# Sample
## Standard Operating Procedure: Gift Processing
## <All Job titles are sample place holders>

A. **Database Authorities**
   a. Results Plus is a cloud based system and the Master Administrative Rights are held by results plus.
   b. Internal Permissions:
      i. The Executive Assistant to the CEO and Foundation Director (Ex. Asst.) and the Foundation Data Specialist (FDS), are considered "Administrators" by Results Plus and have the highest administrative authorities and can amend all constituent records and fields.
      ii. The CEO, the VP for Advancement/Foundation Director, and the Community events coordinator are considered "Casual Users" by Results Plus will have access as a "casual user" and may only update cultivation fields.

B. **Adding a Constituent to Results Plus**: Responsibility Ex. Asst./FDS
   a. Using the ADD/FIND button in RESULTS PLUS check to verify that each donor has an existing profile record.
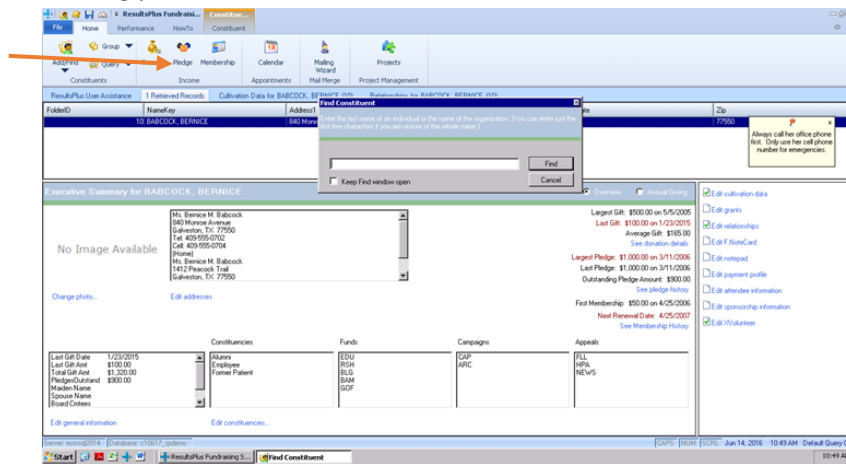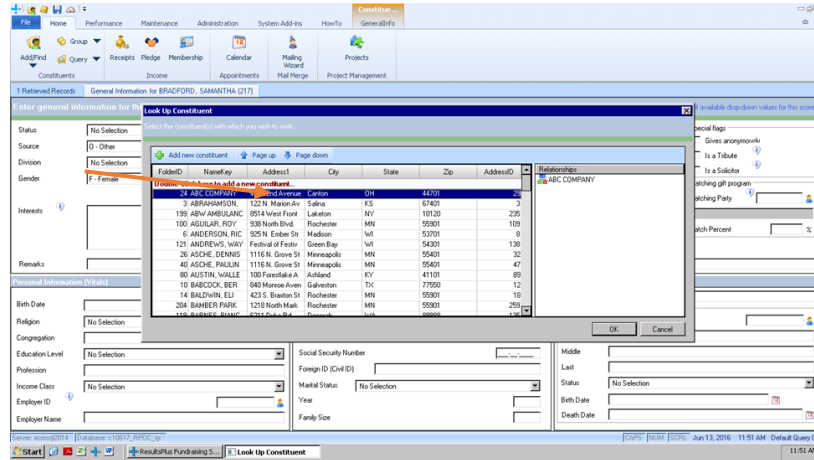
b. **Constituents are added when**:
   i. A gift is received by a new donor or organization.
   ii. A gift honors or memorializes a new individual.
   iii. There is a new Resident in a SJLM Facility.
      1. Additionally, new records will be created for their family when appropriate.
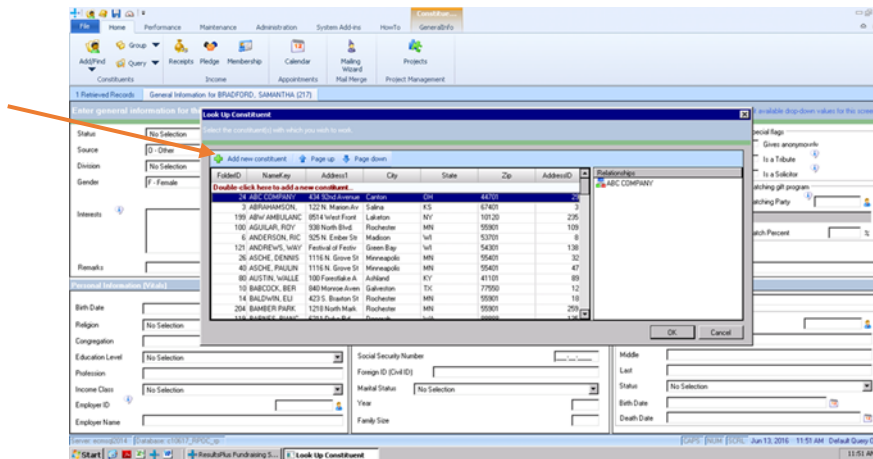


c. **Procedure:**
   i. Open the *Home* tab on the ResultsPlus ribbon.
   ii. Click the **Add/Find** button.
   iii. Select **By name (NameKey)**. (If you clicked the top half of the button, you can skip this step.)
   iv. On the *Find Constituent* screen, enter the last name associated with the person or family, or the name of the organization or business.
   v. If you are planning to add multiple constituent records, select the **Keep Find window open** option.
   vi. Click **Find**.
   vii. On the *Look Up Constituent* screen, scan through the list (you can only scroll *down* the list) to make sure there is not already a record in the database for this constituent. (It's easier than you think to enter duplicate records!)

viii. Double-click the link at the top of the list of constituent records that reads, "Double-click here to add a new constituent".

ix. On the *Type of Constituent* screen, click the drop-down list arrow to display the list of constituent types.

x. Choose the correct type for the constituent you are adding. (For single persons or couples, select **Individual.** For groups of people including families, organizations, and so on, select one of the non-individual constituent types.)

xi. Select the **Constituent is a Tribute** option if the new constituent is someone in honor or in memory of whom gifts will be received. Select the **Constituent is a Solicitor** option if the new constituent is someone who will be soliciting donations on behalf of your organization.

xii. Click **OK.** ResultsPlus will open the *Add new* screen.

xiii. Enter the information you have in the fields on the screen. Note that if you selected a non-Individual record type (such as Household, Organization, or School), the name you entered on the first screen will appear in the **Organization** field.

xiv. If you are planning to add multiple constituent records and you want to save the data you just entered as default values for the next record, press Shift+F2.

xv. Click **OK**.



C. **Gift Receipt and Processing: Responsibility FDS**

a. Gifts received shall be entered daily and checked against the bank deposit.

b. The Ex. Asst. is assigned to opening the mail and shall organize all items pertinent to gift processing, as follows:

c. Date stamp all documents received with the gift.

d. Information related to the gift is copied including any checks, transmittals, personal notes, matching gift forms, etc.

e. Staple together the original transmittal/personal letter and check copy.

f. If the donation is in the form of cash, fan-fold the cash or fold in half and copy. Also indicate on the copy the name of the donor and the amount.

g. Then checks are taken to finance by the admin assistant.

h. The Check deposit is returned the FDS and used to enter the gifts.

i. The original check and any copies of transmittals/personal notes are kept in the permanent record.
j. If one check is submitted by a donor for deposit into multiple funds, a split gift is completed. Utilizing split gift function to record the designation. Make multiple copies of the check and transmittal for the permanent record.
k. For Online cc gifts, notification will come via email to multiple people (foundation group).
   i. After receiving the email notifying the FDS of the online gift, the FDS will then go into website and pull all information and enter a batch for that gift.
l. A Gift summary report is issued when each batch is complete.

Under no circumstances shall the staff member assigned to opening the mail also be assigned to either gift entry or accounts payable processing to preserve proper segregation of duties.

D. **Entering a Gift**
   a. **To enter a simple gift**
      i. On the *Home* tab, click the **Receipts** button. ResultsPlus will open the *Batch* tab. This tab contains three areas:
         1. On the top left is a list of open batches. Select a batch to work with the receipts in it, clone it, or post it.
         2. On the top right is audit information that you use to assign names to individual batches and check your work.
         3. Across the bottom of the screen is a list of individual receipts for the currently selected batch. This is where you add and edit individual gifts.
      ii. Select a batch or create a new one, if needed.
      iii. Click the New receipt button (the green plus sign) on the bottom half of the screen. To look up the constituent using a field other than **NameKey**, click the down-arrow to the right of the **New receipt** button.
      iv. On the *Find Constituent* screen, enter the last name of the constituent or scan the barcode on the returned form to look up the constituent record.
      v. On the *General* tab of the donation form, enter any information you have. Field names shown in red, with asterisks, are required.
      vi. Click the **Save & Close** button on the ribbon.
   b. **To enter a split gift**
      i. When you enter an individual receipt into ResultsPlus, do the following:
      ii. On the *Unposted Donation* tab, where you enter the details of a gift, complete the fields on the *General* tab.
      iii. Open the *Designations* tab.
      iv. By default, ResultsPlus will apply the entire amount of the donation to the fund code specified on the *General* tab. To change this, click the **Edit designations** button (the pencil).
      v. On the *Designation* screen, enter the amount to be applied to the defaulted fund code, then click **OK**.
      vi. Click the **Add designations** button again.
      vii. Enter another amount and fund code.

        viii.   To add another designation, repeated steps 4-5.

        ix.   When done, click the **Save & Close** button on the ribbon.

c.  **Official Receipt Date:** The official receipt date will normally reflect the date of processing. Establishing the official date of the gift is the responsibility of the donor per IRS regulations; however, we can assist donors by being aware of the following in seasonal periods where the date of gift is critical (end of calendar year, for example).

        i.   If the check has been mailed through the US Postal Service, the postmark on the envelope can be used to establish date of gift.

        ii.   If the gift has been sent via FedEx, etc. the date of gift is the date it was accepted by a Foundation representative.

        iii.   If gift is made by a credit card, the date of gift is the date the charge was actually accepted by the credit card company.

d.  **Fund Codes:** Fund codes determine how money is spent.  They are dependent on Donor or management designation. When entering a gift enter the Fund Code for a designated donation, if there is no designation, place the gift in the annual Fund. Unless there is a management designation.

        i.   Fund Codes may only be assigned in Results Plus by the FDS after communication with the finance department.

        ii.   **To add a new fund**

            1.   Open the *Performance* tab and click the **Funds** button.

            2.   Click the **Add new** button.

            3.   Note that you cannot type in the table at the top of the window (where the row is highlighted); you can only enter values in the fields on the bottom of the screen.

            4.   In the **Code** field, enter up to six letters or numbers that will make it easy to recognize the appeal. For example, you might use "BAM" to identify the Bricks and Mortar fund.

            5.   In the **Status** field, select **Active** if you want to start using this fund code in Results Plus right away. Otherwise you might want to leave it **Inactive** until you are ready to use it. (When a fund code is inactive, ResultsPlus users will not be able to select it when entering gifts and pledges.)

            6.   In the **Description** field, enter a longer description of what the code stands for. For example, you might use a description such as "Bricks and Mortar".

            7.   All of the other fields on this screen are optional

e.  **Appeal Codes**: Each fundraising initiative (each mailing, event, personal visit, etc.) is an Appeal and should have a unique "Appeal Code".

        i.   Appeal codes are assigned by the FDS

f.  **Internal Documentation**: After all gifts have been entered in Results Plus, the FDS saves a PDF version of the Gift Summary and Validation Report and emails those to the Controller.  A monthly report is also completed.

        i.   All documentation including the Gift Report, check copies/transmittals, and acknowledgement letters is stored by batch numbers in the Foundation Shared

Directory by the FDS.  (FINANCE EMAILS containing the check deposit should be saved in Outlook by the FDS)

ii. Any changes or errors are noted and the documentation and it is returned to the FDS for correction.

iii. After the corrections are made, the FDS prints a second Gift Edit Report and again forwards it to the Financial/Administrative Officer for a second review. If the acknowledgement letters and Gift Edit Report are correct, the FAO signs the letters and they are mailed.

iv. As signed copies of the deposit slips are returned from the bank, the FDS attaches the signed bank confirmation to the Gift Edit Report and files it.

v. The FDS also digitally files any documentation received with the checks in the fund files along with a copy of the check.

E. **Acknowledging Gifts**

a. **Timely Recognition**: All gifts should be acknowledged with a letter and/or an official gift receipt, within 48 hours of the receipt of the gift.

b. **Recognition Structure**

i. Where possible all acknowledgements should match the solicitation language used in each appeal.

ii. If the gift is in honor of or in memory of an individual, an acknowledgement is also sent to the family, if this information is provided.

iii. The Foundation Data Specialist and the Executive Assistant are the only staff authorized to provide official gift receipts to donors. The assigned solicitor will be allowed to personalize gift receipts when appropriate.

iv. All acknowledgements are written with the VP for Agency Advancement/Foundation Director as the Author, unless otherwise specified by the VP Agency Advancement.

v. All acknowledgements will include the following statements:
1. The official gift receipt date.
2. Any donor designation of the gift if accepted.
3. The statement, "No goods or services were received in exchange for this gift."
4. The statement, "Have you considered the SJLM Foundation in your Estate?"

c. **Determining the Legal ("hard credit") Donor**

i. Establishing the "legal" donor for a gift is a requirement of the Internal Revenue Service.  This entity will receive the receipt for their gift.  Methods for determining the legal donor are:
1. Response devices or gift transmittal forms are required to include a space for the donor to provide their Name, Address, Email, Phone Number.
   a. Other information may also be collected from depending on the device.
2. The person or organization whose name appears on the face of a check shall be considered the legal donor of a gift.

3. For gifts of securities and real property, the person or organization in whose name that property was registered shall be considered the legal donor.
4. Cashier's checks are provided as a matter of convenience by banks to their customers. Since the bank is acting as an agent of the actual payor, the person or organization on whose behalf the cashier's check is drawn will be considered the legal donor.

d. **Recognition Credit ("Soft Credit") Donations**: Soft credit allows the SJLM Foundation to acknowledge the efforts of persons other than the legal donor, who were instrumental in providing the gift, while not compromising the Foundation's legal obligation to record and receipt the gift correctly. While these important people should be thanked, care must be taken to ensure the acknowledgment clearly states the legal donor.

i. The definition of the legal donor should not preclude the SJLM Foundation from providing recognition credit to persons other than the legal donor who were instrumental in facilitating or providing for a gift.

ii. Recognition credit allows the SJLM Foundation to acknowledge the efforts of these important people without compromising the foundations legal obligation to record the gift correctly.

iii. Recognition credit donor types are:
1. Sponsored/on behalf of – gifts paid by one entity on behalf of another entity;
2. Memorial – decedents that are being recognized as the result of this gift;
3. Honor – living individuals that are being recognized as the result of this gift.

iv. Whereas legal donors will receive the receipt associated with a transaction, recognition credit donors will be recognized in other types or reports or publications, such as donor honor rolls, event invitations, or membership listings.

v. Common Recognition Credits ("Soft Credits") for the SJLM Foundation Include:
1. The ELCA Foundation
   a. Enter the total value of the check as a gift from the ELCA
   b. Soft credit the individuals listed with the check the amount reported from them.
2. Thrivent choice dollars
   a. Enter the total value of the check as a gift from Thrivent
   b. Soft Credit the choice dollars listed for each donor
3. Linked spouses
   a. In situations where separate records exist for spouses, one record is designated as primary.
   b. Record the gift in the primary record and soft credit the secondary record.
4. Business Owners

<ol type="a" start="1">
<li>In situations where donations are made from a business by an individual, record the gift from the Business</li>
<li>Soft Credit the Business Owner if an individual record exists for them.</li>
</ol>

<ol type="a" start="5">
<li><strong>Non-Deductible Gifts:</strong> There are situations when a gift received by the Foundation is not tax-deductible and must be treated differently. If a donor has made a gift and has received something of value in return, the value of the amount given in return for goods and services is non-tax deductible.</li>
<li><strong>Gift Valuation:</strong> For gifts of cash, check or Credit Card use the cash value as the gift amount.  For other gifts please refer to the SJLM Gift Acceptance Policies.</li>
<li><strong>Anonymous Gifts:</strong> An anonymous donor is one who wishes to remain unidentified, or cannot be determined when the gift arrives.  There are several levels of anonymity:
<ol type="i">
<li>Donor is known, but wishes his/her name does not print on any reports.  A receipt is generated and sent to the donor.</li>
<li>Donor is known, agrees to have name disclosed but does not want the gift amount disclosed.  A receipt is generated and sent to the donor.</li>
<li>Donor is known, but wishes to have name and gift amount suppressed on all reports.  A receipt is generated and sent to the donor.</li>
<li>Donor is unknown or requests an extreme amount of anonymity.  The gift will be entered on an entity entitled "Anonymous Donor" and no receipt will be generated.</li>
</ol>
</li>
<li><strong>Procedures for Running Acknowledgements:</strong> Responsibility-FDS.
<ol type="i">
<li>There are two places from which you can run gift acknowledgments in ResultsPlus:
<ol>
<li>From the Mailing Wizard on the <em>Batch</em> tab. When you run gift acknowledgments before posting a batch, the records are right in front of you, you know they have not been acknowledged yet, and the Mailing Wizard is set up with the batch number.</li>
<li>From the Mailing Wizard on the <em>Home</em> tab. When you run gift acknowledgments from the <em>Home</em> tab, you can acknowledge all the gifts in a batch, in a range of dates, identified by a query, or that have not been acknowledged.</li>
</ol>
</li>
<li>To run gift acknowledgments from the Batch Tab
<ol>
<li>Finish entering all the gifts in a batch.</li>
<li>Run the transmittal report to identify any problems. (Do <u>not</u> post the batch yet.)</li>
<li>Click the <strong>Mailing Wizard</strong> button on the <em>Acknowledgments</em> area of the ribbon.</li>
<li>On the first screen, if you have specified thank you letters in the <strong>Acknowledgment</strong> field of each gift, go to step 5. If you have not specified acknowledgments in each gift record, clear the <strong>Use the letter specified in the gift</strong> option, then click the Browse button in the <strong>Document</strong> field to select the mail merge document you want to use.</li>
</ol>
</li>
</ol>
</li>
</ol>

5. Click the Browse button in the **Label or envelope** field to select the label or envelope mail merge document you want to use.
6. Ignore the next three options (advanced mailing features, postal report, and save raw data as text). These are generally not used in gift acknowledgments.
7. Leave the default selection **Record the merge on the Mailings tab of each constituent**. (If this option is not selected, ResultsPlus will not have any record of the mailing.) Then click **Next**.
8. On the next screen, make sure the Batch ID displayed matches the batch for which you want to run acknowledgments (the currently selected batch in the *Open Batches of Receipts* tab). Then click **Next**.
9. By default, ResultsPlus will process your letters in the same order in which you entered the gifts for each unique letter specified in the gifts. If you want your letters and envelopes sorted on specific database fields instead, use the drop-down arrows to select the first, second, and third-level sorts (all are optional). Then click **Finish**.
10. You will now see one or both of the following:
    a. Your mail merge document open in either Microsoft Word or Corel WordPerfect (whichever is specified in your Program Settings). You can now review, edit, and print your letters.
    b. A *Confirm Merge* screen that you should ignore until you are done working with your letters. If this screen is in front or you cannot see your word processing document, click the **Activate Word Processor** button. (Do <u>not</u> click **Update** yet.)
11. When you are done printing your letters, click the **Update** button on the *Confirm Merge* screen.
12. You will now see two similar screens for your labels or envelopes:
    a. Your mail merge document will open in either Microsoft Word or Corel WordPerfect. You can now review, edit, and print your labels or envelopes.
    b. A Confirm Merge screen that you should ignore until you are done working with your labels or envelopes. If this screen is in front or you cannot see your word processing document, click the **Activate Word Processor** button.
13. When you are done printing your labels or envelopes, click the **Close** button on the *Confirm Merge* screen.

F. **Recording Gift Cultivation:**
    a. The responsible development officer or his/her staff should record all substantive contacts with prospects/donors in ResultsPlus. When in a donor record click on the Cultivation Tab, and then the green plus sign to add a new contact.
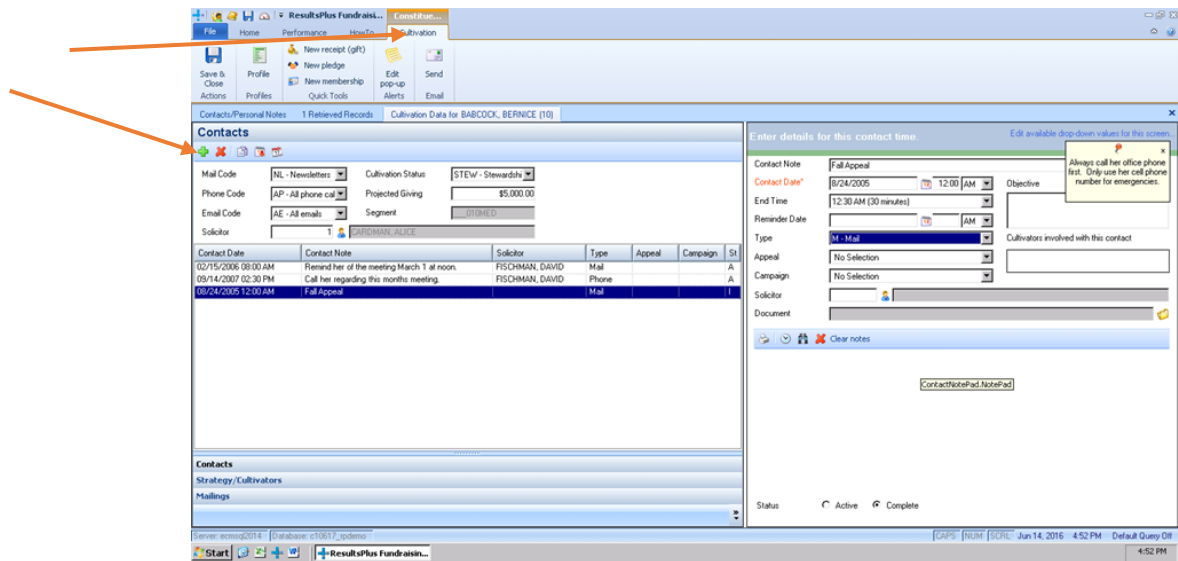
    b.   Contact reports should be filed in ResultsPlus within five (5) working days of the contact.

    c.   A contact report should document:

        i.   Activity or information that moves a prospect toward financial or volunteer support to the University

        ii.   Information concerning a prospect's ability and/or inclination to make a gift.

        iii.   Significant stewardship activity with a donor.

    d.   Ordinarily, contact reports should **not** be generated for routine contacts that do not move a prospect closer to making a gift.  Examples:

        i.   Routine or mass mailings (e.g., newsletters, holiday cards).

        ii.   Coincidental contact, such as bumping into a prospect at the grocery store, that is not an important part of the cultivation effort

        iii.   Routine event attendance that is not an important part of the cultivation effort (e.g., contact reports for all 100 individuals who attended a lecture).

    e.   A contact report should be concise and contain at minimum the following information:

        i.   Participants

        ii.   Purpose

        iii.   Results

        iv.   Follow-up

    f.   By their nature contact reports will often include information of a confidential and sensitive nature.  Nevertheless, contact reports are from time to time viewed by people outside of Advancement, including prospects themselves.  With that in mind, use discretion and common sense when entering information about sensitive subject matter such as family issues, illness, personality traits, substance abuse, or suspicious behavior. A good rule of thumb is not to include anything you would not want the prospect to see.

**G.  Regular Monitoring**: The following reports will be regularly monitored on a Monthly or Quarterly or Annual Basis:

    a.   Monthly

        i.   Contact Reports for Each Portfolio

        ii.   Report on Any Active Appeal Codes

    b.   Quarterly

      i.   YTD Total Raised vs. PYTD Total Raised

     ii.   Top N Report YTD (50-100)

    iii.   Outstanding Pledges

    iv.   Evaluate Portfolio to:

          1.   Plan next steps for each donor and

          2.   Maintain portfolio ratios around:

               a.   25% Prospect

               b.   50% Cultivation

               c.   25% Solicitation

c.   Annual:

      i.   Along with Quarterly

     ii.   Growth in Giving Report: FEP Project of AFP in comparison to other sector giving

**APPENDIX A**
**Current Fund Codes as of <DATE>**

**<LIST FUND CODES>**