptions, unless the third party has requested the information in writing and the student has consented, again in writing, to its release. The university may release directory information about a student, however, unless the student submits a written request that any or all such information not be released. Second, a student may request, in writing, an opportunity to inspect and review the student's official files and records maintained by the university and may, if appropriate, challenge the accuracy of those records. The university is permitted a reasonable time, not to exceed 45 days, to respond to such a request. Third, a student may file with the Family Policy and Regulations Office of the U.S. Department of Education a complaint concerning what he or she believes to be the university's failure to comply with FERPA. Finally, a student may obtain from the Registrar a copy of this policy, which the university has adopted to meet the requirements of FERPA. The information below is presented in compliance with the provisions of FERPA, which require the university to notify students annually of their rights and the university's policies and procedures. Specific procedures may vary slightly among the schools and colleges of the university, and each student is encouraged to inquire at his or her own dean's office if any question arises.

Access to Files

A student may request, in writing, an opportunity to review the contents of the student's educational file. Certain materials are excluded from review as specified in FERPA. Among these are:

♦ Records kept in the sole possession of faculty, staff, and other personnel, used only as a personal memory aid, and not accessible to any other person except a temporary substitute for the maker of the record.

♦ Records created and maintained by law enforcement units solely for law enforcement purposes that are not maintained by persons other than law enforcement officials.

♦ Records created and maintained by a physician, psychiatrist, psychologist, or other professional or paraprofessional acting in that capacity in connection with the provision of treatment to a student. Such records can, of course, be reviewed by a physician or other appropriate professional of the student's choice.

♦ Employment records of a student made and maintained in the normal course of business. Such employment records may be obtained in the Student Employment Office or Human Resources under the policies applicable to those offices.

♦ Financial records of a student's parents, or any information contained therein.

♦ Confidential letters and statements of recommendation placed in the file before January 1, 1975.

♦ Records for which the student previously waived his or her right of access.

♦ Records that contain only information about a person after that person is no longer a student, such as alumni records.

The office to which the request is made will arrange an appointment within a reasonable period of time (not to exceed 45 days) for the student to review the file in the presence of a member of the office staff.

FERPA affords students certain rights with respect to their educational records. Students may ask the university to amend a record that the student believes is inaccurate or misleading. The student should write to the university official responsible for the record, clearly identifying the part of the record the student wants changed, and specify why it is inaccurate or misleading. If the university decides not to amend the record as requested by the student, the university will notify the student of the decision and advise the student of his or her right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing.

The student may request copies of those records to which he or she has access under the terms of FERPA. The student will be charged a nominal fee per page for these copies.

2.6 FERPA Policy, continued

Release of Personally Identifiable Records

FERPA affords the student the right to consent to disclosures of personally identifiable information contained in the student's educational records, except to the extent that FERPA authorizes disclosure without consent. One exception, which permits disclosure without consent, is disclosure to school officials with legitimate educational interests. A school official is defined as a person employed by the university in an administrative, supervisory, academic, or support staff position (including law enforcement unit and health staff); a person or company with whom the university has contracted (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; or assisting another school official in performing his or her tasks. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility.

Upon request, the university discloses education records without consent to officials of another school in which a student seeks or intends to enroll. The university also discloses education records to organizations conducting studies for educational agencies or institutions under certain circumstances.

Directory Information

For the convenience of faculty and fellow students, FERPA provides for a category known as directory information which may be released without requesting the eligible student's specific prior consent. Rather, the act requires that students be notified annually of the types of information included in this category and be given an appropriate period in which to express, in writing, any preference that such information about themselves not be released. For this purpose, **directory information is defined to include**

- Name (including both maiden name and married name, where applicable)
- Address, telephone listing, and electronic mail address
- Date and place of birth
- Major field of study
- Anticipated graduation date
- Enrollment Status (undergraduate or graduate, full-time or part-time)
- Dates of attendance
- Degrees and awards received
- Participation in officially recognized sports and activities
- Weight and height (members of athletic teams)

Any student who would prefer that the university not release such information about himself or herself can update their FERPA Restriction by going to the Student Information System (SIS) Student Center homepage, selecting Self Service, followed by Campus Personal Information, then selecting FERPA Restrictions.

Transcripts

A transcript of grades will be released only upon written request of the student, either in person or by mail. A fee is charged for each transcript copy. Transcripts will not be issued to, or on behalf of, students who have not discharged all delinquent obligations to the university.

Rev. 08/28/2013 CWRU Registrar   http://www.case.edu/registrar/student_records.html

2.7 ITS Acceptable Use Policy

CWRU Information Security Acceptable Use Policy

I-1 Acceptable Use Policy (AUP) The purpose of this policy is to outline the acceptable uses of computing and information technology resources for the Case Western Reserve University community. This policy outlines the standards for acceptable use of University computing and information technology resources that include, but are not limited to, equipment, software, networks, data, and telecommunications equipment whether owned, leased, or otherwise provided by Case. This policy is intended to reflect the University's commitment to the principles, goals, and ideals described in the Case Vision Statement and to its core values.

Coordination with Other Policies and Law Users of information technology resources at Case Western Reserve University are subject to applicable federal, state, and local laws, applicable contracts and licenses, and other university policies, including those for Human Resources, and those contained in the faculty and student handbooks, and notably those policies governing copyright and intellectual property compliance. Users are responsible for ascertaining, understanding, and compliance with the laws, rules, policies, contracts and licenses applicable to their particular uses. Any case of policy conflicts will be addressed by the policy review process.

Access to and Expectations of Persons Using Information Technology Resources It is the policy of Case to maintain access for its community to local, national and international sources of electronic information sources in order to provide an atmosphere that encourages the free exchange of ideas and sharing of information. Case maintains a variety of information technologies for use as resources for people, catalysts for learning, and increased access to technology and an enriched quality of learning. Access to this environment and the University's information technology resources is a privilege and must be treated with high ethical and legal standards.

Preserving the access to information resources is a community effort that requires each member to act responsibly and guard against abuses. Therefore, both the Case community as a whole and each individual user have an obligation to abide by the following standards of acceptable and ethical use:

♦ Use only those computing and information technology resources and data for which you have authorization and only in the manner and to the extent authorized.

♦ Use computing and information technology resources only for their intended purpose.

♦ Protect the confidentiality, availability, and integrity of computing and information technology resources, including data.

♦ Abide by applicable laws and University policies and all applicable contracts and licenses and respect the copyright and intellectual property rights of others, including the legal use of copyrighted material.

♦ Respect the finite capacity of resources and limit use so as not to consume an unreasonable amount of resources or to interfere unreasonably with the activity of others.

♦ Respect the privacy and personal rights of others.

Access to Case information technology and computing resources is a privilege granted to students, faculty and staff of Case. The University extends access privileges to individual users of the University's information technology and computing resources. The extension of these privileges is predicated on the user's acceptance of and adherence to the corresponding user responsibilities detailed in this policy and addendum. The University reserves the rights to limit, restrict, or extend access to information technology resources.

Applicability This policy applies to all users of Case computing and information technology resources including faculty, staff, students, alumni, guests, external individuals or organizations and individuals accessing external network services, such as the Internet via University facilities.

The Vice President for Information Technology Services/CIO will determine operational policies, networking standards and procedures to implement the principles outlined in this policy. ITS has the right to protect shared information technology services.

Uses In general, the Case community shall use University information technology resources (which include privately-owned computers connected to the University network) in connection with the University's core teaching, research, and service missions. Uses that do not significantly consume resources or interfere with other users also are acceptable, but may be restricted by Information Technology Services. Under no circumstances shall members of the University community or others use University information technology resources in ways that are illegal, that threaten the University's tax-exempt or other status, or that interfere with reasonable use by other members of the University community. Any use of University information technology resources, including network infrastructure, for commercial purposes is prohibited.

2.7 ITS Acceptable Use Policy, continued

CWRU Information Security Acceptable Use Policy

Sanctions for Violations Failure to comply with the appropriate use of computing and information technology resources threatens the atmosphere for the sharing of information, the free exchange of ideas and the secure environment for creating and maintaining information property and subjects one to disciplinary action. Any member of the Case community found using computing and information technology resources in violation of this policy may be denied access to university computing resources and may be subject to disciplinary action, both outside and within the university, including, without limitation, suspension of system privileges, expulsion from school, termination of employment and/or legal action as may be appropriate.

Privacy and Security There is no inherent expectation of privacy for information stored on Case information technology resources, except as provided by federal and state law and other university policy. Every effort will be made to maintain individual privacy, but the university will not be liable for the failure of these privacy efforts. While the university does not routinely monitor individual usage of its computing resources, the normal operation and maintenance of the university's computing resources require the backup and caching of data and communications, the logging of activity, the monitoring of general usage patterns, the scanning of systems and network ports for anomalies and vulnerabilities, and other such activities that are necessary for the rendition of service.

Review of the Policy This policy may be assessed from time to time to reflect substantive change as a result of changes to the Case information technology resources and/or changes in legal statutes that impact information technology resources, copyright, or other intellectual property issues. The Vice President for Information Technology Services is responsible for determining when the policy needs to be reviewed and the process for review and revision.

Version 2.0   Last Revision 02/06/2009   Approval ITSPAC

http://www.case.edu/its/policy/acceptable-use-policy.html

3 Advance Fundraising Software Overview

3.1 What is Advance?

Ellucian Advance fundraising software is the product used by Case Western Reserve University to manage and maintain data about alumni and friends of the university. The Advance database contains biographical and philanthropic information on alumni, corporations, foundations, students, friends and other affiliates of the university
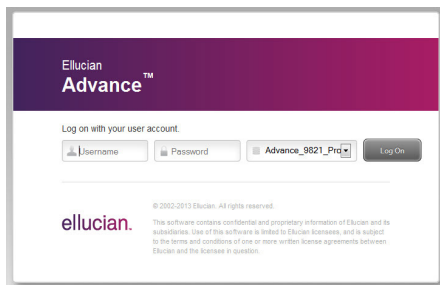
Advance data is utilized by CWRU development and alumni affairs staff, as well as other departments such as marketing, admissions and career services, to maintain connections within our community, to record relevant, relationship building information and as a fundraising resource. Because so many users rely on Advance for accurate data, any substantial communication with an entity should be tracked in Advance using Contact Reports.

3.2 Who Uses Advance?

Development: Development Officers (aka Fundraisers) and their support staff utilize Advance to gather biographical and giving information on entities, allowing them to create strategic fundraising plans and identify specific entities as prospects targeted for deeper university involvement. In addition to the Central Development offices (Annual Fund Central, Donor Relations Central, Planned Giving Central, Government/Corporate/Foundation Relations Central), each school has an individual office or team dedicated to their school's fundraising efforts.

Alumni Relations: Alumni Relations focuses more on events and alumni engagement, utilizing Advance to pull lists of CWRU alumni and donors to invite to events, serve on committees, send informational communications, or produce new programs based on indicated interests. In addition to the Central Alumni Affairs office, each school may have an alumni relations team dedicated to their particular management center.

Career Services: Career Services employees use Advance to connect participating alumni with graduating students to help establish careers in their fields.

Admissions: Admissions employees utilize Advance to identify legacy/familial connections with applicants to attend CWRU or one of the professional schools.

Additional Offices/Departments: Additional offices and departments (such as University Marketing & Communications, the Women's Center, Kelvin Smith Library, etc.) utilize the Advance database to gather basic biographical information on entities.

3.3 Advance & Other Databases

Registrar's Office (Peoplesoft SIS)
SIS is the system of record for all student information. Three times per year graduates are pulled from SIS and added to Advance as CWRU alumni. Degrees are awarded in January, May, and August; the data is pulled soon after. Data received from SIS includes name, address, phone number, and degree information.

Controller's Office (Peoplesoft Financials)
Advance is the system of record for all charitable donations to the University. All records of cash deposited by Advancement Services are sent to the University's General Ledger on a nightly basis. If a charitable donation comes into the University but is not deposited by Advancement Services, we will record the gift transaction in our system but it will not feed to the General Ledger.

Human Resources (Peoplesoft HCM)
HCM is the system of record for all employee information. Advance does not interact in any way with HCM and therefore does not have an accurate recording of faculty or staff. Schools and departments should contact their appropriate office in charge of faculty affairs for any such lists.

Case Alumni Association (CAA)
The Case Alumni Association is a separate 501(c)(3) organization that works closely with the University. Advancement Services has a working relationship with CAA and shares data as often as possible to keep the systems in sync. The Mission of the Case Alumni Association is "To serve and advance the interests of the Case School of Engineering, the math and applied sciences of Case Western Reserve University, its alumni, and its students through a strategic focus on fund raising, institutional leadership, responsive services, public relations, and student programs."

Data obtained from Advance pertaining to university employees or students should always be verified against the appropriate system of record.

4 Advance Fundraising Software
Data in Advance

4.1 Information Contained in Advance

Advance is first and foremost the university's Alumni and Donor database. It contains all CWRU alumni as well as any entity (person or organization) who has given a charitable (tax-deductible) donation to the university. Advance contains the following:

- **Alumni**
  Anyone who has graduated from CWRU or who has obtained 12 or more credit hours.

- **Donors**
  Any Advance entity, person or organization, who has given a charitable donation to the university.

- **Prospects**
  A prospect is any potential donor whose linkages, giving ability and interests have been confirmed. Every prospect begins as an Entity in Advance and can be people or organizations.

- **Organizations**
  Foundations or Corporations who have a relationship with the university.

- **Parents of Undergraduate Students/Past Parent**
  Parents/Past Parents of Undergraduate Students are entered into Advance.

- **Friend**
  Anyone who is a 'friend' of CWRU will be entered into Advance.

- **Faculty/Staff**
  Advance is not the database of record for Faculty/Staff information. Faculty/staff who use Advance are entered into the system. A CWRU Faculty/Staff member will also be in Advance if they fall into any of the other categories (i.e. alumni, donor, parent, etc).

- **Student**
  Advance is not the database of record for student information. Student information will only be in Advance if the student is a donor, a beneficiary on an endowment such as a scholarship recipient, or is listed as the child of a parent.

4.2 Data Not Contained in Advance

Information on the following sets of people is not in Advance:

- All CWRU Faculty/Staff
- All Current CWRU Students

4.3 What is a Prospect?

A prospect is any potential donor whose linkages, giving ability and interests have been confirmed. Every prospect begins as an Entity in Advance. "Prospect" is not a record type such as "Alumni" or "Faculty/Staff" or "Friend". Once an entity is identified as a prospect, a Prospect Summary Record is created and a prospect manager is assigned. Users can identify a prospect by the blue Prospect Summary box on their Entity Overview.

- Not all alumni are automatically considered prospects
- Not all donors are automatically considered prospects
- Not all organizations are considered prospects

For more information on Prospects, reference Prospect Management Principles and Procedures.

5 Advance Fundraising Software Biographical Maintenance

Current, up-to-date information is the foundation of a reliable alumni development system. Therefore it is critical to inform Advancement Services if and when you become aware of new or updated information pertaining to an Advance entity.

5.1 What is Biographical Data?

The Advance database is comprised of live data that is ever changing. Some examples of Biographical Data include:

- **Contact Information**
  (i.e. nicknames, address, phone, email, personal or professional website)

- **Employment Information**
  (i.e. place of employment, job title, job status, address, phone, email)

- **Affiliation Information**
  (i.e. member of a country club, board of trustees member, etc.)

- **Awards & Honors**
  (i.e. Awards and honors administered by CWRU or other institutions)

- **Family Information**
  (i.e. biographical information on children and spouses, recent marriages or divorces, deceased information, etc.)

- **CWRU Committee Participation**
  (i.e. Joining or resigning from a CWRU committee)

- **Mail Control**
  (i.e. wish to be removed from all CWRU mailings, or just wish to be removed from solicitations)

- **Relationships with Other Entites**
  (i.e. friendships, working relationships, etc.)

- **Student or Volunteer Activities on Campus**
  (i.e. member of the Alumni Board or the Student Activities Board, etc.)

- **Special Notes**
  (i.e. desire to be an anonymous donor, desire to have their name displayed a certain way on mailings, etc.)

5.2 Maintaining Biographical Data in Advance

Advancement Services employs various techniques to keep our Advance data current, including but not limited to:

Development and Alumni Affairs Staff
Development and Alumni Affairs staff members are key players in helping keep our Advance data current, as they are the people most often in contact with our entities.

NCOA Updates & Returned Mail
National Change of Address updates occur quarterly, ensuring the database is updated with the newest address information. Advancement Services also receives and updates address information from returned mail pieces.

Alumni Updates
Alumni can submit biographical updates to our development and alumni affairs staff, or to Advancement Services directly. Advancement Services also distributes Alumni Surveys to gather biographical data.

Alumni Finder & Prospect Research
Our Prospect Research team utilizes various tools such as LexisNexis, Wealth Engine, Alumni Finder, LinkedIn, etc., to find updates on our Advance entities.

5.3 Submitting Biographical Updates

Biographical updates can be submitted the following ways:

- Email uris-data@case.edu. Include the entity's name and Advance entity ID, as well as the biographical update.

- Utilize the Entity Update form in the Advance database. This can be found on the left hand page tree on the Lookups screen.

- If your office receives returned mail from a mass mailing, **send mail pieces to:**

Advancement Services
BioEnterprise
11000 Cedar Avenue, Suite 300
Cleveland, OH 44106-7035
Attn: Bio Maintenance Team

CASE WESTERN RESERVE
UNIVERSITY · EST. 1826

6 Advance Fundraising Software Central Files

Central Files are confidential, fragile and irreplaceable. The files have legal, administrative and historical value to the university and should be handled with care. The Central Files unit of Advancement Services is responsible for maintaining all incoming and outgoing documents pertaining to individuals, corporations, foundations, estates and associations.

6.1 Submitting Information to Central Files

All incoming and outgoing correspondence between any individual or organization and development staff should be sent to Central Files. In order for our department to maintain accurate files and provide information that reflects the University's ongoing relationships, we need your cooperation and compliance. Send original files to the following address, and make sure to include the name and entity ID of the person or organization in question:

> Advancement Services
> BioEnterprise
> 11000 Cedar Avenue, Suite 300
> Cleveland, OH 44106-7035
> Attn: Central Files
> Email: uris-files@case.edu

6.2 What do I send to Central Files?

Use this list as a checklist when submitting central files:

♦ Include Central Files on distribution lists for all pertinent correspondence, including any e-mail correspondence to and from the University.

♦ Provide a complete and legible name of the person or organization that the document pertains to and always include entity ID#

♦ Send all correspondence directly to Central Files, so it can be evaluated in a timely manner. Remember, correspondence also includes any emails.

♦ Send only 8 ½ X 11 paper for filing; recopy any greeting and thank you cards containing personalized notes, post-it notes, and business cards.

♦ Reorganize thoughts and notes so they are understandable by anyone viewing the file.

♦ Send all related items together, intact, with as few staples as possible.

♦ Send copies of all officially accepted and signed or declined/rejected proposals, illustrations, etc.

♦ Send all proper gift backup on a regular basis, so an accurate audit trail exists.

6.3 Requesting Central Files

Advancement Services loans central files to staff members as needed. Prior to requesting a central file, check the entity's Advance record to see if, in fact, they have a central file. To do so, log into Advance, go to the Entity's record, click Prospect Tracking - Notes and search for a Central File type.

To Request: E-mail to uris-files@case.edu. Please include the entity ID and full name of the person or organization you are requesting.

Picking Up Files: Because central files are so valuable, special arrangements will be made for you to obtain the file if you need to view it in its entirety. If you only need a particular section of the file, Central Files will scan and e-mail it to you.

Returning Files: When returning the file to Advancement Services, ensure the entire address is located on the envelope and make sure the files are sent via the courier boxes on campus rather than through campus mail.

6.4 Notes on Central Files

DON'T take correspondence out of sequence. Documents are in date order and should remain as such.

DON'T staple routed or collective items excessively.

DON'T send your brief thoughts written on envelopes or other small pieces of paper that only you understand. Rewrite this to make it legible.

DON'T hold important backup in your area. Forward all of it as soon as you have completely processed it.

Questions? Email uris-files@case.edu

7 Advance Fundraising Software Access & Basic Navigation

7.1 Logging into Advance
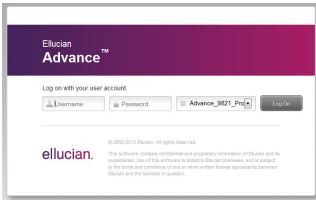
Once Advance training is complete, users can access Advance Production using the log in information below. Users must be either directly connected to the CWRU network or via VPN (Virtual Private Network).

♦ Advance Production URL: http://awa.case.edu

♦ Username: CWRU ID

♦ Password: CWRU Password

7.2 Navigation

The **Home Screen** displays various navigational icons:

Home Icon (brings users back Home)
Go To Icon (allows users to jump from screen to screen)
Binoculars Icon (query tool for lookups)
Eyeball Icon (recently viewed items)
Pie Chart Icon (canned reports)
Clipboard Icon (list management feature)
Help Bubble Icon (general Advance help)
Close All Icon (closes all open tabs)

Additionally, users will see a navigation pane on the left side of the Advance home screen. This is called the **Page Tree.**
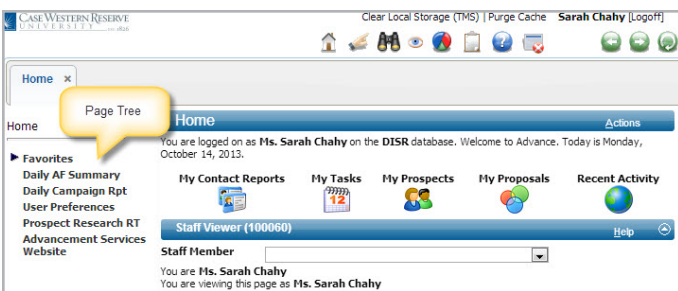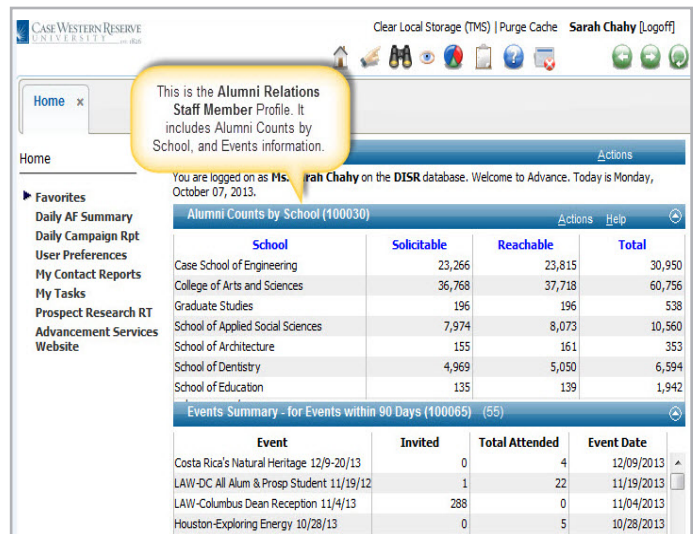

7.3 User Profiles

A user's Home Page view will depend on their position and responsibilities. Two profile examples are provided below: Development Officer User Profile (7.3a) and the Alumni Relations Staff User Profile (7.3b).
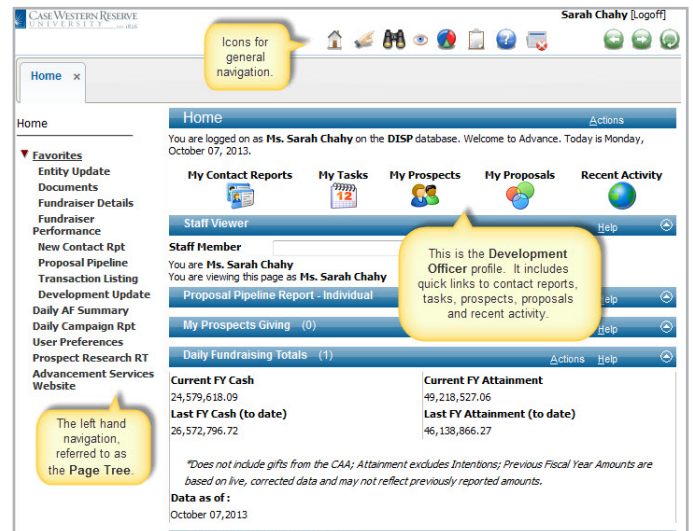
7.3a Development Officer User Profile

7.3b Alumni Relations Staff User Profile

8 Advance Fundraising Software Searching for an Entity

The most basic building block of the Advance database is the Entity. Every entity has a unique Entity ID. Users can search for entities either from 'Home' or from 'Lookups'.

8.1 Entity Lookup from the Home Screen

From the Home Screen, navigate to '**Quick Entity Lookup**'

If an Entity ID is known:
In the box titled '**ID or Name**', type in the entity ID and click '**Tab**' on your keyboard. A hyperlink with the entity's name and ID should appear. Click the hyperlink to navigate to the entity overview.

If an Entity ID is NOT known:
In the box titled '**ID or Name**', type in the name of the entity (this can be a person's last name such as Smith or an organization name such as Sherwin Williams). Click '**Tab**' on your keyboard or click the search icon. An Entity Lookup pop-up box will appear asking for more information. Add more detail if available and click '**Search**'. A hyperlink to that entity will now be visible. Click the link to navigate to the entity overview.

8.2 Entity Lookup from the Binoculars Icon

Users can also search for an entity from the Lookups screen. From the Home Screen, click the **Binoculars** icon. The same general principles apply as looking up an entity from the Home Screen, however the Lookups screen allows additional search criteria to be entered in order to enhance the search.

8.3 Last Viewed Information

The **Eyeball** icon, located on the **Navigation Bar**, points to last viewed information such as entities, contact reports, prospects, proposals, etc.

9 Advance Fundraising Software Entity Overview

9.1 Entity Overview

The result of an entity search produces the **Entity Overview** which displays summary information for an entity. If a user wishes to view more information they can select **'Biographic', 'Giving'** or **'Prospect Tracking'** from the Page Tree. Each user's view will differ based on their Advance access level. Access to each section is granted by completing various Advance training sessions.

9.2 Overview Definitions

Entity Overview
This section displays basic biographical information on the entity. Click 'Biographic' on the Page Tree to view additional biographical information for this entity. This view is available after completion of Introduction to Advance training.

Contact Information
This section displays basic contact information on the entity. Click 'Biographic' on the Page Tree to view additional contact information for this entity. This view is available after completion of Introduction to Advance training.

CWRU Giving Summary
This section displays the entity's total giving numbers to the university. Click 'Giving' on the Page Tree to drill down and reveal the 'One Line Simple Transaction List' to view a comprehensive listing of the entity's charitable transactions to CWRU. This view is available after completion of Giving training.

Prospect Summary
Once an entity is identified as a prospect, a Prospect Summary section is created. Click on the entity's hyperlinked name to arrive at the 'Prospect Overview'. The Prospect Overview displays items such as the prospect's proposals, development officer assignments, and tasks. Click 'Prospect Tracking' on the Page Tree to view Prospect Ratings, Stewardship information and Notes (scanned documentation). This view is available after completion of Prospecting & Proposals training.

Contact Report List
This section contains all contact reports that have been entered for this entity. This is also where users begin entering new contact reports. This view is available after completion of Introduction to Advance training.

CASE WESTERN RESERVE
UNIVERSITY EST. 1826

10 Advance Fundraising Software
Page Tree: Biographic Tab in Detail

10.1 Biographic Tab in Detail

To view additional biographical information on an entity, users can click **'Biographic'** on the **Page Tree.** This view is available after completion of Introduction to Advance training. Users are asked to submit biographical changes to the Biographical Maintenance team whenever new information is discovered about an entity (see: Updating Biographical Information).

10.2 Updating Biographical Information

Biographical updates can be submitted various ways:

♦ Email **uris-data@case.edu.** Include the entity's name, entity ID and bio change.

♦ Utilize the **Entity Update form** in the Advance database. This submission form is found on the Page Tree of the Lookups screen.

♦ If your office receives returned mail from a mass mailing, **send mail pieces to** Advancement Services, BioEnterprise, 11000 Cedar Avenue, Suite 300, LOC 7035.

10.3 Biographic Definitions

Activities: Any CWRU event the entity has been invited to or has attended.
Addresses: Address information
Affiliations: Affiliations on or off campus.
Awards/Honors: Awards/Honors
BioDetail: Data such as birth date, ethnicity, etc.
Children: Listing of children
Comments: Comments added by the Advancement Services department.
Comm Participation: CWRU committee participation.
Degrees: University-level degrees
eContact: Website or online profiles
Email: E-mail addresses
Employment: Employment info
Frmr Spouses: Former spouse info
Interests: Interests based on surveys.
Mail Control: Solicitation codes
Mailing Lists: Static mailing lists
Marital Info: Marital status, joint mailing name & joint giving information.
Names: Types of names (primary, nickname, recognition name, etc.)
Publications: Publications
Record Types: Examples include Alumni (AL), Corporation (CO), Foundation, (FO)
Relationships: Connections the entity has with other Advance entities.
Salutations: Salutations for letters & acknowledgments.
Sports: Sports the entity participated in while at CWRU.
Student Activities Activities the entity participated in while at CWRU.
Telephone: Telephone numbers
Vol Activities Volunteer activities the entity participated in while at CWRU.

11 Advance Fundraising Software Solicitation Codes

11.1 What are Solicitation Codes?

Solicitation Codes are a way for Advancement Services to code entities based on their mailing preferences. Users can find solicitation codes on the Entity Overview to the right of the entity ID. If nothing is listed here the code is considered 'Blank'. Solicitation codes can also be found by navigating to the **Page Tree**, clicking '**Biographic**' then '**Mail Control**'.

11.2 Reachable vs. Solicitable

Reachable should be used when pulling a list of event attendees or when creating a list to mail informational pieces. Reachable should not be used when soliciting money or for fundraising purposes. A list of reachable entities includes those coded blank, permanent non solicit, temporary not solicit and do not call from the calling center, and **excludes the following**:

♦ No Contact Requested

♦ Any Deceased Entity

Solicitable should be used when pulling a list of entities to solicit for donations. A list of solicitable entities includes those coded blank and do not call from the calling center, and **excludes the following**:

♦ No Contact Requested

♦ Any Deceased Entity

♦ Permanent Non Solicit

♦ Temporary Non Solicit

11.3 Managing Solicitation Codes in Advance

Advance constituents periodically contact the university asking to be removed from mailing/email lists. This type of information is a biographical update Please send all biographical updates to **uris-data@case.edu** along with the name of the entity, the entity ID, their specific request and the type of code to be added to their record.

11. 4 Solicitation Code Definitions

Blank (No visible code)
If there is no solicitation code on an entity's record in Advance the code is considered "Blank", meaning that entity has no restrictions on contact. They can be mailed to or solicited by anyone.

Do Not Call From Calling Center (Code: C)
Do Not Call is a solicitation code indicating that these entities should not be called by the Student Calling Center. However Development Officers may contact them. When running lists, these entities are included in both "Reachable" and "Solicitable" categories.

No Contact Requested (Code: N)
No Contact Requested is a solicitation code indicating these entities should never be contacted in any way (regular mail, email or phone). When running lists through clipboard these constituents are automatically removed so as not to receive mail pieces, phone calls or emails. Entities with this code are re-evaluated by Advancement Services only under specific request.

Permanent Non-Solicit (Code: S)
Permanent Non-Solicit is a solicitation code indicating these entities should not be solicited at any time by anyone (Development Officers or Student Calling Center). These entities can still be invited to events and are mailed informational mail pieces about CWRU, alumni magazines, etc., but should never be solicited for money. When running lists, these constituents are included in the "Reachable" category only.

Temporary Non-Solicit (Code: T)
Temporary Non-Solicit is a solicitation code indicating the entity should not be solicited at this time. These entities still receive mailings from the University, alumni invitations, etc. When running lists, these entities are included in the "Reachable" category only, but not the "Solicitable" category.

12 Advance Fundraising Software Contact Reports
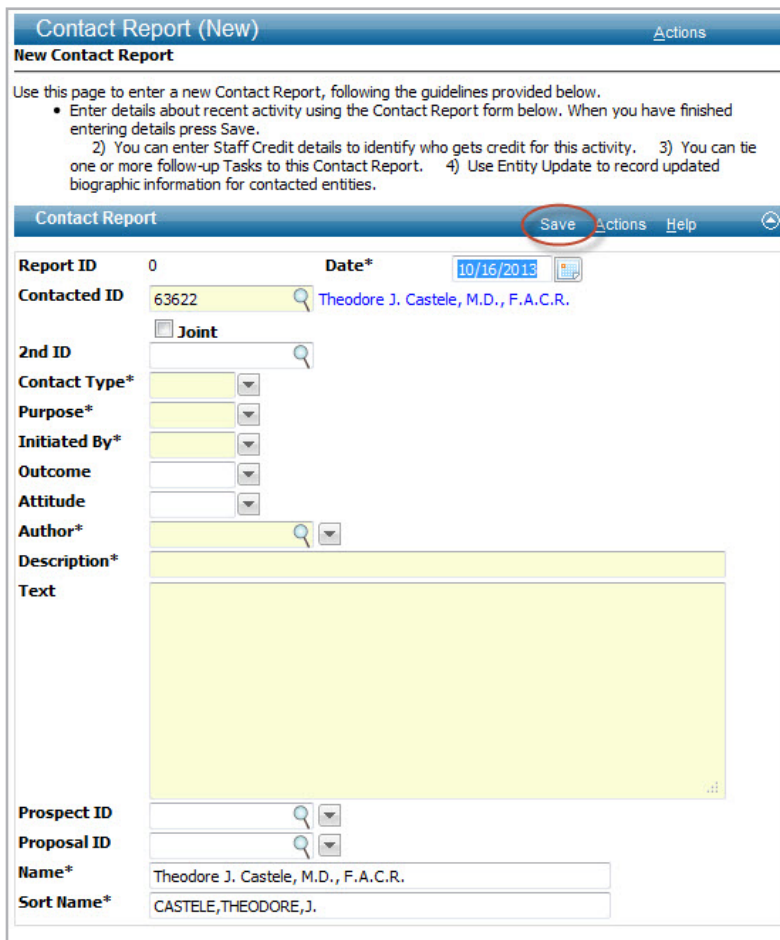
Contact Reports are records of the university's substantive interaction with an entity. The purpose of a contact report is to maintain institutional memory of contacts with entities. Contact Report entry is a vital component of the communication process.

12.1 How to Enter a Contact Report

1. Navigate to the Entity Overview.
2. Scroll down to '**Contact Report List for Entity**' and click '**New**'.
3. Enter the required fields (highlighted in yellow).
4. Click '**Save**' when complete.

12.2 Contact Report Definitions

Report ID: Contact report ID.

Date: The date the contact occurred.

Contacted ID: Entity with whom the contact occurred.

Joint: Clicking 'Joint' will link the contact report to the spouse's entity record.

2nd ID: Inserting a 2nd entity ID links the contact report to another entity's record (i.e. if the entity is associated with a family foundation the user would want to ensure the contact report is linked to the family foundation's entity ID by linking it).

Contact Type: The type of contact that occurred. During evaluations, Development Officers receive fundraising credit for the following three contact types: Visit Campus, Visit Home Office, Substantive Phone Call.

Purpose: The reason for the contact.

Initiated By: Implies who initiated contact.

Outcome: Outcome of the communication.

Attitude: General attitude of the entity.

Author: Name of the CWRU employee who made the contact. If a Department Assistant is entering contact reports on behalf of a Development Officer, the Development Officer's name should be listed as author to ensure they receive credit for the contact.

Description: Subject of the contact report.

Text: Details of the contact report.

Prospect ID: If the entity has an active prospect record, make sure to select the prospect ID. This will link the contact report to the prospect record.

Proposal ID: If the contact report pertains to a proposal, select the appropriate proposal ID. This links the contact report to the proposal record.

CASE WESTERN RESERVE UNIVERSITY · EST. 1826

12.3 Adding Staff Credit to Contact Reports

In addition to listing an **'Author'** on the initial contact report form, a user can also assign staff credit to additional staff members who may have been involved in the contact or visit. After the contact report has been entered and saved, follow the steps below to add additional staff credit:

1. Click **'Staff Credit'** on the Contact Report Page Tree.
2. Click **'New'** on the Contact Report Credit Form Header.
3. Fill out all required fields (highlighted below in yellow).
4. Click **'Save'** when complete.

12.4 Appointment Attempts

When entering contact reports for fundraising appointment attempts, the Development Officer should first code the Contact Report Type as **'Appointment Attempt'**.

If/when the visit occurs, the Development Officer should navigate back to the initial contact report and **change the Contact Type** from 'Appointment Attempt' to 'Visit - Campus' or 'Visit - Home Office'. Edit the content of the Contact Report to reflect the details of what was discussed during the actual visit. Once edited, re-save.

If the visit fails to occur, the Appointment Attempt(s) can remain in the contact report section of the entity overview.

12.5 Reporting on Contact Reports

My Contact Reports icon
To view Contact Reports authored by a user:

A user with the Development Officer profile will be able to pull a list of contact reports they have authored in the last 30 days by clicking on the **'My Contact Reports'** icon from the Home Screen, then selecting '**Actions**' and '**Export Form**' from the **'Authored Last 30 Days"** header.
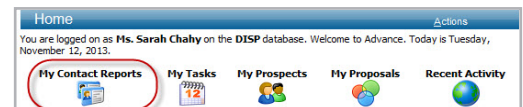
Contact Report Details Report
To view a listing of an entity's contact reports:

1. Navigate to the entity.
2. From the Entity Overview form header, select '**Actions**' then **'Reports'.**
4. Select **'Contact Report Details'** Report from the Context Sensitive report list.
5. Indicate the # of contact reports to display.
6. Click **'Run Report'.**
7. Click the printer icon to export to a PDF.

13 Advance Fundraising Software Event Code Maintenance

Event attendance can be a strong indicator of giving potential and can assist in predicting future prospects/donors. It is the responsibility of a designated staff member in each department to code entities who have been invited to or have attended a CWRU event held by their department. Users can code events manually (for smaller scale events) or in bulk (for larger scale events using the Event Loader feature in canned reports).

13.1 Manual Event Coding

1. Prior to the event, e-mail uris-data@case.edu with the name and date of your event. Keep a list of all event codes.
2. If it is a small scale event, navigate to each Entity ID.
3. Select '**Biographic**' from the Page Tree.
4. Click '**Activities**' then '**New**'.
5. Select the newly created Event Code from the drop down, enter all required fields and Click '**Save**'.

6. After the event occurs, navigate back to each Entity ID.
7. Select '**Biographic**' then '**Activities**'.
8. Change the '**Participation**' code to reflect the new attendance status, overwriting the previous code of 'Invited'.
9. Click '**Save**'.

13.2 Bulk Event Coding with Event Loader

1. Prior to the event, e-mail uris-data@case.edu with the name and date of your event. Keep a list of all event codes for future reference.
2. If it is a large scale event, create and save a clipboard of those who were invited.
3. Navigate to Canned Reports - '**Event Loader**'.
4. Enter the required information, select '**Add**' and click '**Run Report**'. This will add the specified event code as Invited to all entities on your clipboard list.

5. After the event occurs, create and save a new clipboard of those who attended the event.
6. Navigate to Canned Reports - '**Event Loader**'.
7. Enter the required information, this time selecting '**Attended**' and '**Update**'. Click '**Run Report**'. This will overwrite the previous code of 'Invited' and will now read 'Attended'.

13.3 Reporting on Event Attendance

The '**Event Attendees**' report found under '**Canned Reports**' will display a list of all entities coded as activity participants.

14 Advance Fundraising Software Biographical Lookup Templates

14.1 Lookup Templates

Lookups allow you to search for information localized in one particular area of the system. 'Bio-Entity Template' displays as the default when Lookups is selected from the Main Menu. **To perform a lookup:**

1. Choose a Template: select the appropriate template from the Bio-template options.

2. Select Results Format: allows the user to select the format of the result list. Most bio-templates will default to the 'Entity Lookup List' results format.

3. Select Output Type: specifies the output type for the results (i.e. users can select to send results to view/display the results, display a count of the results, print results, send results to a clipboard, etc).

4. Enter search criteria in 'Entity Lookup' and/or 'Address Lookup' sections.

5. Click **'Search'.**

Note on Advanced Lookups: To refine the search further, users can perform an 'Advanced Lookup' by selecting additional lookup criteria from the Page Tree. Users are advised to contact advancetrainer@case.edu when attempting Advanced Lookups.
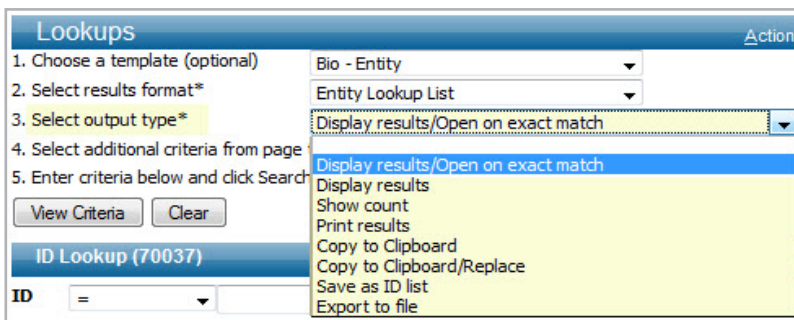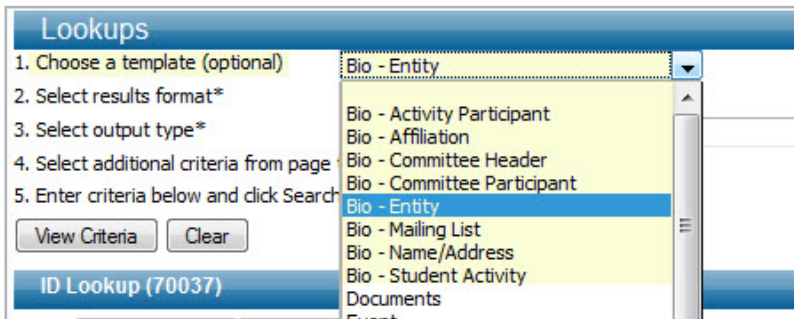
14.2 Lookup Template Definitions

Bio-Activity Participant
Also known as 'Events'. This template produces a list of entities who have been invited to or have attended a specific CWRU event. It is the responsibility of each hosting department to code those entities who have been invited to or have attended a departmental event.

Bio-Affiliation
This template produces a list of entities who are associated with a specific affiliation.

Bio-Committee Participant
This template produces a list of entities who are current or past members of CWRU committees. It is the responsibility of each department to keep committee lists current and accurate. As members join or leave committees, users must email uris-data@case.edu to notify Advancement Services of this change in status.

Bio-Entity
The Bio-Entity template is the default template and can be used to pull simple lookups of entities in a certain of a certain class year, school or preferred address location.

Bio-Mailing List
This template produces a list of entities who are on certain static mailing lists. It is the responsibility of each department to keep their static mailing lists current and accurate. If an entity should be added or removed from a mailing list, users must email uris-data@case.edu to notify Advancement Services of this change in status.

Bio-Name/Address
This template allows users to search on various naming conventions such as Salutation or Sort Name and also on specific address information.

Bio-Student Activity
This template produces a list of entities who are coded in Advance as having participated in certain Student Activities while on campus.

14 Advance Fundraising Software
Biographical Lookup Templates, continued

14.3 Bio-Entity Lookup Example

Scenario 1: A user would like a list of all active, reachable alumni who graduated from the School of Dentistry in 1984.

1. **Choose a Template:** Bio-Entity Template
2. **Selct Results Format:** Entity Lookup List
3. **Select Output Type:** Display Results
4. **Enter Search Criteria** (image below)
5. Click **'Search'**

Lookup Results are displayed below on the Lookup Results page. Click through the blue arrows to view results, open an entity record by clicking the square icon to the left of the entity's name, refine the search by clicking 'Refine Search', or click 'Actions' to perform any of the highlighted actions in yellow (image below).

14.4 Bio-Committee Lookup Example

Scenario 2: A user would like a list of those who are coded as active members of the Atlanta Alumni Chapter. The user would like to send their results directly to a clipboard.

1. **Choose a Template:** Bio-Committee Participant Template
2. **Selct Results Format:** Entity Lookup List
3. **Select Output Type:** Copy to Clipboard/Replace
4. **Enter Search Criteria** (image below)
5. Click **'Search'**

Lookup Results in this scenario are sent directly to the clipboard, as indicated in the Output Type 'Copy to Clipboard/Replace'. Selecting the 'Replace' option will ensure anything currently residing on the clipboard will be overwritten. Users can either run a Context Sensitive Report or Save their clipboard.

CASE WESTERN RESERVE
U N I V E R S I T Y · EST. 1826

15 Advance Fundraising Software Clipboard

Clipboard is the list management feature of the Advance database. With clipboard, lists of entities can be organized, combined, saved and maintained. Clipboard lists can remain private or can be shared with other Advance users. Entity ID's can also be imported from Excel into clipboard.

To access clipboard, click the **Clipboard Icon** on the **Navigation** tool bar or utilize the **F4 key** on your keyboard.

15.1 Various Ways to Create Clipboard Lists

There are multiple ways to create clipboards in Advance:

- Creating a quick clipboard by adding ID's one-by-one.

- Performing a Lookup and sending results to a clipboard.

- Running a Canned Report whose results default to a clipboard.

- Importing a list of Advance ID's from an external source (i.e. spreadsheet) into a clipboard.

15.2 Creating a Manual Clipboard

1. Navigate to the Clipboard icon.
2. Click '**New**'. An open box and blinking cursor will appear below the 'Entity Clipboard' form header.
3. Enter the entity ID of the person you wish to add to the clipboard. Users can also click the magnifying glass to search for the entity ID.
4. Once entered, click '**Tab**' on your keyboard. The name of the entity should appear.
5. Repeat steps 2-4 to create your list of entities manually
6. Users can then select '**Actions-Reports**' to run a Context Sensitive Report. Users can also opt to **Save** their list.

15.3 Creating a Clipboard from a Lookup

1. Navigate to Lookups (Binoculars).
2. Perform the Lookup by Choosing a Template, Selecting Results Format and Output Type, Entering Search Criteria and clicking '**Search**'.
3. From the Results List, click '**Actions**' and select one of the following options: Copy All or Copy All/Replace.
   Copy All *merges* your results list with whatever data currently resides on the clipboard. **Copy All/ Replace** *overwrites* whatever data currently resides on the clipboard.
4. Navigate to the Clipboard. Users can then select '**Actions-Reports**' to run a Context Sensitive Report. Users can also opt to **Save** their list.

15.4 Creating a Clipboard from a Canned Report

1. Select and run the appropriate Canned Report. Canned Reports ending in (C) default to clipboards.
2. A Report Viewer window will populate with a system-generated clipboard name.
3. Navigate to the clipboard icon.
4. Click '**Load List**'.
5. Search for the system generated clipboard name.
6. Open the clipboard list by clicking on the ellipsis icon.
7. Users can then select '**Actions - Reports**' to run a Context Sensitive Report or can opt to **Save** their list.

15 Advance Fundraising Software
Clipboard, continued

15.5 Importing ID's into Clipboard

Users can import ID's into Advance using the clipboard Import function. After import, users can either save their clipboard for later use or can select to run a report from the list of Context Sensitive Reports. Users should know the origin of their ID list and understand the search criteria used to create the list.

1. **Open the Excel** document containing the Advance ID's.
2. Open Notepad (To open Notepad: right click on your desktop, click **'New'** and select **'Text Document'**).
3. **Copy and paste** ID's into a Notepad.
4. Eliminate all spaces and words in the Notepad file.
5. Save your Notepad as a .txt file. (Image 15.5a)
6. Go to Advance, **Navigate to Clipboard.**
7. Click **'Import List'.**
8. Click **'Browse'**. Find the .txt file.
9. Click **'Import New'.** (Image 15.5b)
10. Users should now see their clipboard list populated.

Note: Upon import, Clipboard will eliminate ID's that are coded Deceased or Do Not Contact.
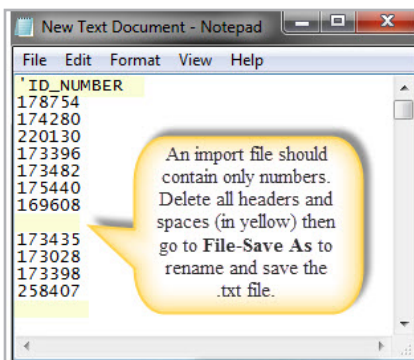
Image 15.5a Formatting Text File for Import
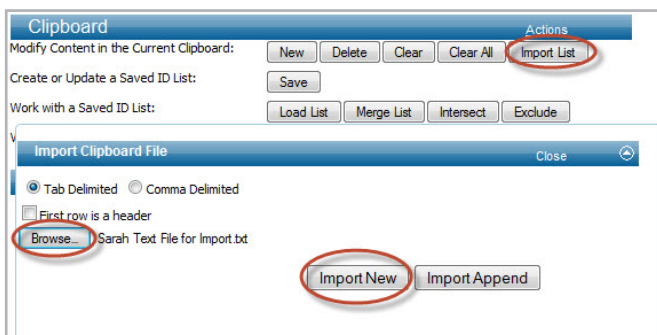
Image 15.5b Importing Text File in Clipboard

15.6 Merging Clipboard Lists

Users can merge saved clipboard lists together to create one new clipboard list. When lists are merged, all duplicate ID's will be consolidated into one record on the newly merged list.

1. Prepare and save your clipboards.
2. Open the first saved clipboard.
3. Click **'Merge List'.**
4. Open the second saved clipboard.
5. The newly merged list will contain a combination of the two saved lists and will eliminate any duplicate IDs.

15.7 Intersecting Clipboard Lists

Users can intersect saved clipboard lists together to create one new clipboard list. When a user intersects two lists using clipboard the new list will contain all elements of list 1 that were also on list 2 (i.e. list 1 contains Bob Smith and Sharon Rock. List 2 contains Bob Smith and Evan Blair. After intersecting list 1 and 2, the new list would only contain entity Bob Smith because he was on both lists). When the lists are intersected, all duplicate ID's will be consolidated into one record on the newly merged list.

1. Prepare and save your clipboards.
2. Open the first saved clipboard.
3. Click **'Intersect List'.**
4. Open the second saved clipboard.
5. The newly intersected list will contain a combination of the two saved lists and will eliminate any duplicate IDs.

15.8 Excluding Clipboard Lists

Users can use the exclude function on multiple clipboard lists to create one new clipboard list. When using the exclude function, Advance will exclude all similar entities from both clipboards, leaving the non-similar entities remaining (i.e. if clipboard 1 contains Mark, Sarah and Ted and clipboard 2 contains Sarah, Ted and Brian, an from clipboard 2 will leave Brian remaining).

15 Advance Fundraising Software
Clipboard, continued

15.9 Static Data vs. Dynamic Data

Advance is comprised of both static and dynamic data. **Static data** is data that does not change. **Dynamic data** is data that has the possibility of changing, such as an entity's address, employment information, e-mail address or giving totals to CWRU. We can expect an entity's record to change periodically as biographical changes are submitted, new gifts are recorded, solicitation codes change, and contact reports and proposals are entered.

Due to dynamic data in the system, Advancement Services strongly advises against **keeping shadow databases** and old Excel spreadsheets. Instead, the best practice is to pull data directly from Advance, the database of record, whenever possible.

15.10 When to Save a Clipboard

This brings us to the concept of saving clipboards in Advance. **Clipboards are static lists** that are usually saved as quick, temporary lists to load event or appeal codes, submit a mass email request or run a context-sensitive report. Once codes are loaded, email requests are submitted and reports are run, there should be little reason to keep a saved clipboard.

For example, let's say a user is hosting an event and pulls from Advance a list of active, reachable School of Medicine alumni who have preferred addresses in Texas. In the next week our Biographical Maintenance team discovers that five alumni on the saved clipboard list move from Texas to California. They update this new address information in Advance. If the saved clipboard list is re-run, be aware that those five alumni will still appear on the clipboard even though they no longer have a preferred address in Texas. This is because the clipboard was created with the original search criteria in mind and is a static list.

Bottom line? Re-run your search criteria in Advance as often as possible and avoid saving permanent clipboards.

15.11 Clipboard Deletion Policy

All clipboards default to 'Temporary'. To make a clipboard 'Permanent', users must uncheck the 'Temporary' box.

Clipboards coded **'Temporary'** will be automatically deleted 30 days after creation. Clipboards coded **'Permanent'** will be reviewed on a quarterly basis by the Technical Services team and the clipboard owner.

15.12 Saving a Clipboard

1. Once the Clipboard list is populated click **'Save'**.
2. On the Clipboard Lists form header, click **'New'**. (This step ensures you are not saving over another clipboard).

3. On the Saved ID list form, enter the name and description of your clipboard. All saved clipboards default to 'Temporary' unless otherwise indicated. To save as 'Permanent', input a Delete Date and uncheck the 'Temporary' box.
4. Click **'Save'** on the Clipboard Lists form header.
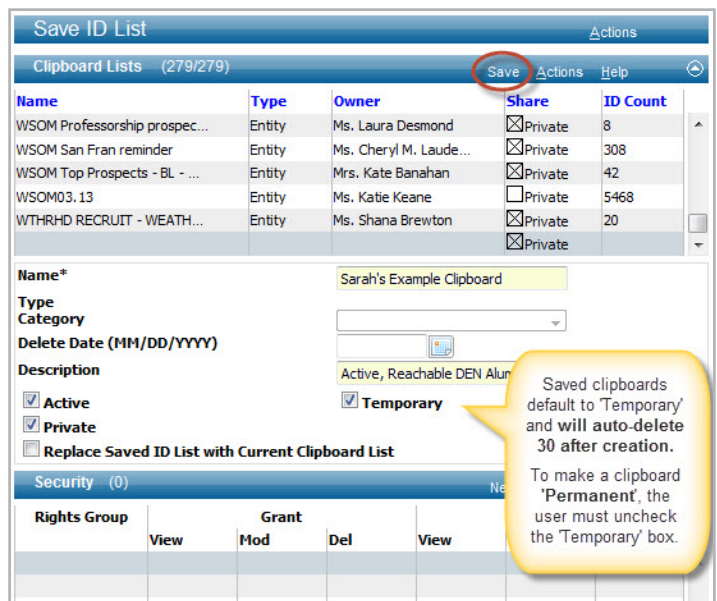
15.13 Finding a Saved Clipboard

1. Navigate to the Clipboard icon.
2. Click **'Load List'** to find a Saved Clipboard.
3. Sort the list of clipboards by clicking on **'Owner'.** Click the ellipsis icon to send the list of entities to the clipboard. Users can now run a Context Sensitive Report.
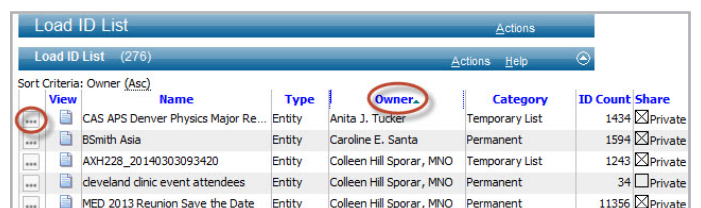
16 Advance Fundraising Software
Saving Search Criteria

Search criteria may be saved for future use. Saving search criteria is most helpful when executing detailed, Advanced lookups. The user must understand how Advance lookups operate. Contact advancetrainer@case.edu with questions on how to perform an Advanced Lookup.

16.1 Saving Search Criteria

1. Navigate to Lookups (Binoculars).
2. Select Template, Results Format and Output Type.
3. Begin entering search criteria.
4. Once your criteria is entered, click **'View Criteria'**. This displays all criteria that has been entered.
5. Click **'Save'** on the View Criteria form header.
6. Click **'New'** on the Saved Criteria List form header.
7. Enter the Name, Description and User Group (user's office).
8. Click **'Save'**.

16.2 Finding Saved Search Criteria

1. Navigate to Lookups (Binoculars).
2. Click **'Saved Criteria'** on the **Page Tree.**
3. Scroll through and find the Saved Criteria.
4. Click **'OK'**. The Saved Criteria will populate.
5. Users can either click **'Search'** to execute the same criteria or can opt to edit the saved criteria.
6. To edit the criteria, click on the blue **'Category'** hyperlink in question. Make the change within that category and click **'Search'** to execute.
7. Users can re-save the newly edited criteria or can opt to leave it saved as-is.

17 Advance Fundraising Software
Advance Lookups & Expert Mode

With Advanced Lookups users may enter any combination of information using the different lookup forms. They can also enter multiple values or ranges within a single criteria field by creating a Criteria List. Results will be displayed in the format selected from the results drop-down list. (e.g., Entity Lookup List, Giving Transaction Lookup List, etc.). Users should contact advancetrainer@case.edu prior to executing an Advanced Lookup due to the complex nature of the potential lookup.

17.1 Advanced Lookups

Advanced Lookups allow you to search across Advance subsystems, i.e., Biographic, Gift, Prospect, etc. A query is built by entering criteria into data fields for each parameter on which to search. The final query can have as much, or as little, information as required to provide the desired results.

To perform an Advanced Lookup:

1. From the Home page, click **'Lookups'.**

2. When the Lookups page displays, select an output type.

3. Enter your search parameters by selecting the appropriate forms from the Lookups Page Tree and entering appropriate data in the search fields.

4. To enter a list of values in a criteria field, click the lookup operator from the drop-down list. On most lookup forms, the operator defaults to "=," but you can modify it to select a different operator (e.g., >, <, >=). Enter a value in the Value field. To switch into expert mode and add multiple values for each field, click 'Options' in the Page Tree and select 'Switch Mode'. Click "+" at the beginning of the parameter's row to add another value to your list. Repeat as necessary. Remember, values will be joined by "OR" by default.

5. Continue to navigate to the form and additional attributes on the Page Tree to enter all of the criteria and build the lookup.

6. Click **'Search'.**

17.1 Expert Mode

Sometimes users may need to navigate to Expert Mode when performing an Advanced Lookup. This can be found by clicking **'Actions'** then **'Expert Mode'** from the Lookups form header.

Operators: On most lookup forms, the operator defaults to "=," but users can select a different operator (e.g., >, <, >=).

Operator	Definition
=	Data must be equal to the entered value e.g.) State = New York
>	Data must be greater than the entered value e.g.) Amount > 9,999
>=	Data must be greater than or equal to the entered value e.g.) Class Year >= 1996
<	Data must be less than the entered value e.g.) Date of Record < 1/1/1980
<=	Data must be less than or equal to the entered value e.g.) Evaluation Rating <= AE ($100,000)*
<>	Data not equal to the entered value e.g.) Search for gifts where Allocation Annual indicator <> to 'Annual.'
LIKE	Data compares partially (used with text or string) to the entered value e.g.) Allocation code LIKE A6G% e.g.) Last name LIKE 'Sm_th'

**CWRU Advancement Services
Gifts Processing Workflow**

1. Solicitation & Proposal Entry

- A proposal should be entered into Advance if the donation is being actively solicited by a Development Officer. See: Proposals.

2. Obtain Donation

- Donations can be sent directly to the Soliciting Development Officer or to:
  Advancement Services
  Gifts Processing
  11000 Cedar Ave, Suite 300
  Cleveland OH 44106-7035

3. Complete Donation Checklist & Submit

- This form can be found on the Advancement Services Website and should be completed by the Soliciting Development Officer. Include all original gift/pledge backup (check, pledge form, envelope).

4. Donation Processed in Advance

- Once received by the Gifts Processing team, the charitable donation will be entered into Advance. The next morning the official tax receipt is sent by Advancement Services to the Legal Donor.

5. Send Additional Acknowledgment Letters

- Donations of $5K+ are acknowledged by Donor Relations Central. Additional acknowledgments can be sent according to the policy of the school/department receiving the donation.

Questions? advancetrainer@case.edu

CASE WESTERN RESERVE
UNIVERSITY EST. 1826

18 Advance Fundraising Software
Gift Delivery Policy

18.2 Submitting a Gift

All **checks and original paperwork pertaining to a charitable contribution must be delivered to Advancement Services** for processing. Do not deposit charitable donations through the cashier's office. Avoid holding checks; please send them to Gifts Processing the same day they are received. This information can be hand delivered or sent over via CWRU Courier (Cash must be hand-delivered. Never put cash or checks in Campus Mail):

> BioEnterprise
> 11000 Cedar Avenue, Suite 300
> Cleveland, OH 44106-7035
> Attn: Advancement Services Gifts Processing

When submitting a gift include donor's name, entity ID, address, DO's contact information, account number (verify valid account # with budget office), payment schedule if a pledge, all original paperwork that came with the gift, and the proposal number.

18.3 Official Tax Receipts

Gift Receipts are generated daily by the Department of Advancement Services for all outright gifts, matching gifts and pledge payments that are processed through Advance; gift receipts are not generated for the pledge itself. Receipts are generated the same day the transaction is processed during the nightly gift processing update. The forms are printed in the Advancement Services department before noon the following business day. The Student Calling Center generates pledge receipts for all pledges they receive.

Receipts will normally reflect the value of the contribution received. They will also indicate the name of the fund to which the gift was applied and applicable memorial, honorary, or behalf of information. In cases of gifts of securities, the name of stock, number of shares, and the value date will be added. Gift-in-kind acknowledgments are also issued, but do not reflect any valuation in accordance with IRS rules. Instead, a description of the item given is provided.

These receipts are an accurate reflection of how and when we processed a contribution and are acceptable for tax preparation purposes. Note that the IRS has stipulated that a donor must possess an official acknowledgment for any gift in order to claim a charitable tax deduction.

Receipts will be distributed to the legal donor, regardless of donation amount, for the following:

- All gifts of cash and checks
- All pledge payments of cash and checks
- All gifts and payments of securities
- All gifts and payments given via credit card
- All gifts and payments via gifts in kind
- Split annual fund gifts will receive one acknowledgment that details the split(s) to multiple schools.

Receipts will not be distributed for the following:

- Pledges
- Bequest gifts and payments
- Gifts/payments of annuities/trusts
- Will Commitments

Payroll Deduction or EFT or EZ Giving Tax Receipts:
Donors giving Payroll Deduct, EFT or EZ gifts will NOT receive a monthly receipt. Rather, at the end of the calendar year, a single acknowledgment totaling all gifts/payments for the calendar year will be produced and mailed.

Matching Gift Tax Receipts:
As of FY2013, Matching Gift Companies receive a Matching Gift tax receipt for each gift that has been submitted.

Receipts for Organizations:
Organizations (Corps., Fdns., Assocs.) will receive an official receipt for all non-annual fund gifts of cash and checks, pledge payments, securities and gifts in kind, regardless of amount.

Receipts for Combined AF and NonAF Gifts:
Donors who give both an annual fund and a non-annual fund gift on the same day (with the same date of record) will receive one official receipt detailing the total donation and the splits to various designations. The receipts will be mailed directly to individual donors (providing the split is not an annuity).

Corporate, Foundation or Association combined AF and Non-AF gift receipts will be mailed to the corporation, foundation, and/or association on a daily basis provided there is a contact person available for the mailing address. If no contact person is available, the acknowledgment will be sent to the Office of Corporate and Foundation Relations, or the appropriate school or college for mailing.

CASE WESTERN RESERVE
UNIVERSITY · EST. 1826

19 Advance Fundraising Software Methods of Giving

One of the primary functions of Advancement Services and the Advance database is to track the charitable contributions made to Case Western Reserve University. We adhere to the Donor Bill of Rights, created by the American Association of Fund Raising Counsel (AAFRC), Association for Healthcare Philanthropy (AHP), the Association of Fundraising Professionals (AFP), and the Council for Advancement and Support of Education (CASE). **The various methods of giving to CWRU are below.**

Cash or Check
The most standard method of giving to CWRU is via cash or check.

Online Giving
Donors can give online at giving.case.edu

Foreign Currency
Foreign currency, US dollars drawn on foreign banks, and foreign "dollars" may all be submitted and treated as gifts. The internal procedures vary depending on the nature of the item submitted for processing, but the result is the same. The donor will receive credit in US dollars for the amount the gift is valued at, based on current exchange rates, as of the day of receipt. CWRU incurs what can amount to substantial bank fees to process these gifts. Foreign currency/checks drawn on foreign banks are assessed a per item handling fee. US currency items drawn on foreign banks will be assessed fees also. For this reason we should discourage a donor from sending a gift that is not in US denomination and drawn on a US bank.

Payroll Deduction
CWRU Employees are eligible to make charitable contributions to CWRU via payroll deduction. These are post tax deductions. If they are interested, the employee should contact Gifts Processing to set up a recurring deduction. Deductions occur every month for a pre-determined static amount. The amount can be changed, and the deduction can be stopped at any time by contacting Gifts Processing.

Pledge
Annual Fund Pledges or Non-Annual Fund Pledges. In order to enter a pledge from an individual or an organization, there must be some document, either from the donor to the University or from the University to the donor, outlining the pledge agreement/schedule. (Pledges acquired by the Student Calling Center are exempt from this requirement).

EZ Giving (Bank Drafts)
A donor may elect to have Gifts Processing electronically debit their checking or savings account regardless of where they bank. These drafts are established for one time gifts as well as for indefinite periods and may be stopped when Gifts Processing receives a written request from the donor. CWRU calls the bank draft program EZ Giving. The donor completes an EZ Giving form and returns it to Gifts Processing. Once a month, Gifts Processing personnel will debit the donor's specified amount from the donor's account. Bank debits can be done on the first of the month and the 15th of the month.

Credit Cards
CWRU can process VISA, MasterCard, Discover Card, and American Express credit cards. Advancement Services must be provided with the name as it appears on the credit card, the name and address of the donor, the credit card number and expiration date, and an amount to process this type of gift. It is not necessary to be in possession of the credit card. Credit card information can be faxed (216-368-4619) or hand delivered to Advancement Services (BioEnterprise, 11000 Cedar Avenue, Suite 300). DO NOT email credit card information.

Wire Transfer
A donor may wish to initiate a wire transfer to facilitate a gift to CWRU. This can be expected for large sums of money and particularly at the end of the calendar and fiscal years. Wire transfers are handled by the Treasurer's Office. The office can be reached at (216) 368-4306. Advancement Services will be notified by the Treasurer's Office when wire transfers occur. The gift will be recorded into the system with proper evidence of the wire transfer.

Transferring Securities
When a donor indicates a desire to make a contribution in the form of a marketable security, the Treasurer's Office must be contacted. The preferred method of delivery of stock is by DTC. The Treasurer's Office will discuss specific DTC instructions with our donor's broker. Ideally, the donor should be directed to advise the broker of intent, and instruct her or him to call the Treasurer's Office for further details. In the meantime the "Gift of Securities Tracking System" form should be completed and forwarded by fax to Advancement Services and to the Treasurer's Office. When the security transaction is complete, the donor will receive a standard gift acknowledgment indicating the type and number of shares received and the value date.

20 Advance Fundraising Software
Gift Processing Definitions

Gift
A voluntary transfer of things of value from individuals, industry, foundations and other sources to the University for either unrestricted or restricted utilization in the operation of the University, for which the University has made no commitment of resources or services, other than the possible agreement to the designation of the use of the gift by the donor. Gifts usually take the form of cash, checks, securities, real property, or personal property. No one should make a gift to the University where he or she stands to receive private gain from the gift and the University should not accept such a gift or provide such assurances.

Grant Revenues
At the close of the fiscal year, all unpaid annual fund pledges that do not have a payment schedule date greater than June 30 will automatically be written off.

Contracts
Restricted payments received by the University from various entities, made in accordance with the terms of contracts entered into by the University to conduct specific programs. Also called Exchange Transaction, contracts provide quid pro quo to the funder. Such things as the fact that the University will not own the results of the research at the end of the project, the funder will receive goods or services from the University, or the funder controls the research done at the University are some indications that a contractual agreement exists. Contracts can not be entered into the gift system.

Expendable
Gifts, grants, and contracts, given or paid to the University, which are to be expended in support of various programs or projects.

Non-Expendable
Gifts or bequests, given to the University, to establish or increase Endowment Funds and to become non-expendable/non-lendable principal of the Endowment Funds.

Unrestricted gifts or bequests
Given to the University, wherein the donor has not specified how the gift or bequest is to be utilized.

Restricted gifts, grants or contacts
Given or paid to the University, wherein the donor or granting and contracting organization has specified that the gift, grant, or contract is to be used to support specific programs or projects.

Operating Funds
Money applied directly to meet regular, ongoing expenses incurred in the general operation of the University. Operating Funds may be designated to specific purposes or other times unrestricted as to use.

Capital Funds
Resources earmarked for (1) building construction, renovation or remodeling; (2) equipment; or (3) books and other non-disposable items.

Endowment Funds
Endowment Funds are monies to be kept intact and invested; a portion of the earnings from which are applied to purposes designated at the outset by the donor. The proportion of earnings applied in this manner and the proportion reinvested for growth of principal are determined by the Board of Trustees.

Quasi Endowment Funds
The Board of Trustees, upon recommendation of Administration, can decide to retain and invest funds. There are two types of quasi endowments: unrestricted and restricted. Concerning the unrestricted, the Board has the right to decide at any time to expend the principal of such funds and to designate how the income is to be spent. As to the restricted, while the Board decides to establish an endowment account with the funds, neither the principal nor the interest may be used for any purpose other than that designated by the donor.

Matching Gifts
Gifts made by businesses that match the voluntary contributions of employees or other eligible participants.

Pledges
Pledges are legally enforceable promises to give. The donor specifies that he or she will give a specific amount to a specific purpose sometime in the future.

21 Advance Fundraising Software Gift Acceptance & Disposition

CATEGORY 1 — Tangible Personal Property

A. CRITERIA FOR ACCEPTANCE

The University will consider gifts of tangible personal property, including but not limited to works of art, manuscripts, literary works, boats, motor vehicles, and computer hardware, only after a thorough review indicates that the property is:

(1) readily marketable; or

(2) needed by the University for use in a manner which is related to one of the purposes for which tax exempt status of the University was granted; that is, for education, health care, research, or a combination thereof.

B. APPROVAL/ACCEPTANCE PROCESS

(1) The development officer or other appropriate departmental official will prepare a written summary of the gift proposal and submit that summary to the Advancement Services Gifts Processing unit. At a minimum the summary shall include the following information:

(a) description of asset;

(b) the purpose of the gift (e.g., to fund an endowed chair, a deferred gift, an unrestricted gift) and the department(s), programs(s), or endowment(s) to benefit from the gift;

(c) an estimate or appraisal of the gift's fair market value and marketability;

(d) any potential University use and, if so, written review by the department to benefit from the asset; and

(e) any special arrangements requested by the donor concerning disposition (e.g., price considerations, time durations prior to disposition, potential buyers, etc.).

(2) The Assistant Director, Donor Records will review the material presented by the development officer or other appropriate departmental official and make a determination as of whether to accept or reject the proposed gift (or, if necessary, to postpone a decision pending the receipt of additional information). If there is a question regarding the gift acceptance, the final determination will be made by the Vice President for Development. The development officer or other appropriate departmental official shall communicate the University's decision to the donor in writing.

(3) If a proposed gift of tangible personal property is approved, Advancement Services will produce an acknowledgment or receipt of the gift on behalf of the University. The University will not appraise or assign a value to the gift property. It is the donor's responsibility to establish a value for the gift and to provide, at the donor's expense, a qualified appraisal required by the IRS in the case of gifts of tangible personal property valued in excess of $5,000.

(4) The gift will be completed by the execution and delivery of a deed of gift or other appropriate conveyance acceptable to the University, and the delivery of the property, as applicable. The costs associated with the conveyance and delivery of the gift will be paid by the donor. In addition, the filing of Form 8283 by the donor is required by the IRS for gifts of tangible personal property valued at more than $500. This form should be sent to the Office of Advancement Services for execution by the University.

CATEGORY 2 — Real Property

The Vice President for Development will consider gifts of real property, both improved and unimproved (e.g., detached single-family residences, condominiums, apartment buildings, rental property, commercial property, farms, acreage, etc.), including gifts subject to a retained life estate, only after a thorough review of the criteria for acceptance.

A. CRITERIA FOR ACCEPTANCE

(1) Market Value and Marketability. The Vice President for Development must receive a reasonably current appraisal of the fair market value of the property and interest in the property the University would receive if the proposed gift is approved. Development officers will inform the donor that, if the gift is completed, the IRS will require an appraisal made within sixty days of the date of gift. Development Officers must understand and communicate to donors that it is the University's policy to dispose of all gifts of real estate (other than property which the University wishes to retain) as expeditiously as possible. Thus, regardless of the value placed on the property by the donor's appraisal, the University will attempt to sell at a reasonable price in light of current market conditions, and the donor needs to be informed that any sale occurring within three years of the date of gift will be reported to the IRS on Form 8282.

(2) Potential Environmental Risks. All proposed gifts of real property, including gifts from estates, must be accompanied by a Phase I environmental audit performed at the donor's expense. The only permitted exception to this requirement is for residential property which has been used solely for residential purposes for a significant (at least twenty-year) period of time. In cases where this exception applies and no environmental audit is undertaken, the donor/executor must have an outside party complete an Environmental Checklist prepared by the Office of Real Estate and may be required to execute an environmental indemnity agreement. Even in cases where a Phase I audit is submitted, the Director of Real Estate may require that the donor sign an environmental indemnity agreement.

(3) Limitations and Encumbrances. The existence of any and all mortgages, deeds of trust, restrictions, reservations, easements, mechanic liens and other limitations of record must be disclosed. No gift of real estate will be accepted until all mortgages, deeds of trust, liens, and other encumbrances have been discharged, except in very unusual cases where the fair market value of the University's interest in the property net of all encumbrances is substantial.

(4) Carrying Costs. The existence and amount of any carrying costs, including but not limited to property owners' association dues, country club membership dues and transfer charges, taxes and insurance, must be disclosed.

(5) Title Information. A copy of any title information in the possession of the donor, such as the most recent survey of the property, a title insurance policy, and/or an attorney's title opinion, must be furnished.

B. APPROVAL/ACCEPTANCE PROCESS

(1) The Development Officer will prepare a written summary of the gift proposal and submit that summary to the Vice President for Development. At a minimum, the summary shall include the following information:

(a) description of real property;

(b) the purpose of the gift (e.g., to fund an endowed chair, a deferred gift, an unrestricted gift) and the department(s), programs(s), or endowment(s) to benefit from the gift;

(c) an appraisal of the property's and, if different, the University's interest in the property's fair market value and marketability;

(d) any potential for income and expenses, encumbrances, and carry cost prior to disposition;

(e) any environmental risks or problems revealed by audit or survey;

(f) any potential University use; and

(g) any special arrangements requested by the donor concerning disposition (e.g., price considerations, time durations prior to disposition, potential buyers, realtors or brokers with whom the donor would like the University to list the property, etc.).

(2) The Vice President for Development will review the material presented by the Development Officer and make a determination as of whether to accept or reject the proposed gift of real property (or, if necessary, to postpone a decision pending the receipt of additional information.) The final determination of the Vice President for Development shall be communicated to the development officer by the Office of the Vice President for Development, and the development officer shall communicate the University's decision to the donor in writing, including any conditions imposed by the Vice President for Development prior to acceptance.

(3) If a proposed gift of real property is approved by the Vice President for Development, Advancement Services will produce an acknowledgment receipt of the gift on behalf of the University upon notice by the Office of Real Estate that the property has been properly recorded in the local Registry of Deeds. The University will not appraise or assign a value to the gift property. It is the donor's responsibility to establish a value for the gift and to provide, at the donor's expense, a qualified appraisal required by the IRS.

(4) The gift will be completed by the execution and delivery of a deed of gift or other appropriate conveyance. The costs associated with the conveyance and delivery of the gift, including but not limited to recording fees and, if deemed necessary by the Director of Real Estate, a current survey, title insurance and/or an attorney's title opinion, will be either paid by the donor or charged to the fund code of the department(s), program(s), or endowment(s) to benefit by the donation. In addition, the filing of Form 8283 by the donor is required by the IRS for gifts of real property. This form should be sent to Advancement Services for execution by the University.

CATEGORY 4 — Other Assets

A. CRITERIA FOR ACCEPTANCE

The Vice President for Development will consider gifts of other assets, including but not limited to promissory notes, assignment of promissory notes, partnership interests, and restricted or non-publicly traded securities, only after a thorough review of the criteria set forth below.

(1) Market Value and Marketability. The Vice President for Development must receive reasonably current appraisal of the fair market value of the property and interest in the property the University would receive if the proposed gift is approved. Development officers will inform the donor that, if the gift is completed, the IRS will require an appraisal made within sixty days of the date of gift. The appraisal and other information must indicate clearly and convincingly that there is in fact a market for the asset under consideration and that the asset can be sold within a reasonable period of time.

(2) Limitations and Encumbrances. The existence of any and all mortgages, deeds of trust, restrictions, reservations, easements, mechanic liens and other limitations of record must be disclosed. No gift of an interest in real estate will be accepted until all mortgages, deeds of trust, liens and other encumbrances have been discharged, except in very unusual cases where the fair market value of the University's interest in the property net of all encumbrances is substantial or where a separate agreement to pay any such encumbrances which might be charged to the University has been executed by a financially responsible party.

(3) Carrying Costs. The existence and amount of any carrying costs, including but not limited to property owners' association dues, country club member-ship dues and transfer charges, taxes and insurance, must be disclosed.

(4) Title Information. A copy of any title information in the possession of the donor, such as the most recent survey of the property, a title insurance policy, and/or an attorney's title opinion, must be furnished.

B. APPROVAL/ACCEPTANCE PROCESS

(1) The development officer will prepare a written summary of the gift proposal and submit that summary to the Vice President for Development. At a minimum, the summary shall include the following information:

(a) description of the asset;

(b) the purpose of the gift (e.g., to fund an endowed chair, a deferred gift, an unrestricted gift) and the department(s), programs(s), or endowment(s) to benefit from the gift;

(c) an estimate or appraisal of the asset's fair market value and marketability;

(d) potential for income and expenses, encumbrances, and carry costs prior to disposition;

(e) any environmental risks or problems revealed by audit or survey;

(f) credit history or financial statement of financially responsible party, if applicable;

(g) any special arrangements requested by the donor concerning disposition (e.g., price considerations, time durations prior to disposition, potential buyers, realtors or brokers with whom the donor would like the University to list the property, etc.).

(2) The Vice President for Development will review the material presented by the development officer and make a determination as of whether to accept or reject the proposed gift (or, if necessary, to postpone a decision pending the receipt of additional information). The final determination of the Vice President for Development shall be communicated to the development officer. The development officer shall communicate the University's decision to the donor in writing, including any conditions imposed by the Vice President for Development prior to acceptance.

(3) If a proposed gift of an asset in this Category 4 is approved by the Vice President for Development, Advancement Services will prepare an acknowledgment/ receipt of the gift on behalf of the University. The University will not appraise or assign a value to the gift property. It is the donor's responsibility to establish a value for the gift and to provide, at the donor's expense, a qualified appraisal required by the IRS in the case of assets valued in excess of $5,000 ($10,000 for non-publicly traded stock).

(4) The gift will be completed by the execution and delivery of a deed of gift or other appropriate conveyance, and the delivery of the property, as applicable. The costs associated with the conveyance and delivery of the gift will be paid by the donor. In addition, the filing of Form 8283 by the donor is required by the IRS for gifts of assets valued at more than $500. This form should be sent to the Office of Advancement Services for execution by the University.

CATEGORY 3 — Life Insurance

A. CRITERIA FOR ACCEPTANCE

The University will automatically accept, without the necessity of review and approval by the Vice President for Development, gifts of whole life insurance policies which meet the following three criteria:

(1) The policy is a whole life insurance policy which is either paid-up or, if not paid-up as of the date of gift requires charitable contributions from the donor to the University in the amount of any premiums, including unscheduled premiums, which may become due.

(2) CWRU is designated as the owner and the beneficiary of the policy.(While the policy will identify the University as the beneficiary, the development officer should work with the donor to clarify the purpose of the gift — whether it be for endowment (existing or new), specific program or department, or unrestricted use — by attachment of a memorandum, letter, or endowment agreement to the policy.)

(3) If intended for endowment purposes, the face value of the policy meets the minimum funding standards for endowments established by the Board of Trustees.

B. APPROVAL/ACCEPTANCE

(1) The development officer will prepare a written summary of any proposed gift of a life insurance policy which fails to meet all of the criteria specified in Section A above and submit that summary through the Director of Planned Giving. At a minimum, the summary shall include the following information:

 (a) description of the type of life insurance policy, face value, premium payment schedule, interest rate, age of insured(s), and other relevant policy information; and

(b) the purpose of the gift (e.g., to fund an endowed chair, a deferred gift, an unrestricted gift) and the department(s), program(s), or endowment(s) to benefit from the gift.

(2) The Vice President for Development will review the material presented by the development officer and make a determination as to whether to accept or reject the proposed gift or, if necessary, to impose any terms (e.g., the donor's pledge to make contributions to cover premiums, a revision in the payment schedule) as a condition of approval. The final determination of the Vice President for Development shall be communicated to the development officer by the Director of Planned Giving, and the development officer shall communicate the University's decision to the donor in writing, including any conditions imposed by the Vice President for Development prior to acceptance.

(3) If a proposed gift of a life insurance policy is approved by the Vice President for Development, Advancement Services will prepare an acknowledgment/receipt of the gift on behalf of the University.

(4) The gift will be completed upon the execution and delivery of the life insurance policy to the University or an assignment of the policy in the event that the University is not the original owner of the policy.

C. ADMINISTRATION

The Office of Planned Giving shall administer all gifts of life insurance policies and shall maintain records of all donor policies, contribution schedules, donor designations of death benefits, and the like. This office also shall be responsible for pledge reminders and monitoring payments of premiums.

The Office of Planned Giving shall be responsible for confirming the existence and cash value of all policies in force at least annually and for collecting and distributing death benefits. Upon receipt of death benefits, the Office of Planned Giving shall provide notice to the department(s), program(s), or endowment(s) to benefit from the gift.

22 Advance Fundraising Software Gift Processing Policies

Affecting Gifts & Pledges

The following is a summary of policies, or standards, which affect either the gift entry process or the status of a gift:

Matching Gifts

1.In order to record a matching claim, three criteria must be met. First, there must be a "Business Affiliation" record (Employment record) between the donor and the matching entity. Second, the matching entity must have a 'Y' indicated in the 'Matching' field on Part 1 of the Organization Information screen indicating that it has an active matching program. Third, the donor must have a corresponding 'Y' on their business affiliation record. This is automatically done when the relationship is established, but can be overridden.

2.The Matching Gifts data entry position within the Gifts Processing unit is responsible for ensuring that all organization matching program information is current and properly maintained. Only this person should perform any modifications to this information. In the absence of this position, recommended changes should be brought to the attention of the Associate Director of Advancement Services or to the Manager of Biographical Maintenance.

Additionally, the Matching Gifts data entry position will, as necessary, create and maintain a 'Matching' address record for organizations. This record will be used to identify where to send matching gift applications and provide other pertinent information.

Matching claims will be automatically created based on the ratio and minimum and maximum amounts contained in the Organization Information record. This amount can be overridden during gift entry if it is a known fact that there will be an exception made. These exceptions should be noted and brought to the Matching Gift data entry position's attention. At the time the claim is created the presence, or lack of, a matching gift application will be noted. If no form was submitted, a reminder to send a form will be printed in the gift acknowledgment letter. At the end of the fiscal year, if no form has been received, the claim will be deleted.

Pledges

Pledges are only to be recorded when full payment is expected at some point in the future. There must be some document, either from the donor to the University or from the University to the donor, outlining the pledge agreement.

NOTE: Pledges made as a result of calling by the official Student Calling Center or special volunteer telethons are exempted from the requirement that there be a document signed by the donor or the university, since the pledges are secured from a telephone conversation. Pledges will be recorded from the forms filled out by the student callers or the volunteer callers.

Financial Accounting Standards Board statement FASB116 requires non-profit organizations to regard pledges in much the same manner as accounts receivable. As such we must have a very good understanding of the donor's payment intentions/schedule so that future anticipated payments can be value-dated. Furthermore there must be proof that pledges are in good standing. Pledges not in good standing, for which there is no amplifying correspondence with the donor outlining revised payment terms, are subject to direct investigation by our auditors. If full payment is received at the same time a pledge" is made, no pledge record should be created. FASB also requires that pledges be entered in the same year that they are received.

Pledges can be over-paid. In other words, if the final payment against a pledge will cause the sum of all payments to exceed the original pledged amount, the system will accept the payment without requiring a modification to the pledged amount. It is the policy of Advancement Services to increase the pledge to reflect the total sum of the payments. This situation will most likely occur when the payment is made by a gift of securities. If, however, the donor specifically indicates they are increasing their pledge, the pledge record must be modified and, if necessary, rescheduled.

Pledges of a donor's assets should be documented, committing to a specific dollar amount that will be paid according to a fixed time schedule. **A pledge can be made only by the entity exercising legal control over the assets to be given. Therefore, an individual cannot make a pledge that includes anticipated matching contributions from an employer or some other source. Nor can in individual commit funds that may be applied for through a donor-advised fund or community foundation. An enforceable, countable pledge includes only those funds that will be given by that legal entity.**

Pledge Reminders

Pledge reminders will automatically be generated within 45 days of the date of the pledge (for Annual Fund pledges) and/or in accordance with the payment schedule provided by the donor. This will occur as long as there is an outstanding balance on the pledge, so donors with payments due will receive a pledge reminder each month until the outstanding pledge payment schedule is paid.

If no payment has been made on Annual Fund pledges by the end of the fiscal year, **Annual Fund pledges will be "washed"** or canceled provided the pledge does not have a payment schedule that extends past the first day of the next fiscal year. For example, if a pledge is secured on May 1, 2008, and the donor does not specify a particular payment schedule, Advancement Services will enter the pledge and set the first payment due as of July 1, 2008. Since there is a payment schedule that is greater than June 30 (the end of the fiscal year), this pledge will not programmatically be "washed" or canceled at the end of the fiscal year.

Non-annual fund pledges are not washed systematically, however non-annual fund pledges are audited annually. The Advancement Services Office notifies the appropriate development officer on non-annual pledges that have late or no payments prior to washing these pledges. The development officer is asked to contact the donor and see whether a new payment schedule can be set up. If so, the change in payment schedules will be made.

The Office of Advancement Services has a policy to review unpaid pledges throughout the year. Annual Fund pledges that are unpaid are washed/canceled programmatically twice per year; once at the end of the fiscal year during the June 30 close procedures, and again at the end of December.

Non-Annual Fund pledges are reviewed twice per year. In January/February each year, the list of High Risk Pledges, and a report of all non-annual pledges of $100,000 or more with past due pledge schedules, is sent with a letter to all senior development officers at the schools/units with a request to review the pledges and let us know if there, after conferring with the donors, there are changes that should be made to payment schedules, amounts, or if the donor has decided not to fulfill the pledge. In May of each year, the letter and reports are sent again to the senior development officers so any relevant changes to pledges can be made before the end of the fiscal year.

As part of the annual internal audit process in May/June each year, Advancement Services (the Assistant Director Donor Records), the Data Integrity Manager, and a representative from the Controller's Office meet to discuss past due pledges. The group researches any pledges that are past due; speaks with development officers for advice on past due schedules; and makes decisions about the collectability of pledges. If the pledge is deemed unable to be collected, the pledge is washed (written off) in the Development system. A report of the outcome of this pledge analysis is provided to the Office of Internal Audit.

If a donor ceases payment on his/her pledge, the High Risk Pledge Report and the Pledges with Unpaid Payment Schedules Report will alert the Development Officer to the problem. The Development Officer will contact the donor to resolve the problem. The donor may request that the payment schedule be modified. The donor may also request reduction of the pledge, or he/she may ask that the pledge be canceled. The Development Officer will notify the Office of Gifts Processing of the donor's wishes. The Office of Gifts Processing makes the appropriate adjustments to the gifts system.

At all times throughout the fiscal year, if a donor advises us that he/she wants to **change their pledge schedule, or is unable to fulfill their pledge,** the necessary steps are taken to cancel the pledge, or adjust the schedules as requested. This process is donor driven, and we comply with donor wishes/intent immediately.

22 Advance Fundraising Software
Gifts Processing Policies, continued

22.1 Gift Acceptance Policy

Case Western Reserve University will accept charitable gift and grant income defined as follows:

Gift: A voluntary transfer of things of value from individuals, industry, foundations, and other sources to the University for either unrestricted or restricted utilization in the operation of the University, for which the University has made no commitment of resources or services, other than the possible agreement to the designation of the use of the gift by the donor. Gifts usually take the form of cash, checks, securities, real property, or personal property.

Grant: Revenues received by the University from individuals, industry, foundations, and other sources for the support of University programs and projects. Grants normally fall into two categories:

(1) Non-Specific Grants are those received by the University in support of restricted programs or projects, but which do not result from a specific grant proposal, no specific resources are committed, and no accounting of the use of funds is required.

(2)Specific Grants are those received by the University in accordance with the terms of approved grant proposals for specific programs and projects. Commitments of University resources or services are made as a condition of the grant, and an accounting of the use of the funds may be required by the grantor.

Funding for research is considered a grant where the funding organization does not receive a license or option to license inventions resulting from the research or otherwise acquire University deliverables, apart from a report of the research results.

The University will include in its gift and grant attainment grant income from private, non-government sources.

22.2 Exchange Transactions

Exchange transaction revenue will be excluded. **Exchange transactions are defined as restricted payments received by the University from various contractors, made in accordance with the terms of contracts entered into by the University to conduct specific programs.** Exchange transactions include arrangements whereby research sponsors acquire an interest in the deliverables of the research program.

Grants and exchange transactions are further defined in the Case Management Reporting Standards, Standards for Annual Giving and Campaigns in Educational Fund Raising. "The difference between a private grant and a contract depends on the intention of the awarding agency and the legal obligation incurred by the institution in accepting the award. A grant, like a gift, is donative in nature; it is bestowed voluntarily and without expectation of any tangible compensation. A contract carries an explicit quid pro quo relationship between the source and the institution. (1) (See also attached NACUBO Guide to Distinguishing Between Exchange Transactions and Contributions for more detailed definition.)

An increasing number of charitable gifts and grants are contractual in form. Some donors enter into a contractual agreement with the University when a gift or grant is made in order to outline certain requirements of the gift or grant such as publicity or donor recognition. The presence of a contractual agreement should not be used as the only determining factor when classifying a transaction as either an exchange transaction or a contribution. If funding is donative in nature; bestowed voluntarily and without expectation of any tangible compensation, it will be included in gift and grant attainment totals.

In the event that the appropriate classification for revenue is in question, the President, with the advice of the University Attorney, will make the final determination regarding the transaction.

(*1) Case Management Reporting Standards, Standards for Annual Giving and Campaigns in Educational Fund Raising, Council for Advancement and Support of Education, pages 4-5, February, 1996.*

22 Advance Fundraising Software
Gift Processing Policies, continued

22.3 NACUBO Guide to Distinguishing Between Exchange Transactions and Contributions

Factors Used to Clarify Revenue as a Contribution

The following factors identify "typical" classifications for Contribution transactions. No one single factor will provide sufficient information to determine the appropriate classification for the transaction.

♦ Initiative for the project may come from the organization receiving the funds.

♦ Proprietary results belong entirely to recipient organization after the work is completed.

♦ Results of the work have no commercial value for the resource provider.

♦ Recipient organization defines performance objectives such as a detailed report and a timetable for meeting objectives.

♦ Time and place for delivery of results are not specified.

♦ Resource provider does not receive commensurate value in return for support.

♦ Recipient determines ownership of the products of research.

♦ Recipient holds unconditional right to receive the funds.

♦ Recipient retains control and ownership of any work completed after completion of the project.

♦ Funds are used to carry out an already existing program of the recipient organization.

♦ Recipient participates actively in determining how the funds will be spent.

Factors Used to Classify Revenue as an Exchange Transaction

The following factors identify "typical" classifications for Exchange Transactions. No one single factor will provide sufficient information to determine the appropriate classification for the transaction.

♦ Funds provide goods/services for a program of the resource provider.

♦ Initiative for the project may come from the organization providing the funds.

♦ Proprietary results belong to funding organization, in whole or in part, after the work is completed.

♦ Results of the work have a specific commercial value for the resource provider.

♦ Resource provider sponsors research and development activities and retains patents, copyrights, advance and exclusive knowledge of outcomes.

♦ Payment supports direct/immediate need of government organization that provides the funds.

♦ Benefits to the resource provider are primary and public benefits are secondary.

♦ Resource provider defines performance objectives such as a detailed report and a timetable for meeting objectives.

♦ Time and place for delivery of results are specified.

♦ Fulfills a service as prescribed by the resource provider.

♦ Recipient gives up the benefits of the research to the resource provider.

♦ Recipient pays economic/punitive penalties for failure to meet agreement.

Source: Case Management Reporting Standards, Standard for Annual Giving and Campaigns in Educational Fund Raising, Appendix D, Council for Advancement and Support of Education, February, 1996.

22.4 Second Party Gifts

The CASE/NACUBO Management Reporting Standards for Educational Institutions (1982) states on page 4: "In those cases where a contribution passes through several entities - such as from an individual to an organization to an institution, or from an organization to another organization to an institution - the last of the entities through which it passes before being received by the institution should be cited as its source."

Therefore, a gift to CWRU made by an organization on behalf of an individual or other donor will be credited to the entity distributing the gift to the University. Such gifts will include, but not be limited to, gifts from family foundations, community foundations, family or closely held corporations, and other donor directed gifts which are not personally given.

All such second party gifts may be entered as soft credit or "on behalf of" gifts under the individual records designated to receive gift credit by the second party. This ensures proper recognition and gift accounting. This is done only when specifically requested by an appropriate Development Officer.

22.5 Corporate Checks and Personal Checks

Under no circumstances should a corporate contribution be recorded on an individual's record. Not only does this apply to matching gifts, but any other corporate gift. Exceptions may be found, but they will be handled on a case-by-case basis.

Not only does this falsify information available in official IRS matters, but it negatively affects corporate fund-raising totals. Furthermore, the Management Reporting Standards specifically states that, "A check drawn from a business account should be credited to the CORPORATIONS AND BUSINESSES category...".

We recognize that, for some donors, there is slight difference between personal and business checking accounts, but we must abide by the above standard. We may lessen the concern and give intentioned credit to the donor by inserting the following on the comment line for the gift: On behalf of [Name of individual].

22.6 IRS Issues & Answers, 1/1/1994

Written Acknowledgment of Contributions of $250 or More

Effective in 1994, Omnibus Budget Reconciliation Act of 1993 (OBRA) adds Internal Revenue Code section 170(f)(8), which denies a charitable deduction for any contribution of $250 or more unless the donor obtains a contemporaneous written acknowledgment of the contribution from the charity. Canceled checks will no longer constitute sufficient documentation to support a charitable contribution.

♦ The written acknowledgment must include the following:

♦ The amount of cash contributed.

♦ A description -- but not the value -- of any non-cash property contributed.

♦ Whether the charity provided any goods or services to the donor in exchange for all or part of the cash or property contributed.

♦ A description and good faith estimate of the value of goods and services, if goods and services are provided.

A contemporaneous acknowledgment is one that is obtained on or before the earlier of:

♦ The date on which the taxpayer files a return for the taxable year in which the contribution is made; or

♦ The due date, including extensions, for filing such a return.

The new law also requires charities to provide written disclosures about the solicitation or receipt of quid pro quo contributions that exceed $75. A quid pro quo contribution is one in which the donor's payment is made partly as a contribution and partly as consideration for goods or services.

The disclosure must:

a) Inform the donor that the amount of the contribution that is deductible for federal income tax purposes is limited to the excess of the amount of any money and other property contributed by the donor, over the value of the goods or services provided by the charity; and

b) Provide the donor with a good faith estimate of the value of such goods or services.

22.6 IRS Issues & Answers, 1/1/1994, continued

The disclosure must be made when the contribution is solicited or when the contribution is received. A charity that fails to make the required disclosure is subject to a penalty of $10 for each contribution for which the required disclosure is not made. The total penalty imposed for a particular fund-raising event or a mailing shall not exceed $5,000.

An exception to the disclosure rules exists when a charity provides goods or services of de minimis value to a donor in connection with a contribution. This exception is discussed in more detail later.

The quid pro quo disclosure requirement is effective for contributions made on or after January 1, 1994.

Both the donor substantiation and donor acknowledgment provisions of OBRA require a good faith estimate of the fair market value of goods and services provided by a charity. Historically the burden has been on the donor to establish that the amount of a payment exceeds the value of goods and services received. OBRA shifts the burden of establishing fair value to the charity. Unfortunately, OBRA does not provide guidance on how charities are to arrive at the value of goods and services provided.

In a 1967 ruling, Revenue Ruling 67-246, the IRS explained that "[w]here the affair is reasonably comparable to events for which there are established charges for admission, such as theatrical or athletic performances, the established charges should be treated as fixing the fair market value of the admission or privilege." Thus the amount that would be paid by the donor for similar goods or services in a commercial setting should be used as a benchmark for disclosure purposes.

The requirement of a good faith estimate of value suggests that the process is as important as the result. Thus the manner in which the value of benefits is arrived at should be documented by the charity.

De Minimum Benefits

In 1990, the IRS published safe harbor guidelines that permitted charities to advise donors that contributions were fully deductible when only small items or other benefits of token value were provided to the donor (Revenue Procedure 90-12 and Revenue Procedure 92-49). These rules remain in effect after OBRA. For the de minimis benefit exception to apply, the payment must occur in the context of a fund-raising campaign in which the charity informs donors of how much of their payment is a deductible contribution. In addition, one of the following three requirements must be met:

1. The fair market value of all of the benefits received in connection with the payment must not exceed the lesser of 2 percent of the payment or $80. (2003 IRS adjustment)

2. a. The payment is $40 (for 2003), as adjusted for inflation, or more;

   b. The only benefits received in connection with the payment are token items (for example, bookmarks, calendars, key chains, mugs, posters, or t-shirts) that bear the organization's name or logo; and

   c. The cost as opposed to the fair market value of all of the benefits received by a donor must in the aggregate be within the limits established for "low-cost articles" by the Internal Revenue Code, also adjusted for inflation. For 2005, the token item payment amount is $41.50, and the low-cost article amount is $8.30.

3. a. The charity mails or otherwise distributes free, unordered items to donors. Under this exception, the item received by the donor must not have been distributed at the donor's request or with the express consent of the donor;

   b. Any items distributed are accompanied by a request for a charitable contribution and by a statement that the donor may retain the item whether or not a contribution is made; and

   c. The aggregate cost of the items distributed satisfies the low-cost articles limitations described in item 2(c).

Special rules also provide that newsletters or program guides will be treated as if they did not have a measurable fair market value or cost if the following criteria are satisfied:

♦ The publication is not a "commercial-quality publication" (in general commercial-quality publications include professional journals or publications that contain articles written for compensation or that accept advertising);

♦ The primary purpose of the publication is to inform members about the activities of the organization; and

♦ The publication is not available to nonmembers by paid subscription or through newsstand sales.

If the goods and services furnished by the charity are of de minimis value, the solicitation material or written acknowledgment should include the following statement: "Under Internal Revenue Service guidelines the estimated value of [the benefits received] is not substantial; therefore, the full amount of your payment is a deductible contribution."

22 Advance Fundraising Software
Gifts Processing Policies, continued

22.7 Joint Giving Policy

In order to remain consistent with the new acknowledgment policy that stipulates both spouses will be acknowledged for a gift or pledge, the Office of Gifts Processing will credit both spouses for a donation to the university.

If both spouses are alumni from the same school, each will receive 50% legal credit and 100% soft credit for the donation. However, if a donor has a pledge in the system, the pledge will be paid off with 100% legal credit to the donor making the pledge. The spouse will receive 100% soft credit for the payment.

If the spouses are alumni from different schools, the primary donor is credited with 100% legal credit and 100% soft credit. The spouse of the primary donor will be credited with 0% legal and 100% soft credit. The primary donor is the alum indicated on the backup or the alum from the designated school of receipt of the donation.

If both spouses are friends of the university, the primary donor will receive 100% legal credit and 100% soft credit for the donation. The spouse will receive 0% legal credit and 100% soft credit. The primary donor is the person who signed the check or who sent in the backup.

Donations to the Memorial and Honor Gifts program will not be split. However, both spouses will receive credit for the donation.

Any instruction from the donor on the designation of the gift always takes precedence over these policies.

22.8 Legal vs. Credit

Legal credit is given to the entity from whom a contribution is received. They could "legally" treat their gift as a charitable contribution. Soft credit is given to show affiliation with a gift. Soft credit donors cannot regard the gift as a charitable contribution. The Gifts System will create soft credit for every gift/payment equal to the primary legal gift/payment amount. This soft credit amount can be overridden to an amount less than the legal amount of the gift, but never in excess of the legal amount.

If there are associated donors for a gift, the soft amount will initially be set equal to the legal amount of the gift. As above, this amount can be overridden to an amount less than the legal amount, but not in excess of the legal amount.

In following the above, it is obvious that the sum of all soft amounts associated with a single gift can exceed the legal amount. This is acceptable. The system will not, however, permit the sum to be less than the legal amount.

The **example below** reflects Theodore Castele as the Primary donor (legal) while his spouse, Jean Castele, is considered the Joint donor.

23 Advance Fundraising Software Pledges

23.1 Pledge Entry

Only legally enforceable, unconditional intents to give will be entered as pledges in the system. In order to enter a pledge from an individual or an organization, there must be some document, either from the donor to the University or from the University to the donor, outlining the pledge agreement. (Pledges acquired by the Student Calling Center are exempt from this requirement).

Financial Accounting Standards Board statement FAS116 requires non-profit organizations to regard pledges in much the same manner as accounts receivable. As such the University must have a very good understanding of the donor's payment intentions/schedule so that future anticipated payments can be value dated. Pledges of a donor's assets should be documented, committing to a specific dollar amount that will be paid according to a fixed time schedule.

Only legally enforceable, unconditional pledges will count toward goals and attainment calculations.

23.2 Pledge Types

Active Pledge
Active pledge is defined as a pledge that is active, regardless if it has a payment schedule or not. Pledge Status = Active.

Annual Fund Pledge
Some Annual Fund pledges are made verbally to Development Officers. Gifts Processing will record these verbal pledges for Annual Fund only provided the Development Officer submits the information regarding the pledge in writing via email or memorandum and includes the amount of the pledge and the payment schedule.

Call Center Pledges
Pledges obtained through an authorized telethon, such as the Student Calling Center, and submitted to the Gifts Processing unit.

Conditional Pledge
Conditional pledges are those that place requirements on the institution to perform some task or take some sort of action that it might not otherwise initiate. A conditional pledge may also depend on some future event over which neither the institution nor the donor may have control.

Open pledge
An Open Pledge is defined as a pledge that is active but has no payment schedule associated with it. Pledge Status = Active, Pledge Frequency = Open.

Intention
An intention to pledge will be entered into the system the donor expresses intent to give but the pledge is not legally enforceable per the donor's written agreement, or the donor has not provided the institution with a written intent to pledge, therefore rendering the pledge unenforceable. Intentions will be entered into the system but will NOT count toward goals or attainment calculations.

Straight Pledge
A legally enforceable unconditional promise to give money to the University over a defined period of time (ideally not more than 5 years), to be paid solely with assets belonging to the individual or the organization. Straight pledges will count toward goals and attainment calculations.

Will Commitment
An intention to give a gift after a person is deceased (through a will or estate plan) will be entered into the system if the donor expresses intent to give and provides either a copy of his/her Will or signs a Letter of Intent regarding the Will. If the donor specifies an amount of the bequest donation, the Will Commitment will be entered at the amount provided by the donor. If the donor does not specify an amount, or provides an estimate of a percentage of his/her estate, then the will is entered at the value of $1 for internal purposes only. This amount should NOT be communicated to the donor. Will Commitments will be entered into the Gift System and will count toward goals or attainment calculations.

23 Advance Fundraising Software
Pledges, continued

23.3 Pledge Modifications

Under no circumstances may an existing pledge or payment be modified without Gift Processing having written documentation. This may come in the form of a letter from the donor or a letter to the donor from a member of the Development staff. The only exceptions to this rule are the yearly write-offs of Annual Fund pledges, corrections of errors made by Gift Processing, and personal contact by the donor.

A pledge can be made only by the entity exercising legal control over the assets to be given. Therefore, an individual cannot make a pledge that includes anticipated matching contributions from an employer or some other source. Nor can an individual commit funds that may be applied for through a donor advised fund or community foundation. An enforceable, countable pledge includes only those funds that will be given by that legal entity.

At all times throughout the fiscal year, if a donor advises us that he/she wants to change their pledge schedule, or is unable to fulfill their pledge, the necessary steps are taken to cancel the pledge, or adjust the schedules as requested. This process is donor driven, and we comply with donor wishes/intent immediately.

23.4 Pledge Reminders

Pledge reminders will automatically be generated within 45 days of the date of the pledge (for Annual Fund pledges) and/or in accordance with the payment schedule provided by the donor as long as there is an outstanding balance on the pledge. Therefore donors with payments due will receive a mailed pledge reminder each month until the outstanding pledge payment schedule is paid or until the pledge is washed/canceled.

23.5 Past Due Pledges

The Pledges Due Report (D) displays all pledges based on the monthly pledge reminder policy. The data can be used by development officers to follow up with donors who have pledges due. The report will not include payroll deduct, EZ giving, or pledges listed as No Reminders. It will also exclude pledges from corporations and foundations (family foundations are included). The Student Calling Center will also follow up on past due AF pledges obtained through their office.

23.6 Annual Fund Pledge Wash

The Office of Advancement Services has a policy to review unpaid pledges throughout the year. Annual Fund pledges that are unpaid are washed/canceled programmatically twice per year; once at the end of the fiscal year during the June 30 close procedures, and again at the end of December. If no payment has been made on an annual fund pledge by the end of the fiscal year, the pledge will be washed or canceled provided the pledge does not have a payment schedule that extends past the first day of the next fiscal year.

For example, if a pledge is secured on May 1, 2008, and the donor does not specify a particular payment schedule, Advancement Services will enter the pledge and set the first payment due as of July 1, 2008. Since there is a payment schedule that is greater than June 30 (the end of the fiscal year), this pledge will not programmatically be washed or canceled at the end of the fiscal year.

23.7 Non-Annual Fund Pledge Audits

Non-annual fund pledges are not washed systematically, however non-annual fund pledges are audited annually. The Advancement Services Office notifies the appropriate development officer on non-annual pledges that have late or no payments prior to washing these pledges. The development officer is asked to contact the donor and see whether a new payment schedule can be set up. If so, the change in payment schedules will be made.

Non-Annual Fund pledges are reviewed twice per year. In January/February each year, the list of High Risk Pledges, and a report of all non-annual pledges of $100,000 or more with past due pledge schedules, is sent with a letter to all senior development officers at the schools/units with a request to review the pledges and let us know if there are changes that should be made to payment schedules, amounts, or if the donor has decided not to fulfill the pledge. In May of each year, the letter and reports are sent again to the senior development officers so any relevant changes to pledges can be made before the end of the fiscal year.

24 Advance Fundraising Software Accounts & Allocations

24.1 Account Creation

Depending on the destination and nature of funds given to Case Western Reserve University, an account number may need to be established permanently to house the funds. **Specific procedures for account number establishment** can be found by contacting the Budget Office for University General accounts, or the Budget Officer at the school or college the account will be administered.

It must be emphasized that the Advancement Services Gift Processing unit does not create account numbers for operating accounts, nor does it facilitate the creation of operating accounts. It may, however, provide guidance concerning the creation of an account. Gift Processing can and will establish holding accounts for new endowment gifts.

24.2 Account Number Prefixes

Account numbers start with various prefixes denoting specific purposes. An account number will look something like this: OSA485078, AFG930060 or END505900.

AFG - Annual Fund Account

CASE - Operating Account

END - Endowment Account (Scholarships, Lectureships, etc)

GIFT - General Gift/Holding Account

INC - Income Account (Tuition)

OPR - Operating Account (For the fiscal year)

OSA - Operating Account (Can span fiscal years)

PLT - Plant Account (Building, Maintenance)

RES - Research Account (Grants, Research)

SPC - Special Project Account

TRN - Training Account

24.3 Reporting on Accounts

The **Account Summary Canned Report(s) DV150/152** allows users to search an any number of accounts and see donors/charitable transactions made to those accounts. Users should contact their budget office with inquiries into the amount of money currently in an account, as Advance does not track expenditures.

24.4 Allocations

Allocations are created in Advance by the Advancement Services Gifts Processing department. Allocation Types include:

- Development General (generally Non-AF gifts)
- Memorial & Honor (gifts given in honor & memorial)
- Trustee Fund (gifts from trustees)
- Futures (bequests, will commitments, etc.)
- Research (charitable grants coded as development general, purpose being research)
- Stewardship (endowment accounts have stewardship allocations that start with S and are Inactive)

Allocations will always have exactly one each of the following:

- **Account**
  The PeopleSoft speed-type. There will be accounts that are not tied to PeopleSoft (such as old accounts or things Advancement Services tracks that are not in Peoplesoft).

- **Restriction**
  Restriction Codes, as defined by CASE, are Annuity, Endowment, Operating, Loan Funds, and Plant.

- **Purpose**
  The general purpose of the allocation. Purpose codes are: Building and Grounds, Discretionary, Equipment, Faculty/Staff Compensation, Fellowship, Lectureship, Libraries, Prizes and Awards, Professorship, Purchase of Books/Periodicals, Research, Scholarship, Special Conditions, Student Aid, Training/Internship, Unrestricted).

- **Fund**
  A further classification of the allocation, i.e. Annual, Parents, Development General, Trustee, Grants.

- **School**
  The school the allocation is tied to

- **Y/N Switches**
  Annual Fund and Athletics Fund

25 Advance Fundraising Software Endowments

25.1 What is an Endowment?

An endowment is a fund established to support particular programs, projects or activities over an extended period of time. Endowment funds are invested and a percentage of the income is applied to the purposes designated by the donor at the outset.

25.2 Establishing a New Endowment

An endowment fund may be established in both the general ledger and the Gifts system upon receipt of a pledge with a payment or an outright gift. In other words, in order for a new endowment holding account to be established, at least a portion of the donation must be received from the donor. In all cases, at least $20,000 must be received. Holding accounts will not be set up for pledges only. Steps for establishing endowments:

1. The Manager of Data Integrity will have the sole responsibility for completing the holding account number request form which includes (a) the name of the endowment fund (b) the school/program to which the endowment fund income will be distributed, (c) the person responsible for completing the resolution. Information concerning income distribution, the purpose of the endowment fund, and related data is needed to complete the form. The form or an email form must be sent to the Controller's Office so that a new holding account can be established.

2. Pledges to new endowments for which no payments have been made may be recorded in the Gifts system using a "dummy account number". Once a payment is received and a holding account can be established, this fictitious account will be modified to reflect the actual new holding account number.

3. Once a holding account is established, the donation is coded for input into the Gifts system. The holding account is entered so that when the gifts processing program is run overnight, the University's Financial Management system and ledger can be updated with the amount of the gift to be deposited into the new holding account.

4. The nightly gifts processing run also produces the University's official gift acknowledgment letter that is mailed within 24 hours to the donor. The Office of Advancement Services adheres to the Acknowledgment Policy included in this manual.

5. The new endowment fund is coded into the Stewardship module so that the Donor Relations office can efficiently steward the donor of the fund (see below for stewardship processes).

6. The Development Officer responsible for the new endowment donation and the Office of Planned Giving monitor holding accounts so that when the fund minimum is reached, a request for resolution form can be prepared. The request for resolution form is filled out and sent to the office of the University Attorney for approval before presentation to the Board of Trustees. Resolutions to establish endowment funds are submitted to the Board at their monthly meetings.

7. When the endowment fund is established by Board Resolution, a copy of the Resolution is forwarded from Endowment Accounting to the Gifts Processing unit. Gifts Accounting changes the account number in the system from the holding account to the newly established permanent fund number. The Stewardship module is also updated with the new number.

25.3 Stewardship of Endowment Funds

From this point the Office of Donor Relations is alerted to begin to produce bi-annual Endowment Reports to the donor. In addition, these donors are inducted to the appropriate level President's Club (donor clubs) and correspondence for events and activities are sent out from this office on a very regular basis. Additionally, the donor will receive a copy of the Board Resolution for their records.

Endowment Resolutions, names of stewardees and beneficiaries, and notes about each endowment can be found in Advance on the inactive stewardship allocation of the particular endowment. Development Officers from each school are asked to keep the Office of Donor Relations informed of new stewardee and beneficiary information as they receive it. The Office of Donor Relations will then edit the Advance stewardship module with the names of the current stewardees and beneficiaries for the specified endowment(s).

25.4 Endowment Naming Opportunities

Donors who wish to do so may designate their gifts for special purposes such as scholarships, professorships and fellowships, among others. Such gifts may be eligible for naming recognition to honor the donor(s) or others whom the donor wishes to honor.

The Case Western Reserve Board of Trustees has established the following funding minimums to qualify for various gifts for endowment, capital and program purposes.

25.5 Endowment Types & Minimums

Faculty:

School/College Deanship $3,000,000 - $5,000,000

University Professorship $3,000,000

Full Professorship $2,000,000

Associate/Assistant Professorship $1,500,000

Directorship Academic Center $1,000,000

Visiting Professorship $3,000,000 - $750,000

Faculty and/or Curriculum Development Fund $100,000

Student Assistance:

Named Full Graduate Fellowship Program
(The Jones Family Fellowship) $300,000

Named Full Scholarship Program
(The Jones Family Scholarship) $300,000

Named Partial Undergraduate and Graduate $100,000

Scholarship and Fellowship Funds $50,000

Student Loan Fund $50,000

Student Award Fund $50,000

Libraries:

Special Collection Fund $250,000

Library Acquisition Fund $100,000

Facilities and Equipment:

Facilities and Equipment Fund $100,000

Academic Programs & Research:

University Institute $10,000,000

Named Department within a school $10,000,000

University Academic Center $5,000,000

School Academic Center $2,000,000

University Lecture Fund $1,000,000

Research Fund $300,000

School and College Lecture Fund $100,000

General Endowment:

President's Initiative Fund $1,000,000

Dean's Initiative Fund $250,000

Department Fund $100,000

Endowment Fund $25,000

25.6 Endowment Information in Advance

The Advance database contains some, but not all, Endowment information for multiple reasons:

♦ Advance data dates back to FY1975. Any endowment established prior to that date year may not be in Advance.

♦ Some endowments are created with non-charitable donations (such as a government grant). Advance only tracks charitable donations to the university and, therefore, this information would not be in the database.

♦ Any endowment created through or by Case Alumni Association (CAA) may not be listed in Advance.

♦ The **Inactive Stewardship Allocation in Advance** may contain the endowment description, the scanned Board Approved Resolution, the name of the beneficiary and the name of the stewardee. Users can search for the Inactive Stewardship Allocation by navigating to **Lookups - Gift Allocation Template** and searching for the account number or account name.

♦ *Questions? Donor Relations Central 368-5468.*

26 Advance Fundraising Software
Types of Planned Gifts

The Office of Advancement Services is frequently asked to record various types of planned gifts. For more detailed information on planned giving contact the University Office of Planned Giving.

I. Bequests

The most common and simplest form of planned giving, a bequest is a gift of property or cash that is made through a donor's will. Benefits to Donors: Donors do not have to part with any money until they die, and do not owe any estate tax on the amount of the bequest.

II. Charitable Remainder Trusts

Two basic types of charitable remainder trusts qualify for federal tax benefits: Unitrust & Annuity Trust. In both arrangements, a donor gives stock, cash, or other assets to a trust. Those assets are invested; producing income for the donor--or other beneficiary--either for a fixed period of time or until the donor dies. The donor is allowed to claim a tax deduction for the estimated portion of the assets that will ultimately go to charity. When the donor dies, the charity keeps all remaining assets. Charitable remainder trusts are commonly used by people who want to give real estate. Real estate is not usually given through gift annuities and cannot be given to pooled-income funds.

Benefits to Donors: Donors can get income-tax deductions and escape capital-gains taxes by making such gifts. Many donors find the trusts an appealing way to prepare for retirement. The assets can be invested to earn a lower rate of return when the donor is younger and then shifted to earn a higher rate of return, and thus provide more income, during a donor's later years.

   a) Unitrust Under a basic unitrust, the donor receives one or more yearly payments equaling a fixed percentage of the value of the asset. The value is assessed each year. Under a net-income unitrust, the donor receives only the income earned by the trust, even if the trust earns less that the payout rate. However, the trust can be set up to include a "make-up provision", which allows the donors to make up the lost income, provided the trust earns more than the payout rate in future years.

   b) Annuity Trust The donor receives a yearly fixed payment equaling at least 5 per cent of the value of the asset at the time the deferred-giving agreement was signed.

III. Gift Annuities

Donors contribute cash, securities, or other assets to a charity. In exchange, they receive annual payments for a fixed amount of time. With a deferred gift annuity, the annual payments do not start when the gift is made; they begin at a time specified by the donor when the gift is made.

Benefits to Donors: Gift annuities are attractive to donors who want to receive income from assets that have risen sharply in value, such as cash or stocks. In return for gifts of such assets, the charity guarantees the donors a fixed annual income for the rest of their lives and helps the donor avoid capital-gains tax. The donor also gets an income-tax break on a portion of the earnings from an annuity; the exact amount depends on a donor's age.

IV. Pooled-Income Funds

The donor gives cash, securities, or other assets to a non-profit organization, which then invests those assets in a large, diversified portfolio. The donor receives income from the fund proportionate to the value of his or her contribution, as well as an income-tax deduction based on the estimated principal that will be left to the charity. Obtaining a "unit" in a pooled-income fund is similar to buying a share of a mutual fund.

Benefits to Donors: Like gift annuities, pooled-income funds appeal to donors who want to earn income on stock and other assets and escape capital-gains taxes. Unlike the annuities, a donor's income from a pooled-income fund is tied to fluctuating interest rates. That means that in the long run, donors may receive larger earnings than they do from annuities, but they can also do less well in the short term. As a result, the funds tend to appeal to younger people who are more often willing to take risks with their investments.

V. Charitable Lead Trusts

A charity receives the income from the donor's assets for a specified time, after which the asset is transferred back to the donor or to the donor's heirs.

Benefits to Donors: A lead trust can reduce gift and estate taxes or provide a charitable deduction for the donor. Charitable lead trusts are most appealing to wealthy donors who want to pass appreciated assets to their heirs without paying a substantial amount in taxes. The donor pays a gift tax on the asset when it is placed into the trust; after that it can grow tax-free. At the end of a specified period, the asset is returned to the donor's heir or heirs, who do not have to pay any additional taxes.

27 Advance Fundraising Software
Giving Lookups in Advance

27.1 CWRU Giving Summary

The **CWRU Giving Summary** section displays the entity's lifetime giving summary to the university. This view is categorized by Legal Giving and Credit Giving, then by Annual Fund and Non-Annual Fund giving. This view is also broken out by Gift, Pledge and Pledge Payment totals. These totals do include Historical Giving, which is the entity's lump sum giving total prior to fiscal year 1975.

1. Navigate to the Entity Overview and scroll down to **CWRU Giving Summary**.
2. To **view the listing of charitable contributions** that make up the CWRU Giving Summary, users should click '**Giving**' on the Page Tree.

The information contained under the '**Giving**' tab on the **Page Tree**:

Summary	Summary of the entity's AF giving
Views	Various giving views
Appeals	Appeals the donor has received
Gift Clubs	Gift clubs associated with the entity
Segments	Used by Advancement Services

27.2 One-Line Simple Transaction View

The **One Line Simple Transaction** view displays the most comprehensive listing of charitable transactions from the donor to CWRU, dating back to FY1975.

1. Navigate to the Entity Overview.
2. Click '**Giving**' on the Page Tree to view the One Line Simple Transaction List. This displays the detailed list of transactions that make up a donor's lifetime giving totals. Transactions are ordered by most recent date of record.
3. Click the '**Receipt #**' to view details of a pledge or gift.

27.3 CASE-Giving Views

There are many CASE-Giving views available from the giving section of an entity's record. A few are highlighted below:

CASE-Giving Summary-Allocation: Provides a list of transactions grouped by allocation code.

CASE-Giving Summary-Case Fund: Provides a list of transactions donated through the Case Alumni Association (CAA).

CASE-Giving Summary-Historical: Shows a lump sum total of all giving to CWRU pre-FY1975.

CASE-Giving Summary-Matched Gifts: Provides a list of all gifts that were matched by a company.

27.4 Viewing a Specific Transaction

To drill down to a specific transaction, navigate to the entity's record, click '**Giving**' and view the **One Line Simple Transaction** list. Click the '**Receipt #**' for the gift/pledge/pledge payment in question. The example below displays a Primary Pledge Overview.

Primary Pledge Overview		Actions Print
Primary Donor	Theodore J. Castele, M.D., F.A.C.R. #63622 (Joint Donor)	
Date of Record	12/21/2012	Pledge Type — Pledge (Active)
Legal Amt	50,000.00	Frequency — Custom
Pledge #	1676669	
Balance	19,731.03	Next Pmt Amt — 10,000.00
Discounted Amt	0.00	Next Pmt Date — 07/01/2015
Allocation	Theodore J. Castele Med Schlrp	Donors — 2

Primary Pledge Overview		Actions Help
		Status — Active
Total Amt	50,000.00	Date of Record — 12/21/2012
Type	Pledge	Reference
Paid	30,268.97	Reference2
Balance	19,731.03	Proposal
Antic Match	0.00	Plan Gift ID
Matched	0.00	Premium
Source Info		Batch — 70073
Special Handling		Original Amt — 50,000.00
Foreign Type		Disc Amt — 0.00
	☐ Binding	☐ Recordable
Transmit		Reporting
LM		Rec Listing
Reason Changed	Donor Requested Change	Reason Changed Date — 01/29/2013
Comment	Theodore J. Castele, M.D. Medical Scholarship Fund	
Notes		
Date Modified	09/27/2013	

Payment Information		Actions Help
Type	Custom	
Amt	0.00	
Nbr	6	
1st		
Last	07/01/2016	
Most Recent		
Payment Date	09/26/2013	
Amt	10,000.00	

Pledge Associated Donors (1/2)		Actions Help
Donor	Theodore J. Castele, M.D., F.A.C.R. #63622	
Association	Primary Donor	
Actual	50,000.00	Campaign
Credit	50,000.00	Allocation — EM61663ESA
Fund	Annual Fund	Appeal
Account	END166300	Purpose — Scholarship
Class		Date of Record — 12/21/2012
School	School of Medicine	Receipt Date — 12/21/2012
Campus		Program Credit
Solicit Method	Personal Solicitation	Entity Type — Alumni
	☐ Alloc Fee	Dept
Agency		Sub Dept
Alloc School		
Alloc Division		
	☒ Annual	
Donor	Mrs. Jean M. Castele #194441	
Association	Joint Donor	
Actual	0.00	Campaign
Credit	50,000.00	Allocation — EM61663ESA
Fund	Annual Fund	Appeal
Account	END166300	Purpose — Scholarship
Class		Date of Record — 12/21/2012
School	School of Medicine	Receipt Date — 12/21/2012
Campus		Program Credit
Solicit Method	Personal Solicitation	Entity Type — Friend
	☐ Alloc Fee	Dept

27.5 Transaction Definitions

Primary Pledge Overview Definitions
Primary Donor: Name of legal donor
Date of Record: Date the contribution was recorded
Legal Amt: Legal donation amount
Pledge #: Assigned pledge number
Balance: Balance left on the original pledge amount
Allocation: Fund where the gift is allocated
Pledge Type: Type of Pledge
Frequency: Frequency of pledge payments
Next Pmt Amt: Next pledge payment amount
Next Pmt Date: Next pledge payment due date
Donors: The total number of donors (credit)

Pledge Associated Donors Definitions
Donor: Donor's name
Association: Type of donor
Actual: Legal amount
Credit: Credit amount
Fund: Type of fund; a further classification of allocations
Account: PeopleSoft Financials speedtype
School: School that is benefiting from the donation
Solicit Method: Explains how the gift was solicited
Allocation: Allocation Code for Advance reporting
Appeal: The appeal code on which the gift was rendered
Purpose: The general purpose of the gift
Date of Record: Date the contribution was recorded
Receipt Date: When Advancement Services received the gift.
Entity Type: Record Type of the donating entity
Annual Box: Indicates an annual fund contribution

*A Primary Pledge Overview also contains additional information on the Page Tree, such as the '**Payment Amounts**' and the '**Scheduled Payments**'.

27.6 Scanned Giving Documentation

Scanned into Advance is all backup for gifts/pledges of $1,000 or more. Backup includes all documentation that was submitted with the original gift/pledge. Advance also contains gift modification information as well as acknowledgment letters from President Snyder for gifts of $5,000 or more.

As of January 1, 2014, documentation will be scanned and attached in the '**Documents**' section on the specific gift/pledge receipt number. To find documentation scanned prior to 2014, navigate to '**Biographic - Documents**,' search on the **Receipt Number,** and click '**View**'.

27.7 Organizational Giving

A 'headquarter' entity record is created in Advance when an organi-zation has subsidiaries associated with it. This may be indicated by a 'Corporate Group Record', 'Foundation Group Record' or 'Family Group' record type. Users can see all subsidiary entities associated with that headquarter entity by searching for the entity name and clicking the 'Corporate, Foundation or Family Group' record type. **Follow the steps below to view an organization's giving:**

1. Search for the entity in Advance.
2. If there is headquarter record (**'Corporate, Foundation or Family Group'** record,) select it. Otherwise choose the appropriate entity ID.

3. Click **'Giving'** on the Page Tree.
4. Click **'CASE - Giving Summary - Org Hier'** from the **'Views'** form to display a summary of giving to CWRU.
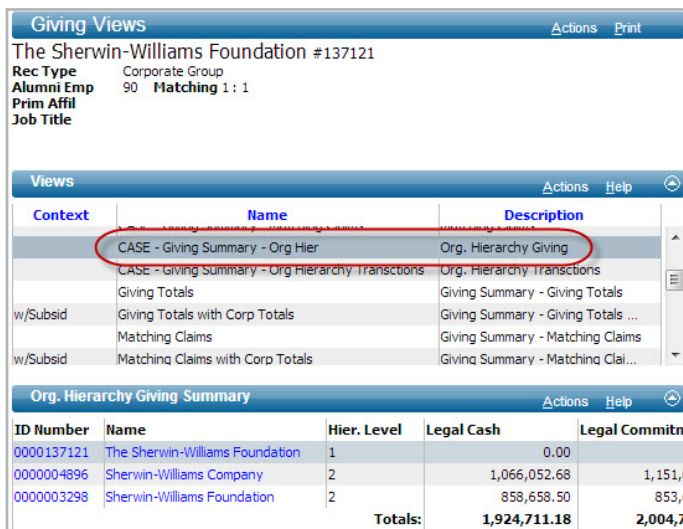
5. Click **'CASE - Giving Summary - Org Hierarchy Transactions'** from the **'Views'** form to display all charitable transactions associated with the entity.
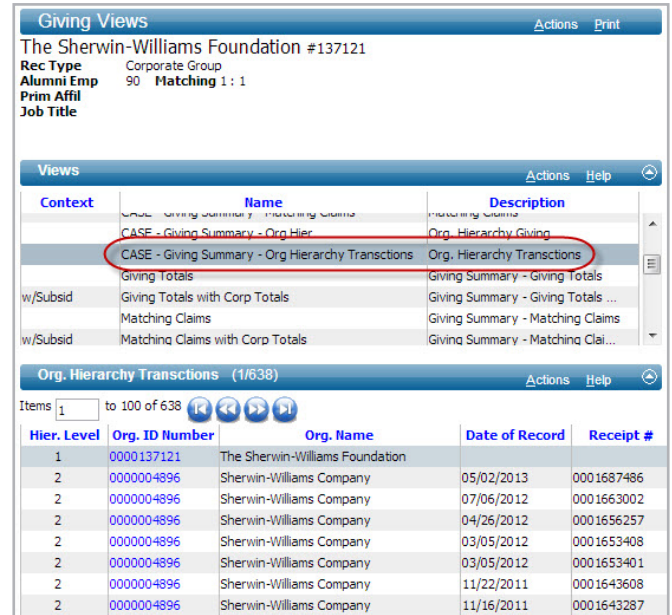
6. Click **'Matching Gift with Corp Totals'** from the **'Views'** form to display all Matching Gift transactions.
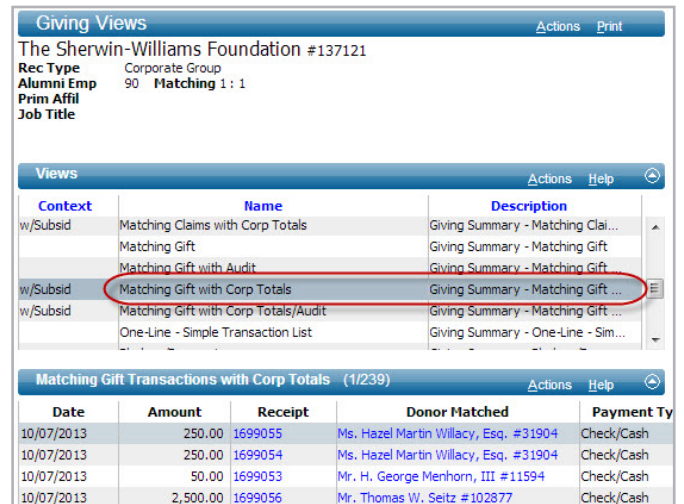
From Lookups, the **Gift-Lookups Template** allows users to search for giving information. The following pages include just a few examples of how to utilize the Gift-Transaction, Gift-Allocatioin and Gift-Gift Club Membership templates.

27.8 Gift-Transaction Lookup Example

Scenario: A user wants a list of individual transactions greater than or equal to $20,000 (legal/commit) that were allocated to the School of Nursing in FY2013.

1. **Choose a Template:** Gift-Transaction Template
2. **Selct Results Format:** Giving Transaction Lookup List
3. **Select Output Type:** Display Results
4. **Enter Search Criteria** (see: Image)
5. Click **'Search'**

Lookup Results

The search produced a listing of transactions based on individual receipt numbers. If a donor gave more than one transaction during the time-frame specified, each transaction will show up individually. To export this list of transactions, selection **'Actions'** - **'Export Form'** from the Gift Transaction Lookup List form header.

27.9 Gift-Transaction Notes

Due to the complexity surrounding giving processes, users should exercise caution when performing any type of giving lookup. If questions arise, contact advancetrainer@case.edu.

Transaction List vs. Donor List
Users can pull lists of transactions by leaving the Results Format as 'Giving Transaction Lookup List'. This will provide users with the transaction detail. Alternatively, users can pull a list of donors, regardless of how many transactions they have donated, by changing the Results Format to 'Entity Lookup List'.

Individual Transactions vs. Cumulative
The Gift-Transaction Lookup can only pull individual transactions and does not have the ability to pull cumulative giving totals.

Cash vs. Commit
To pull data based on Cash giving, click 'Gift' and 'Matching Gift'. To pull data based on Commitment giving, click 'Gift', 'Matching Gift' and 'Pledge'.

Legal vs. Credit
Entering an amount in the 'Credit Amount' section indicates a desire to pull on Credit giving, whereas entering an amount in the 'Legal Amount' section indicates a desire to pull on Legal giving.

CASE WESTERN RESERVE UNIVERSITY EST. 1826

27.10 Gift-Allocation Lookup Example

Scenario: A user would like to look up the account END505900, a School of Medicine Endowment Account, to find the Account Name and Stewardship Information.

1. **Choose a Template:** Gift-Allocation Template
2. **Selct Results Format:** Allocation Lookup List
3. **Select Output Type:** Display Results
4. **Enter Search Criteria** (in yellow below)
5. Click **'Search'**

Not all endowments are stewarded. However, if the endwoment is being stewarded there will be an Inactive Stewardship allocation associated with that account number on the Allocation Lookup list. Information such as the endowment resolution, names of the beneficiaries and names of the stewardees can be found by clicking on the Inactive Allocation ellipsis.

27.11 Gift-Club Membership Lookup Example

Scenario: A user would like to look up every entity who is coded as being an active member of the 'President's Circle' Gift Club.

1. **Choose a Template:** Gift-Gift Club Membership
2. **Selct Results Format:** Gift Club Memb Lookup List
3. **Select Output Type:** Display Results
4. **Enter Search Criteria** (in yellow below)
5. Click **'Search'**

27.12 Gift Clubs Defined

President's Circle: Any donor who has given $1Mil+ commit/credit to CWRU over the course of their lifetime. Included in President's Circle are spouses of such donors and spouses of deceased President's Circle donors.

Turning Point Society: Any donor who has given $100,000 - 999,999.99 commit/credit to CWRU over the course of their lifetime. Included in TPS are spouses of such donors and spouses of deceased TPS donors.

Luminary Society: Any donor who has a planned gift in Advance. Included in Luminary Society are spouses of such donors and spouses of deceased Luminary Society donors.

Loyalty Society: Recognizes people who have consistently given to CWRU over their lifetime. The current giving levels are 3, 5, 10, 15 and 25+ years in a row.

Visionary Society: Annual giving society consisting of people who have given between $1,000 - $999,999 to the annual fund for the fiscal year.

28 Advance Fundraising Software Appeals

28.1 What is an Appeal?

Appeals generally track Annual Fund dollars raised as the result of a direct mail piece. This tracking process is done with an Appeal Code. Appeal codes are created by Advancement Services at the request of the department sending the Appeal.

Once the Appeal Code is created it is the responsibility of someone in the sending department to code those entities as having received the appeal mailing. This can be completed using Appeal Loader found in Canned Reports.

28.2 Appeal Code Process

1. From the Advancement Services website, complete the **Appeals Request Form** indicating the Purpose of the Appeal Mailing, the Target Audience, Mailing Method and Expected Mail date. This submission is sent to the Advancement Services data team who will respond back with a newly created Appeal Code.
2. The sending department **generates and saves a clipboard** list of appeal recipients.
3. Navigate to **'Canned Reports'** and click **'Appeal Loader'.**
6. Enter the Saved Clipboard Name and Appeal Code. (Image)
7. **Prepare the solicitation piece,** ensuring the Appeal Code is attached to the return envelope or pledge card.
8. When the donation is received the Advancement Services department will **apply the donation to the appeal.**

28.3 Reporting on Appeals

There are two canned reports that contain appeal statistics/information. The following two reports can be found in the Canned Reports section of Advance: **'Appeal by School'** and **'Appeal Comparison Report'**.

28.4 Appeal Lookups

Users can view appeals an entity has been sent by navigating to that entity's profile, clicking **'Giving'** on the **Page Tree**, then selecting **'Appeals'**.

Users can also search for general appeal information by navigating to **Lookups,** selecting **'Gift-Appeal Header'** from the Template drop-down and entering the **Appeal Code**. Click **'Search'** to see the Appeal Statistics & Details.

29 Advance Fundraising Software Development Research

29.1 Requesting Development Research

The Office of Development Research and Prospect Management within the Advancement Services department is responsible for providing the highest quality prospect research to aid in the university's fundraising efforts. Development Research provides research profiles on alumni and friends of the university and corporations and foundations to be used by development staff, volunteers, and senior administration. Development Research also researches potential leads for new development prospects.

Research can be requested by emailing uris-res@case.edu. Some basic information is needed such as the name of prospect/suspect, entity ID number, and reason for request.

After you submit your request, it will be added to our schedule of work in progress which indicates purpose, timing, and other basic information. Requests are then prioritized using the following criteria:

♦ Major gift solicitation appointment

♦ Major gift cultivation appointment

♦ Major gift evaluation

♦ Annual fund solicitation or cultivation

♦ Evaluation of suspects

A research analyst will contact you to confirm the receipt of your request and to inquire as to whether there is any additional information that should be included in the profile. We do not use the same resources for every profile but let our experience guide us to the most useful resources for each person. Information provided by development officers in contact reports or communicated as additional information on research requests serves as a valuable guide in our quest for knowledge. When sorting through the various sources available our goal is not to find useful information to furthering our institutional fundraising efforts.

Ideally we need two weeks lead-time. We are generally working from a backlog of requests. A profile can take as little as half a day or as much as a week depending on the amount and complexity of information available. Some resources come from other campus locations such as archives or a school unit and can slow down the overall process. If requests are made without sufficient lead-time, we will send existing research if available or contact the requestor about alternatives.

Upon completion, the research profile is sent to the party indicated on the original request.

There are two historically slower periods when the number of requests allows for us to engage in proactive research. These are July 4 through mid August and Thanksgiving through Christmas. During these times we update trustee and major donor profiles. In December we try to work on major donors located in Florida so that they will be ready for January through March trips.
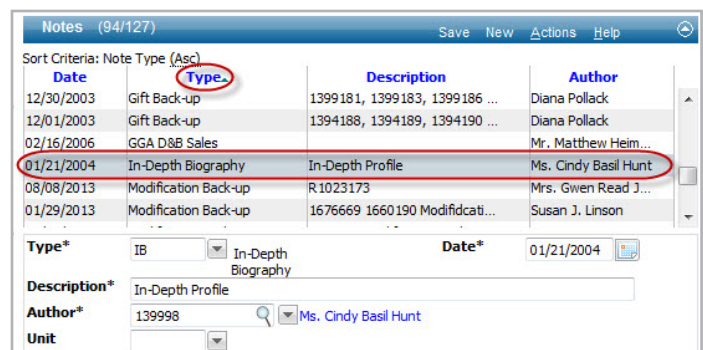
Other methods we use to identify suspects are alumni surveys, "Wealthy Cities," analysis of decision makers in Fortune 500 companies who are CWRU affiliated, Inc "Fastest Growing Small Companies", or other published lists of this type. We also undertake review of all alumni in a specific city looking at past giving patterns, job titles, couples, or multiple grads at the same company. In some cases, we take the next step and create a profile that is sent to the appropriate development officer. In other cases we communicate the name to the appropriate school or central development officer and create a "suspect" record in Advance. When proactive research identifies a new suspect the information is forwarded to the Assistant Director of Prospect Management, Stuart Oakes, 216.368.6999 or dso@case.edu.

Questions regarding the Development Research process? Contact Dorothy Oluonye, Assistant Director of Prospect Research, at 216.368.6193 or duo1@case.edu.

29.2 Research Documentation in Advance

Prior to requesting research, users can check Advance for recently completed research documentation.

1. Navigate to the Entity's record.
2. Click **'Biographic - Documents'** on the Page Tree.
3. Sort by **'Type'**.
4. Search for **'In Depth Biography'** or **'Executive Snapshot'**.
5. Scroll down to **'Attachments'** and open the attached .pdf.

Advance Fundraising Software
Development Officer Workflow

**CWRU Advancement Services
Development Officer Workflow**

1. View/Request Research

- A Development Officer may want to view previous research and potentially request new research prior to a cultivation visit. See: Development Research.

2. Visit Prospects, Enter Prospect Travel Tasks

- A Development Officer can utilize their assigned prospect list or the Zip Code Area Lookup Report to schedule cultivation visits. If the visit is outside of NE Ohio, a Prospect Travel Task should be entered. See: Proposals & Prospect Tasks.

3. Enter Contact Reports

- Every substantial contact between an entity and a CWRU rep. should be recorded in Advance as soon as possible after the contact occurs. See: Contact Report Entry.

4. Enter Prospect Next Steps

- Prospect Next Steps should be entered on a prospect's record when a new, important campaign strategy has been identified. See: Prospect Next Steps.

5. Enter & Maintain Proposals

- Proposals should be entered by the Soliciting Development Officer as soon as the potential for a charitable donation arises. The fundraiser should update their proposals as they move through the solicitation process. See: Proposals.

6. Submit Donation or Close Proposal

- Successful cultivation will result in a charitable donation submitted to Gifts Processing, indicating a successful proposal. Unsuccessful cultivation will result in a withdrawn or declined proposal. See: Proposals.

Questions? advancetrainer@case.edu

30 Advance Fundraising Software Prospects

30.2 Prospect Management Policy

In any university development program—especially in a comprehensive, university-wide constituent orientation—the most essential management function that drives the development and campaign process is the management of prospects.

It is the goal of the university's prospect assignment procedure that decisions are made in a collaborative and collegial environment. The donor's philanthropic desires should be the principal guide and always be primary in decision making. Active fundraising will also reflect awareness and promotion of the university's institutional and academic priorities.

To serve that end, the following prospect management principles and procedures have been created. Specifically, the procedures make provision for:

1. Definitiveness in prospect manager assignments and proposal record assignments to a development officer whose charge it is to obtain the gift through the use of Case Western Reserve University, volunteer, and university senior academic personnel resources.

2. Regular review of prospects' financial capacities to make a gift to the university at a level which will serve to fulfill the academic needs identified by the institution.

3. The assignment of a prospect to a school or program of the prospect's potential interest by taking into account the affiliation of the prospect with a particular school or program.

4. School deans and development officers have the right to review prospect assignment requests, with the latitude of the Senior Vice President for Development and/or his designee to affirm prospect assignments or reallocate prospects to units with the aim of funding university priority needs and/or donor-centered interests.

5. The development management team is to set in place plans for moving prospects from the status of identified prospects (suspects) through solicitation and ultimately into stewardship.

6. Regular meetings initiated by the Associate Vice President for Institutional Development to examine and review relationships and strategies for key principal/presidential gift prospects with multiple interests.

Principles

1. There are two main types of prospect manager assignments on Special ($10,000 - $99,999), Major ($100,000-$999,999) and Principal ($1million+) gift prospects: Prospect Manager (primary assignment) and Assistant Prospect Manager(s) (secondary assignments). Only one prospect manager assignment is allowed, however, there can be multiple assistant prospect managers.

Principles, Continued

There are also three types of proposal level assignments, of which fundraisers are capable of assigning themselves and others: Soliciting Development Officer, Collaborating Development Officer, and Volunteer.

2. Requesting assignment as prospect manager may be done at any time as long as there is not already another actively assigned prospect manager. All active prospects must have a prospect manager, of which there can be only one active at a given time. The prospect manager will be responsible for coordinating all contacts of a philanthropic nature with the university. The time period of active assignment will be determined on a case by case basis as long as the prospect manager can show advancement in the relationship.

In acknowledgment of multiple programs with which a prospect may affiliate, a fundraiser, dean, other university official, or volunteer may continue cultivation efforts with prospects assigned to a different officer at the prospect manager level, as long as those cultivation contacts are coordinated through that prospect manager. These cultivation efforts will be assigned as assistant prospect managers or volunteers. Prospects are not "owned" by the development officers or schools.

Requesting assignment as prospect manager indicates an intention to solicit a special, major, or principal gift from the assigned prospect. Once a prospect is assigned to a prospect manager, other claimants must abstain from solicitation without permission of the prospect manager.

Certain principal gift prospects will also be coded Presidential Prospects, which is defined as the University's highest level prospects, typically rated at $1 million+, who are assigned to the President and managed by the Senior Vice President or his assignee. Protocol: before meeting with a presidential prospect, notify the Senior Vice President's office. Do not solicit a presidential prospect unless specifically authorized to do so by the Senior Vice President, in consultation with the President.

3. Given the sometimes delicate nature of solicitations and gift discussions, all development staff, deans and volunteers must respect the decisions and judgments of the prospect manager.

Assignments will be reviewed at regular intervals (see review procedures below) to determine if suitable progress has been made. Prospects may be eligible for reassignment after a chosen period if there has been no solicitation made or progress toward solicitation demonstrated. Prospect managers may present a case for continued assignment.

CASE WESTERN RESERVE UNIVERSITY EST. 1826

Principles, Continued

4. Communication and shared information are critical components of an active fundraising agenda, and a single repository and source of information on prospects and donors is vital to success. Development personnel involved in cultivating and soliciting prospects must enter contact reports into Advance to document their fundraising activities by a specified number of business days since they have had contact with a prospect. Development officers are also responsible for documenting the activities of volunteers, deans, and other university personnel that they utilize. Contact report policies may be reviewed under separate cover.

5. Development officers should exercise appropriate diligence before initiating any activity with a prospect. Advance should be checked for assignments and recent contact reports before initiating contact. An updated research profile should also be requested if the prospect's wealth, demographic data, or other information has changed significantly. When appropriate, development officers should also seek information from staff or volunteers with existing relationships to support their work.

Assignment Procedures

1. The prospect management tracking system will track all university prospects rated at $500K and higher that have been identified by university development staff, other university staff and volunteers. Development officers may enter a prospect by completion of an official request for assignment form found online or available through the Prospect Research and Prospect Management office, filled out as completely as possible and submitted to the Assistant Director of Prospect Management either online, by e-mail or by hard copy.

2. Development officers must also assign themselves (or have the Assistant Director of Prospect Management assign them) as a "Soliciting Development Officer" or "Collaborating Development Officer" at the proposal level of Advance. Assignment as an SDO or CDO requires the permission of the prospect manager. Credit for solicitations and gifts is driven solely by proposal level assignments, not prospect level assignments (see Supporting Notes below). Development Officers are strongly encouraged to manage their own proposal records and keep them current. Proposal records ideally should be entered at the "Identified" proposal stage and all relevant contact reports tied to them. Proposal records can, however, be entered at any time before the actual gift is booked into Advance.

Review Procedures

In the event a development officer departs the University, prospect management will emphasize the assignment of principal gift prospects, followed by major gift prospects and then special gift prospects in that development officer's portfolio.

Review Procedures, Continued

Prospects with an identified cultivation or solicitation strategy may be reassigned by the development officer's supervisor. Prospects with no defined strategy or relationship will be either returned to the prospect pool or directed to the appropriate assignment by a fundraising executive either centrally or at a school.

2. The Assistant Director of Prospect Management will meet individually with fundraisers on a regular basis to review their portfolios for accuracy and currency. The goal will be to accurately reflect the fundraiser's work on the Fundraiser Summary Report and the Fundraiser Performance Reports.

3. School-centered and/or department-centered prospect meetings should be coordinated with central development and take place on a regular basis. The goals of these meetings should be to review special and major gift prospects regarding strategy and other issues as needed.

4. At regularly scheduled times each year, the Associate Vice President of Institutional Development will facilitate a Principal Gifts Meeting, which will consist of prospects with "ready to solicit" and "solicited" proposals valued at or above $1 million. Meeting attendees will consist of the principal fundraisers at each school and the central development office involved with these proposals. The Assistant Director of Prospect Management will produce the proposal/prospect list directly before each meeting.

Conflict Resolution

1. Prospects in contention for assignment within a school: arbitration is by the Chief Development Officer at that school.

2. Prospects in contention between or among schools: arbitration will follow the chain of command of the University Development Office as defined by the Senior Vice President of Development.

3. Development officers who wish to make a case for prospect manager assignment or permission for solicitation should have a detailed solicitation plan documented in Advance the appropriate back-up, proposal records, and contact reports.

Supporting Notes

In order for development officers to receive due credit for their work, contacts, collaboration, and solicitation of prospects will be recorded on fundraiser performance reports. These reports are driven by proposal record assignments (Soliciting Development Officer and Collaborating Development Officer), not prospect assignments.

The prospect management policies and principles here are intended to support a process that provides openness and collaboration, while also giving individual development officers the opportunity to move ahead with their work. As needed, these procedures may be revisited and changed.

30 Advance Fundraising Software
Prospects, continued

A prospect is any potential donor whose linkages, giving ability and interests have been confirmed. Every prospect begins as an Entity in Advance. Once an entity is identified as a prospect, a Prospect Summary Record is created on the Entity's profile. To make an entity a prospect, email uris-pros@case.edu with the request.

30.3 Prospect Summary

To view a prospect's information, navigate to the entity ID, scroll down to the **Prospect Summary box** and click on the prospect name hyperlink. The 'Prospect Overview' will display. Users can also find Prospect **Proposals, Next Steps** and **Travel Tasks** on the Page Tree of the Prospect Overview screen.

30.4 Prospect Definitions

Annual Fund Prospect	10K or less potential to Annual Fund
Special Gift Prospect	10K - 99,999 potential lifetime giving
Major Gift Prospect	100K to 1mil potential lifetime giving
Principal Gift Prospect	$1mil+ potential lifetime giving
Planned Gift Prospect	Planned giving potential
Prospect Mgr	Assigned Prospect Manager; there can only be one.
Asst. Prospect Mgr	Assigned Assistant Prospect Managers; there can be multiple.
Research Suggests	Potential new prospects suggested by the Development Research team.
Stage	Displays which stage the prospect is in the development process. Stages are: Qualification, Identified, Cultivation, Read to Solicit, Solicited, Stewardship/Re-cultivate and/or Stewardship for

30.5 Reporting on Prospects

Fundraisers can pull a list of their prospects in the following way:

1. From the Home Screen, click the **'My Prospects'** icon.
2. The **'My Prospects'** screen will populate with a list of Primary Prospects, Assistant Prospects and Research Suggested. Users can choose to either export the prospect list to a spreadsheet or run a context sensitive report.
3. To export to a spreadsheet, select **'Actions-Export Form'** from the My Primary Prospects form header.
4. To run a context sensitive report, select **'Actions'** - **'Reports'** from the My Primary Prospects form header. From the Context Sensitive Report list, select the **'Kitchensink Download - Prospect (D)'** report.
5. Note: Users will need to do this a second time from the **'My Assistant Prospect Manager Prospects'** form header and combine lists to capture both Primary and Assistant Prospects.
6. Note: Department Assistants can utilize the **'Staff Member Drop-down'** to pull a listing of prospects on behalf of a fundraiser. Contact advancetrainer@case.edu to have a fundraiser's name added to the drop-down list.

30 Advance Fundraising Software
Prospects, continued

Ratings are a way to determine a prospect's wealth level, propensity to give, frequency of giving and likely gift type. There are multiple types of ratings including Expectation, Lifetime Rating, Echelon Rating, Blackbaud Rating, PRIZM Rating, and GGA Rating.

All domestic alumni (unless deceased) and certain friends receive a prospect rating. Foundations and Corporations do not get rated.

30.6 Prospect Ratings

- **Expectation**
  Expectation is the amount of money expected to be donated by a prospect during the CWRU Campaign. This number is produced by data models and fundraiser input. If a fundraiser feels this number should be revised, they can contact the uris-pros@case.edu to discuss. Expectation Ratings can be found on the Prospect Overview screen.

- **Lifetime Rating**
  Lifetime Rating is defined as 3 to 5 percent, conservatively calculated, of a prospect's demonstrated net worth. Debt is not a factor in this rating. It can also be defined as the amount of money a prospect may expend philanthropically during the course of their lifetime to multiple organizations. Lifetime Rating can be located on the Entity Overview screen in the Prospect Summary box, titled 'Rating'.

- **Echelon Rating**
  Echelon Ratings are a demographic score based on measurement of actual liquid financial assets such as stocks, bonds, bank deposits, mutual funds and annuity assets. Echelon Ratings can be found by clicking 'Prospect Tracking' on the Page Tree, then selecting 'Evaluations'.

- **Blackbaud Rating**
  Blackbaud is a predictive model which charts capacity to give and the likelihood a prospect will give. Blackbaud Ratings can be found by clicking 'Prospect Tracking' on the Page Tree, then selecting 'Evaluations'.

- **PRIZM Rating**
  PRIZM Ratings classify thousands of neighborhoods into 66 lifestyle segments. It provides highly accurate measures of socioeconomic standings, philanthropic tendency and lifestyle indicators. Variables include social rank, household composition, mobility, ethnicity, housing and urbanization. PRIZM Ratings can be found by clicking on 'Prospect Tracking' on the Page Tree, then selecting 'Demographic".

- **Wealth & Assets and Income 360**
  Wealth & Asset information, as well as Income 360 information, is self-reported by donors and alumni. This information can be found by clicking 'Prospect Tracking' on the Page Tree, then selecting 'Wealth & Assets'.

  Ratings Inquiries? Contact the Associate Director of Prospect Management.

30.7 Echelon Segments

Echelon Ratings are widely used by Development Officers. The Echelon Rating Power Segment classification system is listed below for guidance. The complete document, titled **'Target Analytics, Echelon Power Segments. Implementation Suggestions'** on Echelon Segments can be found on the Advancement Services website under Advance Training Manuals & Documentation.

Echelon Power Segments		
18 Tier Prospect Classification System		
Echelon Power Segment	Average Investable Assets	2010% of US HH's in Segment
AGE GROUP: OLDER		
1	$2,020,315	0.39%
3	$528,861	0.90%
5	$304,585	2.53%
9	$108,537	4.43%
11	$35,929	6.11%
16	$5,165	8.50%
AGE GROUP: MID-CAREER		
2	$985,831	0.64%
4	$857,634	2.12%
6	$273,752	6.84%
8	$172,252	2.85%
10	$90,807	6.58%
12	$19,282	13.84%
14	$15,634	15.05%
15	$9,961	4.34%
AGE GROUP: YOUNGER		
7	$1,043,468	0.26%
13	$60,670	11.65%
17	$4,118	8.90%
18	$15,824	4.08%
U.S. Total		100%

Resource: Target Analytics, Echelon Power Segments, Implementation Suggestions document.

30 Advance Fundraising Software
Prospects, continued

Prospect Next Steps and Travel Tasks are entered by Development Officers. Prospect Next Step Tasks are entered on a Prospect's record when a new campaign strategy has been identified. Prospect Travel Tasks are entered when a Development Officer has scheduled an upcoming visit outside of the Northeast Ohio region. Users can select the **'My Tasks'** icon from the Home Screen to view and update their tasks.
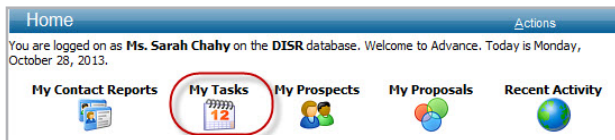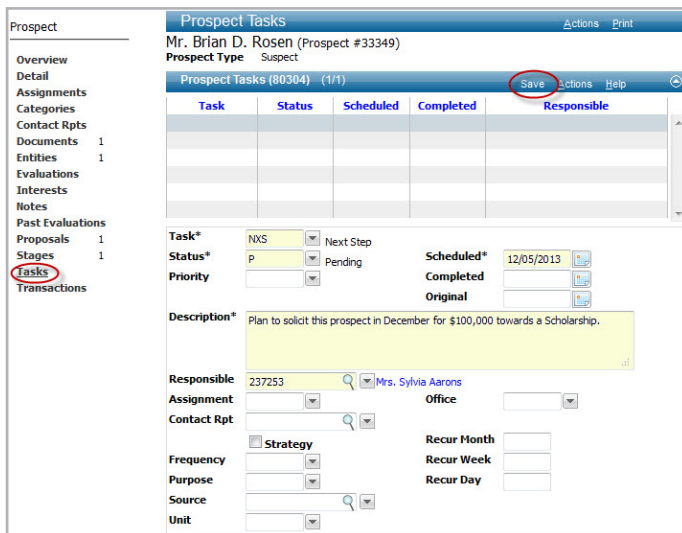

30.8 Prospect Next Step Tasks

1. Navigate to the Entity's record.
2. Click the prospect's name within the **'Prospect Summary'**.
3. Click **'Tasks'** on the Page Tree.
4. Click **'New'** on the Prospect Tasks form header.
5. Enter required fields (image below highlighted in yellow)
   Task = NXS for Next Step and Status = P for Pending.
6. Click **'Save'**.
7. Once the next step is complete, users can navigate back to the next step and update the Status to Closed or Completed.

30.9 Prospect Travel Tasks

1. Navigate to the Entity's record.
2. Click the prospect's name within the **'Prospect Summary'**.
3. Click **'Tasks'** on the Page Tree.
4. Click **'New'** on the Prospect Tasks form header.
5. Enter required fields (image below highlighted in yellow)
   Task = VST Visit and Status = P for Pending.
6. Click **'Save'**.
7. Once the Travel Task is complete, users can navigate back to the Travel Task and update the Status to Closed or Completed.
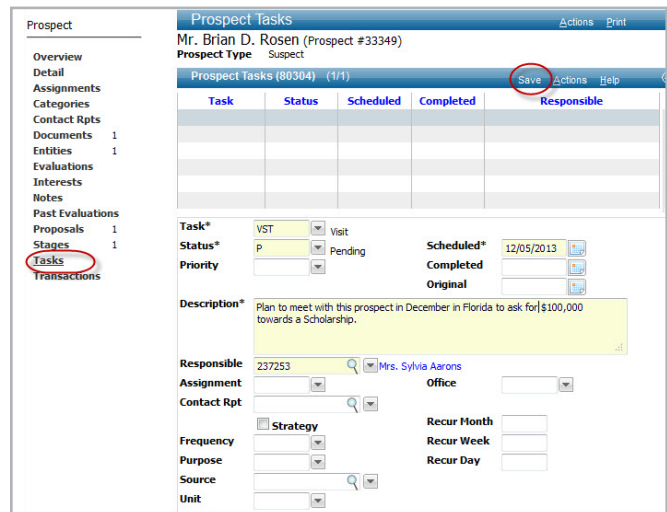
30.10 Reporting on Prospect Tasks

Next Steps: The canned report titled **'LPG - Leadership Prospect Group'** utilizes and displays Next Steps. This report is viewed by management to review potential campaign movement on significant prospects.

Travel Tasks: The **'Development Update Report',** found by clicking on the Home screen and then selecting **'Favorites'**, is populated by Travel Task data. This report is viewed by management as a way to view fundraiser activity and performance.

31 Advance Fundraising Software Proposals

Proposals are entered into Advance by Development Officers as part of the gift solicitation process. Entering proposals is directly related to receiving credit for incoming gifts. *All hard copy proposals should be sent to Central Files.*

31.1 Proposal Entry & Assignments

1. Navigate to the Entity's record (The Entity must be a prospect in order to enter a proposal. To request prospect assignment, email uris-pros@case.edu).
2. Click the prospect's name within the **'Prospect Summary'**.
3. Click **'Proposals'** on the Page Tree.
4. Click **'New'** on the Proposals form header.
5. Enter required fields (image below highlighted in yellow).
6. Click **'Save'**.

Proposal Assignments: Once the proposal is saved the user must add the Proposal Assignment (that is, identify the person who should receive credit for the gift). Sometimes two development officers will work together on a proposal. In that situation both a Soliciting and Collaborating Officer can be entered in assignments.

1. Once saved, click **'Assignments'** on the Page Tree.
2. Click **'New'** on the Proposal Assignments form header.
3. Enter required fields.
4. Click **'Save'**.
5. Note: If there are two solicitors, repeat Proposal Assignment steps 1-4 to enter the name of the Collaborating Development Officer.

31.2 Proposal Types

Annual Fund	Annual Fund gift
Capital	Funds designated for materials
Current Support	AF gift of 10K+
Endowment	Restricted or unrestricted
In-Kind Gift	Physical donations (artwork, cars, etc.)
Lectureship	Endowment for lecture series
Planned Gift	CGA: Charitable Gift Annuity
Corp. Sponsorship	Corporate donation
Planned Gift	CRT: Charitable Remainder Trust
Planned Gift	Other: General Estate Planning Gifts
Professorship	Endowment for Professorship
Program	Funds to benefit a program
Research	Funds to benefit a research
Scholarship	Endowment for Scholarship
Planned Gift	WC: Will Commitment

31.3 Editing Proposals

As proposals move through the fundraising process, it is the responsibility of the Development Officer to keep their proposals accurate and up to date. To do so, navigate to the proposal and click **'Details'** on the **Page Tree**. Edit the appropriate fields on the proposal and re-save.

31.4 Closing Proposals

When a proposal is **withdrawn** or **declined:**

1. Navigate to the proposal.
2. Click **'Details'** on the Page Tree.
3. Update the Stage to **'Declined'** or **'Withdrawn'**.
4. Uncheck the **'Active'** box.
5. Click **'Save'**.
6. Send hard copy proposal to Central Files.

When a proposal is **successful**:

1. Navigate to the proposal.
2. Click **'Details'** on the Page Tree.
3. Update the Stage to **'Solicited'.**
5. Click **'Save'**.
6. Send all gift paperwork to gifts processing along with the hard copy proposal to be filed.
7. Note: There is *no need* to add stop dates or code the proposal as 'Accepted' when it is successful. After the gift is processed, Advancement Services officially close the proposal and tie it to the gift in Advance.

31 Advance Fundraising Software
Proposals, continued

31.5 Reporting on a Fundraiser's Proposals

Fundraisers can pull a list of their proposals the following way:

1. From the Home Screen, select **'My Proposals'** icon.
2. The **'My Proposals'** screen will populate a list of entered proposals. Users can choose to either export the list of proposals to a spreadsheet or run a context sensitive report.
3. To export to a spreadsheet, select **'Actions'** - **'Export Form'** from the My Proposals form header. The results will open in a spreadsheet.
4. To run a context sensitive report, select **'Actions - Reports'** from the My Proposal form header. From the Context Sensitive Report list, select the **'Kitchensink Download - Proposal (D)'** report or the **'Proposal Stage Info'** report.
6. Note: Users will need to do this a second time from the **'My Current FY Closed Proposals'** form header and combine lists to capture both sets of data.
7. Note: Department Assistants can utilize the **'Staff Member Drop-down'** to pull a listing of proposals on behalf of a fundraiser. Contact advancetrainer@case.edu to have a fundraiser's name added to the drop-down list.
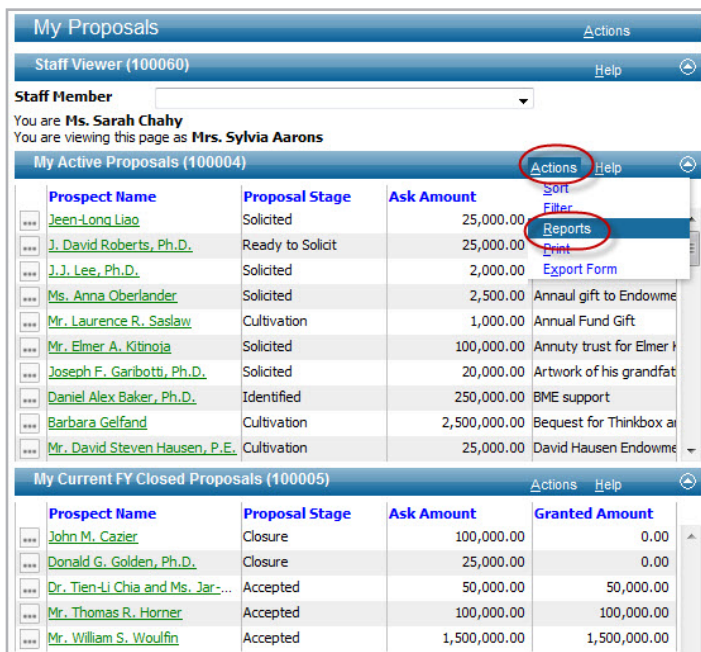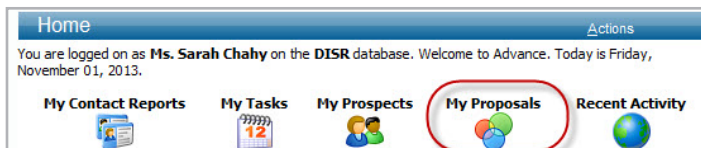
31.6 Reporting on a Prospect's Proposals

Users can pull a prospect's proposal list the following way:

1. Navigate to the Entity ID.
2. Navigate to the blue **Prospect Summary** box, clicking on the hyperlinked name of the prospect.
3. On the Prospect Overview, select **'Proposals'** on the Page Tree.
4. Users can choose to either export the entity's proposal list to a spreadsheet or can run a context sensitive report.
5. To export to a spreadsheet select **'Actions'** - **'Export Form'** from the entity's Proposals form header. The results will open in a spreadsheet.
6. To run a context sensitive report, select **'Actions - Reports'** from the entity's Proposals form header. From the Context Sensitive Report list, select the **'Kitchensink Download - Proposal (D)'** report or the **'Proposal Stage Info'** report.

31.7 Proposal Canned Reports

There are two canned reports that contain proposal information. The following two reports can be found in the Canned Reports section of Advance: **'Proposal Pipeline Report'** and **'Leadership Prospect Group Report'.**

32 Advance Fundraising Software
iModules Mass Email Process

32.1 iModules Mass Email Process

The Department of Advancement Services assists Development & Alumni Affairs in their efforts to communicate with alumni by providing a forum for sending mass emails to large groups of individuals.

Development & Alumni Affairs staff members can create emails in iModules to relay information on upcoming events such as lectures, homecoming events, chapter events, holiday greetings or new program announcements. iModules users will be responsible for building email content, querying constituent email lists, managing the email calendar, viewing email analytics and reporting.

The iModules Mass Email Process will be reviewed in iModules training. It can also be found on the Advancement Services website under 'iModules Training & Manuals'.

32.2 iModules Training

iModules Training is required for every employee wishing to use the iModules Mass Email system. Email uris-imodules@case.edu with your training request. The new user's department manager must also send an email to uris-imodules@case.edu indicating permission to access to iModules.

Questions? All iModules questions should be directed to the iModules Business Analyst at 216.368.5954 or via email at uris-imodules@case.edu.

32.3 Mass Email Policy

General Guidelines Advancement Services can only generate email addresses of entities in Advance. Each school/department has the ability to query email addresses, as well as the ability to create and release mass emails.

We do not provide downloads of email addresses but a recipient clipboard list to query within the iModules email process.

Each school or department should designate a primary and secondary person responsible for the email requests generating from their area.

Departments and schools are expected to limit the quantity of emails sent to a reasonable number. The use of a newsletter is encouraged.

All exceptions to the policy must be approved by the Associate Vice President of Alumni Relations.

Admin Rights: At least one person within each school/department will be assigned the 'Email Author' administrative right within iModules. This person will be responsible for building email content, querying constituent email lists, managing the email calendar as well as email reporting and viral marketing functionality.

The Email Author admin right allows the admin to complete all stages associated with creating an email, but they do not have access to release the email for delivery. Email Author admins will have to notify Advancement Services to release an email by completing the provided Email Release Form within the email module.

Scheduling: The email author should access the iModules Email Calendar to review all university emails scheduled for release on or near the same date. This will reduce the possibility of constituents receiving emails from multiple campus units within the same timeframe.

Emails using an Advance clipboard as the recipient list must be submitted 1 week in advance. Emails can only be scheduled for release at the top of every hour.

Testing: Once the email has been created, the Email Author can send a test preview. Send Preview allows you to send a test copy of your email to yourself (at the email address on file for the account under which you are logged in), and/or to any other additional addresses. [For example, if you have a Yahoo, MSN or other non-academic or work email account, you may want to test how the message will look when received by your members who subscribe to similar mass market email services].

Email Categories: Email categories are used to group emails according to subject and to allow members to opt-out of specific categories, so they only receive the emails they want. General Information is the default Email Category. Advancement Services will create new email categories upon devreq request.

Please note that we will not be able to delete a category or change the category name after it is created. If a user opts out of all email categories their record will be flagged within iModules and Advance. All users who opt out of specific categories will be flagged in iModules and will be systematically excluded from being emailed in the future from that category.

Subscribe & Unsubscribe: If a staff member wants to receive or stop receiving copies of emails that are sent, they should send a request to devreq@case.edu to be added to the seed list. This list is copied on ALL emails that will be sent from iModules. This replaces the is-email list and is an opt-in request as opposed to an automatically added service.

Abuse of Mass Email: Potential abuses of email will be reviewed by the Associate Vice President of Alumni Relations. Abuse can result in loss of email privileges.

CASE WESTERN RESERVE
UNIVERSITY EST. 1826

33 Advance Fundraising Software Reporting Guidelines

33.1 Basic Financial Reporting

- We use Case Management Reporting Standards as guideline for gift entry.

- We are audited every year by the CWRU Internal Audit staff and the University's external auditor.

- Private Support is verified and reported each year to CAE using the Voluntary Support for Education survey.

- We "wrote the book" on Financial Reporting: Advancement Services Research and Technology Support for Fund Raising published by CASE. Madelyn Miller authored the chapter on Financial Reporting.

33.2 Private Support vs. Commitment

The industry uses 2 types of financial reports to track fund raising performance: Attainment Reports and Private Support Reports.

Why two types of reports?

Private Support and Commitment reports are used for different purposes and tell us different things about our fundraising performance.

Private Support vs. Commitments (Attainment)

Private Support: Reports "cash" for the purpose of cash flow analysis. This is defined as "cash" in the door. The Council for Aid to Education requires us to report CWRU Private Support totals annually. We then benchmark ourselves with other educational institutions using Private Support as the basis for comparison.

Commitments: (Also referred to as Attainment) Commitment reports track institutional fundraising performance by reporting on "new" pledges and outright gifts. Commitment reports are for the most part "internal" gauges of our performance.

Private Support is cash and cash equivalents:

- Cash equivalents are gifts in kind and securities.

- Private Support is the Total of Outright Gifts and Pledge Payments.

- Pledge payments on pledges made in the current fiscal year as well as pledge payments on pledges made in past fiscal years are included.

- In Advance system, the transaction type codes are GF, PP, BG, BY, MG, CM, EG, EY, PY, OY, OG, PG, AG, and AY.

Commitments are defined as:

- "New" Outright Gifts and Pledges secured during the fiscal year.

- Payments are NOT included in commitment reporting.

- In Advance, the transaction type codes are GF,BG, AG, CM, EG, OG, PG, PL, CP, WC, EF, PD, MG, EF.

- Commitment reports are sometimes referred to as Attainment reports.

33.3 Definition of an Annual Fund Donation

- Must be ANNUAL in nature. For example, bequests are not counted in the Annual Fund because they are one time donations and will not, by nature, be coming in every year.

- Must support CURRENT OPERATIONS. Current Operations is defined as spendable income.

- Must be UNRESTRICTED in nature.

Unrestricted means the donor has placed no restrictions on the use of the donation, other than directing the donation to a particular school or college.

The Annual Fund is always reported as Cash and Cash equivalents. Annual Fund pledges are washed regularly at the end of the fiscal year providing the pledge has no future payment schedule(s).

Private Support Reports are cash and cash equivalents and are outright gifts and pledge payments only.

Attainment Reports are outright gifts and pledges.

Campaign reports like the Gift Table are based upon current Campaign crediting guidelines established by the Board of Trustees when a resolution is passed authorizing a campaign.

The Annual Fund tracks Annual Fund progress toward goal. **Annual Fund is ALWAYS cash. We never include pledges when reporting the Annual Fund.** Why? Because unpaid Annual Fund pledges are always washed so CASH is the most accurate means of tracking, benchmarking, and reporting on performance.

34 Advance Fundraising Software Context Sensitive Reports

Context Sensitive Reports are meant to be run on a particular context, usually one entity from the Entity Overview or a list of entities in a clipboard.

34.1 Context Sensitive Reporting on One Entity

1. Navigate to the Entity's record.
2. Click **'Actions'** then **'Reports'** from the Entity form header
3. Select the appropriate Context Sensitive Report and click **'Run Report'**.
4. If the report displays a Report Viewer, click **'Export - CSV'**
5. If the report produces a PDF style report, allow it to open in Crystal Viewer. To print, select the print icon on the top left.

34.2 Context Sensitive Reports & Clipboard

1. Populate your Clipboard or open a Saved Clipboard.
2. Click **'Actions'** then **'Reports'** from the Entity Clipboard form header.
3. Select the appropriate Context Sensitive Report and click **'Run Report'**.
4. If the report displays a Report Viewer, click **'Export - CSV'**.
5. If the report produces a PDF style report, allow it to open in Crystal Viewer. To print to PDF, select the print icon.

34.3 Context Sensitive Report Descriptions

Each Context Sensitive Report provides a different listing of column headers that will display in either Excel or a PDF style report. A complete listing of context sensitive reports and their column headers can be found on the Advancement Services Website under Advance Training Manuals & Documentation - Reporting.

Users should feel free to contact advancetrainer@case.edu if clarification is needed when running or interpreting Advance reports.

35 Advance Fundraising Software Canned Reports

Canned Reports are reports created based on frequent user requests. **When searching for a reporting solution in Advance, Canned Reports should always be the first point of reference.** If, after reviewing the list of canned reports, users cannot find a solution to their reporting query, they should contact advancetrainer@case.edu with their inquiry.

Certain reports require certain levels of Advance access. If users have not completed a specific training course they may not have access to a certain canned report. For example, most reports that contain giving information will require the user to have attended Gifts training. Please contact advancetrainer@case.edu with questions.

35.1 Canned Reports in Advance

To **navigate to Canned Reports**, select the **Pie Chart icon** from the Navigation bar. From there, select the appropriate canned report. Certain canned reports will ask users to enter input data. Once entered the canned report will run and will produce three types of reports: A spreadsheet (D), a printable report (P) or a clipboard (C).

35.2 Highlighted Canned Reports

Log into Advance and navigate to the Pie Chart icon to view the complete listing of canned reports. Below are just a few of the most frequently used reports:

- **Account Summary (DV150/152)**
  Users can enter date ranges and account numbers to produce a detailed listing of all charitable gifts that have been allocated to the account numbers.

- **Acknowledgment Report (D)**
  This report pulls a list of all charitable transactions by school by year by commit (gifts and pledges) and soft credit. NOTE: This report includes Deceased and No Contact Requested entities and is for informational purposes only.

- **AF Compstats LYBUNT Report (D)**
  This report is capable of producing annual fund LYBUNT, SYBUNT and/or Lapsed donor lists (people only). It excludes corporations and foundations.

- **Daily Annual Funds Report 7D (P)**
  This report reflects daily progress for each schools/department's Annual Fund for the current fiscal year. It includes cash and donors to date along with a forecast of pledge payments due in for the fiscal year.

- **Degrees Report & Majors Report (D)**
  These reports pull lists of all active alumni with specific degrees or majors.

- **Fiscal Year Attainment Report (P)**
  This report displays fiscal year to date totals with comparison to the previous fiscal year.

- **Fundraiser Performance Summary & Details Reports (P)**
  These reports provide a summary and the detail behind that summary of fundraiser contact activities, new gift commitments, proposals solicited and collaborations against goal for the fiscal year.

- **Pledges Due Report (D)**
  This report includes the data behind the monthly Pledge Reminders sent out. It does not replace any existing pledge billing processes in place. The data can be used to follow up with donors who have pledges due.

- **Reunion Report Summary & Details Reports (D)**
  Provides detailed alumni information by alumni class year.

- **Zip Code Area Lookup Report (C)**
  This report is often used by Development Officers or event planners to pull lists of entities that have a preferred address a certain distance from a specified zip code.

36 Advance Fundraising Software Development Requests (DEVREQ)

Devreqs, short for Development Requests, are ad-hoc reports generated by the Technical Services team. Advance training is provided to ensure users are capable of fulfilling day-to-day needs. However, there are certain instances where a devreq will be required.

For example, a devreq will be required when suggesting the creation or modification of a report, when a user is attempting to execute a more advanced lookup, for Honor Roll requests and various other situations.

If you are unsure whether to submit a devreq, please contact advancetrainer@case.edu for assistance. Only trained Advance users should request devreqs.

36.1 Requesting a Devreq

It is important to create a complete outline of your request prior to submitting a devreq. Thinking through the scope of your project beforehand saves both the requestor and the programmer time by limiting the need for follow up. Once your project is outlined, submit it via email to **devreq@case.edu.** Follow the format below:

- ♦ **Subject Line**
  Make the subject line of your e-mail relevant and clear.

- ♦ **Explain the purpose of the Devreq**
  In order to pull the data in a most efficient manner our programmers benefit from understanding how the data will ultimately be utilized. Please provide as much detail as possible. For example, is this a solicitation piece? Is this list for a development officer's upcoming travel? Is this an invitation list for an upcoming event?

- ♦ **List out each component of your search criteria**
  Please spec out your search criteria as clearly as possible. Make sure to clarify the following components if applicable: Reachable or Solicitable? (never both)

- ♦ **List desired output fields**
  List, specifically, which export fields you want to see in your Excel download. Users can reference the Context-Sensitive Report fields as guidance.

Once submitted, users will receive a confirmation email indicating a devreq ID and the name of the programmer who will be fulfilling the request. Please include the request number in all correspondence to the said programmer. Turnaround time for a devreq is dependent on the complexity of the devreq and the workload of the programmers.

36.2 Example Devreq Submission

- ♦ **Purpose:** A Development Officer (DO) needs a list of solicitable School of Medicine alumni who may have an interest in giving to the newly created Cardiology Institute. The DO plans to send out a solicitation letter and mass email announcing the creation of the institute. There will be a solicitation piece sent along with the hard copy mailing.

- ♦ **Search Criteria:** All active, solicitable School of Medicine Alumni who have donated $500 or more in cumulative giving in their lifetime (commitment/credit) to the School of Medicine who have a field of work or field of field of specialty or job title pertaining to Cardiology. Please exclude from the list all first time donors to the School of Medicine.

- ♦ **Export Fields:** Export Fields should include Entity ID's, First & Last Name, Salutation, Affiliation, Age, Preferred Address, Telephone Number, Prospect Manager, Assistant Prospect Manager, Total Lifetime Giving Amount to SOM, Last Gift Amount, Gift Date and Allocation to SOM (commit/credit).

36.3 Refreshing Old Devreqs

Users can request that criteria from a previously submitted devreq be refreshed again:

1. Submit a new devreq by emailing **devreq@case.edu.**
2. In the subject line indicate the old devreq ID, and the purpose of the refresh: for example 'MED: Refresh of Devreq 18256, Active Solicitable Donors.
3. In the body of the devreq indicate the purpose of the refresh and indicate any proposed changes to the original devreq criteria.

37 Advance Fundraising Software
Campaign Policy & Crediting Guidelines

37.1 Campaign Crediting Policy (rev. 10/2011)

The following crediting policies apply for the **CWRU Campaign**

♦ Gifts and pledges made to Case Western Reserve University from July 1, 2007 through December 31, 2016 will be counted toward the goal.

♦ Payments received on pledges not counted in the campaign received from July 1, 2007 through December 31, 2016 will be counted toward the goal.

♦ Outright gifts and payments (cash and cash equivalents) to the Annual Funds received after July 1, 2007 through December 31, 2016 will count toward the goal.

♦ Will commitments will count toward the goal provided the donor is or will be at least 70 years of age during the course of the Campaign. Will Commitments must meet the standards specified in the CASE Management Reporting Standards: Standards for Annual Giving and Campaigns in Educational Fund Raising.

♦ Life income gifts, charitable lead trusts, and realized bequests realized after July 1, 2007 and through December 31, 2016, but not credited to a previous University or school campaign, will receive credit at the face value of the gift.

♦ All gifts and pledges made to the Trustee Vision Campaign (TVAC) will be counted toward the goal.

♦ All gifts and pledges made to the Alumni House will be counted toward the goal.

♦ All gifts and pledges made to the University Campus Center will be counted toward the goal.

♦ All gifts and pledges made to the Inamori Center will be counted toward the goal.

♦ All gifts and pledges made to the Case Alumni Association, following the Campaign Crediting policy, will be counted toward the goal.

♦ Fiscal Years 2006 & 2007 pledges and gifts greater than $100,000 not credited to a previous University or school campaign, will count toward the goal.

♦ Individuals whose gifts are matched by their employers will receive additional campaign recognition credit for the amount of the match; however, matching gifts cannot be applied as payment against a campaign pledge.

♦ Campaign pledges may be paid on a schedule established with the donor; preferably within a five year period.

37.2 CWRU Crediting Guidelines

The following policies concerning the valuation of gifts closely follow the CASE Campaign Standards. In regards to valuation of assets transferred to CWRU, CWRU will adhere to current IRS regulations for the protection of our donors. As IRS regulations change, our gift valuation policies may also require modification. It should be noted that prior approval by the Vice President for Development is required for the acceptance of all gifts other than (1) cash, (2) publicly traded securities, (3) certain whole life insurance policies, (4) library collections valued at less than $5,000 or donated specifically to a University library, and (5) certain works of art valued at less than $5,000 or donated specifically to the University.

I. Pledges of Cash

Pledges of cash should be written and should commit to a specific dollar amount that will be paid according to a fixed time schedule. The pledges payment period, regardless of when the pledge is made, should not exceed five years.

II. Cash/Checks

Cash/checks will be reported at full value as of the date received.

III. Marketable (Publicly Traded) Securities

Marketable securities will be counted at the average of the high and low quoted selling prices on the date the donor relinquished dominion and control of the assets in favor of Case (or the average of the bid/ask in the case of certain securities). When dominion and control has been relinquished by a donor depends upon the method of delivery of the securities to CWRU. For example, stock electronically transferred to CWRU is valued as of the date of transfer. Stock in the name of the donor which has been mailed to CWRU is valued as of the latest date of postmark of either the stock certificate or signature guaranteed stock power. Stock directed by the donor to be registered in the name of CWRU on the books of the corporation is valued as of the date such stock is so registered. Stock hand delivered to CWRU by the donor in negotiable form is valued on the date received by CWRU.

CASE WESTERN RESERVE UNIVERSITY · EST. 1826

IV. Closely Held Stock

Gifts of closely held stock, approved by the Vice President for Development and exceeding $10,000 in value, will be reported at the fair market value placed on them by a qualified independent appraiser as required by the IRS for valuing gifts of non-publicly traded stock. Gifts of $10,000 or less may be counted at the value determined by a qualified independent appraiser (including an independent CPA who maintains the books for a closely held corporation) or at the per-share cash purchase price of the most recent bona fide transaction involving such stock (which must have occurred within the 12 months preceding such gift) or at the price such stock is redeemed during the campaign period.

V. Gifts of Property

Gifts of real and personal property, approved by the Vice President for Development, for which donors qualify for a charitable deduction, will be counted at their full fair market value as substantiated by a qualified appraisal and/or I.R.S. Form 8283 by the donor. Gifts-in-kind, such as equipment and software, will be counted at their educational discount value, which, for purposes of these standards of reporting, shall be deemed to be fair market value. When no educational discount value can be determined, especially in the case of donated software, a value of 50% of retail will be deemed fair market value and so counted for campaign purposes.

VI. Irrevocable Life Income Gifts: Charitable Remainder Trusts, Pooled Income Funds, Gift Annuities (Current and Deferred)

Irrevocable life income gifts to CWRU having a remainder value equal to or greater than 25% according to the I.R.S. tables shall be counted at full market value for campaign purposes.

Example: Donor makes a gift of $100,000 to a charitable remainder unitrust. CWRU's remainder interest is calculated under the IRS tables to be $50,000, or 50%. Donor's gift is thus counted for campaign purposes at its fair market value of $100,000.

Campaign credit will be given for charitable remainder trusts administered outside of CWRU, provided CWRU's interest in such trust is irrevocable and verifiable. With respect to all life income arrangements, whether or not administered by CWRU, campaign credit shall only be given only to the extent CWRU remainder interest is irrevocable.

VI. Irrevocable Life Income Gifts, continued

Example: CWRU is presently the sole charitable beneficiary of an otherwise qualifying charitable remainder trust but the donor has given the trustee the right to divert 50% of the principal to other charities. The donor will thus receive campaign credit for only 50% of the full fair market value of the trust. If the trustee can divert only 25%, however, the donor gets credit for 75%.

VII. Remainder Interests in a Residence or Farm

A gift of a remainder interest in a residence or farm shall be counted for campaign purposes at full fair market value of the residence or farm. An appropriate discount shall be applied where the remainder value is under 25% according to the I.R.S. tables in accordance with the provisions relating to Irrevocable Life Income Gifts.

VIII. Irrevocable Charitable Lead Trusts

Campaign credit shall only be given to the extent a charitable lead trust is verifiable and CWRU's interest therein is irrevocable.

A. Irrevocable Charitable Lead Annuity Trust: The aggregate amount of the anticipated annuity payments to be received over the first five years of the trust shall be counted at full value. Anticipated annuity payments to be received in year six and beyond shall be counted at their discounted present value.

Example: Donor establishes a $1,000,000 CLAT having a seven year term and a 10% payout rate. The annual payments to Case will be $100,000, for a total of $700,000 payable over the term of the trust. Donor will receive campaign credit for the first five years of payments -- $500,000 -- at full value. For years six and seven, donor will receive credit equal to the discounted present value of the remaining income stream based on a then current AFR of 7.6%, which is $124,330. Donor thus receives total campaign credit of $624,330 ($500,000 + $124,330).

B. Irrevocable Charitable Lead Unitrust: The aggregate amount of the anticipated unitrust payments to be received over the first five years of the trust, after applying the AFR for the month the trust was established as an anticipated income return, shall be credited to the campaign at full value. Anticipated annuity payments to be received in year six and beyond shall be credited to the campaign at their discounted present value.

Example: Donor establishes a $1,000,000 CLUT having a seven year term and a 10% payout rate. The growth rate of the trust principal is based on the then current AFR rate, 7.6% for purposes of this example. Based on the above assumptions, the estimated annual payments from the trust over the 5 year period are projected to be: (1) $100,000; (2) $97,600; (3) $95,258; (4) $92,972; and (5) $90,740 -- or a total of $476,570 over the five year period. The discounted present value of the income stream to be received in years 6 and 7 based on the then current AFR is computed as $108,827. Donor thus receives total campaign credit of $585,397 ($476,570 + $108,827).

IX. Realized Bequests and Other Testamentary Distributions

A. Bequests and Revocable Testamentary Gifts: All amounts received by CWRU by bequest or pursuant to other revocable testamentary plans during the campaign shall be credited at the value received, provided that if such amount was previously credited for campaign purposes as an expectancy, only such amount received in excess of the previously credited expectancy amount shall be counted.

B. Amounts received from Life Income Plans: Amounts received from life income plans during the campaign of which CWRU had no prior knowledge shall be counted at the value received. In cases where CWRU receives amounts from life income plans established with CWRU's knowledge during the campaign, only those amounts in excess of the previously credited amount shall be so counted for campaign purposes.

X. Testamentary Intentions, Continued

Confirmed provisions for CWRU in wills, revocable trusts or other revocable instruments (including, but not limited to, individual retirement accounts, qualified plan and life insurance beneficiary designations), and revocable beneficiary designations of CWRU in otherwise irrevocable charitable remainder trusts by donors age 70 or older during the course of the campaign, shall be counted for campaign purposes at their face value.

X. Testamentary Intentions, Continued...To be counted, such expectancies must be in the form of a specified amount or a percentage of the donor's estate or relevant asset pool, as appropriate, based on a credible estimate of the future value of such estate or asset pool at the time the commitment is made. In the case of individual retirement account, qualified plan or other similar arrangement where the pool of assets will be depleted over time by mandatory distributions, the donor's Will must contain a provision to the effect that any shortfall in the anticipated amount passing to CWRU be made up from the donor's estate. For verification purposes, at a minimum, there must be written acknowledgment of the commitment by the donor or the donor's attorney with a copy of the relevant legal provisions. The execution by the donor of a Charitable/Deferred Pledge Agreement would be a preferred method of confirming the donor's commitment. The discounted present value of verifiable expectancies shall be calculated as follows:

A. Specific Dollar Gifts: A gift of a specific dollar amount shall be entered into the system at face value after giving consideration to the full range of circumstances preceding CWRU's receipt of the gift.

B. Percentage Gift: If a donor specifies that a percentage of his/her estate will come to CWRU upon their death, and a specific amount or estimate is not provided by the donor, the Will Commitment will be entered at the value of $1..

C. Miscellaneous: If the value of a donor's estate can not be reasonably estimated, the Will Commitment will be entered at a value of $1,000.

XI. Life Insurance

To count gifts of life insurance, CWRU must be the owner and irrevocable beneficiary of the policies.

A. Paid-up Life Insurance Policies: Paid-up life insurance policies will be counted at the cash surrender value, and reported as a current outright gift.

B. Existing Policies Not Fully Paid Up: A life insurance policy that is not fully paid up on the date of contribution, which is given to CWRU during the period of the campaign, will be counted at the existing cash surrender value and recorded as an outright gift. A pledge of continuing premium payments will be counted at the aggregate of the remaining projected premiums over said five-year pledge period at full value.

CASE WESTERN RESERVE UNIVERSITY EST. 1826

XI. Life Insurance, continued...

C. New Policies: A pledge of premium payments for a new policy over a five-year pledge period will be counted at the aggregate of the projected premiums over said five-year pledge period at full value.

D. Realized Death Benefits: The insurance company's cash settlement amount for an insurance policy whose death benefit is realized during the campaign period, whether the policy is owned by the institution or not, will be counted in campaign totals, provided no gift amounts in connection with said policy (cash value of gifted policy or cash premiums received) were previously counted in campaign totals. To the extent any cash value or premium amounts were previously counted in the campaign period, appropriate adjustments will be made so that only the excess of the settlement amount over the previously counted amounts will be counted.

XII. Wholly Charitable Trusts Administered Outside CWRU

In the case of a wholly charitable trust administered outside of CWRU, the fair market value of the trust assets, or such portion thereof, representing CWRU's irrevocable income interest therein shall be credited as a current gift in the year in which the trust is established. All income from the trust will be treated as endowment income and, thus, will not be counted for campaign purposes. The face value of the trust will be counted during the year in which the trust was made known to CWRU.

In the case of a wholly charitable trust administered outside of CWRU where the principal of the trust was never entered into the gift system, all income from the trust will be entered as a gift for each fiscal year.

XIII. Non-Government Grants and Contracts

Grant income from private, non-government sources (a.k.a. Private Research Support) will be reported; all contract revenue will be excluded. The difference between a private grant and contract is judged on the basis of the intention of the awarding agency and the legal obligation incurred by CWRU in accepting the award. A grant, like a gift, is bestowed voluntarily and without expectation of any tangible benefit in return. It is donative in nature. A contract carries an explicit "quid pro quo" relationship between the source and the institution.

XIV. Gifts Associated with Direct Benefits to Donors (Tickets, Memberships, Auctions, Raffles, Contests)

In accordance with IRS requirements, invitations, reply cards, tickets, letters and other printed materials produced for any fund raising event sponsored by any unit of the University must clearly reflect the fair market value of any benefit to the donor. This applies to all fund-raising events, including those that are underwritten. The following definitions should be kept in mind when reviewing this guideline:

Fund-Raising Event: An activity sponsored by CWRU for the purpose of fund raising to benefit the University. In exchange for the price of admission, the donor generally receives a benefit or privilege.

Auction: A fund raising event at which guests pay the University or for goods and services donated by third parties.

Benefit: The fair market value of a ticket to any event, of any good or service purchased at an auction, or of consideration associated with membership. In relation to an event, the term benefit applies, but is not limited, to the fair market value of a meal or other food and beverage service, entertainment, performance, or sporting event. The benefit associated with a purchase at an auction is equal to the fair market value of the good or service bought. In relation to memberships, benefit refers to the fair market value of gifts and privileges associated with the level of membership. If the membership results in favorable seating consideration at on-campus athletic events, where no tangible value can be assigned, the IRS requires that donors only claim 80% of the "gift" as a charitable deduction.

Raffle: A means of raising funds in which each participant buys a ticket for an article put up as a prize with the winner being determined by random drawing. Amounts paid for chances to participate in raffles or similar drawings, and amounts paid to participate in contests for valued prizes, are not regarded as gifts under IRS regulation and do not qualify as deductible charitable contributions.

The concept of benefit, as defined above and as applied to all fund-raising activities, is applied even if the donor does not attend the event but receives a ticket, or does not exercise rights associated with membership.

XIV. Gifts Associated with Direct Benefits to Donors, continued...

Questions in regard to acceptable language on tickets and promotional literature should be referred to the Assistant Director, Donor Records or the Executive Director of Advancement Services. Care must be taken, however, to ensure that when any benefit is associated with a contribution, applicable literature can not characterize the full face price of the ticket or membership to be a donation, contribution, or gift, nor may such items state the cost of the ticket or membership as being "deductible to the extent provided by law".

Fair market value of tickets should be determined in relation to comparable events. For example, concerts, theatrical and athletic performances should be related to the price normally charged for admission. Dinner and dinner/dances should be related to total expenses before underwriting. A reception or dinner plus performance should take both elements into account. If the event has no counterpart by which fair market value can be measured, then the benefit amount is determined by reasonable estimate by a Case Western Reserve University staff member knowledgeable in such affairs, with such estimates well documented.

In the case of auctions, the fair market value of the items sold shall be printed in a program or announced to the participants before the bidding begins. Only the total paid above and beyond the documented value of items auctioned will be recognized as gifts and processed as such through the Gifts Processing unit. All amounts equal to or below fair market value will be treated as non-gifts and processed as such by the area conducting the auction. Be advised that the actual item sold, if previously donated, has already resulted in Gift-In-Kind credit (see following policy) to a donor. Giving the purchaser of the item credit for the full amount would not only be incorrect in accordance with IRS regulations, but would result in double counting of the gift value.

XV. Gifts of Non-Monetary Items

Gifts of non-monetary items generally can be regarded in one of four ways with only the Gift-In-Kind and Out of Pocket expenses category being eligible for counting in Case fund raising totals:

XV. Gifts of Non-Monetary Items, Continued...

Gifts-In-Kind: Donated tangible and intangible assets and property such as real estate, notes, mortgages, limited partnership interests, royalty or copyright interests, art, books, equipment, automobiles, inventory, personal property, and other physical assets or materials which represent value to the University. See the following Gift Acceptance Policy for additional specifics.

Out of Pocket Expenses: Payments made by a donor to a vendor for material or services utilized on behalf of CWRU. This includes un-reimbursed expenses paid by a person while volunteering time to the University. For example, the expenses incurred by a donor sponsoring a dinner party to promote the University, is such a gift.

Services: This term includes professional or personal services or time which is freely given and which easily can be valued by their usual market cost. Gifts of services may be recognized by the University, but are generally not recognized by the IRS as being tax deductible. Examples of gifts of services are the donation of broadcast time by a radio station or legal services by an attorney.

Limited Use of:

Private Property: The right to rent-free use of a home, office, piece of equipment or commercial property owned by a donor for a specific event for a specific period of time. Such gifts are only occasionally recognized by the University, but are generally not recognized by the IRS as being tax deductible. Examples include the rent-free use of office space, or the rent-free use of a vacation home to host a University event.

Typically, the only non-monetary gift considered for gift recognition purposes are the above referenced gift-in-kind and Out of Pocket Expenses. Gifts-in-kind must be reviewed with special care to ensure that acceptance will not involve financial commitments in excess of budgeted items or other obligations disproportionate to the usefulness of the gift. Consideration should be given to the cost of maintenance, cataloging, delivery, insurance, display, and any space requirements for exhibiting or storage. All gifts of real estate or unusual items of questionable value must be presented to, and approved by, the Vice President for Development prior to acceptance. The University Treasurer and the Office of University Attorney should also be notified.

Glossary

A **ALUMNI:** Former students of a university are considered alumni. All alumni who house a degree or certificate from CWRU are automatically entered into Advance as Alumni. However the University also recognizes students who have 12 or more credit hours from CWRU, regardless if they have obtained a degree or certificate; however they are not automatically entered into Advance.

ANNUAL FUND DONATION: CWRU's definition of an Annual Fund donation is that it must be annual in nature (expected to come in every year), they must support current operations (defined as spendable income), and they must be unrestricted (the donor has placed no restrictions on the use of the donation, other than directing the donation to a particular school or college). The Annual Fund is always reported as Cash and Cash equivalents. Pledges are not included when reporting the Annual Fund because unpaid Annual Fund pledges are washed. Cash (gifts and pledge payments) is the most accurate means of tracking, benchmarking, and reporting on performance.

ANNUAL FUND PLEDGE: Annual Fund Pledges are pledges that are annual in nature, meaning they should ideally occur year after year. At the close of the fiscal year, all unpaid annual fund pledges that do not have a payment schedule date greater than June 30 in the system will be washed automatically.

ANNUAL FUND PROSPECT: A prospect coded Annual Fund indicates that CWRU will attempt to solicit, over the prospect's lifetime, a total lifetime giving sum of $10K or less to the Annual Fund in donations to CWRU.

ANNUITY: Annuities differ from outright gifts because CWRU does not realize an asset until some point in the future. In an annuity transaction, the donor transfers assets (cash or securities) to CWRU and, CWRU in turn pays the donor or other beneficiaries a guaranteed payment for life.

APPEAL: Appeals track Annual Fund dollars raised as a result of a particular direct mail piece. This tracking is done with an appeal code which is created by Advancement Services and then uploaded by the individual development department using Appeal Loader.

ASSISTANT PROSPECT MANAGER: The Assistant Prospect Manager is second in line to the Prospect Manager. The prospect manager is responsible for coordinating all contacts of a philanthropic nature with the university. Requesting assignment as a prospect manager indicates an intent to solicit a special, major or principal gift from a prospect. There can only be one designated prospect manager, but multiple assistant prospect managers and an annual fund manager. All other claimants must abstain from soliciting a prospect without first consulting the assigned prospect manager.

ATTAINMENT: Also known as Commitment. Attainment is calculated by adding Gifts, Matching Gifts and Pledges. Pledge payments are NOT included in attainment reporting.

AUCTION: A fund raising event at which guests pay the University or for goods and services donated by third parties. Individuals who purchase goods or services are not counted as charitable donors. In most cases however the individual who donated goods for the auction may receive charitable credit for their items.

B **BANK DRAFTS:** A method of giving. A donor may elect to have Gifts Processing electronically debit their checking or savings account regardless of where they bank. These drafts are established for one time gifts as well as for indefinite periods and may be stopped when Gifts Processing receives a written request from the donor. CWRU calls the bank draft program EZ Giving. The donor completes an EZ Giving form and returns it to Gifts Processing. Once a month, Gifts Processing personnel will debit the donor's specified amount from the donor's account. Bank debits can be done on the first of the month and the 15th of the month.

BENEFIT: The fair market value of a ticket to any event, of any good or service purchased at an auction, or consideration associated as sponsorship. In relation to an event, the term benefit applies, but is not limited, to the fair market value of a meal or other food and beverage service, entertainment, performance, or sporting event. The benefit associated with a purchase at an auction is equal to the fair market value of the good or service bought. In relation to sponsorships, benefit refers to the fair market value of gifts and privileges associated with the level of sponsorship.

Glossary

BEQUEST: A bequest is a provision in a will, trust, or other testamentary legal document providing a gift to CWRU upon the death of the donor or his/her beneficiary. Will Commitments can be revocable. When the donor's assets are transferred to CWRU after death, they are recorded as Bequest Gifts or Realized Bequests in Advance.

BLACKBAUD RATING: Blackbaud Ratings can be found on the Entity Overview under Prospect Tracking, Evaluations. Blackbaud is a predictive model which charts capacity to give and the likelihood a prospect will give. It is the most detailed product available on the market.

C CAMPAIGN: A campaign is an intensive fundraising effort designed to raise a specified sum of money within a defined time period to meet the varied asset-building needs of an organization.

CANNED REPORTS: Canned Reports are prebuilt by Advancement Services' programmers to satisfy frequent user requests. Canned Reports are located at the top of the Advance screen and can be accessed by clicking on the Pie Chart icon.

CAPITAL FUNDS: Capital Funds are resources earmarked for (1) building construction, renovation or remodeling; (2) equipment; or (3) books and other non-disposable items.

CASH: Also known as Private Support. Cash is calculated by adding Gifts, Matching Gifts and Pledge Payments. Pledge payments made in the current fiscal year as well as pledge payments on pledges made in past fiscal years are included.

CHARITABLE GIFT: Charitable gifts are tax-deductible gifts made to a not-for-profit organization. Charitable gifts are a voluntary transfer of items of value from individuals, industry, foundations and other sources to the University for either unrestricted or restricted utilization in the operation of the University, for which the University has made no commitment of resources or services, other than the possible agreement to the designation of the use of the gift by the donor. Gifts usually take the form of cash, checks, securities, real property, or personal property.

CHARITABLE GIFT ANNUITY (CGA): A CGA is a contract between a donor and a charity whereby the donor transfers cash to the charity in exchange for a partial tax deduction and a lifetime stream of annual income from the charity. When the donor passes away, the charity may utilize the gift(s). CGA's are a type of Planned Gift.

CHARITABLE LEAD TRUST: A charitable lead trust allows for one or more charitable organizations to receive income payments from the trust for a specified number of years or one or more lifetimes. At the end of the term, the assets of the trust return to the donor or designee. A lead trust can reduce gift and estate taxes or provide a charitable deduction for the donor. Charitable lead trusts are most appealing to wealthy donors who want to pass appreciated assets to their heirs without paying a substantial amount in taxes.

CHARITABLE REMAINDER TRUST: Two basic types of charitable remainder trusts qualify for federal tax benefits (see Annuity Trust and Unitrust). In both arrangements, a donor gives stock, cash, or other assets to a trust. Those assets are invested; producing income for the donor--or other beneficiary--either for a fixed period of time or until the donor dies. The donor is allowed to claim a tax deduction for the estimated portion of the assets that will ultimately go to charity. When the donor dies, the charity keeps all remaining assets.

COLLABORATING DEVELOPMENT OFFICER: A Collaborating Development Officer is a fundraiser who has collaborated with another fundraiser to obtain a gift. Proposals in Advance allow the addition of a Collaborating DO so that both the Soliciting DO and the Collaborating DO will receive credit for the gift.

COMMITMENT: Also known as Attainment. Commitment is calculated by adding Gifts, Matching Gifts and Pledges. Pledge payments are NOT included in commitment reporting.

Glossary

CONDITIONAL PLEDGE: Conditional pledges are those that place requirements on the institution to perform some task or take some sort of action that it might not otherwise initiate. A conditional pledge may also depend on some future event over which neither the institution nor the donor may have control (i.e. a foundation makes a 200k pledge paying 25k per quarter that is contingent upon reasonable expansion of co-op program and student participation therein). Conditional pledges can also be challenge pledges where by the donor will give a certain amount of money if the university raises additional money for a particular purpose.

CONTACT REPORT: A contact report is a written record of conversation, phone call, appointment attempt, visit or substantive phone call with an entity or prospect. Contact Reports are entered into Advance under the Entity Overview screen and should include as much relevant information as possible (who, what, why, where, when, next steps). Three types of Contact Reports count towards a DO's performance review/goals: Visit-Home Office, Visit-Campus and Substantive Phone Call.

CONTRACTS: An agreement between CWRU and another entity to provide an economic benefit for compensation. The agreement is binding and creates a quid pro quo relationship between the institution and the entity. Contracts are excluded in CWRU's fundraising totals.

CONTEXT SENSITIVE REPORTS: Context Sensitive Reports run on one or more entity records in Advance. Users should first perform an entity lookup or create a clipboard list of entities. From there, users click Actions – Reports and select from the Context Sensitive Report list.

CREDIT CARDS: A method of giving. CWRU can process VISA, MasterCard, Discover Card, and American Express credit cards. Advancement Services must be provided with the name as it appears on the credit card, the name and address of the donor, the credit card number and expiration date, and an amount to process this type of gift.

CURRENT SUPPORT: Current support is a proposal code that would be used by a Major Gift Development Officer if they received an Annual Fund gift over $10K while out on a personal solicitation visit. The Development Officer would receive credit for the gift in their performance report, but the funds would go towards the Annual Fund goal.

D DEVELOPMENT OFFICER: Also known as a Fundraiser. Annual Fund Officer and Major Gift Officer are types of Development Officers. Annual Fund Officers focus on raising money for the Annual Fund while Major Gift Officers focus on larger gifts, will commitments, endowments, professorships, special gifts, etc.

DEVREQ: Also known as Development Requests. Devreqs are ad-hoc reports generated by the Advancement Services technical team. Common devreqs include executing pulls not possible using standard Advance lookups, honor roll requests, creating or changing current reports, and suggesting possible changes to the Advance database. Email devreq@case.edu to submit a devreq.

DONOR: An entity (person, corporation, foundation or organization) that has given a charitable contribution to the University via a donation of cash, check, securities, pledge, gift-in-kind, etc.

DO NOT CALL FROM CALLING CENTER: Do Not Call is a solicitation code indicating entities should not be called by the Student Calling Center. Development Officers may contact them via telephone, however. When running lists, these entities are included in both "Reachable" and "Solicitable" categories.

E ECHELON RATING: Echelon Ratings can be found on the Entity Overview under Prospect Tracking, Demographic and are considered a type of rating used for prospecting purposes. Echelon Ratings are defined as the measure of a prospect's liquid asset values.

ENDOWMENT: A fund established to support particular programs, projects, or activities over an extended period of time. Endowment funds are invested and a percentage of the income is applied to purposes designated by the donor at the outset.

Glossary

EX-DEGREES: In Advance, Ex-Degrees can be found on the following records: a current student (degree will have expected graduation info), a former student/non-grad (started at CWRU but never completed a degree), or a placeholder to associate someone with a particular class. Examples include: a student who started school with one class (2001), had to take time off for whatever reason, and therefore graduated with another class (2003). Although that student technically graduated with the class of 2003, they may chose to associate more with the class of 2001. When running a reunion years report, include ex-degrees to make sure they are included in the year they affiliate with.

EXPECTATION: Expectation is found on the Prospect Overview screen and is considered a type of rating used for prospecting purposes. Expectation is the amount expected to be raised by a Development Officer during the campaign period. This number is controlled by the Development Officer assigned to this prospect. If the DO feels this number is inaccurate, they should contact Stuart Oakes (dso@case.edu) to discuss.

F FOREIGN CURRENCY: A method of giving. Foreign currency, US dollars drawn on foreign banks, and foreign "dollars" may all be submitted and treated as gifts. The internal procedures vary depending on the nature of the item submitted for processing, but the result is the same. The donor will receive credit in US dollars for the amount the gift is valued at, based on current exchange rates, as of the day of receipt. CWRU incurs what can amount to substantial bank fees to process these gifts. Foreign currency/checks drawn on foreign banks are assessed a per item handling fee. US currency items drawn on foreign banks will be assessed fees also. For this reason we should discourage a donor from sending a gift that is not in US denomination and drawn on a US bank.

FUND-RAISING EVENT: An activity sponsored by CWRU for the purpose of fund raising to benefit the University. In exchange for the price of admission, the donor generally receives a benefit or privilege.

G GGA RATING: GGA Ratings, aka Grenzebach Glier & Associates Ratings, can be found on the Entity Overview screen under Prospect Tracking, Evaluations and are considered a type of rating used for prospecting purposes. Almost all individuals in Advance were GGA Rated in 2005.

GIFT: A voluntary transfer of things of value from individuals, industry, foundations and other sources to the University for either unrestricted or restricted utilization in the operation of the University, for which the University has made no commitment of resources or services, other than the possible agreement to the designation of the use of the gift by the donor. Gifts usually take the form of cash, checks, securities, real property, or personal property. No one should make a gift to the University where he or she stands to receive private gain from the gift and the University should not accept such a gift or provide such assurances. CWRU is a 501(c)(3) tax-exempt organization and is qualified as such in that it is "...organized and operated exclusively for...scientific...or educational purposes... no part of the net earnings...inures to the benefit of any private shareholder or individual...".

GIFT ANNUITIES: In an annuity transaction, donors contribute cash, securities, or other assets to the university. In exchange, they receive annual payments for a fixed amount of time. With a deferred gift annuity, the annual payments do not start when the gift is made; they begin at a time specified by the donor when the gift is made. Gift annuities are attractive to donors who want to receive income from assets that have risen sharply in value, such as cash or stocks. In return for gifts of such assets, CWRU guarantees the donors a fixed annual income for the rest of their lives and helps the donor avoid capital-gains tax. The donor also gets an income-tax break on a portion of the earnings from an annuity; the exact amount depends on a donor's age.

GIFT CLUBS: Gift clubs are a donor recognition grouping tool auto-populated by Advance based on a certain level of giving or a type of gift. CWRU Gift Clubs are: President's Circle (1 mil+ lifetime giving to CWRU), Turning Point Society (100K+ lifetime giving to CWRU), Luminary Society (Any type of planned gift to CWRU).

GIFT RECEIPTS: Gift Receipts are generated daily for transactions of a gift or pledge payment; pledges do not generate receipts. The Student Calling Center generates pledge receipts for all pledges received through the Student Calling program. Receipts are an accurate reflection of how and when we processed a contribution and are acceptable for tax preparation purposes. The IRS has stipulated that a donor must possess an official acknowledgment for any gift in order to claim a charitable tax deduction.

Glossary

GIFTS-IN-KIND: Donated tangible and intangible assets and property such as art, books, equipment, automobiles, inventory, and other physical assets or materials which represent value to the University. Gifts-In-Kind are processed with their appraised value garnered from an independent appraiser. If no appraisal is available gifts-in-kind are entered with a value of $1.00.

GRANTS: Received by the University from corporations, foundations, and other organizations, for the support of University programs and projects. Grants fall into two categories:(1) Non-Specific Grants are those received by the University in support of restricted programs or projects, but which do not result from a specific grant proposal. No specific resources or services are committed, and no accounting of the use of the funds is required.(2) Specific Grants are those received by the University in accordance with the terms of approved grant proposals for specific programs and projects. Commitments of University resources or services are made as a condition of the grant, and an accounting of the use of the funds may be required by the grantor.

H HONOR ROLL: The Honor Roll of Donors is a publication produced annually by each school within the university to acknowledge the many donors, alumni and friends who have donated to the university. Honor Rolls for campaign contributions or major gifts to the university may also periodically be produced.

I INTENTIONS: An intention is a verbal promise that is not legally enforceable. Intentions are entered into the system, but do not count towards goals or attainment calculations.

L LEGAL CREDIT: (Also knows as Hard Credit) Legal credit is given to the entity from whom a contribution is received. Legal donors will receive the official CWRU tax receipt. Whoever writes and signs the check is the Legal Donor and will receive both Legal and Soft Credit for that gift.

LIFETIME RATING: Lifetime rating is found on the Prospect Overview screen and is considered a type of rating used for prospecting purposes. Lifetime Rating is defined as 3 to 5 percent (conservatively calculated) of demonstrated net worth. Lifetime Rating is what a prospect can be expected to expend philanthropically over the course of his or her lifetime to any charitable institution.

M MAJOR GIFT PROSPECT: A prospect coded Major Gift indicates that CWRU will attempt to solicit, over the prospect's lifetime, a total lifetime giving sum of $100K to $1 million or more in donations to CWRU.

MATCHING GIFT: Matching gifts are gifts made by corporations that match the voluntary contributions of employees or other eligible participants.

MEMORIAL AND HONOR GIFT: Memorial and Honor gifts are given to the university in memory and/or in honor of someone. In memory denotes the person is deceased and in honor of implies the person is alive.

N NO CONTACT REQUESTED: No Contact Requested is a code indicating these entities should never be contacted in any way (regular mail, email or phone). When running lists through clipboard these constituents are automatically removed so as not to receive mail pieces, phone calls or emails. In some instances these entities are deceased. In other instances, the entity has personally instructed the University not to contact them for any reason.

O OPERATING FUNDS: Operating funds meet regular, ongoing expenses incurred in the general operation of the University. Operating Funds may be designated to specific purposes or for unrestricted use.

OUTRIGHT GIFTS: Outright gifts are contributions made by cash, check, credit card, stock transfers, wire transfers, and gifts-in-kind.

P PAYROLL DEDUCTION: A method of giving. CWRU Employees are eligible to make charitable contributions to CWRU via payroll deduction. These are post tax deductions. Employees should contact Gifts Processing to set up a recurring deduction.

PERMANENT NON-SOLICIT: Permanent Non-Solicit is a code indicating these entities should not be solicited at any time by anyone (Development Officers or Student Calling Center). These entities can still be invited to events and are mailed informational mail pieces about CWRU, alumni magazines, etc., but should never be solicited. When running lists, these constituents are included in the "Reachable" category only.

Glossary

PLANNED GIFT: Also known as Deferred Gift. Planned Gifts differ from Outright Gifts because the benefiting nonprofit organization does not realize an asset until some point in the future. Examples of Planned Gifts include Will Commitments, Charitable Gift Annuities (CGA's), Trusts and Life Insurance Policies.

PLEDGES: Pledges are legally enforceable promises to give. The donor specifies that he or she will give a specific amount to a specific purpose sometime in the future and also specifies the payment schedule. There are Annual Fund Pledges and Non-Annual Fund Pledges. Types of pledges include: Straight Pledge, Conditional Pledge, Pledge Intention, and Will Commitment.

PLEDGE INTENTION: A donor's unconfirmed pledge to give to CWRU. Intentions are not legally enforceable because the donor has not provided the institution with a written intent to pledge. If a donor signs a letter of intent for a will commitment, but will not be age 70 by the year 2016, it will be entered as an Intention in the system. Intentions will not count toward goal or attainment calculations.

POOLED-INCOME FUNDS: The donor gives cash, securities, or other assets to a non-profit organization, which then invests those assets in a large, diversified portfolio. The donor receives income from the fund proportionate to the value of his or her contribution, as well as an income-tax deduction based on the estimated principal that will be left to the charity. Obtaining a "unit" in a pooled-income fund is similar to buying a share of a mutual fund. Like gift annuities, pooled-income funds appeal to donors who want to earn income on stock and other assets and escape capital-gains taxes. Unlike the annuities, a donor's income from a pooled-income fund is tied to fluctuating interest rates. That means that in the long run, donors may receive larger earnings than they do from annuities, but they can also do less well in the short term. As a result, the funds tend to appeal to younger people who are more often willing to take risks with their investments.

PRINCIPAL GIFT PROSPECT: A prospect coded Principal Gift indicates that CWRU will attempt to solicit, over the prospect's lifetime, a total lifetime giving sum of $1 Million or more in donations to CWRU.

PRIVATE SUPPORT: Also known as Cash. Private Support is calculated by adding Gifts, Matching Gifts and Pledge Payments. Pledge payments made in the current fiscal year as well as pledge payments on pledges made in past fiscal years are included.

PRIZM RATING: PRIZM Ratings can be found on the Entity Overview under Prospect Tracking, Demographic and are considered a type of rating used for prospecting purposes. PRIZM Ratings classify thousands of neighborhoods in 66 lifestyle segments, each a distinct marketplace group. It provides a highly accurate measure of socioeconomic standing, philanthropic tendency, and lifestyle indicators. Variables include social rank, household composition, mobility, ethnicity, housing and urbanization.

PROPOSAL: A proposal is a formalized plan for a charitable gift. Both Annual Fund and Non-Annual Fund Proposals are entered into Advance. Annual Fund Proposals should only be entered if they are $1K or more and are personally solicited by the AF Officer (not a result of a mass mailing). Non-Annual Fund proposals are generally considered Major Gifts and should be entered by the Major Gift Development Officer if they are $10K or more. It is a DO's job to enter proposals and keep them up to date as they progress through the sales stages.

PROSPECT: A prospect is any potential donor whose linkages, giving ability and interests have been confirmed. Every prospect begins as an entity. Once an entity is identified as a prospect a Prospect Summary Record is created. If an entity is married, the spouses will be joined together as one prospect. There are three prospect levels: Special Prospects (10K – 99,999), Major ($100K – $999,999) and Principal ($1M+). Certain prospects are coded Presidential Prospects, which are assigned to the President and are managed by the Senior VP or his/her assignee.

PROSPECT MANAGER: The prospect manager is responsible for coordinating all contacts of a philanthropic nature with the university. Requesting assignment as a prospect manager indicates an intent to solicit a special, major or principal gift from that prospect. There can only be one designated prospect manager, but multiple assistant prospect managers and an annual fund manager. All other claimants must abstain from soliciting a prospect without first consulting the assigned prospect manager.

Glossary

PROSPECT/PROPOSAL SALE STAGES: The Sales Stage cycle is found both on the Prospect Overview screen as well as on individual proposals. The cycle follows this order: Qualification, Identified, Cultivate, Ready to Solicit, Solicited, Closure/Acceptance, Stewardship/Re-cultivate. There is also an additional stage of Stewardship for Life. Development Officers are responsible for updating the Proposal Sale Stages while the Associate Director of Prospect Management in Advancement Services is responsible for updating the Prospect Sales Stages.

QUASI ENDOWMENT FUNDS: The Board of Trustees, upon recommendation of Administration, can decide to retain and invest funds. There are two types of quasi endowments: unrestricted and restricted. Concerning the unrestricted, the Board has the right to decide at any time to expend the principal of such funds and to designate how the income is to be spent. As to the restricted, while the Board decides to establish an endowment account with the funds, neither the principal nor the interest may be used for any purpose other than that designated by the donor.

RAFFLE: A means of raising funds in which each participant buys a ticket for an article put up as a prize with the winner being determined by random drawing. Amounts paid for chances to participate in raffles or similar drawings, and amounts paid to participate in contests for valued prizes, are not regarded as gifts under IRS regulation and do not qualify as deductible charitable contributions.

REACHABLE: Reachable is a solicitation code which includes Do Not Call From Calling Center, Permanent Non Solicit, Temporary Non Solicit, and Blanks. Reachable should be used when pulling a list of event attendees or when creating a list to mail informational pieces, but NOT when soliciting money or for fundraising purposes.

RESTRICTED GIFTS & GRANTS: Given or paid to the University, wherein the donor or granting organization has specified that the gift or grant is to be used to support specific programs or projects.

SOFT CREDIT: The Gifts System will create soft credit for every gift/payment equal to the primary legal gift/payment amount. This soft credit amount can be overridden to an amount less than the legal amount of the gift, but never in excess of the legal amount. If there are associated donors for a gift, the soft amount initially will be set equal to the legal amount of the gift.

SOLICITABLE: Solicitable is a solicitation code which includes entities coded Do Not Call From Calling Center and Blanks. Solicitable should be used when pulling a list of entities to solicit for donations.

SOLICITING DEVELOPMENT OFFICER: As CWRU is a collaborative fundraising environment, technically any Development Officer can solicit a proposal on a prospect as long as they have cleared it with the assigned Prospect Manager. In order for a fundraiser to receive credit for a proposal, a Soliciting Development Officer must be assigned on that proposal. The Soliciting Development Officer lists his or her name on the Proposals Assignment screen to ensure credit for that proposal.

SPECIAL GIFT PROSPECT: A prospect coded Special Gift indicates that CWRU will attempt to solicit, over the prospect's lifetime, a total lifetime giving sum of $10K to $99,999K in donations to CWRU. Anything under 10K lifetime giving to CWRU would be considered an Annual Fund Prospect.

STEWARDSHIP: Stewardship is a process whereby an organization seeks to be worthy of continued philanthropic support, including the acknowledgment of gifts, donor recognition, the honoring of donor intent, reporting on fund financial progress to donors, and the effective and efficient use of funds to further then mission of the organization.

Glossary

STRAIGHT PLEDGE: A legally enforceable unconditional promise to give money to the University over a defined period of time (ideally not more than 5 years), to be paid solely with assets belonging to the individual or the organization. Straight pledges will count toward goals and attainment calculations. A pledge can be made only by the entity exercising legal control over the assets to be given. Therefore, an individual cannot make a pledge that includes anticipated matching contributions from an employer or some other source, nor can an individual commit funds that may be applied for through a donor advised fund or community foundation. An enforceable, countable pledge includes only those funds that will be given by a legal entity.

T TEMPORARY NON-SOLICIT: Temporary Non-Solicit is a code which indicates these entities should not be solicited in the current fiscal year. These entities receive mailings from the University, alumni invitations, etc. When running lists, these entities are included in the "Reachable" category only, but not the "Solicitable" category.

U UNITRUST: Under a basic unitrust, the donor receives one or more yearly payments equaling a fixed percentage of the value of the asset. The value is assessed each year. Under a net-income unitrust, the donor receives only the income earned by the trust, even if the trust earns less that the payout rate. However, the trust can be set up to include a "make-up provision", which allows the donors to make up the lost income, provided the trust earns more than the payout rate in future years.

UNRESTRICTED GIFT/BEQUEST: Given to the University, wherein the donor has not specified how the gift or bequest is to be utilized.

W WILL COMMITMENT: A will commitment is an intention to give a gift to CWRU after a person is deceased (through a will or estate plan). It will be entered into Advance if the donor expresses intent to give and provides either a copy of his/her Will or signs a Letter of Intent regarding the Will. If the donor specifies an amount of the bequest donation, the Will Commitment will be entered at the amount provided by the donor and will count toward goals or attainment calculations. "Active Will Commitment" means CWRU has yet to receive the assets from the Will. A donor of a Will Commitment must be 70 years of age by 2016 in order to have it entered on their record. If the donor will not be 70 years of age by 2016 the commitment is entered as an Intention.

WIRE TRANSFER: A method of giving. A donor may wish to initiate a wire transfer to facilitate a gift to CWRU. This can be expected for large sums of money and particularly at the end of the calendar and fiscal years. Wire transfers are handled by the Treasurer's Office. The office can be reached at 216.368.4306. Advancement Services will be notified by the Treasurer's Office when wire transfers occur and the gift will be recorded in Advance with proper evidence of the wire transfer.

Appendix

Advance Software Scenarios & Examples

Scenario: Entities in a Specified Zip Code Range

A Development Officer is traveling to Los Angeles, California to cultivate prospects. He/She is looking for a list of active, solicitable donors who have given to the School of Medicine who live in a 30 mile radius around the Los Angeles zip code 90001. The Development Officer can use the Zip Code Area Lookup Canned Report to fulfill this request.

Step 1: Determine Target Audience

The user determines their search criteria is a list of active, solicitable donors who have given to the School of Medicine and who live within a 40 mile radius of zip code 90001.

Step 2: Run the Zip Code Area Lookup Canned Report

A **'Report Viewer'** window will populate with the name of the system generated report. Keep this window open for reference.

Step 3: Find the System Generated Saved Clipboard List

Navigate to Clipboard. Click 'Load List' and search for the system generated clipboard name. Once found, click the ellipsis icon to populate the clipboard.

Step 4: Run a Context Sensitive Report

Determine which Context Sensitive report provides the desired outputs. To produce the report, click 'Actions' then 'Reports'.

Step 5: Make Appointment Attempts

Determine which entities you wish to visit. From there begin making appointment attempts.

Step 6: Post Visit - Enter Contact Reports & Proposals

After the cultivation visits occur make sure to enter contact reports and associated proposals, if applicable.

Note: The same scenario can be reproduced for someone hosting an event in a specific area. However instead of pulling 'Solicitable Donors' the event host may decide to pull a list of 'Reachable Alumni' in a specified zip code range. There are many ways to do things in Advance and this serves as only one specific example.

Appendix

Advance Software Scenarios & Examples

Scenario: Creating a Mass Mailing in Advance

A user is asked to pull a recipient list from Advance and create mailing labels to mail hard copy invitations for an upcoming event to be held in Ohio. They intend to mail only one invitation to each household. In addition to the hard copy invitation, they would like to send a mass email invitation to anyone on their invitation list who has an active email address in Advance.

Step 1: Determine Target Audience
The user determines their search criteria in order to create their invitation list. In this example the search criteria includes all Active, Reachable School of Medicine Alumni from the Class of 1984 who have a Preferred Address in Ohio.

Step 2: Create Advance Clipboard List of Invitees
Users can choose to pull the data from Advance using a Lookup (example below), a canned report, a list of imported ID's or devreq results. Regardless of the way the data is obtained, a user must end up with a Clipboard List of Entity ID's.

Step 3: Run the Entity Mailing Download (D)
Once the clipboard is created, select 'Actions' then 'Reports' from the Entity Clipboard form header to run the Entity Mailing Download (D). Users are advised to run the Entity Mailing Information Report (D) for hard copy mailings because it provides everything needed for hard copy mailing labels, including biographical information, preferred address information, email indicator and the ability to eliminate more than one entity that lives at the same address.

Step 4: Avoid Mailing Two Invites to One Household:
In this specific example Beth Sersig and Christopher Brandt both fall into the search criteria and live at the same address, therefore they will show up on the spreadsheet twice; one record Beth and one record for Christopher. If they have indicated they want to receive joint mailings, the spreadsheet links them together using Household Member & Household Number. Users should sort their list on Household Number and delete all rows with a "2". This will eliminate the second record at the same household.

Optional Step: Submitting a Mass Email Request
In addition to a hard copy mailing, users may also choose to send out a mass email invitation to those on their recipient list. The Entity Mailing Download (D) report provides users with an email indicator column, displaying a 'Y' if the entity has an active email address in Advance. To submit a mass email, users will need to follow the Mass Email procedure (see: Mass Email Process).

Optional Step: Events Maintenance/Coding
It is the responsibility of a designated staff member in each department to code entities who have been invited to or have attended a CWRU event held by their department. Users should follow the Event Coding Process (see: Events Maintenance) to code those entities who were invited to and attended the event.

Appendix

Advance Software Scenarios & Examples

Scenario: List of Donors to a Specific Account

A user wants a listing of donors and their transactions to a specific medical school endowment account. They have the endowment name, but not the endowment account number. In this scenario the name of the endowment is the 'Theodore J. Castele Med Scholarship'.

Step 1: Find the Account Number
Users can obtain the account number from their school's budget office. Alternatively, users can perform a Gift-Allocation lookup to search for the account number (image below).

From the allocation lookup list results the user must determine which of the accounts is the correct endowment account they are searching for. In this specific example we are looking for account number END166300. Write this number down for reference.

Step 2: Run the Account Summary Report
Once the user has the correct account number, he/she should navigate to Canned Reports and select the Account Summary Report. Enter the account number in the 'Accounts' section and limit additional input criteria if desired (users can limit on transaction type, date and amount of transactions or can choose to leave it as default). Run report. *Note: Account Numbers should be capitalized with no spaces.*

Step 3: Export Transaction List to a Spreadsheet
From the Report Viewer window, select 'Export' - 'CSV'. This will provide the user with a listing of all charitable transactions to the specified account number.

*Note: This report **does not** reflect the amount of money currently in an account. The user would need to contact their budget office for that information. Also, this report should not be used to solicit, as it will pull all donors/transactions, regardless of the donor's Advance solicitation codes.*

CASE WESTERN RESERVE UNIVERSITY EST. 1826