



Stanford Club Leaders Handbook

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This handbook is a publication of the Stanford Alumni Association (SAA). It is also available online at www.stanfordalumni.org/leaders/handbook

To access other resources for volunteer leaders visit www.stanfordalumni.org/leaders

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Welcome

There are roughly 205,000 living Stanford alumni in the world, with about 60% undergraduate only, 50% graduate only and 10% dual degree-holders. Over 30% of these alumni live in the San Francisco Bay Area, and another 11.5% live in or near Los Angeles or New York City. The next 37 most populous American cities account for another 40% of alumni. Accordingly, most of the Stanford Alumni Association's resources are dedicated to these 40 areas, and we work with local clubs to build and sustain strong Stanford communities there.

The remaining 19% of alumni live in areas with concentrations of 1,000 or fewer per metropolitan area (including nearly 8% outside of the United States), and in these locations SAA is even more dependent on local volunteers to be the face of Stanford and to help build local alumni communities. No matter where you live or how many alumni are in your area, you are part of a worldwide network of Stanford volunteers.

As officers of your local Stanford club, you play a vital role on behalf of the University. For many of our alumni, you and your club are the face of Stanford. Clubs account for more alumni participation than any other single Stanford alumni program. We are proud of the goodwill that you generate toward Stanford and are continually grateful for the time and energy you give to the University.

Stanford clubs come in all shapes and sizes. Some have large volunteer boards, frequent events and robust online offerings, while others consist of a single dedicated alum acting as a point of contact far from the Farm. No matter what kind of club you lead, we hope this handbook will serve as a guide. It includes information about everything from creating club boards to planning events and communicating with alumni. Please share it with your board members and other volunteers.

If you have any questions or concerns about any aspect of club management, please notify your SAA contact. Open lines of communication are the backbone of the relationship between Stanford and alumni volunteers. We very much look forward to working with you!

**The Alumni Communities department
Stanford Alumni Association**

Mission Statements

THE MISSION OF THE STANFORD ALUMNI ASSOCIATION

A DIVISION OF STANFORD UNIVERSITY

The Stanford Alumni Association seeks
to reach, serve and engage all Stanford alumni and students;
to foster a lifelong intellectual and emotional connection
between the University and its graduates;
and to provide the University with goodwill and support.

THE MISSION OF THE ALUMNI COMMUNITIES DEPARTMENT

The Alumni Communities department seeks
to strengthen Stanford's alumni communities
and foster alumni relationships
in order to connect alumni intellectually and emotionally to Stanford
and to provide the University with goodwill and support.

Important Changes: 2011 Edition

1. Updated Alumni Website

SAA will be upgrading our website in stages over the next year. Refer to the Marketing and Communications section for more information. Highlights include:

- Updated web presence for clubs
- Greater flexibility to contact alumni in your area
- Volunteer leader tools to help run your club more efficiently and effectively

2. Financial Issues

This year's Handbook clarifies Stanford's and SAA's financial policies. Refer to the Finances section for further explanation.

- All domestic clubs with bank accounts must use Stanford's TIN
- Clubs should update bank signature cards
- Stanford's tax-exempt status only applies to state sales taxes in Massachusetts and Washington D.C.

3. Last Paper Version of This Handbook

After this issue, we will no longer print a paper version of the Club Leaders Handbook, which is also available online at www.stanfordalumni.org/leadershandbook. The site is easily navigable and includes downloadable versions of all forms and worksheets.

4. Important Dates for 2011

Please take note of the following dates when planning your calendar:

- May 1: Deadline for faculty speaker requests for fall 2011
- July 1–June 30: Clubs' fiscal year calendar
- July 15: Annual paperwork is due to SAA
- August 14–September 2: Target dates for frosh send-offs
- November 1: Deadline for faculty speaker requests for spring 2012
- November 19: 114th Big Game at Stanford Stadium
- For other important dates, see "Annual Calendar" in the Quick Reference section

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Section

1

Quick Reference

The following pages contain useful reference materials:

1. Alumni Communities Staff Members
2. Annual Calendar
3. Resources at Stanford

Alumni Communities Staff Members

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Annual Calendar

June 12, 2011	Commencement
June 30, 2011	End of Club Fiscal Year
July 15, 2011	Annual Paperwork Due
August 14–Sept. 2, 2011	Recommended Frosh Send-Off Dates
September 20, 2011	First Day of New Student Orientation
September 26, 2011	First Day of Fall Quarter Classes
October 20–23, 2011	Reunion Homecoming
November 1, 2011	Suggested Deadline for Faculty Speaker Requests (February 2012–August 2012 Events)
November 19, 2011	114 th Big Game (at Stanford)
November 21–25, 2011	Stanford Student Thanksgiving Recess
December 5, 2011	W-9 Forms and Invoices Due for Clubs Using Stanford's Taxpayer Identification Number (TIN)
Dec. 17, 2011–Jan. 8, 2012	Stanford Student Winter Break
Dec. 19, 2011–Jan. 2, 2012	Stanford University Winter Shutdown
January 9, 2012	First Day of Winter Quarter Classes
February 24–25, 2012	Parents' Weekend at Stanford
March 24–April 1, 2012	Stanford Student Spring Break
April 2, 2012	First Day of Spring Quarter Classes
May 1, 2012	Suggested Deadline for Faculty Speaker Requests (September 2010–January 2011 Events)
April 27–29, 2012	Admit Weekend at Stanford (tentative)
June 17, 2012	Commencement

Resources at Stanford

Address Changes.....	(650) 725-4336 alumni.information@stanford.edu
Admission Office (Undergraduate).....	(650) 723-2091 admission.stanford.edu
Alumni Association.....	(650) 723-2021
Toll-free number.....	(800) 786-2586 www.stanfordalumni.org
Alumni Career Services.....	(650) 724-6769 www.stanfordalumni.org/career
Asian-American Activities Center.....	(650) 723-3681 www.stanford.edu/dept/a3c
Athletic Ticket Office.....	(800) STANFORD www.gostanford.com
Bechtel International Center.....	(650) 723-1831 www.stanford.edu/dept/icenter
Black Community Services Center.....	(650) 723-1587 www.stanford.edu/dept/BCSC
Bookstore.....	(650) 329-1217 www.stanfordbookstore.com
Business School Alumni Office.....	(650) 723-4046 alumni.gsb.stanford.edu
Campus Events.....	(650) 725-2787 events.stanford.edu
Campus Tours.....	(650) 723-2560
Private Campus Tours.....	(650) 725-3335 www.stanford.edu/dept/visitorinfo
Cantor Center Information.....	(650) 723-4177
Docent-Led Tours.....	(650) 723-3469 museum.stanford.edu

Career Development Center.....(650) 723-3963
cardinalcareers.stanford.edu

Continuing Studies Program.....(650) 725-2650
continuingstudies.stanford.edu

Development Office.....(650) 724-0627
 Toll-free number.....(866) 543-0243
givingtostanford.stanford.edu

Earth Sciences Alumni.....(650) 723-2101
earthsci.stanford.edu

Education Alumni.....(650) 723-0555
ed.stanford.edu/suse/alumni

Engineering Alumni.....(650) 725-1585
soe.stanford.edu/alumni

El Centro Chicano.....(650) 723-2089
www.stanford.edu/dept/elcentro

Faculty Club.....(650) 723-9313
www.stanford.edu/group/sufc

Financial Aid Office.....(650) 723-3058
www.stanford.edu/dept/finaid

Golf Course.....(650) 323-0944
 Golf Driving Range.....(650) 323-9516
www.stanfordgolfcourse.com

Green Library.....(650) 725-1064
library.stanford.edu

Hillel Offices and Library.....(650) 723-1602
hillel.stanford.edu

Hoover Library.....(650) 723-1754
www.hoover.org

Humanities and Sciences Alumni.....(650) 723-2275
www.stanford.edu/dept/humsci/external/alumni

Information (University Operator).....(650) 723-2300

Law School Alumni Association.....(650) 723-2730
law.stanford.edu/alumni

Lesbian, Gay, Bisexual and Transgender Community
Center.....(650) 725-4222
www.stanford.edu/group/QR

Lively Arts at Stanford.....(650) 723-2551
Ticket Office, Tresidder Union.....(650) 725-ARTS
livelyarts.stanford.edu

Medical School Alumni Association.....(650) 234-0618
med.stanford.edu/alumni

Memorial Church.....(650) 723-1762
religiouslife.stanford.edu

Native American Cultural Center.....(650) 725-6944
www.stanford.edu/dept/nacc

Online Customer Support.....(866) 543-0243
www.stanfordalumni.org/help

The Stanford Fund.....(650) 724-0627
givingtostanford.stanford.edu/tsf

Stanford Linear Accelerator Center Tours.....(650) 926-3300
slac.stanford.edu

Visitor Information Services.....(650) 723-2560

Section

2

Running the Club

Use this section to help with big-picture strategy for your club as well as for assessing your club's organizational structure. This section, which may be particularly helpful for club leaders who are new, includes the following:

1. Requirements of Stanford Clubs
2. Services from the Alumni Association
3. Training Modules Geared for Success
4. Club Organizational Models
5. Participation
6. Four Rs of Volunteering
7. Board of Directors
8. Club Bylaws and Mission Statement
9. Working with Other Clubs
10. Planning a Calendar
11. How's My Club Doing?
12. Annual Paperwork

1. Requirements of Stanford Clubs

As extensions of the Stanford Alumni Association, regional clubs must meet the following requirements in order to maintain their status. Each group shall act in the interests of Stanford University and its alumni and shall:

1. Welcome all Stanford alumni and parents of current Stanford students to participate in the club, and hold all events in facilities where they feel welcomed on an equal basis.
2. Elect or appoint club officers (at least a president) on a regular basis, and ensure that all officers act as positive ambassadors of Stanford and in the interests of the University. The club president must be a Stanford alum.
3. Adhere to Stanford's Financial Reporting Procedures as outlined in the Stanford Club Leaders Handbook and submit complete annual paperwork by the stated deadlines.
4. Alert the Stanford Alumni Association before contacting Stanford faculty members, coaches and administrators about potential club events, and copy your SAA contact on all correspondence regarding such events.
5. Respond promptly (within one week) to inquiries about your group from Stanford alumni or University staff.
6. Alert the Alumni Association promptly when your club's primary contact or his/her contact information changes.
7. Include your SAA contact on all of your mailing lists (paper and email) and on any official business of your club (meeting agendas, minutes, etc.).
8. Use confidential alumni contact information, online club tools and club mailing lists only for club business and promotion, and honor all alumni privacy requests made through the University. Announcements made for either commercial or political gain are strictly forbidden.
9. Comply with policies and requests from the Stanford Alumni Association and other official University departments (Risk Management, General Counsel, Business Development & Privacy, Office of Development, Chief Financial Officer, Admission & Financial Aid, Athletics, etc.). This includes the University's guidelines on acceptable use of the Stanford name, logos and emblems.
10. Consult with your SAA contact and Stanford's Office of Development before initiating either a student scholarship or an auction event, and do not organize club raffles or lotteries.

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11. Require that at least 90% of club members are Stanford alumni, spouses or significant others of alumni, or parents of a Stanford student or alum.
12. For international clubs, register with the club's home country (and local government if required) and comply with all rules and regulations of the club's home country.

2. Services from the Alumni Association

The Alumni Association may provide clubs with assistance in many ways, usually through a club's SAA contact. Here are some of the common services SAA can provide for clubs:

1. **Email Communication.** SAA sends out a monthly region-specific email newsletter to alumni in 11 major U.S. markets. Whether your area receives a monthly newsletter or not, please work with your SAA contact to help publicize your local events.
2. **Address Lists and Mailing Labels** of alumni and current parents in your area are available upon request and can be tailored according to specific criteria. Address lists may be either mailed or sent as an Excel document. Email or phone information is available only in pdf format. Please respect all policies on the use of confidential information.
3. **Online Services.** SAA's online membership module is available to help clubs reach alumni using Stanford's database. This ensures the most up-to-date alumni contact information and the adherence to all privacy requests alumni have made through the University. Your SAA contact can help you transition a non-Stanford email list (such as Yahoo groups or a list in your personal address book) over to the Stanford system.
4. **Stanford Branded Supplies.** Nametags, napkins and balloons with the Stanford or SAA logo are available upon request. Stanford nylon banners (6' x 2') may be borrowed (as available) or purchased.
5. **Insurance.** Event insurance and directors' and officers' insurance are both provided under the University's comprehensive liability policy. Please note that events held in alumni homes will be covered by homeowner policies up to \$1 million before the University's coverage takes effect (see Insurance in the Event Planning section).
6. **Tax Return Filing.** The University will include the information provided in your annual financial report in its official tax return to eliminate your club's responsibility to file individually. If your club maintains a bank account, Stanford's Tax Identification Number (TIN) must be used.

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7. **Stanford Bookstore Discount.** Purchase club supplies at a 20% discount over the phone or in person. This includes items such as end-of-year board member gifts and giveaways for frosh send-off parties or Big Game telecasts. Each official club can designate one representative to serve as the Stanford Bookstore liaison during the annual club paperwork process.
8. **Freshmen Send-Off Party Coordination.** Planning assistance and event supplies are available to help hosts send off your local frosh to the Farm.
9. **Big Game Telecast Coordination.** SAA helps to facilitate live television viewing of the game in your area for U.S. clubs. International clubs may receive live webcasts or may request a DVD copy to be mailed immediately after the game.
10. **Stanford Club Leaders Handbook.** This handbook is a resource guide to explain the mechanics of running an alumni group. To access the online version, visit www.stanfordalumni.org/leaders/handbook.
11. **Online Volunteer Leader Resources Page.** SAA maintains a web page with links to all resources for volunteer leaders. Access the page at www.stanfordalumni.org/leaders
12. **Logo Development.** SAA can provide clubs with a logo that is specific to each club and that incorporates the SAA logo.

3. Training Modules Geared for Success

The Alumni Communities department has developed several training modules to help share institutional knowledge from other clubs with you, your board and prospective board members. You may access these modules yourself at the Volunteer Leaders Resources page or we would be happy to schedule a workshop in person or a virtual webinar with you to go over the information. Keep in mind that your feedback keeps these modules current and relevant. We also welcome suggestions for topics for additional modules. The existing modules are:

- Choosing an Effective Membership Model
- Defining an Effective Board Structure
- Guiding Principles Lead to Great Decisions
- Four Rs of Volunteering
- Working With Other Clubs
- Marketing: Make the Greatest Impact

4. Club Organizational Models

About 60% of Stanford alumni clubs use an activity (non-dues paying) model and the other 40% use a dues-paying model. Choose a model that optimizes participation in your club. You can explore the different options in the online training guide “Choosing an Effective Membership Module” at www.stanfordalumni.org/leaders

**CLUB
MEMBERSHIP
IN AND OF
ITSELF IS
NOT A GOAL
OF THE
ALUMNI
ASSOCIATION**

1. Activity Model (Non-Dues Paying)

The Alumni Association encourages clubs to use an activity model where the goal is to attract as many alums as possible to attend club events. Participants subscribe to an email list or sign up for free online membership, thereby increasing club membership. Clubs can focus on getting alumni to subscribe or even sign up members themselves because no dues are required. They measure success by the number of alums receiving their announcements and attending their events. The activity model is particularly effective with younger alumni.

The activity model may feature a two-tiered system where alums support the club financially but still receive only email announcements and/or pay dues to receive paper mailings. It requires clubs to break even on all their events and occasionally borrow money from SAA to make deposits for larger events, but requires less administrative time from club leaders.

2. Dues-Paying Model

Most of Stanford’s older regional clubs were formed around a paid membership system where participants pay annual dues in exchange for price breaks at events. The focus of these clubs is getting alumni to join, and they measure their success by the number of dues-paying members and how that compares to previous years’ totals.

The dues-paying model was very effective when most clubs communicated primarily by paper mail. Clubs mailed mainly to paid members because it was not cost-effective to mail to all local alumni for every event. Today, the dues-paying model still helps clubs raise operating budgets, but with email most clubs can be much more inclusive when promoting events. Offering paid members discounts to club events remains an important incentive to reward the alums who support membership clubs, but this model requires the administrative time of a membership chair and club treasurer.

3. Groups on the Stanford Alumni Network

Often, Stanford alumni desire to stay in touch with other alumni who share a specific career expertise, cultural background, or other meaningful connection beyond class year or regional affiliation. The Stanford Alumni Association refers to these communities of shared interest or experience as “alumni network groups,” or simply “alumni groups.” Without chartering a formal club, alumni are able to connect with one another using SAA’s own social networking platform. In addition to setting up announcements and discussions, alumni volunteers can build their online communities with blogs, photo galleries, and other tools.

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The volunteers who choose to set up these alumni groups save time and administrative effort by focusing their attention on developing meaningful relationships through “friending” other alumni and taking advantage of Stanford’s myriad alumni networks. The key benefit of using the Stanford Alumni network to form groups is that ALL alumni are already in it. It’s just a matter of registering your free account and making personal connections.

For more information on these alumni network groups, please refer to: <https://alumni.stanford.edu/get/page/groups>.”

5. Participation

At SAA, we use a standard definition of “alumni” when we pull information from our database for invitations and communications. An alum is anyone who received a degree from Stanford or who attended the University in a degree-earning program for three quarters or more, regardless of whether they actually earned a degree. Generally, we do not include people whose sole relationship to Stanford is through a certificate program, Continuing Studies or a Med School residency program (though some of the graduate schools do include these groups for their events). Outside of the United States, however, we often adopt a more comprehensive definition of alumni that includes one or more of the above groups.

In addition, the Alumni Communities department considers parents of current undergraduates to be part of the Stanford community, and we include them in all our events and communications. Upon request, we will also include spouses and significant others of alumni, parents of alumni and other non-alumni friends.

In general, clubs adopt the same invitation guidelines as SAA. While clubs may focus on a specific demographic (parents, young alumni, specific professions or ethnic groups, etc.) and cater to that group, membership must remain open to the entire alumni population. Clubs may not exclude any alum that is eligible to participate.

Membership

About 40% of Stanford clubs rely on annual membership dues to finance events. The Alumni Association supports all clubs in promoting membership for this reason, but club membership in and of itself is not a goal of SAA. A club with no members that attracts large numbers of alumni to its events is far preferable to one that spends most of its energies collecting and processing annual dues. Each year a number of Stanford clubs eliminate annual dues. If you are making or considering such a change, your SAA contact can help you with this transition.

Keeping Track of Your Members

Most large clubs use the online membership module and Stanford’s alumni database to keep track of members. The advantage of using Stanford’s system is that the majority of alumni contact information updates will be done automatically. In addition, alumni are able to pay dues via credit card. If your club is currently using a database other than

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the University's, please inform your SAA contact to find out how to switch over and reduce your administrative work.

Tips for Paid Membership

If you are creating or reviewing a paid membership system for your club, here are a few suggestions to consider:

- Create a campaign for membership, including a schedule. Decide in advance how you will solicit members and encourage renewals. Build in paper, email and phone reminders, and plan a marquee event to kick off the new year. Connecting membership drives with big events is a proven method for success. Communicate your plans with SAA so that we may help you reach the widest-possible audience.
- Build in a carry-over period (how close to the end of the year can a member join and be paid up for the following year?) and a grace period (how long does a lapsed member have to renew before being dropped from your list?), and write these into your club's bylaws for consistency. Be sure that members are made aware of these deadlines.
- Most clubs have household memberships so that spouses and significant others are included on a single membership.
- Focus energy on encouraging current members to renew, and give them reasons and incentives to do so. Alums who have chosen to become members in the past are likely candidates for future membership.
- You may set your own dues-paying structure. Keep in mind that while most alums do not mind spending \$20 per year to support the local club, many feel that more than that is excessive.
- Most clubs offer a discount for recent graduates (usually undergrad alums from the past five years, but some clubs expand this to 10 years or include graduate alumni as well).
- Some clubs offer free membership to alums who just graduated, who are new to the area or who are first-time members.
- Some clubs offer free or discounted membership to current Stanford parents.
- Some clubs offer free or discounted membership to members who choose to receive club communication solely via email.

**F O C U S
E N E R G Y O N
G E T T I N G
C U R R E N T
M E M B E R S T O
R E N E W**

6. Four Rs of Volunteering

Happy volunteers are a club's most effective tool for engaging the local Stanford community. Happy volunteers are often no accident. The best club leaders cultivate a robust pipeline of volunteers who move in to leadership roles as needed and as appropriate. Everyone on the board, but especially the club president, should contemplate how to recruit, retain, reward and, yes, even retire club volunteers.

Explore these issues in the training module "Four Rs of Volunteering" at www.stanfordalumni.org/leaders.

7. Board of Directors

Some of the smallest alumni clubs are run by a single volunteer. Most clubs, however, are led by a board of directors that meets regularly to plan events and programs designed to strengthen Stanford's local presence. No matter what size volunteer group you have, we ask that you identify a president to act as the club's main point of contact for the Alumni Association. If your club maintains its own bank account, we ask that you also identify a treasurer, though this role may be filled by the president. You may consider different organizational structures in the online training module "Defining an Effective Board Structure" at www.stanfordalumni.org/leaders.

SAA encourages clubs to have a diverse board that is representative of the alumni in your area. The bigger your alumni base, the bigger the board is likely to be. Depending on the size and organization of your board, you may want to consider some of the following common officer positions beyond president, secretary and treasurer:

- Past President
- Vice President/President Elect
- Membership Director
- Newsletter Editor
- Webmaster
- Young Alumni Chair
- Publicity Chair
- Community Service Chair
- Specific Event Chairs (Big Game, Frosh Send-Off, etc.)

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- Email List Moderator
- Hospitality or Newcomers Chair
- New Volunteer Chair
- Undergraduate Admissions Volunteer

If your local Undergraduate Admissions volunteer is not a member of your board, please include him/her in your communications and consider adding him/her as an ex-officio member of your board.

Three of the most important things you can do to ensure the longevity of your club are to enlist new volunteers, train new leaders and implement a succession plan.

When enlisting board members, it may be helpful to write up job descriptions detailing the specific responsibilities of each position. This will give potential volunteers a clear idea of the expectations for that role. The following descriptions of common officer positions are a good starting point. Feel free to tailor the examples to the specific needs of your group.

President

- Keeps the group moving forward
- Builds a cohesive team amongst the board members
- Convenes regular board meetings
- Keeps the momentum going through follow-up with board members
- Is in regular contact with the Alumni Association and supplies SAA with details for announcements, regional newsletters and the web
- Ensures compliance with SAA guidelines, University requirements and paperwork deadlines

Treasurer

- Maintains a bank account and ensures that timely and accurate financial paperwork is submitted to SAA
- Oversees a budget and keeps records of all financial transactions
- Collects and distributes the club's money (bills, receipts, scholarship fund, etc.)

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- Works with event chairs/president to ensure that events fall within the club's budget
- Ensures a year-end balance of less than \$5,000

For clubs using Stanford's Taxpayer Identification Number (TIN), the treasurer also obtains completed W-9 forms and invoices from vendors with whom the club does \$600 or more of business in a calendar year and forwards these documents to SAA.

Vice President/President-Elect

SAA recommends choosing a vice president or president-elect several months prior to the end of a president's term in order to "learn the ropes" before becoming president. This officer:

- Assists the president with leading and coordinating board meetings
- Follows up with individual board members and SAA
- Provides leadership and coordination for specific events.

Membership Director

- Maintains and updates the club's membership database and may produce a membership directory
- Provides SAA with an updated membership list by July 15 of each year (not necessary if the club uses Stanford's online membership module as its database)
- Informs SAA of updated local alumni contact information on an ongoing basis
- For clubs that do not have a hospitality chair, the membership director may also welcome new members at events

Secretary

- Puts together agendas and meeting notes before and after each board meeting and circulates these to the board and the club's SAA contact
- May also handle logistics for board meetings

8. Club Bylaws and Mission Statement

Because all alumni clubs are branches of the Stanford Alumni Association, your board of directors should be aware of SAA's mission statement. You may wish to develop an additional mission statement for your club by modifying or adding to the SAA statement. A good mission statement will guide your group in decision-making and

RUNNING THE CLUB

planning, providing focus for busy board members and volunteers. When concerns arise about whether to pursue a particular program or event, the board can simply address whether such action would fulfill the club's mission. Develop the tools to steer your club with the training module "Guiding Principles Lead to Great Decisions" at www.stanfordalumni.org/leaders.

The Mission of the Stanford Alumni Association

DIVISION OF STANFORD UNIVERSITY

The Stanford Alumni Association seeks to reach, serve and engage all Stanford alumni and students; to foster a lifelong intellectual and emotional connection between the University and its graduates; and to provide the University with goodwill and support.

In addition, the Alumni Communities department has developed its own mission statement, which may be closer to your club's goals:

The Mission of the Alumni Communities Department

The Alumni Communities department seeks to strengthen Stanford's alumni communities and foster alumni relationships in order to connect alumni intellectually and emotionally to Stanford and to provide the University with goodwill and support.

Your club may wish to publish one of these or your own mission statement periodically in newsletters, member directories, websites, etc. If you have created or revised a mission statement in the past year, please forward a copy to your SAA contact.

In addition to a mission statement, SAA strongly suggests that clubs develop a set of bylaws. Bylaws provide continuity for your group and serve as guidelines when questions about policies and procedures arise. You may already have a set of standard practices that act as informal bylaws but are not written down. If you wish to create a set of bylaws, a template of common topics is below with some suggested text. Some sections may not apply to your club, and you should feel free to change the language to suit your club's particular needs.

If you've created or revised your bylaws in the past year, please forward a copy to your SAA contact. This document is also available online at www.stanfordalumni.org/leaders/handbook.

- I. NAME: The name of the club shall be: _____.
- II. MISSION STATEMENT: _____

RUNNING THE CLUB

III. **MEMBERSHIP:** Club membership is open to all alumni, spouses and significant others, Stanford students and parents of students and alumni. Club members need not be members of the Stanford Alumni Association. A member is defined as ____.

The term of membership is one year, beginning on _____. Members who join after ____ will be considered members for the following year as well. Lapsed members will be considered members in good standing for ____ months after their membership expires.

IV. **OFFICERS:** The governing board of officers shall include a president and a treasurer, though one person may fill both of those offices. The board of directors shall have the authority to appoint such other offices as it deems advisable.

The president may serve for up to ____ years. Other board members may serve for ____ years.

A president-elect shall be chosen ____ before the end of the president's term. The past president shall serve as an ex-officio board member for ____ after leaving office.

V. **MEETINGS:** This board of directors shall meet every ____ month(s).

VI. **ELECTIONS:** Election of new officers shall take place _____. A candidate may be nominated by _____.

[Elections will be open and publicized to the entire membership and will be supervised by an officer appointed by the board/Elections will be by the current board of directors only.] They will be conducted by _____.

VII. **DUES:** Dues, if necessary, shall be assessed each member, according to a rate established by the board of directors. The current dues are ____ with a discount of ____ for the following groups: _____.

VIII. **AMENDMENTS:** These bylaws may be amended at any time by a ____ % vote of the board of directors.

9. Working with Other Clubs

Your group can leverage volunteer time and energy by collaborating with other local clubs. Other clubs can help to expand the reach of your club, conserve resources, and build a unified and more robust Stanford network. Your club might even consider “adopting” another club to foster closer relations and efficiencies. Refer to the training module “Working with Other Clubs” at www.stanfordalumni.org/leaders.

10. Planning a Calendar

Many successful clubs' boards meet once a year, often early in the summer, to outline the following year's program of activities. Here are some suggestions for such a meeting:

- Identify dates early for any traditional events, such as freshmen send-off, Big Game party, holiday gathering, faculty speaker and any other major Stanford events coming to your area (see the Events section for more on send-offs, Big Game and faculty events). You may also want to check for visits from Stanford athletic teams, the dates of the NCAA basketball tournaments (since Stanford is often playing) and the dates of other major events that would be good to avoid (holidays, Super Bowl, Academy Awards, etc.).
- Consider the needs of your local alumni. Do you need activities every month or just a few great events each year? Your SAA contact can provide you with a demographic breakdown of alumni in your area. Are you offering enough variety in your programs to reach this diverse group? What has been especially successful in the past? What new programming might attract additional participation?
- Use what works in other areas. In recent years, our highest-attended regional events have been exclusive visits to museums, theaters and other cultural centers. Other successful events include career networking mixers and panels, sports outings, community service days, family events and young alumni happy hours.
- Delegate responsibility for each event to your board members. Your schedule for the year should never exceed the resources--financial or physical--of your board and membership.

11. How's My Club Doing?

How does SAA evaluate our alumni clubs? Because there are many different kinds of Stanford clubs and each has its own goals and its own local population to serve, we have very few absolute measures. But here are some questions we suggest clubs ask themselves to self-evaluate the success of their club:

VOLUNTEERS

- Has your club engaged new volunteers in the past year?
- Do you provide opportunities to engage single-event volunteers?
- Have you prepared new people to take over some of your key officer roles?
- Do your key officers train successors to avoid burn out?
- Do you thank and reward your volunteers?

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- Do your club officers participate in club events?

FINANCES

- Are your club savings about the same as a year ago?
- Do you invest the money you collect into your events and programs?
- Do you budget so that you can absorb the impact of a given event if it doesn't attract as many people as you expect?
- Are your events priced in a way that makes them accessible to all alumni?
- Do you offer discounts for younger alumni?

EVENTS

- Do you plan and publicize a general calendar for the year?
- Do you publicize and market your events several months in advance?
- Do you send reminders about your events?
- Do you have a mix of intellectual and social events?
- How many people come to at least one club event each year?
- How many people come to multiple events?
- Do you hold events in a variety of geographic locations within your area?
- Do your events appeal to a large enough audience to merit the time and energy they take to plan?
- Do you co-sponsor any events with alumni groups from other schools?
- Do you evaluate your events, keep an archive of past evaluations and make adjustments accordingly?
- Do you send sign-in sheets or RSVP lists to your SAA contact in order to track attendance?

CONNECTING TO ALUMNI

- When space is not an issue, are all local alumni invited to your events?
- Does your club engage all demographics of alumni: recent graduates, alumni with families, older alumni, undergraduate and graduate alumni from the various schools, and alumni of different ethnicities?
- If you maintain email announcement lists, are they open to non-members?
- Have you surveyed alumni to gauge interest? You can work with your SAA contact to develop a survey.

CONNECTING TO STANFORD

- Does your club communicate frequently with your SAA contact?
- Have you gathered new email addresses from alumni and parents?
- Do you share new alumni contact information with Stanford?
- Do you collaborate and communicate with other Stanford groups in your area?
- Do you share information with your SAA contact so that we can help promote your club and its events?
- Do you promote Stanford events not planned by your club?

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- Do you turn in all your annual club paperwork on time?

12. Annual Paperwork

At the end of each fiscal year, all regional groups are required to submit an annual report of their activities to the Alumni Association. Clubs report on a July 1–June 30 year. Please file your annual paperwork with us by July 15. Forms may be downloaded: www.stanfordalumni.org/leaders/handbook.

The Alumni Association tracks the number of alumni who attend Stanford regional events, the number of regional volunteers and information on the broad range of alumni clubs operating around the world. Ultimately, this data supports the SAA mission and generates funding from the University that allows the Alumni Association to provide clubs with various events, tools, supplies and staff support.

The Alumni Association is also accountable to the University for tax reporting. Alumni clubs must use Stanford's Taxpayer Identification Number (TIN) for club bank accounts because in the eyes of the IRS these clubs are as much a part of Stanford as, for example, the chemistry department. The various financial forms and bank statements that clubs submit to SAA are delivered to Stanford's accountants for the University's tax report.

Finally, it is important to Stanford to keep a record of all volunteers and alumni who are active with regional clubs. This information is entered into Stanford's database, where it is accessed to recognize and reward longtime volunteers or to recommend alumni for other types of volunteer service at Stanford.

Specifically, the paperwork required of all regional clubs each year is as follows:

CLUB CHARTER/ANNUAL RENEWAL FORM

An extension of the initial charter that club leaders sign when a club is created, the renewal form states that the club will continue to abide by all SAA and Stanford policies and is signed by the president and treasurer on behalf of the club.

ANNUAL REPORT

This form gives SAA staff a general sense of how each club operates, and it also gives clubs a chance to tell SAA what is working well, what is not, and how the University can support them. Annual Reports provide a great record from which new club volunteers and staff members can learn the history of a specific club.

CALENDAR OF EVENTS

The calendar provides much of the data tracked by Alumni Communities, in particular the number and type of your club's events and the attendance at each.

MOST-RECENT OFFICER AND BOARD LIST

Stanford tracks alumni volunteer activity for recognition programs such as the Stanford Associates Awards. The updated board roster is coded into Stanford's database each

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year so that the University is able to document the good work of its regional volunteers.

MEMBERSHIP LIST OR CLUB DIRECTORY

Stanford records all alumni who are members of clubs. Clubs who charge membership dues must submit a full membership list for the most recent club year or a copy of the most recent club directory. For clubs using Stanford's online membership module as the only database of record, this process is done automatically. For other clubs, a paper or electronic list is required to update Stanford's database. Clubs without formal membership are not required to submit lists.

BANK ACCOUNT INFORMATION FORM

Occasionally, clubs have a lot of turnover or go defunct for a few years. By keeping records of a club's bank account information, SAA is able to help volunteers reactivate the account when a club is restarted and access funds that may have already been invested in that organization.

COPY OF BANK SIGNATURE AUTHORITY CARD

The Alumni Association keeps a single copy of the bank signature card to confirm that a club is using Stanford's TIN and to ensure continuity. The treasurer should work with your SAA contact to update your club's signature card to include SAA's CFO, Barbara Pugliese, as well as Stanford's Controller. Retain a copy of this bank signature card and submit a copy with the club's annual reporting.

ANNUAL FINANCIAL STATEMENT

The annual financial statement is a uniform way of determining where the money is going, and for clubs using Stanford's TIN, it becomes part of Stanford's tax report. Clubs should aim to have a maximum end-of-year bank balance of \$5,000.

MONTHLY BANK STATEMENTS (TIN CLUBS ONLY)

Bank statements (or copies) from clubs with bank accounts are required for Stanford's accountants to prepare a tax report. Some clubs have the bank automatically send an extra statement each month, and many banks provide this service at no charge. Clubs banking at the Stanford Federal Credit Union need not submit statements as SAA's accounting department has access to these statements.

W-9 FORMS AND RECEIPTS (TIN CLUBS ONLY)

Completed W-9 forms and the related invoices or receipts from vendors with whom clubs do \$600 of business or more in a given year are also required from clubs. This information is gathered so that the University may issue a Form 1099 to these vendors.

Marketing and Communications

Promoting your club's activities and communicating with alumni in your area are vital to running an effective club. Taking the time to develop a simple marketing plan for club programming could yield dramatic results. Asking basic questions like "Who is our audience? What is the value we are offering? What information is essential?" can lead to a stronger impact from your messages. Marketing your club may include: 1) membership development; 2) volunteer recruitment; 3) event promotion; and 4) surveying local alumni to understand the types of events and activities that most interest them. For more information, consult the "Marketing: Make the Greatest Impact" training module at the Volunteer Leaders Resources Page at www.stanfordalumni.org/leaders.

The following sections detail many of the ways in which Stanford stays in touch with its alumni, how your club may choose to reach out, what online services are available and the types of mailing lists and labels the Alumni Association can provide to support your club.

The Communications section includes explanations of:

1. Communications from SAA
2. Communication from Your Club
3. Online Tools for Clubs
4. Mailing Lists and Labels
5. Club Logos
6. Tips for Publicity
7. Confidentiality

1. Communications from SAA

Targeted Local Email Communications

SAA will, upon request, periodically assist regional alumni clubs with email announcements to alumni living within a specified region. These announcements will be considered for Stanford alumni events that appeal to larger groups of alumni, including faculty speaker events, athletic events (e.g. NCAA basketball tournaments or other sports teams traveling to a local area) or cultural events. Please consult with your SAA contact to discuss the possibility of SAA sending an email on the club's behalf. SAA requires at least seven business days notice in order to consider such a request. Submitted text does undergo an editing process, and the Stanford editor has final say over content.

Note: SAA has current email addresses for over 69% of its alumni, as well as parents of current undergraduates.

Stanford Where You Live

Eleven areas within the United States with the largest concentrations of Stanford alumni receive a monthly email newsletter, *Stanford Where You Live*, with information about upcoming Stanford alumni events in that local area. If your club is in one of these areas, please work with your SAA contact to ensure that your club's events and programs are promoted in these newsletters. We recommend publicizing events at least one month before they occur; two months ahead if possible.

The Loop

All Stanford alumni with a current email address receive *The Loop*, a monthly email update produced by the editors of STANFORD magazine. This publication contains features and news items about the University, current students and alumni.

Stanford Alumni Website – Event Information

The Stanford alumni events pages are accessible in the “Where I Live” section of the SAA website - alumni.stanford.edu/get/page/regions/landing. Events are viewable by both alumni and guests and contain listings by location that may be sponsored by either the local Stanford alumni club, the Stanford Alumni Association and/or the Department of Athletics. Please share pertinent event details with your SAA contact to ensure that up-to-date information about your event is posted on SAA's website in a timely manner.

Club Contact Information

The Alumni Association provides contact information for all official alumni clubs, including appropriate representatives, on the SAA website. Should your club contact information change, please be sure to update it on your SAA club webpage as well as alert your SAA manager.

MARKETING AND COMMUNICATIONS

Requests from Sources Outside SAA

Because club contact information is available publicly on the SAA website, club leaders often receive requests from Stanford departments outside of SAA or from non-University vendors to publicize information to local alumni. Club leaders are not required to publicize any unsolicited information to club members. In fact, it's your duty to protect your members from unwanted or inappropriate correspondence. If you receive requests or communications of this nature from any Stanford office outside of SAA, please forward the message to your SAA contact.

2. Communications from Your Club

Stanford alumni clubs have the ability to communicate directly with members in several ways. Timely, concise communications will help keep your members informed about local events as well as other pertinent club updates such as announcing or recruiting new board members and joining or renewing membership. Please consider your target audience and the purpose of your message before choosing the appropriate communication method.

Club Email Account

Official Stanford alumni clubs are encouraged to register a single, free email account for their club in the format [alumniclubname]@stanfordalumni.org. This makes it easier for new members to contact your club even if your contact person changes, in which case the club leader can simply change the email account forwarding to a new person without having to publicize a different email address, and your club directory listing will remain up to date. To set up a club email account, submit a request to your SAA contact.

Email Communications Using the Membership Module

The membership module is a tool provided by SAA to help alumni clubs keep track of and communicate with members. The membership module enables club leaders to send email communications to all club members -- or to reach out to different subsets of its membership base, including only current members, past members, and so forth. Club leaders should be sensitive to the number of messages sent to members. Generally, email communications should be limited to a few per month. Please note that announcements for political or commercial purposes are strictly prohibited. For more information on the Membership Module, please visit the Club Leader Resources Page at alumni.stanford.edu/get/page/groups/ClubLeaderResource.

Newsletters

A few Stanford alumni groups write and distribute their own newsletters as a tangible benefit to club membership. These newsletters range from one-page fliers with short announcements about events to multi-paged documents or electronic newsletters complete with photos. Many include a calendar of upcoming events, news from Stanford, officer profiles, brief reports on past events and a note from the president. Obviously, there is a profound financial benefit to email newsletters over paper mail. If your club sends a regular monthly email newsletter and your club is in a region where

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alumni also receive the *Stanford Where You Live* monthly e-newsletter, please be sure to coordinate with your regional manager to avoid sending the two at the same time.

Membership Directories

The SAA website offers an easy alumni directory search feature that allows alumni to search for any other alum based on several search criteria, such as location, class year, student activities, degree type, etc. As such, many clubs that used to offer a directory of local alumni have found that the need for these membership directories has decreased.

If your club does choose to continue printing membership directories, a member directory report template is included as part of the membership module reports. Club leaders have the option to print a paper version of this directory. Printed directory styles vary, but a simple list may be sufficient. SAA discourages emailing computer files with member information for privacy reasons.

If you publish a directory, don't forget to ask your members for permission to publish their contact information (you may wish to include a check box on your membership form). Be sure to make it clear that the directory is intended for the personal use of members only and must not be used for commercial or political purposes.

Surveys

Many clubs survey their membership or broader local community in order to gauge interest in certain events and aid in the planning of their yearly calendar. Surveys are a good way to solicit feedback from alums, reach out to alums who may not have attended an event in the past and let them know their input is important. SAA can help your club by creating a survey and sending it out to your local population. Talk to your SAA contact to learn more.

3. Online Tools for Clubs

Online tools help club leaders track memberships, set up web pages, communicate with members, market events and reduce time spent on administrative work.

Volunteer Leader Resources on the Web

All Stanford club leaders, or alums interested in becoming club leaders, may access the Club Leader Resources page, an online site for housing many of the tools and resources available to club leaders. The web page provides access to instructions for using all of the club tools, as well as links to a copy of this handbook and to training modules for volunteers. To access the Club Leader Resources page, visit www.stanfordalumni.org/leaders.

Website

All official chartered clubs must maintain a listing on the SAA website. These web pages are integrated with the club's current membership module and events pages. The template requires no prior knowledge of HTML and can be easily customized with

**BE SURE TO
ASK YOUR
MEMBERS FOR
PERMISSION
TO PUBLISH
THEIR
CONTACT
INFORMATION**

MARKETING AND COMMUNICATIONS

photos and graphics. Unfortunately, SAA is unable to host websites for Stanford alumni clubs outside of the use of the new web template. If your club plans to use a website not hosted by SAA, you may link to it from your SAA-provided site. To ensure up-to-date information about your club's events on the SAA website, please be sure to provide your SAA contact with any pertinent event details. Other services available on the SAA website of potential interest to alumni clubs include the Stanford Career Network, a database where alumni can meet, mentor or network with other alums working in a given field; the Volunteer Clearinghouse, where alums can volunteer for opportunities to serve campus or alumni groups; and the online Alumni Directory, where alums can locate each other based on location, experiences and interests.

Social Networking Sites

Social networking sites, such as Facebook, LinkedIn and Twitter, are emerging as online community resources for alumni. If your group is considering using one or more of these sites, keep in mind that given the rapidly changing landscape and differing level of adoption and comfort by alumni, the use of these sites should be part of a balanced set of communication vehicles.

Discussion Boards

All Stanford club and group websites can enable the discussion board feature for their website, which allows members to communicate with each other around topics of interest. Posts to the discussion board will be archived on the club website. Members will also have the option of receiving discussion board posts via email.

Membership Module

The membership module is a tool for managing your club's membership. It can be used for clubs that have free memberships as well as those that charge dues. For clubs that charge dues, it allows alumni to join online using a credit card to pay dues. Credit card payments are then automatically deposited into your club's bank account on a monthly basis. There is a 3% bank fee deducted for each credit card transaction. At this time, the membership module accepts only U.S. dollar transactions, but it may still be useful for international clubs to use as a non-dues database and email list.

All official Stanford alumni clubs have access to the membership module capabilities. If your club currently has a membership module, your club's membership will be transferred automatically. The membership module automatically populates and updates club member contact information from Stanford's database. Therefore, alumni will generally not have to provide an update each time they join or renew. As long as alumni notify Stanford of address changes, your club's database will remain current. If you are currently using an outside database or keeping a personal list of members, please speak to your SAA contact about the possibility of changing over to the membership module. Using the membership module easily enables club leaders to email all club members, print address lists and labels, and quickly create membership directories. The membership module also takes into account alums' mailing and privacy preferences.

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Events Module

The events module allows clubs to take RSVPs and collect payment for events online via credit card. Events created through the events module can be linked through the main SAA web page and/or your club's own website. Credit card payments are then directly deposited in your club's bank account on a monthly basis. A 3% bank fee is deducted for the credit card system.

The events module will automatically populate and update attendees' contact information from Stanford's alumni database, and therefore alumni will not be required to update information each time they register for an event. Using the events module also enables club leaders to email all event registrants and track an event's attendance. Finally, volunteer leaders are not required to send their SAA contact RSVP lists for events that take online registration – just be sure to update the system with any registrations taken at the door.

Online Web Help

Online customer service representatives at SAA are available to answer questions or to provide feedback about any of the online tools and services. Contact Customer Service Monday through Friday between 8 a.m. and 5 p.m. Pacific Time at (866) 543-0243 or by email at alumniwebhelp@stanford.edu. You should expect a response within one business day.

Training Modules for Volunteers

SAA has developed training modules for club leaders and volunteers. Six modules are currently available. The modules available as of May 2010 include:

- Guiding Principles Lead to Great Decisions (Mission Statement and Bylaws)
- Defining an Effective Board Structure
- Choosing an Effective Membership Model
- The Four Rs of Volunteers (Recruiting, Retaining, Retiring and Rewarding)
- Working with Other Clubs (Ivies, GSB, etc.)
- Marketing: Make the Greatest Impact

4. Mailing Lists and Labels

SAA will provide lists and/or mailing labels of alumni and current parents in your geographic region in order for your club to publicize specific events. It is very important to use these names for the express purpose of marketing local Stanford club

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events only. The University closely protects the privacy of its alumni database. When lists and labels are used for non-Stanford purposes, volunteer access to the alumni database is jeopardized. We ask that you contact SAA each time your club needs a list rather than using old lists. Addresses are updated frequently, and some alumni ask that Stanford no longer contact them about Stanford events. Our database records all of these changes, and we require that all clubs abide by these alumni requests. Lists can be printed or sent electronically as an Excel document. Please notify your SAA contact at least two weeks ahead to allow enough time to prepare the appropriate lists. SAA may provide contact information for the following groups:

- All degree holders, both graduate and undergraduate, as well as anyone who has attended a Stanford degree-earning program for three quarters or more
- Parents of current undergraduate students
- SAA program attendees

Lists and labels can be tailored in a variety of ways, including by class year, degree, major, zip code, home or business address or any combination of these. SAA will brainstorm with you on ways to broaden your club's standard mailing list for specific events. For example, if you are planning an event with a prominent local businesswoman, you might target women MBAs and women with business addresses within a particular zip code range.

5. Club Logos

The Big Picture

As part of an overall Stanford effort to represent the University more consistently, the Stanford Alumni Association implemented a new logo in 2004:



Guidelines from the University provide clubs with direction concerning logo use.

Stanford Alumni Club Logos

SAA has a “template logo” that official clubs may use on their websites. The template includes design elements that make it unique to Stanford alumni clubs. Please submit a request to your SAA contact if your club would like to use the template logo. The template logo can be delivered in a variety of formats with artwork that includes your club's name.

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A sample logo:



Please note the following restrictions:

- Clubs may not use the new Alumni Association logo unless it is part of this template.
- Clubs may not alter the template logo in any way or combine it with any other image (for example, a local landmark, color or emblem) to create a new logo.
- Alumni created groups – which are non-chartered and unofficial – are not allowed to use the Stanford alumni logo.

The Use of Unique Club Logos

Clubs are also welcome to create or continue using unique logos that do not include any existing Stanford emblem.

Examples of unique club logos:



Use of Stanford University Emblems and the Old SAA Logo

In order to comply with Stanford University guidelines, clubs may not use the official Stanford University emblems or the old SAA logo. Please work with your SAA contact if you have questions related to your club's phase-out of these emblems.

Examples of official Stanford University emblems and the old SAA logo:



6. Tips for Publicizing Club Events

Alumni clubs are responsible for all communication related to club-sponsored activities unless those events are co-sponsored with SAA. The following suggestions may be helpful as you plan to publicize your club's events:

Email Communications

- Use email whenever possible for communications (as it is less expensive and in keeping with “green” practices), but keep in mind that some alumni do not have email or do not respond well to email invitations. Many clubs have created a membership option where alumni can elect to receive printed invitations and notifications for a small fee. Consider how technologically comfortable your club membership is as you decide whether to use print or email.
- Use your club's membership module to send email communications. These lists provide alumni recipients with an easy way to unsubscribe if they no longer wish to be contacted or receive communications from the club. If you need to email a small group of alumni, use the “bcc” field to keep alumni email address information confidential.
- Use a consistent “From” line (preferably your club's name and email address).
- Choose subject lines and headings that are short, but descriptive, and be sure to include “Stanford” in your subject line. You should also include “Stanford” in your email copy.
- If you plan to promote multiple events in the same email, use a short table of contents.
- Do not copy text or pictures from SAA or other Stanford emails. As local volunteer leaders, your alumni-to-alumni message can be more personal and potentially more effective. Alumni receiving copied messages may be confused as to who is organizing the event. In addition, some Stanford emails and images may be copyrighted.

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- Ensure there is some white space in your email by breaking large chunks of text into readable sections. Dense copy is hard to read.
- If you have a lot of information, use bullets to make it easier to digest. Even if you've stated information in paragraph form, it's a good idea to repeat it in a bulleted format: Title, Date, Time, Location, Cost, Contact and RSVP. Always include the event date and location (city). Include the venue name if the venue is a local draw
- Be sure to identify club leaders, faculty members, speakers, panelists and so forth and include class years, where applicable.
- Avoid the use of acronyms or inside references.
- Leverage the web. If possible, add web links for more information (bios, driving directions, maps) so that you can keep the message short.
- Don't just announce an event — sell it! Position the message to articulate what's in it for the recipient.
- Have two people proof your announcement before hitting "send." Having to issue a correction or resend an email makes that recipient less likely to pay attention to future communications.

Paper Communications

- Poll your membership for persons with graphic art/design skills. An attractive, uncluttered flier is easier to read and will generate more interest in your event.
- Use your club's logo to create letterhead, and print a logo on the outside of your fliers to alert recipients that the mailings relate to Stanford.
- Be accurate. Double-check dates, spellings of names, phone numbers, class years, email addresses and so forth.
- Always include a contact name, phone number and/or email address.
- Keep website urls as simple as possible in print communications. Include your club's web address on all correspondence or use the SAA web address if your club does not maintain a web page.

7. Confidentiality

Any information you obtain through the use of Stanford Alumni Association resources — including online databases and discussion groups — is confidential and is not to be used for any purpose other than those approved by the Stanford Alumni Association. No part of the information you receive may be reproduced, retransmitted, distributed, published (except with permission from all those being published) or used for commercial or political purposes. Furthermore, any contact information changes for alumni and volunteers should be forwarded promptly to a staff member at the Alumni Association. Payments by credit card are allowed only online and therefore any records on hand that may contain credit card information from previous club transactions should be destroyed immediately.

Section

4

Event Planning

Successful events are critical for any club. This section can help you develop a program that will appeal to a broad cross section of your alumni and help you manage the details that make an event successful, including:

1. Tips for Holding Great Events
2. General Event Planning Checklist
3. Corporate Sponsorship
4. Raffles, Lotteries and Auctions
5. Event Budget Worksheet
6. Freshmen and New Student Send-Off Parties
7. Big Game Telecast Parties
8. Faculty and Other Speaker Events
9. Sample Faculty Briefing
10. Insurance

1. Tips for Holding Great Events

Venue

Creativity is key when selecting a venue for your event. Consider using a location that isn't typically accessible to the general public—people generally enjoy going to places that are new and different.

Look for facilities that already have an entertainment focus (e.g., wineries, museums, aquariums, historic sites, performing arts facilities or culinary academies). Check to see if any of your officers have access to any unique facilities or sit on the boards of local museums or organizations. You might be surprised at the wealth of resources in your own backyard. Use your status as a non-profit, educational service group to open doors.

When researching venues you should consider the following:

1. Capacity – Does it fit your target audience size?
2. Availability – Is it available on the date that you have chosen for your event? If not, is your date flexible?
3. Price – Is the rental fee in your budget, and are there additional fees beyond the rental (e.g. security, cleaning)?
4. Ambience and format – Is it the right space for your event and/or speaker? (e.g. bar, restaurant, conference room, auditorium, etc.)
5. Accessibility – Does the space need to be child-friendly? Is it wheelchair-accessible? Is there a dress code?

Caterers

When contracting with caterers for food and beverage you should consider the following:

1. Meal – What type of food best fits your event; breakfast, lunch, dinner, heavy hors d'oeuvres, or a cheese plate?
2. Budget – How much can you afford to spend per person? Remember that up to 30% of the total bill may be comprised of tax, service and gratuities.
3. Read the contract – Make sure you know what you are guaranteeing. The caterer may ask you to meet a minimum expenditure, so be sure that you know your attendance numbers and adjust them by the contracted date.

Tips:

- Do not serve alcohol without serving food, and be sure to include non-alcoholic choices.
- Allow for about 6 to 8 hors d'oeuvres per person per hour.
- A bottle of wine serves about 5 glasses.

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Audio Visual

When assessing audio visual needs you should consider the following:

1. What AV equipment is called for by the event? Is there a speaker presentation? Is the room large enough to necessitate using a microphone? Do you want to play music?
2. Always ask your speaker(s) what AV needs they have (e.g. podium, slide projector, PowerPoint, wireless mic, etc.)
3. Budget – Don't assume anything is available for free, and be sure to contract for what you need.
4. Always conduct a sound check the day of the event.
5. Always be sure to have a glass of water at the podium or table for any speakers.

Boosting Attendance

If your attendance numbers are low, phone calling is an effective way to encourage people to attend. Set up a phone tree with members of your board. Often alumni just need a little encouragement or a reminder to attend an upcoming program and the personal touch of a phone call can make the difference.

The Personal Touch

One of the greatest concerns that many alumni have before attending an alumni event is whether or not they will know anyone when they get there. If club volunteers go out of their way to make people feel welcome, then they will greatly increase the chances of alumni attending future events. As simple as it sounds, some clubs forget to welcome guests as they arrive, introduce attendees to one another or engage wallflowers. We also strongly encourage the use of nametags at alumni events.

Alcohol

In most cases a cash bar is preferable to an open bar in order to keep the price affordable and to attract more attendees. Your caterer can recommend the appropriate amount of beverages to order for your group.

Another option is to bring your own beverages or arrange for donations, either from members in the beverage business or from a sponsor. If you use donated beverages, check with your facility to determine if there will be any corkage fees. If you arrange for your own beverages, remember to bring corkscrews and bottle openers!

After the Event

Keep records about your event. Post-event reports not only reduce last-minute uncertainties and problems, but also provide valuable information for the chair of the next event. At the board meeting following an event, discuss what worked, what did not, and what you might do differently the next time. Good, consistent planning and evaluation will result in top-quality, successful events time and time again.

Any records that contain credit card information retained from previous club transactions should be shredded or deleted immediately.

**CREDIT CARD
INFORMATION
SHOULD BE
SHREDDED OR
DELETED
IMMEDIATELY.**

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If your club uses Stanford's Taxpayer Identification Number (TIN) and your expenses with a vendor are \$600 or more, be sure to obtain a W-9 and an invoice or receipt. Send these forms to your SAA contact as soon as possible after the event, rather than waiting until the December deadline.

2. General Event Planning Checklist

This list (also available online at www.stanfordalumni.org/leaders/handbook) will assist you in keeping track of your event details. Note that not every item will apply to a particular event.

4-6 Months in Advance

- Determine if you have enough time to plan your event properly.
- Identify an event chair and/or person to manage registrations (share this event planning checklist with him or her.)
- Develop a project plan: goals, audience, attendance goal, calendar, preliminary timeline, etc.
- Select a day of the week and time of day that best suits the event. Keep in mind potential conflicts, such as holidays.
- Research venue options and visit prospective sites.
- Research catering and get bids: Check if venue has a preferred catering list or in-house caterer.
- Research audio/visual needs: Check if venue has a preferred vendor list or in-house AV vendor.
- Research area logistics, e.g. parking fees and local transportation.
- Select a venue and get venue contract. (TIN clubs: Get a W-9 form up-front if fees are \$600 or more; see Finances section for more information).
- Select a caterer and get catering contract (W-9 if needed): Give the caterer an estimated count, and **know the date to give a final count/guarantee.**
- Complete the *Event Budget Worksheet* to determine admission cost.
- Research potential speakers/entertainment and contact them about availability and cost.

2-4 Months in Advance

- Establish one contact person for event questions and RSVPs; this person's contact information should be on all invitations. If sending paper invitations, request mailing labels from SAA. (Please allow two weeks lead time.)
- Set up online event registration using the web events module.
- Give your SAA contact event details for your local email newsletter (if applicable).
- Design, print and mail invitations.
- Send out email invitation.
- Track RSVPs.
- Think about décor based on budget: flowers, balloons, cocktail napkins, linens, etc.
- Request SAA nametags, napkins and/or balloons from SAA if applicable.
- Begin to recruit volunteers to help at the event.
- Monitor and update club event website as needed.

1-2 Months in Advance

- Finalize catering menus.

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- Order and confirm all AV equipment.
- Finalize décor elements.
- Finalize room set-up with facility.
- Finalize event timeline and agenda.
- Track all budget decisions and keep documentation.
- Create a speaker briefing if needed.
- Send out reminder emails to boost attendance.
- If attendance is low, make phone calls to personally invite alumni.
- Check registrations and adjust estimate with caterer if needed.

2-4 Weeks in Advance

- Confirm all orders.
- Confirm logistics with all presenters and entertainers.
- Create volunteer schedule and training materials.
- Send confirmation email to all registered alumni with full event details.
- Check on any outstanding payments that need to be made to vendors or venue.

1-2 Weeks in Advance

- Give caterer final numbers.
- Issue final payments to all vendors or be prepared to pay them on-site.
- Walk through the event with contracted vendors.
- Print and assemble name badges and any other event materials.

Post-Event

- Wrap up your budget: Deposit all checks, make final payments to vendors, file for reimbursement (if applicable) and clean up registration list with no-shows, cancellations, and final attendee number.
- Make sure to send your SAA contact the final attendance list or, if online registration was taken, the names of any persons who registered on-site.
- Send thank-you notes to volunteers.
- Debrief with club board and volunteers to determine key learnings and best practices.
- Write post-event evaluation for club archives.

3. Corporate Sponsorship

Corporate sponsorship of alumni activities is allowable as long as guidelines established in The Taxpayer Relief Act of 1997 are followed. In summary, the act states that use or acknowledgement of the donor's name or logo as part of a sponsored event is permissible as long as there is no other substantial return benefit. "Use and acknowledgement" does not include advertising of the sponsor's products or services. Messages that contain any of the following information are **not** allowed:

1. Use of qualitative or comparative language
2. Price information
3. Other indications of savings or value
4. An endorsement

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5. An inducement to purchase, sell or use such products or services (e.g., no discount coupons).

It is permissible to distribute or display the sponsor's products, for free or for sale, and it is generally allowable to give complimentary tickets (or similar services) to sponsors, as long as they are related to the event.

If you have questions concerning sponsorship guidelines, please discuss them with your SAA contact.

4. Raffles, Lotteries and Auctions

Stanford University prohibits the use of raffles, lotteries or similar activities. Raffles are considered an ineffective technique for raising money, and the complicated rules governing their use vary greatly between state and local jurisdictions. For example, lotteries are illegal in the state of California if participants are required to pay or provide other consideration in order to be eligible for the prizes.

The laws governing auctions are complex. Before your club plans an auction, please notify your SAA contact and Caroline Chang in Stanford's Office of Development at (650) 725-4272.

5. Event Budget Worksheets

The budget worksheet below can be very helpful in planning for an event. Use it to draw up a budget for each program and distribute copies to event chairs. A copy is available online at www.stanfordalumni.org/leaders/handbook

Setting Ticket Costs

Event Total Cost ÷ Total Attendees = Total Cost Per Person of Event

Things to consider:

1. Does your club need to break even on the event?
2. How much of a subsidy can the club contribute?
3. Do you need a tiered pricing structure? (e.g. young alum fee, non-club member fee)
4. Is SAA subsidizing part of the event?

Example:

People	Catering PP	Catering Cost	Facility Rental Fee	Total Event Cost	Revenue: General 90% of tickets at \$40	Revenue: Young Alumni 10% of tickets at \$30	Total Revenue	Event Subsidy Needed
100	\$30	\$3,000	\$3,000	\$6,000	\$3,600	\$300	\$3,900	\$2,100

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Event Costs

FACILITY	Unit Cost	Units	Subtotal
Rental Fee			
Security			
Cleaning			
TOTAL FACILITIES			
CATERING	Unit Cost	Units	Subtotal
Food			
Staff Labor			
Additional rentals - i.e. tables, linens, china, etc,			
Alcoholic Beverages On consumption or Breakage (price per bottle) or Package (price per person) or Corkage fee			
Bartender charge			
Service Charges			
Delivery			
Tax			
TOTAL CATERING			
Marketing	Unit Cost	Units	Subtotal
Invitations			
Postage			
Labor (e.g. mailhouse)			
TOTAL MARKETING			
Audio Visual	Unit Cost	Units	Subtotal
AV equipment			
Labor			
Tax			
TOTAL AV			
MISCELLANEOUS	Unit Cost	Units	Subtotal
Rentals: linens, tables, chairs, heat lamps			
Balloons/decorations			
Entertainment - DJ/band			
Favors/souvenirs			
Flowers			
Other event supplies: envelopes, pens, tape, etc.			
TOTAL DÉCOR			
EVENT TOTAL			

By calculating this total and dividing it by the number of attendees (use a conservative estimate), you will know the per-person cost. The more costs that you can anticipate, the more accurate the budgeting and per-person cost will be.

6. Freshmen and New Student Send-Off Parties

**WE SUGGEST
THAT 2011
SEND-OFFS BE
SCHEDULED
AUG 13 -
SEPT 2.**

Parties to celebrate entering Stanford freshmen and transfers have been a tradition for many years, and last year over 100 send-offs took place around the globe. These gatherings give newly admitted students and their parents a friendly introduction to the Stanford family and provide an opportunity to meet and ask questions of current students. Please note that frosh send-offs are separate programs from the spring admit receptions organized by the Admission Office although many volunteers are involved with both events. If you or one of your members is interested in volunteering to help with admit receptions please inform your SAA contact.

Who Hosts Send-off Parties

For some clubs, a send-off party is a major event. Keep in mind, however, that the focus of the send-offs should be on incoming students and their families. Although the club may think of the send-off as one of the club's marquee events, the purpose of a send-off is not specifically to serve the club. Because of this, send-off hosts do not necessarily need to have a tie to the local club and, if this is the case, local club members or volunteers do not necessarily need to be invited. Although some send-offs are organized by non-club volunteers, we hope your club will find ways to support these volunteers.

It's important to remember that send-offs do not "belong" to a specific volunteer or club, even if they have generously hosted the event many years in a row. Sometimes SAA seeks to engage fresh volunteers and we may ask someone new to host these events. Likewise, clubs and previous hosts are under no obligation to continue hosting the local send-off. If you are ready for a break, just let us know.

In some cities, additional send-offs are planned for students of color or other student populations. We ask that send-off hosts and volunteers in these areas work together to make sure their events do not conflict.

Scheduling

We recommend that you schedule the party for late August or early September (but not over Labor Day weekend). A weekend afternoon event will allow students to travel from farther away to attend, but some hosts prefer to hold send-offs on weeknights. We suggest that 2011 send-offs be scheduled August 13–September 2.

Whom to invite

One of the best ways to design an event that will appeal to students is to involve them in the planning. You might contact current students and ask them to organize a panel to talk about life at Stanford, coordinate a Stanford trivia game or make phone calls to get attendance up before the event. The Alumni Association can help identify and enlist students to assist you, but we can no longer provide student contact information.

It is important to invite parents of freshmen to send-off parties. Not only do they enjoy meeting other parents and students, they also get the opportunity to learn about

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Stanford from your club members. Be sure to have parents of local upperclassmen on hand to speak with new parents. For many parents, the send-off is the best opportunity for them to get involved with your club. Many send-off organizers welcome all attendees at the beginning of the event and then proceed to split students and parents into separate groups.

In some areas, other alumni are encouraged to attend the send-off. Introducing new families to their local Stanford community can be very reassuring. Whether alumni at large can be included usually depends on size or cost constraints, so please be sensitive to any limitations that the host may have.

Cost

Send-off parties, whether hosted by the club or an individual volunteer, are not meant to be a financial burden. Keep the party simple, focused more on the interaction between the new students, parents and invited alumni, rather than on other details such as large meals or expensive party favors. The goal of a send-off party is to provide a comfortable environment to allow new and current students to interact with each other, welcome them and their parents into the Stanford family, and answer any questions that they may have. In fact, we discourage lavish parties as this may make new students feel uncomfortable and may discourage other volunteers from hosting future send-offs. Because this event is often their first exposure to Stanford, it is important to give new students and parents a warm welcome. We urge you not to charge freshmen, transfers, current students or their families for the event.

In cases where the local club or a club-related volunteer hosts the party, we expect the club to front most of the costs. SAA does have a small budget to aid clubs—especially clubs that do not charge dues—with these expenses, but the normal reimbursement cap is \$200 for a mid-sized party. Some exceptions can be made depending on the size of the regional incoming class. Please speak to your SAA contact directly if you have any questions.

7. Big Game Telecast Parties

Big Game gatherings are among the most popular alumni events of the year. Cable and satellite technology is making it much easier for volunteers to secure a live broadcast, but circumstances vary from year to year depending on the success of the teams and the resulting calculus by television and cable networks. Generally, the telecast schedule is set months in advance, but occasionally no final decision is rendered until 10-12 days preceding Big Game. We recommend that you plan a Big Game event even if the telecast is still unconfirmed. Most sports bars are able to receive the signal no matter what the final broadcast decision is.

**PLAN YOUR
BIG GAME
EVENT EVEN
IF THE
TELECAST IS
UNCONFIRMED**

Occasionally, when the Stanford and/or Cal teams are doing well, the game will be broadcast by ABC, which has the first right to broadcast the game as part of its contract with the Pac-12. ABC has until 10-12 days prior to Big Game to decide whether to broadcast the game or not, though the network often makes its decision

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before that late date. Generally KGO, the ABC affiliate in the Bay Area, picks up the game locally even if it is not broadcast nationwide.

If ABC does not broadcast the game, then it will be carried on a pay-per-view service available from DirecTV, the DISH Network, Versus and some local cable companies. Many sports bars buy annual packages to broadcast all such pay-per-view games. Venues that have not purchased the package can still subscribe to the service in time for Big Game. In general, this is a convenient and quality way to receive the signal and allows flexibility for clubs in choosing a telecast venue. We highly recommend that clubs obtain a written contract from the venue that it is able to receive the broadcast. SAA will keep you apprised of the telecast status as soon as information is available.

International clubs may receive a live webcast of Big Game or they may request a DVD copy from SAA. DVDs are mailed the Monday after Big Game, and it is therefore recommended that a viewing be scheduled at least one week after the game.

No matter what the telecast situation, SAA provides volunteers with Stanford napkins, balloons and nametags for the event.

8. Faculty and Other Speaker Events

Faculty and other speaker events co-sponsored by SAA are very popular with Stanford alumni. The Alumni Association helps to arrange 20–30 speaker events per year in the most populous alumni regions. These faculty visits are coordinated in partnership with local clubs with a strong Stanford community and a demonstrated history of hosting successful events. When developing faculty speaker events, your SAA contact will work with you and SAA's Alumni Event Services department to identify and invite an appropriate faculty member. The most successful programs take advantage of special opportunities or exhibitions. Alumni will respond in greater numbers if there is a sense that they are getting exclusive access to something special—particularly if their Stanford connection can provide that access. You and your SAA contact should plan well in advance to research interesting exhibits, festivals and new locations available in the coming year. Check with local museums, cultural organizations, historical sites and the Chamber of Commerce to find out what's on the calendar. We also recommend choosing a topic that differs from the most recent speaker event in your area.

Our Alumni Event Services team works with hundreds of faculty members each year to arrange regional faculty visits, talks at Reunion Homecoming and other ongoing alumni programs. In order to coordinate all these events, it is essential for them to receive requests about potential events well in advance:

The suggested deadline for requesting faculty visits between September 2011 and January 2012 is May 1, 2011.

The suggested deadline for requesting faculty visits between February 2012 and August 2012 is November 1, 2011.

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The Alumni Association communicates frequently with professors to learn their travel schedules well in advance. If a popular faculty member is coming to your area for a conference or for personal reasons, your SAA contact may encourage you to develop an event around that time and professor. While this may not be the same as designing the event from scratch, it does offer your club and local alumni access to Stanford's top faculty while offering significant savings in travel costs. Because we cannot keep track of the travel plans and speaking engagements for all of Stanford's 1,900 tenure-track faculty members, we ask that you alert us any time you are aware of a Stanford professor speaking in your area. Smaller faculty events are often organized by other University departments, and on occasion SAA can capitalize on these events.

Remember that faculty speakers are volunteering their time to travel and speak to alumni in your city. They are vital to the continued success of our programming, so please treat your guests graciously. We all want the professors to enjoy their experience.

Club-Sponsored Speaker Events

Beyond the programs sponsored or co-sponsored by SAA, alumni clubs may arrange additional speaker visits and cover the costs themselves. We fully support these efforts, and ask clubs to adhere to five conditions when arranging such faculty events:

1. **Initiate your speaker request through your SAA contact for any Stanford professor, coach or administrator, even if you already have a personal relationship with the speaker.** Some speakers may already have volunteered for other alumni events, and we prefer not to overload them with travel in a given year.
2. **Copy your SAA contact on all correspondence with faculty members.** Most professors do not distinguish between SAA events and club events, and they frequently contact us to check details. Keep your SAA contact apprised of your plans to help avoid confusion for the professor.
3. **Allow all local alumni to attend the event if they wish.** You are welcome to charge different prices for club members and non-members, but unless there is a significant space constraint, the event should be open to all alumni and current Stanford parents in the area.
4. **Give your SAA contact details about your event in a timely fashion to ensure that an email invitation will be sent to all alumni and parents in your area.**
This is a great way to keep local alumni informed about upcoming events and to also get new participants involved with your club.
5. **Provide the professor with a travel/event briefing and a copy of the invitation prior to your event.**
Faculty members have come to expect a standard briefing for the alumni events at which they speak. Further on in this section is a sample faculty

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briefing template that will be familiar to your speaker. A copy of this template is available on the Volunteer Leaders Resources Page at www.stanfordalumni.org/leaders.

Speaker Event Planning Checklist

The following list may be helpful for clubs coordinating their own speaker events. You may also refer to the *General Event Planning Checklist* and *Event Budget Worksheet* mentioned earlier in this section.

- ❑ **Clarify with the speaker who is paying for what upfront**

Know what you can afford going in to the event. SAA typically offers a budget range by saying “if a flight is booked now it should cost between X and Y” to set expectations and avoid last-minute bookings and surprises. If you are taking advantage of a professor’s pre-existing trip to your area, be sure to clarify the extent to which the club will contribute toward the faculty member’s travel costs.
- ❑ **Set a publicity schedule**

Your SAA contact will provide you with the professor’s approved topic and biography. The title of the talk and any biographical information must be approved by the professor before printing any materials. Also, you should determine whether or not you are going to send out paper invitations to alumni in your area. If so,

 - When will you send your invitations and to whom? Club members? All local alumni? Parents?
 - Will you need mailing labels from SAA? (If so, allow two weeks for processing and delivery.)
 - Does the professor want to invite guests as well?
 - Will you be able to submit the event information for publicity in your regional email newsletter (if applicable) two months prior to the event?
 - Would you like SAA to send a special email invitation to all local alumni? (Allow at least two weeks before the desired send date.)
- ❑ **Arrange faculty travel and lodging**
 - Who is making the travel and hotel arrangements? Can you recommend good places to stay? Tip: Faculty members prefer to stay in a hotel rather than in the home of an alumni volunteer.
 - Will you meet/drop off the speaker at the airport? Is he/she renting a car or taking a cab?

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- ❑ **Determine audio/visual and handout requirements**
 - Your SAA contact will provide you with the professor's presentation needs.
 - Do you need a podium?
 - Will the size of the audience or space necessitate the use of a microphone? Does the speaker prefer a lapel microphone?
 - Do you need a slide or LCD projector? Who is bringing the adaptor cord for the professor's laptop?
 - Do you need a screen?
 - Will the speaker send you handouts ahead of time that you need to reproduce and bring to the event?
 - Have you secured the required equipment with your venue?

- ❑ Arrange for someone to meet the speaker at the event location and to act as point person throughout the event. Remember to include that person's cell phone number in the speaker's briefing. See the sample briefing below.

- ❑ Have the speaker approve the text of his/her introduction. Arrange for the introducer or another volunteer to:
 - Watch the clock and manage the question-and-answer period. For example, that person may need to say, "last question" to the group.
 - Manage the speaker's time after the talk if a lot of people have questions. Ensure that the speaker doesn't get buttonholed and is offered some food and drink if talking to alums.

- ❑ Make sure the speaker has a nametag, ticket, meal, etc., as appropriate for the event. Is the speaker bringing a spouse or other guests? Who is paying for them? If there is a cash bar, please arrange for the speaker to be reimbursed or comped at the event.

- ❑ Follow up with a thank-you note as soon as possible after the event.

- ❑ Promptly take care of any travel reimbursements as agreed to with the speaker. For Bay Area and Northern California events, don't forget about mileage reimbursements.

- ❑ Send your SAA contact a final attendance count and a list of all attendees, or update the online events module with any walk-up registrations.

9. Sample Faculty Briefing

Here's a sample event briefing in the style faculty members are used to seeing for alumni events. A copy of this briefing is also available online at www.stanfordalumni.org/leaders/handbook.



To: Professor Jane Lathrop

From: Leland Cardinal, '92, Chicago Stanford Association events chair
Office: (312) 555-1234
Cell: (312) 555-1111

Date: January 31, 2011

RE: Speaking engagement in Evanston, IL
February 20, 2011

Cc: Lucy Stern, SAA contact
Florence Moore, '75, Chicago Stanford Association president
John Lagunita, assistant to Professor Lathrop

Contacts

I will be your contact during your trip to Chicago:

Leland Cardinal
Office: (312) 555-1234
Cell: (312) 555-1111

Travel to and from Chicago

Flight:

Your assistant and I have coordinated your travel plans on United, and your frequent flyer number was given at the time I made the reservation. If you need to make any changes, please contact United reservations at 1-800-UNITED-1. Your reservation number is: UA-SU1891.

Friday, February 19
United flight 123
Departs SFO: 11:00 a.m.

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Arrives ORD: 5:04 p.m.

Sunday, February 21
United flight 321
Departs ORD: 10:00 a.m.
Arrives SFO: 12:37 p.m.

Hotel:

Your hotel for Friday and Saturday night is:

The Evanston Hotel
123 N. Sherman Ave.
Evanston, IL 60202
(800) 555-2222

Confirmation number is LSJUMB1.

Check-in is at noon, and it is noted that you will arrive late and prefer a non-smoking room. I've signed the consent form; your room and all incidentals will automatically be billed to me.

Car:

I understand that friends will be picking you up at the airport on Friday evening and taking you to dinner. Thank you for your willingness to take a taxi back to the airport on Sunday. It should cost about \$45, and we will be glad to reimburse you.

Event details: "The History of Big Game"

Date: Saturday, February 20

Time: 4:00 p.m. I will meet you in the lobby of your hotel to drive you to the event site. I'll be wearing a Stanford baseball cap.
4:30 p.m. Check slide projector and microphone.
5:00 p.m. Check-in and reception.
6:00 p.m. Your lecture and Q & A over dinner.
8:00 p.m. I will drive you back to the hotel.

Location:

Evanston Arts Academy
100 University Street
Evanston, IL 60202
(847) 555-3333

Audio/Visual:

A podium, lapel mike, screen and LCD projector have been reserved.

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Guests:

We have reserved four spots at your table for the Branner family, who are your guests, and they will be comped at the door. Our club president, Florence Moore, her husband Robert, and I will also be at your table.

Event background and logistics

For your talk, we are expecting a group of about 200 alumni and parents. There is a great deal of enthusiasm for your talk and your topic! Florence Moore will welcome the attendees and introduce you.

Your talk is scheduled for about 45 minutes, with 15 minutes for Q&A following. We need to clear out of the venue by 8:00, so Anne will announce time for “one last question” at 7:00 to leave enough time for dessert.

Final details

Please dress warmly for your trip! It's been in the 20s and 30s here, and there will probably still be snow on the ground when you arrive.

I am happy to cover incidental expenses related to your trip, such as mileage to the airport, parking and meals. Please have your assistant email me the amounts at chicagostanford@stanfordalumni.org when you return to campus.

Please call me if you have any questions or concerns prior to your departure or during your trip. Thank you so much for traveling to Chicago to speak to Stanford alumni.

10. Insurance

Who Is Insured?

<p>The Stanford Alumni Association (SAA) provides a combination of general liability insurance and self-insurance coverage for all alumni organizations at no charge. The Alumni Association has chartered a number of affiliated organizations, which represent alumni throughout the United States. These alumni groups are included under the SAA commercial general liability policy.</p>

Directors' and Officers' Liability Insurance is currently covered by the Stanford University's Educator's Legal Liability program.

The following seeks to provide guidelines to alumni groups on the intent of the overall SAA insurance program:

- A. When using a member's home for an event, the member's homeowner's policy will be the primary coverage if an attendee is injured while on his/her

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property. The insurance provided by SAA is intended to be excess protection in the event of a major calamity.

- B. There is no coverage provided for lost or stolen personal property such as handbags, coats and briefcases. There is also no real property insurance provided to any alumni group. If a special insurance need arises, specific insurance can be arranged on an as-needed basis for an additional premium.
- C. Because SAA does not have an employer-employee relationship with alumni group members, Workers Compensation Coverage is generally not applicable.
- D. The Alumni Association generally relies upon the liability insurance of hotels, clubs and convention centers when renting a facility. It is the responsibility of the venue to provide a safe environment for those renting its facilities.

Please keep in mind that insurance coverage and assigned liability is a complex legal area that is determined by the facts and circumstances of each occurrence or event, so please use the information above only as a guideline. For questions about insurance, please contact JoAnne Thorne of Stanford Risk Management at (650) 723-4555. In the event of any claims, please contact Chief Financial Officer Barbara Pugliese at bpugliese@stanford.edu or (650) 723-1368.

Certificates of Insurance

A certificate of insurance is required by some rental facilities. The following are examples of situations where a certificate may be required:

- Renting a hall for an event in which the owner requires insurance
- Using a city park's facility for a picnic in which the city requires insurance
- Participating in a civic event in which the city requires insurance

Certificates are issued by Stanford Risk Management. In order to receive a certificate in the most efficient manner, please have the following information available when making a request.

1. Name and address of the regional group hosting the event
2. Name of the party requesting the certificate
3. Event location
4. Event date and time
5. Event description

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6. The limit of liability required
7. Any other required wording to be included on the certificate

Contact JoAnne Thorne of Stanford Risk Management at (650) 723-4555 to request a certificate of insurance.

Stanford Alumni Association Event Insurance

When alumni groups arrange for services to be provided by vendors, it is important for the groups to ask the vendor to provide evidence of insurance in the form of a certificate of insurance, with Stanford University named as an additional insured. The naming of Stanford University as an additional insured should follow the specific language cited below and should be endorsed onto the vendor's insurance policy.

The following are examples of circumstances in which groups should require a vendor's evidence of insurance:

- Chartered bus trips for members and guests
- Chartered boat trips
- Guided tours including busing

The following minimum limits of liability apply to all vendor agreements:

Commercial General Liability

\$2,000,000 each occurrence

\$2,000,000 policy aggregate

\$2,000,000 personal injury and advertising injury liability

Automobile Liability

\$1,000,000 each occurrence

\$5,000,000 each occurrence (if a bus charter)

Workers Compensation

Coverage A Statutory Coverage

Coverage B Employers' Liability \$1,000,000

Host Liquor Liability

If alcoholic beverages are served, but not sold, host liquor liability should be included in the Commercial General Liability coverage. If alcoholic beverages are sold, a separate Liquor Liability policy, with \$2,000,000 per occurrence coverage, is required. (Note: If an event is catered, the caterer is required to have Liquor Liability coverage with the same amount.)

EVENT PLANNING

Be sure to include the following provisions in all vendor agreements:

The following Additional Insured Endorsement should be added to the certificate: “The Board of Trustees of the Leland Stanford Junior University, its officers, agents, representatives, students, employees and volunteers must be named as additional insureds for the event _____ taking place on _____.”

The vendor insurance requirements listed above shall be primary with respect to any other insurance in force.

A thirty (30) day notice of cancellation or material change in insurance coverage is required to the Certificate Holder.

If watercraft or aircraft charter service is required, please contact Stanford Risk Management for further assistance. Ensure that you receive a certificate of insurance prior to boarding the boat or using the vendor. Please retain a copy of the insurance certificate for three years from the date of the event to satisfy the statute of limitations for which a claim may be filed against SAA/Stanford.

Section

5

Finances

The quickest path to easy finances is to choose a good treasurer for your club. We aim to streamline your financial undertakings by providing clear explanations and easy-to-complete forms covering your finances from A to Z.

This section includes explanations of:

1. Bank Accounts
2. Stanford's Taxpayer Identification Number (TIN)
3. Sample W-9 Form
4. \$5,000 Maximum Account Balance
5. Clubs and Fundraising
6. Donations to the Club
7. Student Internships
8. Incorporation
9. Tax-Exempt Status

1. Bank Accounts

If, like most clubs, you intend to handle financial transactions, please establish a club bank account exclusively to handle club payments and expenditures.

In addition to club signers, Stanford's Treasurer and SAA's Senior Director of Finance must be included as account signers for all domestic clubs. This access to club bank accounts is only used to help restart defunct clubs or in cases where club volunteers retire without granting account access to new club leaders. SAA will also keep a copy of your signature card on file for future club leaders. Moving forward, when domestic clubs open a new account or whenever you make a change to your bank signature card (change treasurers, change banks, etc.), please send a copy of the new card to your SAA contact so that the Stanford signers can be included.

The Alumni Association has a partnership with the Stanford Federal Credit Union (SFCU) that allows alumni clubs to open an account without paying monthly service fees. Because SFCU has branches only near Stanford, most clubs using this service will do their banking online, and many clubs have found this to be a convenient arrangement. The SFCU can also provide clubs with a debit card so that expenses can be paid directly from the club's account rather than reimbursing a volunteer. If you would like more information, please notify your SAA contact. Visit the Stanford Federal Credit Union website for more information on club accounts: www.sfcu.org

Note: For tax reasons, international clubs should not maintain bank accounts in the United States, nor should they use Stanford's Tax Identification Number (TIN) on any account.

2. Stanford's Taxpayer Identification Number (TIN)

All domestic clubs maintaining bank accounts must use Stanford's Taxpayer Identification Number (TIN). All of Stanford's branch organizations using the Stanford TIN, including alumni clubs, must follow the same procedures in order to enable the University to fulfill its legal obligations to the state and federal governments. The University is legally responsible for documenting all transactions that are made using its TIN and must incorporate information from all its branch organizations in its tax return. For this reason, it is essential for SAA to supply the University with complete and accurate financial information for all of our alumni clubs. Your regional manager can get you the Stanford Tax Identification Number, should you need it.

Note: When SAA merged with the University several years ago, its Taxpayer Identification Number changed. The old number (94-0894110) is no longer valid, and if your club is still using that number for any reason, your club's bank account and signature card must be updated immediately. The treasurers should retain a copy of the bank signature card and submit a copy with the club's annual reporting.

FINANCES

Bank Statements

Domestic clubs with bank accounts must send or fax copies of their monthly bank statements to SAA. Consider emailing the statements in pdf format. Please include copies of bank statements that cover July 1 through June 30 when submitting your annual paperwork in July (some clubs mail or fax a copy each month instead). It is critical that both of those dates are within the time period of the statements you submit. Many clubs arrange for their banks to send copies of bank statements to SAA automatically, and many banks will do this at no additional charge. Clubs that bank with Stanford Federal Credit Union do not need to submit statements as SAA has electronic access to them.

W-9 Forms and Copies of Invoices over \$600

For tax reporting, W-9's are required from vendors with whom your club does business equaling \$600 or more in a calendar year (January 1–December 31). W-9 forms are necessary when services are provided, but not for goods. Services might include bartenders, valet parkers, a band, a mailing house or a venue space. A W-9 is no longer required for goods, such as office supplies, stationery, postage, and food and drinks. The vendor fills out the W-9 and the club submits it to SAA by December 8 with the corresponding invoice(s) or receipt(s). It is recommended that you ask the vendor to fill out the W-9 at the time you pay his/her invoice rather than waiting until the end of the year. Stanford will include these payments with its federal tax reporting and may issue a Form 1099 to the vendors.

Note: The same information is required for vendors whose accumulated invoices are \$600 or more, even if the individual invoices are for less. For example, a W-9 and invoices should be submitted for a rental hall where two events were held, one costing \$400 and the other \$300. Since the accumulated total is \$700, a W-9 is required.

Finally, although original receipts have been required in the past, photocopies are now acceptable and in fact preferred. Please retain the originals for your club's files. If you have any questions about the reporting requirements, please ask your SAA contact.

See the following page for a sample of how a vendor should fill out a W-9 form. Please note that the employer identification number is NOT the Stanford Taxpayer Identification number. Rather, it is the TIN of the vendor. You should not have to provide any information for this form, and the vendor should sign at the bottom.

If you have any questions about whether a W-9 is required, please ask your SAA contact. Blank forms are available at the end of this handbook and at the IRS website at <http://www.irs.gov> and may be photocopied if needed.

3. Sample W-9 Form

A blank version and a sample version of the W-9 are available online at www.stanfordalumni.org/leaders/handbook. Sample and blank W-9 forms are on pages 72 and 73.

4. \$5,000 Maximum Account Balance

We request that all regional clubs have a bank account balance of less than \$5,000 at the close of each fiscal year (June 30) so that the funds alumni are putting into your club are being invested back into your local Stanford community.

If your balance is likely to be over \$5,000, consider using the extra funds to:

- Subsidize upcoming events to increase attendance.
- Conduct outreach efforts to connect more alumni to your club and to Stanford.
- Target a population that is not currently as engaged by your club, and focus efforts and programming on engaging this group.

There are many ways to achieve any or all of the above. Brainstorming sessions at your board meetings can generate lots of creative ways to use extra funds. Your SAA contact can also be a great source of ideas. Clubs that consistently end the year with a cash surplus should reduce membership dues and/or reduce their event fees.

5. Clubs and Fundraising

The Stanford Fund

The Stanford Fund became Stanford's primary annual fund in 1994. Each year undergraduate alumni, parents, students and friends of Stanford are asked to participate in annual giving. The University cares deeply about increasing alumni participation. Seventy-five to eighty percent of all gifts to The Stanford Fund are used for need-based scholarships, and more than 1,000 students benefit from this support each year. The remaining funds are used to improve and enhance academic and extracurricular programs. We encourage alumni to support today's students by making a gift to The Stanford Fund each year. Every gift really does make a difference.

Clubs may make a gift to The Stanford Fund but, since individual members of the club will not be recognized for such a gift, it is preferable for clubs to invest their funds into creating a strong local Stanford community, which will in turn encourage alumni to stay connected to Stanford and support the University. All donations to Stanford University must go directly to the Office of Development for processing and acknowledgement. Please note that under no circumstances should clubs make gifts directly to Stanford students. Checks should be made out to "The Stanford Fund" and mailed to:

The Stanford Fund
Stanford University — Gift Processing
326 Galvez Street
Stanford, CA 94305-6105

**UNDER NO
CIRCUMSTANCES
SHOULD CLUBS
MAKE GIFTS
DIRECTLY TO
STANFORD
STUDENTS**

FINANCES

Why Clubs Should Not Engage in Fundraising

The Stanford Alumni Association actively supports the University's fundraising efforts and encourages all alumni to make a gift to Stanford at least once each year. Some club volunteers would like to use their club as a vehicle for fundraising in order to support the University. Despite the good intentions of these volunteers, Stanford's Office of Development feels that direct fundraising from alumni clubs can actually do more harm than good. Here are a few reasons why:

- When clubs make gifts to Stanford, the University can only thank and acknowledge the club for the donation, not the individual club members.
- When clubs make gifts to Stanford, those gifts are not tax-deductible by the individual club members.
- When Stanford asks alumni for their annual donation, some club members feel that they have already given to Stanford one time through their membership dues, so they don't make an additional donation. This limits that alum's gift to the size of the club's dues, even if the alum might otherwise be willing to make a larger donation.
- Stanford's Office of Development already has a very strong fundraising process, and this process is unnecessarily duplicated when clubs engage in their own fundraising. When clubs focus their energy on raising money, they are taking time away from the events and communications that build community. Clubs are much better than any Stanford office at creating a local sense of Stanford community where alums live. Ultimately, sustaining that sense of Stanford community will do more to promote donations to the University than the dollars brought in through the club.
- Some clubs donate an amount to Stanford each year that is roughly equal to the amount they collect in membership dues. This means much volunteer time is being spent on duplicating Stanford's efforts when a club could simply do away with its paid membership structure and have members donate directly to Stanford. Most volunteers do not enjoy the process of continually collecting membership dues, so clubs may recruit and retain more volunteers if they focus less on membership. And studies show that Stanford alumni who volunteer donate more money to the University than alumni who do not.
- When clubs consistently raise money for Stanford, they give the impression to alumni that their main function is fundraising. This may discourage alumni from participating in the club and therefore weaken the local alumni network.

In the end, clubs can best support Stanford's fundraising efforts by creating vibrant, local alumni communities and by encouraging their members to make annual donations directly to the University.

6. Donations to the Club

Receipts for Gifts of Cash, Goods or Services

Due to the Revenue Reconciliation Act of 1993, all tax-deductible gifts of cash, goods or services to tax-exempt organizations must be acknowledged in writing by the parent organization. Regrettably, Stanford cannot offer the service of recognizing individual membership dues or cash gifts made to alumni groups. The Alumni Association can issue a letter acknowledging gifts in kind to clubs — for example, an alum paying for the catering of an event — but they will not be recorded as a gift to the University in an alum’s donation records or in a Reunion or other fundraising campaign.

7. Student Internships

Because of complex tax, labor and insurance issues, alumni clubs may no longer pay a stipend directly to students whom they are sponsoring at a non-profit organization for an internship program. Instead, the regional organizations need to make arrangements for a direct donation to the non-profit, which in turn will pay the intern.

8. Incorporation as a 501(c)(3)

Stanford clubs are branch organizations of SAA, which is a division of Stanford University, a nonprofit institution. U.S. Stanford clubs have the option to incorporate as independent 501(c)(3)s. Because of the large amount of paperwork involved, few clubs pursue this option, and currently only one of SAA’s 200 clubs is independent. If your club is considering this option, please contact your regional manager for help in making an informed decision.

Clubs that are independently incorporated take responsibility for:

- Filing all financial forms, annual 990 and 990T forms, and taxes at both the state and federal level, and issuing 1099 forms to any independent contractors.
- Providing liability insurance for club events and directors and officers insurance for the club board.
- Paying all appropriate sales tax on purchases.
- Performing an annual, independent audit on the club’s finances.

Clubs that are independently incorporated must abide by all the requirements of other Stanford clubs, with the following exceptions:

- Independent clubs are not bound by Stanford’s \$5,000 annual limit in their bank accounts.

FINANCES

- Independent clubs do not need to submit W-9 forms to SAA.

9. Tax-Exempt Status in Massachusetts and Washington, D.C.

As an arm of Stanford University, Stanford's alumni clubs are legally and financially part of the University. In some states, this status makes local Stanford clubs eligible to operate free of sales tax but requires Stanford to file a certain amount of paperwork with the state and/or pay a fee. Stanford currently holds a waiver on local sales tax in Massachusetts and Washington, D.C. only. Although the university is eligible to apply for a waiver in some other states, Stanford does not intend to exercise this option at this time because the costs of doing so outweigh the likely savings. In all other areas, clubs should pay all appropriate sales tax to vendors.

In Massachusetts and Washington, D.C., Stanford clubs can waive the sales tax on purchases that support efforts appropriate and consistent with Stanford's mission, including the engagement of local alumni. SAA can provide clubs with documentation that affirms this status to share with vendors in these areas. Please note, however, that a certain amount of administrative work is still required by the university when a club waives the sales tax on a given purchase, so we request that clubs do so for significant purchases only, where the benefit to the club will outweigh the administrative costs to Stanford. Please contact your regional manager with questions.

Section

6

Reporting Forms for 2010–11

Please turn in the following paperwork by **July 15, 2011**:

All Stanford clubs

- Club Charter/Renewal Form
- Annual Report
- Calendar of Events
- Most Recent Officer and Board List

For clubs with membership (paid or unpaid)

- Membership List or Club Directory. If you have a standard group of active participants (as with most book clubs), please submit a list of those names. You may send this electronically to your SAA contact. No need to submit if you use the online membership module to track your membership.

For clubs maintaining a bank account

- Bank Account Information Form
- Annual Financial Statement
- Copy of Your Bank Signature Authority Card

For clubs using Stanford's Taxpayer Identification Number

- Copies of monthly bank statements that cover July 1, 2010, through June 30, 2011 (no need to resend if your bank automatically sends statements to SAA). If you do not have the last statement yet, please send the others and follow up when it is available.

Due December 8, 2011: Copies of paid invoices of \$600 or more (or invoices for vendors where the accumulated total is \$600 or more) during this calendar year (January 1–December 31) and W-9 forms from each of these vendors.

2011 Club Charter/Annual Renewal Form

This form is required to initiate a new Stanford club or to continue as an existing club. Please sign the form on the following page to acknowledge these requirements and return by **July 15** to your SAA contact by email, fax to (650) 724-6099 or mail to SAA-Alumni Communities, 326 Galvez Street, Stanford, CA 94305-6105.

As branch organizations of the Stanford Alumni Association, Stanford clubs must meet all of the requirements listed on the form in order to maintain their status.

Name of Club

Each group shall act in the interests of Stanford University and its alumni and shall:

1. Welcome all Stanford alumni and parents of current Stanford students to participate in the club and hold all events in facilities where they feel welcomed on an equal basis.
2. Elect or appoint club officers (at least a president) on a regular basis and ensure that all officers act as positive ambassadors of Stanford and in the interests of the University. The club president must be a Stanford alum or the parent of a Stanford student or alum.
3. Adhere to Stanford's Financial Reporting Procedures as outlined in the Stanford Club Leader's Handbook and submit complete annual paperwork by the stated deadlines.
4. Alert the Stanford Alumni Association before contacting Stanford faculty members, coaches and administrators about potential club events and copy your SAA contact on all correspondence regarding such events.
5. Respond promptly (within one week) to inquiries about your group from Stanford alumni or University staff.
6. Alert the Alumni Association promptly when your club's primary contact or that contact's information changes.
7. Include your SAA contact on all of your mailing lists (paper and email) and on any official business of your club (meeting agendas, minutes, etc.).
8. Use confidential alumni contact information and club mailing lists only for club business and promotion, and honor all alumni privacy requests made through the University. Announcements made for either commercial or political gain are strictly forbidden.
9. Comply with policies and requests from the Stanford Alumni Association and other official University departments (Risk Management, General Counsel, Business Development & Privacy, Office of Development, Chief Financial Officer, Admission & Financial Aid, Athletics, etc.). This includes the University's guidelines on acceptable use of the Stanford name, logos and emblems.
10. Refrain from initiating either a student scholarship or an auction event and do not organize club raffles or lotteries.
11. Require that at least 90% of club members are Stanford alumni, spouses or significant others of alumni or parents of a Stanford student or alum.

12. For international clubs, register with the club's home country (and local government if required) and comply with all rules and regulations of the club's home country.

As a representative of my club, I agree to comply with all of the 2010–11 requirements.

Name of Club President

Name of Club Treasurer/Co-President
(if applicable)

Signature of President

Signature of Treasurer/Co-President

Date

Date

Name of Club

- Chartering a new club
- Renewing an existing club

SAA Contact

Annual Report

For Club Fiscal Year July 1, 2010, to June 30, 2011

Please complete by **July 15, 2011**, and fax to (650) 724-6099 or email to your SAA contact or mail to SAA-Alumni Communities, 326 Galvez Street, Stanford, CA 94305-6105.

Name of Club: _____

Submitted by: _____ Date: _____

OVERALL

What were your club's biggest accomplishments and challenges this year?

What are your club's goals for next year?

What can SAA do to support your goals?

FINANCIAL

Does your club maintain a bank account?

COMMUNICATION

Do you maintain an email communication list? If so, is it hosted by one of SAA's systems?

Do you produce a club newsletter? If so, how often? Is it paper or electronic?

Did you produce an alumni directory this year? Paper or electronic?

INVOLVEMENT

How many people did you consider to be part of your club this past year?

How does that compare to the year before?

Do you charge membership dues? If so, how much are the dues and when does your year begin?

Calendar of Events

For Club Fiscal Year July 1, 2010, to June 30, 2011

Please complete by **July 15, 2011**, and fax to (650) 724-6099 or email to your SAA contact or mail to SAA-Alumni Communities, 326 Galvez Street, Stanford, CA 94305-6105.

Name of Club: _____

Submitted by: _____ Date: _____

Please let us know all the events you have held during the past club year along with your best estimates of the number of attendees and alums. You may use this form or one of your own.

<u>Event</u>	<u>Date Held</u>	<u>Approx. Total # of Attendees</u>	<u>Approx. # of Alums</u>
1. _____			
2. _____			
3. _____			
4. _____			
5. _____			
6. _____			
7. _____			
8. _____			
9. _____			
10. _____			

Board List and Key Volunteers

Please complete by **July 15, 2011**, and fax to (650) 724-6099 or email to your SAA contact or mail to SAA-Alumni Communities, 326 Galvez Street, Stanford, CA 94305-6105.

Name of Club: _____

Submitted by: _____ Date: _____

- Please send us an updated list of annual board members. You may use this form or your own list, but please include and indicate new, continuing and retiring board members.
- Please report any additional volunteers who are not on your board, including speakers, event hosts, consistent event volunteers and any other key volunteers.
- You are not required to have co-presidents, but two spaces are given for clubs that do have them.
- Please clearly designate (if applicable) your 2011-2012 Stanford Bookstore Liaison.

PRESIDENT _____ Degree & Class Year _____

New this year

Continuing next year

Retired this year

Needs event module access

Phone/home _____ Phone/work _____

Fax _____ Professional title _____

Address/home _____ Address/business _____

Preferred e-mail _____ (home/work)

(CO-)PRESIDENT _____ Degree & Class Year _____

New this year

Continuing next year

Retired this year

Needs event module access

Phone/home _____ Phone/work _____

Fax _____ Professional title _____

Address/home _____ Address/business _____

Preferred e-mail _____ (home/work)

(PLEASE LIST ADDITIONAL BOARD MEMBERS ON THE NEXT PAGE.)

OTHER BOARD MEMBERS AND VOLUNTEERS FOR 2010-11

(PLEASE DUPLICATE THIS PAGE AS NECESSARY.)

Name _____ Class year or affiliation _____

Board/Volunteer Title (if any) _____

New this year

Continuing next year

Retired this year

Needs event module access

Name _____ Class year or affiliation _____

Board/Volunteer Title (if any) _____

New this year

Continuing next year

Retired this year

Needs event module access

Name _____ Class year or affiliation _____

Board/Volunteer Title (if any) _____

New this year

Continuing next year

Retired this year

Needs event module access

Name _____ Class year or affiliation _____

Board/Volunteer Title (if any) _____

New this year

Continuing next year

Retired this year

Needs event module access

Name _____ Class year or affiliation _____

Board/Volunteer Title (if any) _____

New this year

Continuing next year

Retired this year

Needs event module access

Name _____ Class year or affiliation _____

Board/Volunteer Title (if any) _____

New this year

Continuing next year

Retired this year

Needs event module access

Name _____ Class year or affiliation _____

Board/Volunteer Title (if any) _____

New this year

Continuing next year

Retired this year

Needs event module access

Name _____ Class year or affiliation _____

Board/Volunteer Title (if any) _____

New this year

Continuing next year

Retired this year

Needs event module access

Name _____ Class year or affiliation _____

Board/Volunteer Title (if any) _____

New this year

Continuing next year

Retired this year

Needs event module access

Bank Account Information

For Club Fiscal Year July 1, 2010, to June 30, 2011

Please complete this form and the Annual Financial Statement if and only if your club maintains a bank account of any kind by **July 15, 2011**. Fax to (650) 724-6099 or email to your SAA contact or mail to SAA-Alumni Communities, 326 Galvez Street, Stanford, CA 94305-6105.

Name of Club: _____

Submitted by: _____ Date: _____

Checking Account Information

Name of Bank: _____

Street Address (include city, state, zip): _____

Telephone (include area code): _____

Account Number: _____

Account Name (your club's name with the bank): _____

Signatures on Account: _____

▶▶ We are using:

Stanford's Tax ID Number (Confirm with SAA contact if unsure)

Other Tax ID Number _____

Other Account Information (if you maintain multiple accounts)

Name of Bank: _____

Street Address (include city, state, zip): _____

Telephone (include area code): _____

Account Number: _____

Account Name (your club's name with the bank): _____

Signatures on Account: _____

▶▶ We are using:

Stanford's Tax ID Number

Other Tax ID Number _____

Annual Financial Statement

For Club Year July 1, 2010 to June 30, 2011.

If your club maintains a bank account of any kind, please complete this form and the Bank Account Information form by **July 15, 2011** and fax to (650) 724-6099; e-mail to your SAA contact or mail to:

SAA-Alumni Communities
 326 Galvez St
 Stanford, CA, 94305-6105

Financial Statement

Beginning Cash Balance, as of July 1, 2010	\$ _____
<small>(This must match the ending balance you reported for this date in last year's paperwork. If you maintain multiple accounts, please include the total of all accounts on this form)</small>	
Revenue	
Revenue from Club Membership Dues	\$ _____
Revenue from Events	\$ _____
Revenue from Interest	\$ _____
Revenue from Sponsors	\$ _____
Other Revenue (please describe)	\$ _____
Total Revenue	\$ _____
Expenses	
Event/Administrative Expenses (postage, printing, supplies, etc)	\$ _____
Contribution(s) to Stanford University	\$ _____
Payments or reimbursements to SAA (please describe)	\$ _____
Other Expenses (please describe)	\$ _____
Total Expenses	\$ _____
Ending Cash Balance, as at June 30, 2011	\$ _____
<small>(Beginning Balance + Revenue - Expenses)</small>	

Name of Club: _____

Submitted by: _____

E-mail Address: _____

Date: _____

Daytime phone: _____

Describe Other Revenue

Contributions to Stanford University: Please give check number, date, amounts

Describe Payments or Reimbursements to SAA

Describe Other Expenses

(A) Ending Cash Balance on Financial Statement, as at June 30, 2011	\$ _____
(B) Ending Balance on Bank Statement as at June 30, 2011	\$ _____
Subtract (B) from (A) - if the result is not zero, please explain below	\$ _____

Request for Taxpayer Identification Number and Certification

**Give Form to the
 requester. Do not
 send to the IRS.**

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return) Joe's Vendor Service	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification (required): <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <input type="checkbox"/> Other (see instructions) ▶ _____	<input type="checkbox"/> Exempt payee
	Address (number, street, and apt. or suite no.) 1234 Main Street City, state, and ZIP code Local Town, CA 94110	Requester's name and address (optional)
List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Social security number									
			-				-		
Employer identification number									
1	2		3	4	5	6	7	8	9

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- I am a U.S. citizen or other U.S. person (defined below).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

Sign Here	Signature of U.S. person ▶ <i>Joe P. Vendor</i>	Date ▶ <i>6/1/11</i>
------------------	---	----------------------

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify that you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

Request for Taxpayer Identification Number and Certification

**Give Form to the
 requester. Do not
 send to the IRS.**

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return)	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification (required): <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate	
	<input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶	
	<input type="checkbox"/> Other (see instructions) ▶	
Address (number, street, and apt. or suite no.)		Requester's name and address (optional)
City, state, and ZIP code		
List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number									
				-			-		

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Employer identification number									
				-					

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

Sign Here	Signature of U.S. person ▶	Date ▶
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,
- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a “saving clause.” Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage of such payments. This is called “backup withholding.” Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your income tax return on the “Name” line. You may enter your business, trade, or “doing business as (DBA)” name on the “Business name/disregarded entity name” line.

Partnership, C Corporation, or S Corporation. Enter the entity's name on the “Name” line and any business, trade, or “doing business as (DBA) name” on the “Business name/disregarded entity name” line.

Disregarded entity. Enter the owner's name on the “Name” line. The name of the entity entered on the “Name” line should never be a disregarded entity. The name on the “Name” line must be the name shown on the income tax return on which the income will be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a domestic owner, the domestic owner's name is required to be provided on the “Name” line. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on the “Business name/disregarded entity name” line. If the owner of the disregarded entity is a foreign person, you must complete an appropriate Form W-8.

Note. Check the appropriate box for the federal tax classification of the person whose name is entered on the “Name” line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

Limited Liability Company (LLC). If the person identified on the “Name” line is an LLC, check the “Limited liability company” box only and enter the appropriate code for the tax classification in the space provided. If you are an LLC that is treated as a partnership for federal tax purposes, enter “P” for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter “C” for C corporation or “S” for S corporation. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the “Name” line) is another LLC that is not disregarded for federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the “Name” line.

Other entities. Enter your business name as shown on required federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name/disregarded entity name" line.

Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the "Business name/disregarded entity name," sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
 2. The United States or any of its agencies or instrumentalities,
 3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
 4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
 5. An international organization or any of its agencies or instrumentalities.
- Other payees that may be exempt from backup withholding include:
6. A corporation,
 7. A foreign central bank of issue,
 8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
 9. A futures commission merchant registered with the Commodity Futures Trading Commission,
 10. A real estate investment trust,
 11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
 12. A common trust fund operated by a bank under section 584(a),
 13. A financial institution,
 14. A middleman known in the investment community as a nominee or custodian, or
 15. A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 5 and 7 through 13. Also, C corporations.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 7 ²

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, below, and items 4 and 5 on page 4 indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on the "Name" line must sign. Exempt payees, see *Exempt Payee* on page 3.

Signature requirements. Complete the certification as indicated in items 1 through 3, below, and items 4 and 5 on page 4.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ¹ The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or "DBA" name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

*Note. Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.