Case Western Reserve University

University Relations and Development

Office of Advancement Services

Orientation Training Manual

Revised July, 2009

Case Western Reserve University Advancement Services

System Records Information Release Policy Statement

Statement of Purpose:

The Case Western Reserve University Advancement Services (Wizard) 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 identifying 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.

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.

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 re-instatement 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.

AGREEMENT:

"I the undersigned have read and understand the policies of Case Western Reserve University Advancement Services regarding the use of information provided from the Advance database. I agree to use the information provided only for the approved University program(s) as stated above.

Furthermore, I understand that the use of the information for political or commercial purposes is strictly prohibited."

____

Printed Name

____

Signature

Student Access Policy

In certain controlled situations where it is imperative to the operation of the department to have students using Advance, student access **may** be justified.

The established procedure for allowing students basic Advance access is:

1. Staff member should contact Wizardtrainer@case.edu with student's name and Case Network ID (ex. abc12) for Advancement Services website access.
2. Read the Introduction to Advance and Clipboard Manuals. Located at https://www.case.edu/development/univ_dev/Wizard/training.html
3. Take the Intro to Advance and Clipboard Quizzes (must have a score of 75% or higher) https://www.case.edu/development/univ_dev/Wizard/testing.html
4. Read and sign the Security Request Form (Available at https://www.case.edu/development/univ_dev/shared_docs/Security%20Request%20Form.pdf
5. Read and sign the Records Information Release Policy (Available at https://www.case.edu/development/univ_dev/shared_docs/Records%20Information%20Release%20Policy.pdf

Forms can either be scanned and emailed to Wizardtrainer@case.edu or faxed back to 368-4619.

Basic access will be granted when the steps listed above have been completed. In those cases in which the student needs access to contact reports maintenance in order to help with entering contact reports, please contact Wizardtrainer@case.edu to set up access. Students will NOT be given access to the Prospect Summary, Giving, Proposal or Event modules in Advance.

Please notify Wizardtrainer@case.edu immediately when students terminate employment with your office so their Advance access can be deactivated.

For further information on this policy, please contact Wizardtrainer@case.edu.

Gifts Processing
Definitions of Terms

Each of the policies contained in this manual provides descriptions and definitions pertinent to that particular topic. As such, some of the more generic terms used in Advancement Services may not be adequately described. Below is a list and description of these commonly used terms.

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

> Case 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...".

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: received by the University from individuals, corporations, 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 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.

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 Transactions, 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 cannot be entered into the Advance system.

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

<u>Non-expendable</u>: 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.

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

<u>Restricted gifts, grants or contracts</u>: 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.

<u>Operating Funds</u>: 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.

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

<u>Endowment Funds</u>: 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.

<u>Quasi Endowment Funds</u>: 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.

<u>Matching Gifts</u>: Gifts made by businesses that match the voluntary contributions of employees or other eligible participants.

<u>Pledges</u>: 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. The donor also specifies the payment schedule for payment of this promise.

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 Executive 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.

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, Advance 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 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/cancelled 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, 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 of Donor Records and the Data Integrity Manager) meet with the Controller's Office to discuss any 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 cancelled. 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 Advance 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.

Legal & Soft 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 Advance 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. 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. Advance will not, however, permit the sum to be less than the legal amount.

Joint Giving Policy

In order to remain consistent with the 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.

How the Joint Giving Policy works:

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.

Requirements for Recording and Modifying Gifts and Pledges

There is only one requirement for recording a gift: The actual gift must be in hand! There are, however, a few circumstances under which we can record a pledge or modify an existing pledge or gift. For purposes of the discussion below, only legal (gifts made by the donor), as opposed to soft (gifts made on behalf of the donor), pledges and gifts are being considered.

Pledges may be recorded:

- When obtained through an authorized telethon, such as the Student Calling Center, and submitted to the Gifts Processing unit.
- When instructed in writing by the donor, with Gift Processing having a copy of the pledge document. Signed letters of intent and/or a letter from the donor or the donor's trustee satisfy this requirement.
- When the donor makes a verbal commitment to a member of the Development staff who confirms his or her understanding of the pledge by a letter to the donor. Gifts Processing must have a copy of this correspondence. Memos to "file" or internal memoranda to Gifts Processing are not sufficient. Some Annual Fund pledges are made verbally to Development Officers. Gifts Processing will record these verbal pledges 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.

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.

Soft pledge and gift amounts can be modified as long as the request is in writing.

Advancement Services: Pledge Recording Policy

Only legally enforceable, unconditional intents to give will be entered as **pledges** in the Advance 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 exempted 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.

Types of Pledges:

a. Straight pledges: 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 that legal entity. (1)

b. Conditional pledges: 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.

c. Pledge intentions: An intention to pledge will be entered into Advance if 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 Advance system but will **NOT** count toward goals or attainment calculations.

d. Will Commitments: An intention to give the University a gift after a person is deceased (through a will or estate plan) 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. 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 (previously $1,000), for internal purposes only. This amount should NOT be communicated to the donor. Will Commitments will be entered into the Advance system and will count toward goals or attainment calculations.

e. Annual Fund pledges: At the close of the fiscal year, all open annual fund pledges that do not have a payment schedule date greater than June 30 will automatically be written off.

The Office of Advancement Services will conduct a monthly review of all open pledges to ascertain their viability and the likelihood of their fulfillment.

(1) From Case Management Reporting Standards, Standards for Annual Giving and Campaigns in Educational Fund Raising, Third Edition, 2004, page 40.

Methods of Giving

The standard method of making a contribution, mailing a check or delivering cash, is not the only form of payment mechanism available through Advancement Services. On this, and following pages, other payment mechanisms will be described.

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.

Case 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: Case Employees are eligible to make charitable contributions to Case via payroll deduction. These are post tax deductions. If they are interested, the employee should contact Gifts Processing to set up a recurring deduction. The 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.

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. Case 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. (See Exhibit A).

Credit Cards: Case can process VISA, MasterCard, Discover, 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. Extreme care must be taken in delivering credit card information to Gifts Processing. We must be careful to ensure that the credit card information does not fall into the wrong hands.

Wire Transfers: A donor may wish to initiate a wire transfer to facilitate a gift to Case. 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 to Case

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 (Tony Fatica, x3253) 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.

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.

To Establish New Account Numbers

Depending on the destination and nature of funds given to Case Western Reserve, 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.

Procedure for Processing Charitable Donations to Endowment Funds

Gift Processing can and does temporarily house funds in a holding account until a new account is established. This is done to ensure that no money is held from deposit or acknowledgment activities simply for lack of an account number. Monies deposited into the Advancement Services holding account may not be spent, nor will they earn interest until transferred to a valid account. Holding accounts are readily identified as allocations beginning with "H".

Charitable donations to Case Western Reserve University are processed by the Office of Advancement Services, Gifts Processing unit located in the BioEnterprise Building.

When a donor makes a donation to the University, and specifies that the gift will be used for a named endowment fund, the following procedure is applied.

The original letter of donor intent is forwarded to the Gifts Processing unit. The donor is identified in the Advance system; the Advancement Services software system used for gifts processing. If the donor does not exist in the database, a biographical record is created for the donor.

If the donation will establish a new endowment fund, then an endowment holding account must be established before processing the donation.

Establishing Endowment Funds

An endowment fund may be established in both the general ledger and the Advance 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 are:

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 Controllers Office so that a new holding account can be established.

Pledges to new endowments for which no payments have been made may be recorded in the Advance 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.

Once a holding account is established, the donation is coded for input into the Advance 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.

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

The new endowment fund is coded into the Advance Stewardship module so that the Donor Relations office can efficiently steward the donor of the fund.

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.

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.

From this point the Office of Donor Relations and Stewardship 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.

Board Resolution Procedures

From the meeting of the Office of Counsel, Development, and Office of the Corporation 7/29/2004 to summarize procedures for getting resolutions for endowments:

1. Development Officer initiates request for resolution. Request is sent to the Office of Planned Giving.
2. Planned Giving Office reviews request for resolution for Office of Counsel.
3. Office of Counsel drafts resolution.
4. Approval process is put in motion by Office of Counsel. The draft resolution goes from Office of Counsel to
    a. Director of Planned Giving
    b. Dean of the school involved
    c. Endowment accountant in Controller's Office
5. Approvals from each of these offices are returned to the Office of Counsel.
6. Office of Counsel provides final resolution to the Office of the Corporation.
7. Office of the Corporation:
    a. Notifies Donor Relations, which prepares acknowledgment, framed resolution.
    b. Obtains Board approval, with seals and signatures on the resolutions.
    c. Obtains the President's signatures on letters to donors
8. Office of the Corporation disseminates copies of approved resolutions to all necessary offices: Controller, CFOA, Budget, Deans, Development Office, Office of Counsel, Archives.
9. Development Officer distributes folder and resolution to donor.

Planned Giving Options/Definitions

The Office of Advancement Services is frequently asked to record various types of planned gifts. Oftentimes, this office also is asked to provide a description of the nature of such a gift, or explain how various types of planned gifts should be recorded by us and/or handled for tax purposes. Ultimately, the Advancement Services Office should refer related inquires to the University Development Office of Planned Giving. This does not, however, remove the need for the Advancement Services staff to be familiar with this type of gift. For this reason, below are general explanations of certain types of planned gifts with commonly accepted rules. Information concerning specific treatment of these gifts at Case should be procured from the Office of Planned Giving.

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.

Charitable Remainder Trusts: Two basic types of charitable remainder trusts qualify for federal tax benefits. 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.

Two types of reminder trusts:

Unitrusts: 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.

Annuity Trusts: 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.

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.

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.

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.

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.

Gift Receipts

Gift Receipts are generated daily for transactions of gifts or pledge payments. Receipts for non-annual fund pledges are also generated daily. The Student Calling Center generated pledge receipts for all pledges received through the Student Calling program.

Requesting Gift Processing NOT to generate and mail receipts is strongly discouraged. 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 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. These receipts are then verified for accuracy and mailed by first class mail, normally within one business day of receipt. The Office of Advancement Services absorbs all costs associated with the creation and mailing of all receipts.

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.

Acknowledgment Procedures
For Scanning Documentation and Forwarding to Writers

As of September 22, 2008, the following procedures for scanning gift, payment and pledge documentation will be in effect:

1. Backup documentation for gifts, payments, and pledges of $5,000 or more will be scanned and sent to Laurel Chianese in Donor Relations so she can prepare acknowledgment letters from the President. The backup documentation for these transactions will also be added to the Advance system under Entity Notes.

2. Backup documentation for gifts, payments, and pledges of $1,000 to $4,999 Non-Annual Fund will be scanned and sent to Charlene Sandy in Donor Relations so she can prepare acknowledgment letters from the Vice President. The backup documentation for these transactions will **NOT** be added to the Advance system.

3. Backup documentation for all Memorial and Honor gifts regardless of amount will be sent to Michael Wolford in Donor Relations. The backup documentation for these gifts will not be scanned and added to Advance unless the Memorial/Honor gift is $5,000 or more.

Basic Financial Reporting

We take Gifts Processing seriously:

- Use Case Management Reporting Standards as guideline for gift entry
- We are audited every year by the Case 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.

Two Types of Financial Reports:

- The industry uses 2 types of financial reports to track fund raising performance:
    - Commitment Reports
    - 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 fund raising performance.

Private Support vs. Commitments

Private Support: Reports "cash" for the purpose of cash flow analysis. This is "cash" in the door. The Council for Aid to Education requires us to report Case Western Reserve University 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 fund raising performance by reporting on "new" pledges and outright gifts. Commitment reports are for the most part "internal" gauges of our performance.

Financial Reporting Definitions:

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, EG, EF, PY

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, PL, WC, EF, PD, MG, EG
- Commitment reports are sometimes referred to as Attainment reports.

Case Western Reserve University 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).

The Annual Fund report 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.

Understanding Gifts Processing

In order to understand the reporting process, it is helpful to become familiar with gift processing procedures.

Transaction Types:

GF = Outright Gift
BG = Bequest Gift
EG = EFT Gift
OG = On-line Gift
A transaction is coded GF, EG, OG, or BG if no pledge or will commitment is present in the system.

PP = Pledge Payment
BY = Bequest Payment
EY = EFT Payment

PY = Payroll Deduction payment
OY = On-line Payment
A transaction is coded PP, PY, EY, OY, or BY if a pledge or a will commitment is present in the system.

PL = Straight Pledge
WC = Will Commitment
PD = Payroll Deduct Pledge
EF = EFT Pledge
IN = Intention
CP = Conditional Pledge
A transaction is coded PL, PD, EF, or WC if the donor intends to make a donation in the future, either with a payment schedule while he/she is alive, or through his estate. A transaction is coded an Intention if we have nothing in writing from the donor stating the specifics of the pledge. A transaction is coded a Conditional Pledge if the donor places a restriction on the payment of the pledge, for example, "I will pay this pledge as long as Dr. Young is Chairman of the Physics Department". Challenge pledges are also coded Conditional.

MG = Matching Gift
Matching Gifts are linked to the original donor gift and follow the purpose of the original gift.

CM = Matching Gift (from Case Alumni Association)
There is no link back to the original gift since the original gift was processed by the Case Alumni Association, therefore matching gifts obtained by matching the original CAA gifts are coded CM.

Fund Account Codes:
Fund Account Codes track the fund type for each transaction:

O = Operating
P = Plant (Capital)
A = Annuity
E = Endowment
L = Student Loan Fund

Payment Type Codes:
Payment Type codes track the type of transaction that was received:

A = American Express
C = Cash/Check
T = Company Products
X = Credit Card (Converted Records only)
D = Discover Card

E = EFT
G = Gift in Kind
M = MasterCard
N = Non Add (Converted Records only)
O = Outside Deposits (Memo)
P = Payroll Deduction
R = Real Estate
S = Securities
V = Visa
W = Wire Transfer

The Gifts Processing Cycle:

Gifts and pledges are processed daily. The gift processing update program is run nightly. The update program produces:

- Acknowledgments
- Financial Management System interface
- Daily reports

Financial Reporting

Advancement Services produces reports for Daily, Weekly, Monthly, and Year to Date activity.

IMPORTANT THINGS TO REMEMBER WHEN USING REPORTS:

You can NOT add Private Support figures to Commitment figures and get an accurate figure.

You can NOT combine Pledges and Cash and get an accurate figure. You will be double counting pledges and pledge payments if you do.

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 or 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.

Biographical Maintenance

The Importance of Keeping Data Current

Current and up-to-date information is the foundation of a good and reliable alumni/development system. Therefore it is critical to inform the Biographical Maintenance team in Advancement Services if you become aware of new or updated information on alumni, friends, organizations, or other university constituents.

Advancement Services employs many various techniques to assist in keeping our data current. Some of the methods used include verification and research using web resources, tracer cards, surveys, outside vendors to programmatically update address, phone and email information, and the student calling center. The employees of University Relations and Development are key players in helping us keep the data current as they are often in personal contact with our constituents.

How to Change an Address or other Bio Change in Advance

Update of Advance Information – We appreciate your assistance in keeping the data in Advance up to date. If you receive new information on an alum or friend, please submit a request for a data change so that we can update Advance.

How to request: Use the "Update Biographical Information" form on our website. You may also send changes to uris-data@case.edu

Normal turn-around time: 24 hours.

Notes: Please include the entity ID of the person or organization.

How to Request New Codes for the Advance System

Event Codes

Activity/Event code requests may be requested from Advancement Services in the following formats:

- e-mail Manager of Biographical Maintenance at uris-data@case.edu
- Use the Event Code Request link on the Advancement Services website

Code request information should include the following:

- name of the Activity/Event (i.e. Chicago Appreciation Reception, etc.)
- date of the Activity/Event, including the year
- location of the event is optional (i.e. Strosacker Auditorium)

The Activity/Event code information will be emailed to the requestor within 24 hours after Advancement Services receives the request.

Appeals Policy

With the Advance system, we have the capability to track the dollars raised as a result of a particular direct mail or email solicitation piece. This tracking is done with an appeal record and an appeal code.

The established procedure for tracking appeals is as follows:

1. Fill out the Appeal Code Request form available on the Advancement Services website, or email uris-data@case.edu. This step must be completed prior to printing/sending your solicitation piece.
2. An appeal code will be emailed to you.
3. Generate your mailing list either through Advance or devreq.
4. If you are doing a direct mail piece, the code must appear on the solicitation mail piece. Specifically, the code must appear on the piece that the donor returns with his/her donation.
5. Send your solicitation piece out! (If you are doing an email solicitation, Advancement Services will take care of the mailing).
6. Load your ids into a clipboard list.
7. Run "Appeals Loader" from Reports>Reports. Note: You should load your appeals as soon as you send your solicitation piece out, and definitely within the fiscal year of your mailing.
8. When the donation is received, the gifts processing staff applies the donation to the appeal, much like we do when we apply a payment to a pledge.

You can track the status of your appeal with several reports available under the *Reports>Reports* menu. To easily find the reporting suite for appeals, select "Appeals Reports" from the *Type* menu. For further information on reports, contact the Advance Trainer at wizardtrainer@case.edu.

Please remember that we cannot load appeal codes or track mailings after they are dropped.

For further information on this policy, please contact uris-data@case.edu.

Development Research

The Office of Development Research and Prospect Management within the Advancement Services department is responsible for providing the highest quality, timely prospect research available, to be used in the advancement of Case Western Reserve University. 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.

HOW TO ASK FOR RESEARCH

Research can be requested by completing the on-line **Research Request Form** that is available on the **Advancement Services Web Site**.
The user is asked to provide the name of the prospect/suspect, id number, location, affiliation with the university and reason for request. The form asks who the researcher should contact when the requested research is complete. It asks for the requestor's name and the requestor's relationship with the prospect, the reason for the request, and a list of people attending (if the request is for a meeting). There is a space for comments that may be helpful to the researcher.

RESEARCH REQUEST FORM

Our goal is to provide timely wealth information for major gift solicitations. In keeping with that goal the following types of information may be available: financial wealth and assets and endowment fund history. This form can be used for the following requests:

- In-depth research profiles for major gift solicitation of $100,000+. (Two weeks lead time required)
- Personal, family, and company financial wealth information

For basic biographic information, please run a "Advance Biographic Report".

SAMPLE OF RESEARCH REQUEST FORM ON WEBSITE

Required fields in ***Bold***

Requested By: ______ **Phone:** ______

Case ID (i.e. abc1): ______ **Department:** ______

Prospect Type

Person

Title:

First Name: Middle Initial:

Last Name: Suffix:

Entity ID: *(must be 6 digits)*

Corporation and Foundation

Corporation/Foundation:

Entity ID: *(must be 6 digits)*

Prospect Information

Affiliation: Friend Staff

Alumni: Other:

Reason for Request: Evaluation Stewardship

Solicitation CWRU Events

Cultivation Other:

Meeting Details

If a meeting is scheduled.

Meeting Date:

Departure Date: *Same as Meeting Date:*

Location:

State:

Country: *(if not US)*

CASE WESTERN RESERVE UNIVERSITY EST. 1826

People Attending:

Comments:

Research Contact Information

Development Officer:

Dev. Officer Email:

The prospect is assigned to this development officer: Yes

When research is complete, contact this person:

Same as form-submitter:

Name:

Email:

Phone:

Comments

Please provide information that could aid the researcher.

Submit

TYPES OF RESEARCH

In Depth Prospect Profile:
This is a profile that is used for major donor or prospect ($100K+) cultivation, solicitation, and stewardship.

Bullet Profile:
This is a short thumbnail sketch for first time visits, events, or small gatherings. This summary is also used by the nominating committee of the board when considering persons as potential members.

Executive Snapshot:
Profile used for prospect or donor who's giving level has not been determined.

Wealth Assessment

Corporation and Foundation Profile

PROCEDURES FOR IN-DEPTH PROFILE REQUESTS
Once you submit a request for a profile via the Advancement Services web site, it is added to the Prospect Research schedule of work in progress. Requests are prioritized using the following criteria:

(1) Major gift solicitation (2) Major gift cultivation (3) Evaluation of suspects

A research analyst will contact the requestor to confirm the receipt of the request for research. Additional information to be included in the profile may be requested at that time.

DISTRIBUTION OF COMPLETED IN-DEPTH RESEARCH
Upon completion of the research, the profile is sent to the party indicated on the original request form. In the event the researched prospect is a dual degree holder or if the original requestor is a central development officer, a courtesy copy is sent to the other interested parties.

Prospect Management Principles and Procedures
As of 7/01/07

OVERVIEW

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. 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 acknowledgement 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 to 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.

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 BSR *Advance* (Wizard) 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. BSR *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 BSR *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 BSR *Advance*.

REVIEW PROCEDURES

1. 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. 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 BSR *Advance* with the appropriate back-up, proposal records, and contact reports.

SUPPORTING NOTES

Assignment as a Prospect Manager or Associate Development Officer will affect the following in BSR *Advance*:

1. The prospect will appear on the development officer's portfolio, which is entitled "Fundraiser Summary Report."
2. The assigned Prospect Manager's name will appear next to gifts reported on the Daily Gift Log for every gift given by assigned prospects. Please note that this does not mean the development officer will receive credit for the gift on the Fundraiser Performance Reports.

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. All interested parties should note that the process as it pertains to prospect management is a fluid situation and should the needs and emphasis of the development program change, these procedures may be revisited and changed.

FAQ for Prospect Management

1. Is there a Prospect Management Policy and what is it?
    a. See above
2. Can I be assigned to any prospect I choose?
    a. Yes and no. Any (living) prospect that is currently unassigned will be assigned to you--no questions asked. If the prospect is already assigned to a Prospect Manager, you will be assigned as an Assistant Prospect Manager and then be told to contact the Prospect Manager for permission to visit/call that prospect. Conversely, if you are the Prospect Manager for a donor, the Assistant Prospect Managers will be expected to contact you regarding visits/calls.
3. What is the difference between Prospect Manager and Assistant Prospect Manager?
    a. A Prospect Manager is a unique assignment—there can only be one of them—who is the "gatekeeper" to that prospect. Assistant Prospect Managers—there can be several—while permitted to engage in separate fundraising activities, must clear these activities with the Prospect Manager.
4. Do I get automatic credit for a gift if I am the Prospect Manager?
    a. NO!
5. How do I get credit for a gift that I raised?
    a. You must input a proposal record on the donor's prospect record before the gift is booked into BSR Advance and appears on the Daily Gift Log. There should also be contact reports showing your history of cultivation/solicitation.
6. Do I have to be a Prospect Manager or Assistant Prospect Manager to input a proposal record on a prospect record?
    a. No. Anyone may input a proposal, but remember, you are responsible to the Prospect Manager for your contacts.
7. I raised a gift which appeared on the Daily Gift Log, but my name did not appear next to it, someone else's did. Why?
    a. You were not the Prospect Manager. If your name is attached to the proposal that the gift is tied to, you, not the Prospect Manager, will receive credit on your performance report, (unless the Prospect Manager's name is also on the proposal).
8. I forgot to input a proposal for my gift that just appeared on the Daily Gift Log. Is it too late to get credit?
    a. Yes. The proposal must be active at the solicited stage for the gift processing clerk to attach the gift to it. If the clerk does not see a proposal the gift is processed anyway. The goal for the proposal system is to track a pipeline of gifts at the several stages of development. Therefore, only gifts that have been "worked" need or merit proposals.
9. What if a donor mails in a gift "out of the blue?' Can I get credit for it?

   a. No. If a donor mails a check to you "out of the blue," there is no need to input a proposal-you did not raise the money through the identification—cultivation—solicitation cycle.

10. Can someone from PM come to my school's prospect meeting and track prospect changes in real time?
    a. Yes!

CASE WESTERN RESERVE UNIVERSITY EST. 1826

CENTRAL FILES

The Central Files unit of Advancement Services is responsible for maintaining all incoming and outgoing documents pertaining to:

- Individuals
- Corporations
- Foundations
- Estates
- Associations

Central Files are confidential, fragile, or irreplaceable. The files have legal, administrative and historical value to the University.

REQUESTING CENTRAL FILES:

Advancement Services loans central files to staff members as needed.

How to request: Send an email to uris-files@case.edu

Normal turn-around time: 24 hours.

Notes: Please include the entity ID and full name of the person or organization in your email.

RETURNING A CENTRAL FILE:

Because Central Files are so valuable, the files should not be placed in Campus Mail. The chance exists that the file could be lost or misdelivered. Since the Central Files are located off campus in the BioEnterprise Building, sending and returning files becomes a challenge. Therefore, when requesting a Central File, if you are looking for a specific document, please tell us. Advancement Services will locate the document, scan it, and email it to you. If you need the entire file, we will make special arrangements with you for pickup and return. The courier boxes on campus can be utilized to return Central Files to us. The service is available on the first floor of Adelbert Hall as well as other locations on campus. Call the Mail Center at CWRU if you are uncertain of the locations of campus courier boxes. Please be certain that our return label with Location Code 7035 is always on the outside of the envelope when you send the file through the courier mail.

CENTRAL FILE REQUEST FORM (EXAMPLE)

Date: _______________ Requestor's Name:_____________________________
Bldg: _______________ School/Dept: ______________________ Ext.:______
Requested File Name: ____________________________________ ID# _______

Attached is the file that you requested today. It **MUST** be returned to the Central Files Office no later than the close of business on ______________________ (10 working days). If you are unable to comply with the return date, please notify Irene Szmania at X6379.

FILE PULLED BY: ____________________________________ EXT: _______________

FILE RETURNED TO: CENTRAL FILES
BioEnterprise Bldg.
11000 Cedar Rd. 4th Floor
Loc. # 7035

RECEIVED BY: ______________________________ DATE: ______________________

CASE WESTERN RESERVE UNIVERSITY EST. 1826

FILE ENVELOPE FORM (EXAMPLE)

This form acts as the mailing label on the outside of the **WHITE ACID-FREE** Envelopes that are used for any files that will be sent via courier service or hand carried.

Please fill in all pertinent information.

To: ____

Office/School: ______________________________

Date sent out: _________________________

The enclosed materials should be returned by: ________________, which is 10 working days. Should you need to keep the files longer, please arrange for an extension by calling Central Files @ x6379.

Central Files are often fragile, confidential or irreplaceable. They also have a legal, administrative and historical value to the University. For these reasons, do **not** return via Campus Mail.

Thank you for your cooperation

To be filled in by School or Department returning this envelope.

DATE ________________________ TO BE RETURNED BY COURIER SERVICE
All folders must be sent via courier service or hand-delivered to:

TO: CENTRAL FILES
BioEnterprise Building
11000 Cedar 4th Floor
L/C 7035

CENTRAL FILES

GUIDELINES & PROCEDURES

All incoming and outgoing correspondence between any individual or organization and development staff is properly housed in 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.

DO	*DON'T*
DO include Central Files on distribution lists for all pertinent correspondence, including any e-mail correspondence.	*DON'T* send your copy if Central Files is copied for distribution. Destroy your copy properly if you don't need it.
DO provide a complete and legible name of the person or organization that the document pertains to and include ID#	*DON'T* send a document with just a first name Example: Dear Susan
DO send all correspondence directly to Central Files, so it can be evaluated in a timely manner.	*DON'T* put new correspondence directly into the central file folder. A special criteria and procedures for all incoming documents are maintained.
DO re-organize thoughts and sketchy notes so they are understandable by anyone viewing the file.	*DON'T* send your brief thoughts written on envelopes or other small pieces of paper that only you understand.
DO send all related items together, intact, with as few staples as possible.	*DON'T* staple routed or collective items excessively.
DO send copies of all officially accepted and signed proposals, illustrations, etc.	*DON'T* send draft proposals or illustrations that have not been accepted or declined. Keep it in your own pending file.
DO send all proper gifts backup on a regular basis, so an accurate audit trail exits.	*DON'T* hold important backup in your area. Forward all of it as soon as you have completely processed it.
DO send rejected or declined proposals. These are filed separately within the department	*DON'T* discard rejected or declined proposals in your area. Others may need to review their contents in the future.
DO request files through uris-files@case.edu. Please include proper name of the entity whose file is needed, ID, and affiliation	*DON'T* phone in requests for Central Files.
DO return all folders by date indicated on request form in "white mailing envelope" in which you received it.	*DON'T* request folders until you are ready to use them. If you must keep a file beyond the

	designated return date, please inform Central Files. Remember, other personnel may need the same folder.
DO keep the central file folder intact. Make a copy of whatever you need for your own use.	*DON'T* take correspondence out of sequence. Documents are in date order and should remain as such.
DO call Central Files if you have any questions. ***Irene Szmania*** ***Records Manager*** **x6379 igs**	

Policy on Entering Scanned Documents in Advance

It is important to remember that the Advance System is NOT a Document Management System. Therefore, we must be prudent about the types of documents that are scanned and entered into the Advance system. If we enter non-essential documents, we run the risk of out growing our disk storage space in a very short period of time. We do not want this to happen.

We have always had very specific guidelines for the types of documents that can be scanned and stored in Advance. Following is a list of appropriate documents to be scanned and stored in the Advance system, as well as the party responsible for the scan and enter process:

Type of Document	Party Responsible for Scanning/Entering
Gift/Pledge Back-up $5,000 or more	Advancement Services
Acknowledgments for gifts/pledges of $5,000 or more	Advancement Services
Endowment Resolutions	Advancement Services
Newly Submitted Proposals	Send to Advancement Services; only necessary documents will be scanned by AS staff

The above list represents the ONLY documents that should be scanned and entered into the Advance system. Furthermore, you will note that NO documents can be scanned by personnel outside of the Central Advancement Services unit. As always, all other incoming and outgoing correspondence should be sent to Irene Szmania for filing in Central Files. Advancement Services still maintains a complete Central Filing system for storage of relevant hard copy documents.

At various intervals during the year, non-essential documents that have been scanned and entered into the Advance system will be identified and deleted. The scanned documents will be deleted to alleviate the stress on the disk storage space.

Training

Advancement Services provides Advance training classes. Because the database changes constantly, Advance training is a continuing education process. We welcome both new users as well as seasoned database users to our classes.

Advance classes will be held at the Kelvin Smith Library or the 4th Floor Computer Classroom in the BioEnterprise Building. The classes will last about an hour to an hour and a half and are open to all Advance users. The (*) indicates required classes. Register for class at:
https://ur-web.case.edu/WizardTrainer/classlist.aspx

Introduction to Advance*
General overview of the Advance database. Topics covered will include: Access and Log On, Entity Lookup, Bio Overview, Soliciting/Mailing, Reporting and Advancement Services Resources. All who intend on using the database should attend. This class must be taken in conjunction with Clipboard to gain access.

Clipboard*
Clipboard is the list management feature in Advance. Topics covered will include: Creating Lists, Importing Lists, and Using Lists. This is an important class for all Advance users. Prerequisite: Introduction to Advance. Access Granted: Bio Inquiry

Events
The basics for creating an event and tracking invitees and guests. Topics covered will include: Obtaining Event Codes, Creating an Invite List, Tracking RSVP and Attendees, and Event Reports. Prerequisite: Clipboard. Access Granted: Event Maintenance

Gifts
Overview of philanthropic giving at CWRU. Review of Giving Credit, Gift Types and Allocations. Associated reporting and lookups will be covered as well. Access Granted: Gift Inquiry

Prospects
Understanding Prospects, Ratings, and Assignments. Review of assignment changes online and in Advance, contact reports, prospect lookups and popular prospect reports. Concluding with a brief discussion about the relationship between prospects and proposals. Access Granted: Prospect Inquiry.

Proposals
Topics covered will be: Proposal Entry, Proposal Maintenance, Linking with Contact Reports, and Attaching Gift Agreements. Also covered will be key proposal reports and lookups. Access Granted: Proposal Maintenance

Advanced Lookup
Consider this a Bypassing DevReq class!! This class will be geared toward our regular Advance users and users hoping to perform more sophisticated pulls. We will cover the ins and outs of using Advanced Lookup and pitfalls to avoid. Access Granted: Advanced Lookup

Special Session
Available for any group. These sessions are private and designed with the needs of the group in mind. Classes focus on refreshing database knowledge, policies and procedures.

Procedure for New Employees

Step 1: Read the Security Forms

- Read the FERPA Agreement
- Read Acceptable Use of Computing and IT Resources
- Print, read, and sign Security Request form
  NOTE: Please be sure to fill out the department info at the bottom right of this form
- Print, read, and sign Records Information Release Policy

Step 2: Return Security forms

The Security Request form and Records Information Release form can be submitted using one of the following three options:

- Returned to Technical Services in BioEnterprise 434
- Faxed to 216.368.4619
- Scanned and emailed to wizardtrainer@case.edu

Step 3: Attend Classes

Step 4: Have Advance Installed on Your Computer

If Advance is not installed on your computer, contact the Case Help Desk at 368-HELP or your School/Department's IT group to arrange a time to have it installed. There may be a minimal charge incurred.

Step 5: Start Using Advance!

If you have read, signed, and returned the security forms and attended corresponding classes, you will be granted access to Advance by the Technical Services staff.

Requests Policy (Devreqs)

Devreqs, short for Development Requests, are adhoc reports that are generated by the Technical Services team located within the Advancement Services department. These requests can be generated from our supported software systems (Advance, SmartCall, Reggie, Alumni Directory and Prospect Map system). Though we expect users of these systems to be capable of fulfilling day-to-day needs, we also understand that there are many things front-end users cannot do. They mainly consist of creating or changing reports, executing pulls not possible using standard Advance lookups, and Advance modifications.

When submitting a devreq it is important that the request contain full details of the criteria and the output desired. Keep in mind that devreqs are not meant for brainstorming. It is important that the requestor define the specs before submission. Requests should include:

Purpose of request
Priority level of request

> "High" - Crucial to the School/Department that the devreq is processed quickly. All "High" priority requests must include a brief description of the dependent function.
>
> "Medium" - Needs completed in 3 to 5 days.
>
> "Low" - Needs completed in 5 to 10 days. Please be assured that all "Low" priority requests are fulfilled and many are completed much sooner than 10 days.

Complete list of input specs (entity types, fiscal years, gift types, etc.)
Desired output fields
Any other pertinent information to the request

After you submit your request, you will receive a reply containing the name of the programmer assigned to your request, as well as a request number. You can contact the named programmer with any questions you might have. Please include the request number in all correspondence to the department regarding the request.

The normal turnaround time on requests involving data pulls is 2 business days, however some complex data pulls could require up to a week's time. If the request requires us to either create a new report/process or modify an existing report/process, the turnaround time will be determined by the complexity of the request and the current workload of the required staff people needed to fulfill the request.

Mass Email Policy

General guidelines

1. Information Services generates all mass emails to Advance constituents.
2. We can only send emails to those entities in Advance.
3. We do not provide downloads of email addresses.
4. All email requests must be submitted through the Mass Email Request form. A link to this form can be found on the Advancement Services homepage at http://www.case.edu/development/univ_dev/
5. Each school or department should designate a primary and secondary person responsible for the email requests generating from their area.
6. Departments and schools are expected to limit the quantity of emails sent to a reasonable number. The use of a newsletter is encouraged.
7. All exceptions to the policy must be approved by the Executive Director of Alumni Affairs.

Scheduling

1. Presidential emails always take precedence.
2. All other emails will be scheduled roughly on a First In/First Out basis.
3. In order to avoid bombarding alumni with email over a short period of time, we occasionally have to delay or shift the order of the emails in the queue. We will notify the contact person if this occurs.
4. Emails must be submitted at least 3 business days in advance of the desired send date. Emails using an Advance clipboard as the recipient list must be submitted 1 week in advance.
5. Scheduling can be done up to 2 months in advance. A general recipient list, consisting of school and/or geographical location, is required to do so. Email content and full recipient list must still be submitted in accordance with (4).

Sending to students/faculty/staff

1. Technical Services can only send emails to those in Advance.
2. For Faculty, Staff, and Students you need to contact other division. The information below is given as a starting point only. (Information may have changed)

    - Approval for Faculty
        - Lynn Singer (x4389, lxs5)
            - cc: Mary Lou Cantini (x1610, mlc2)
    - Approval for Staff
        - John Wheeler (x5555, jdw26)
            - cc: Bridget Flowers (x5555, brf2)
    - Approval for Students
        - Glenn Nicholls (x2021, gxn6)

- cc: Doreen Thibodeau (x2021, dat13)
- Note: per USG, no Lecture/Invite requests

- Approval for School-specific Students
  - contact appropriate Student Affairs department

Required elements of a request

- Target population
  - Who do you want to send to? (All alumni? MGT only? Those in Cleveland? etc.)

- Header information
  - Name of Sender: <could be a personal name or a department name>
  - Reply-To Email address: <must be a valid address - could be a 3rd party contact>
  - Bounce-Back Address: required to be devemail@case.edu
  - Subject: <the subject!>
  - Body of the email
    - The email should follow the ARPE designated format.
    - We do not check for spelling errors, HTML problems, etc. Please check your information before submitting the request.

- Date to send by
  - We will make all attempts to meet this date. Please note exceptions in the "Scheduling" section.
  - Do not say "ASAP". Give us a real date.

Formatting

- All emails must include a text version of the message. This must be a plain, unformatted text file (.txt extension). We cannot center, bold-face, italicize, or otherwise format this text.
- Messages may include HTML versions. To do so, include an HTML file (.html extension) in the form submission. Ensure that all graphics are hosted on your own web server. Technical services cannot host graphics or embed images in mass emails.
- We cannot attach any files.

Testing

- Once the form has been successfully submitted to DevReq a test message will be created and sent to the specified test recipient. If changes need to be made to the message, the test recipient or submitter must edit the files, and send those new files to the Technical Services programmer handling the email. These new files will be uploaded and testing will begin again. Once a finalized version is approved, it will be set to drop automatically on the scheduled send date.

- A new test will be sent for every modification.
- This office will not make any changes to content.

Honoring of "Please Remove" requests
We must honor all requests to be removed from mailings. If an Advance constituent indicates this, please forward the request to "devemail@case.edu" so we may update their Advance information. At this time, any "remove request" will exempt them from ALL future mailings as we do not have separate, targeted email lists. They will no longer receive any email originating from us.

Information Services email list
If you would like to receive all emails sent by our department to constituents, send an email to devreq@case.edu with the subject line "Subscribe Alumni Emails". You can unsubscribe by sending an email to devreq@case.edu with the subject line "Unsubscribe Alumni Emails".

Abuse of email
Potential abuses of email will be reviewed by the Executive Director of Advancement Services. Abuse can result in loss of email privileges.

Subscription Emails

In addition to the extensive catalog of Advance reports, Advancement Services provides a series of existing and new reports that are delivered straight to your email in-box. This email subscription service merges up-to-date giving and event information with the convenience of email.

1. New Wizard Gifts, Payments and Pledges

Provides a list of all transactions processed the previous day. It is sent every day except for Sunday and Monday. To subscribe, send an email to uris-web@case.edu with the subject line "Subscribe Daily Gifts".

2. New Contact Reports

Provides a list of all contact reports (for visit credit) filed in the past week. It is sent on Mondays. To subscribe, send an email to uris-web@case.edu with the subject line "Subscribe Contact Reports".

3. Weekly Wizard Snapshot

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.

4. Weekly Wizard Snapshot for Others

Allows non-Prospect Managers to receive the same Weekly Wizard Snapshot as the Prospect Manager of their choosing. This lets assistants, team leaders, and others to have access to the same prospect activity information as their Prospect Managers. It is sent on Mondays. To subscribe, send an email to uris-web@case.edu with the subject line "Subscribe Snapshot for XXX" where XXX is the Prospect Manager name.

5. Alumni Emails

This mailing list sends you a copy of every email that ARPE and the schools send via mass email to alumni. This is a great source of upcoming event information across the university. To subscribe, send an email to uris-web@case.edu with the subject line "Subscribe Alumni Emails."

6. Non-Fundraiser Task Email Report

This report allows non-fundraisers to track their upcoming and past due tasks. It is essential for end-users to add who is responsible for a task in order for this report to meet its objective. There is no need to subscribe to this report. It will automatically be generated weekly and sent to those who are responsible for completing tasks.

Who to Contact for Information

General Questions – uris-gen@case.edu, 216.368.8552

Central File Requests & Questions – uris-files@case.edu

Changes in Advance Data – uris-data@case.edu

Computer Support - Call Case Help Desk @ xHELP (x4357)

Equipment Loan - devreq@case.edu

Gift/Pledge Questions – uris-data@case.edu

Prospect Assignment Additions/Changes – uris-pros@case.edu

Prospect Assignment Questions – uris-pros@case.edu

Report Requests - devreq@case.edu

Research Requests – uris-res@case.edu

Research Questions – uris-res@case.edu

Training – Wizardtrainer@case.edu

Website Related – uris-web@case.edu

Advance Access – Wizardtrainer@case.edu

Advance Help – Wizardtrainer@case.edu

Advancement Services Staff Directory

Name/Title	Phone	Email
Cindy Creegan Executive Director, Advancement Services	6079	cjc8
Diana Pollack Department Assistant	8552	dlp6

Advancement Services
Bio Maintenance and Gifts Processing

Madelyn Miller Assistant Director, Donor Records	5849	mrm5
Gwen Johnson Manager, Biographical Records and Gifts Processing	6933	grf
Sue Linson Manager, Data Integrity	8544	sjl2
Debo Brooks Bio and Gift Maintenance	5378	deb13
Loretta Summers Bio and Gift Maintenance	5583	lxs6
Debbie Petraska Bio and Gift Maintenance	6063	dap80
Tynomie Moss Bio and Gift Maintenance	4484	txm7

Advancement Services Information Technology

Brian Rosen Director	4404	bdr2
Tim Hays Assistant Director	4472	tjh15
Jessica Messerschmitt Business Analyst	4470	jlm67

Matt Wilkinson Analyst Programmer	2123	mjw23
Richard Lu Analyst Programmer	5954	cxl130
Jerry Yang Analyst Programmer	2107	jhy

Central Files

Irene Szmania Records Manager	6379	igs

Prospect Research/Prospect Management

Dorothy Oluonye Assistant Director, Prospect Research	6242	duo1
Stuart Oakes Associate Director, Prospect Management	6999	dso
Debra Mauldin Research Analyst	5848	djm12
Joseph Hecht Research Analyst	0166	jxh139
Ali Lombardi Research Analyst	6193	all3
Diane Shoemaker Research Analyst	2670	dms29