

University Advancement

Risk of Loss

Customer Satisfaction

Contributing Factors

Not acknowledging pledges/gifts
Not notifying academic, athletic or administrative departments of pledges/gifts
Over solicitation of Customers
Inappropriate solicitation of customers
Not reporting account status to donors
Not having current addresses, phone information, and etc.of customers
Not disbursing scholarships in accordance with endowment terms
Under solicitation of customers
Funds not being available to support planned outlays
Not informing donors of matching gifts opportunities
Untimely sale of season tickets (Athletic, Theater Events, etc.)

Financial

Not identifying population of customers
Not soliciting customers
Under solicitation of customers
Over solicitation of customers
Inappropriate solicitation of customers
Not acknowledging gifts
Not collecting pledges
Not reporting account status to donors
Lack of Alumni support/participation
Excessive costs associated with maintaining gifts of real/personal property
Accepting gifts of real property without determining the extent of environmental risk
Credit card authorizations not being obtained (per J. Sims 15% of collections via credit card)
Not having current addresses, phone information and etc. of customers
Not obtaining tax exempt status
Not monitoring compliance with terms of grants, endowments and etc.
Loss of 501 c 3 status by allowing prohibited transactions
Not identifying companies who match gifts
Not informing potential donors of giving opportunities
Information cannot be downloaded to related desktop application for manipulation
Downloaded information is not reconciled to Paradigm system reports
Required reports not specified
Application system (Paradigm) not facilitating required reporting ("canned reports")

Operational

Not recording pledges
Not recording funds collected
Untimely recording of pledges
Untimely recording of funds collected
Not notifying human resources of payroll deduction
Incomplete input of pledges or funds collected

Regulatory

Loss of 501 c 3 status by allowing prohibited transactions
Failure to "distribute income" resulting in tax consequences

Security

Unauthorized access to Paradigm System
Not defining system input requirements