



AMAtlas<sup>SM</sup>

**CASE-Ross Group**  
**Support of Education Survey,**  
**UK and Ireland, 2022**  
**(Survey data year 2020-2021)**  
**Supporting Document**

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## INTRODUCTION

### About the CASE-Ross Group Support of Education Survey, UK and Ireland

The CASE-Ross Group Support of Education Survey, UK and Ireland collects detailed information about gift revenue and fundraising costs to measure the philanthropic performance of higher education and further education institutions. It has been conducted annually since 2002 and is the only source of information on this subject in the UK, enabling institutions to compare themselves with their peers. It also provides an estimate of the overall impact of philanthropy on the higher and further education sector.

It is hoped that institutions will complete the survey in full so that development offices can access a rich and exhaustive dataset to learn about fundraising trends and compare their results with those of other institutions.

All participating institutions will be required to agree to share their data with other institutions. This data will not be anonymised when shared with other participating institutions. Participating institutions will only use the survey data available to them for internal benchmarking purposes and will be required to sign a data sharing agreement to confirm they will not share any un-anonymised institutional data with third parties<sup>1</sup>. CASE will only share aggregate anonymised data in the public domain.

The survey is conducted by CASE Europe.

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<sup>1</sup> Updated August 2017.

## The CASE-Ross Survey, UK and Ireland for 2022 (survey year 2020-2021)

### I. Steps to completing the survey

There are 4 few steps to completing the CASE-Ross survey this year:

#### i. Step 1: Complete the Contact Form

The first step in the process is completing the [survey contact form](https://case.az1.qualtrics.com/jfe/form/SV_0dmF6Z28Zt4VbV4) (link: [https://case.az1.qualtrics.com/jfe/form/SV\\_0dmF6Z28Zt4VbV4](https://case.az1.qualtrics.com/jfe/form/SV_0dmF6Z28Zt4VbV4)) which will be available for you to complete from Wednesday, 1 September 2021. We will use this information to provide the survey filler (and our point of contact) from your institution access to the survey<sup>2</sup>. **Once the contact form is completed, a member of the CASE research team will reach out to you with the survey link (beginning Wednesday, 15 September 2021) along with instructions for completing the survey.**

#### ii. Step 2: Complete the Survey

Once you have received your survey link and documents you can begin completing the survey.

We have created two documents to assist with survey completion. The first is a Supporting Document (this document) that contains definitions, counting standards, examples and question-by-question guidance. Please review this document carefully before you gather your data and complete the survey. The second document is a Survey Validation Worksheet in Excel for use in assembling and checking the data prior to entering it on the online survey platform. The Excel sheet performs some automatic quality checks on your data. For example, it checks that 'contactable alumni' is less than 'total alumni'. *It is highly recommended that you complete the Survey Validation Worksheet offline before entering any data on the online survey platform to minimise the risk of errors and to support data checking.*

It is possible to start the survey, save responses and resume the survey later but be sure to use the same survey link on the same computer and browser. Saving data in the Excel validation form also provides a backup should you have issues saving data or have a connectivity issue.

#### iii. Step 3: Obtain Sign Off, Sign Data Sharing Agreement and Submit Survey

After completing your responses, but before submitting the survey there is an additional step you will have to take. We require that the senior most Advancement Professional/Director of Development/Chief Advancement Officer reviews and signs off on reported data.

Participants are also asked to sign a Data Sharing Agreement (DSA) which is online (and embedded within the survey itself). [Appendix W](#) contains the text of the DSA for your reference. *There is no hard copy required to be signed.*

The DSA is in place to ensure other participating institutions do not share results outside of their institution and guarantees that results are only used for benchmarking purposes.

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<sup>2</sup> Note: Your information will be stored on our database and you may get information from CASE from time to time.

Once the survey data and DSA is signed and sign off is provided (by providing the details of the senior most Advancement Professional/Director of Development/Chief Advancement Officer), you will be free to submit your data.

iv. Step 4: Start Benchmarking

CASE conducts additional validation and may follow up about any perceived discrepancies. The data is run through rigorous checks to ensure that the data submitted is free from errors and as robust as possible.

Once the data is validated, CASE will open up access to benchmarking capabilities. *More details about this will be shared at a later date.*

In addition, CASE will conduct data analysis and write a report on the findings. The report will be distributed to participants and posted on the CASE website.

NOTE: The [CASE-Ross webpage](#) will be regularly updated to reflect any new information.

## II. Navigating the Qualtrics Survey Platform

Last year we moved the survey to the Qualtrics platform; this year too, the survey is hosted on Qualtrics. The online survey platform incorporates various automatic validations at the time of filling in the survey online to help reduce the time taken for querying later and hence making the whole process more streamlined.

- Clicking on your unique survey link will take you to the survey 'Table of Contents'; the first section within that is READ THIS BEFORE STARTING – please ensure that you do read that section carefully before beginning the survey.
  - Try and complete the sections in order i.e., A to V – this will make the process the smoothest. Just click the 'Continue' button to begin with the first question in Section A.
  - Due to in-built survey logic, all questions of a section may not appear on the same page.
  - If you cannot avoid doing so, you may begin a later section first, however, within that section, complete all questions together. There is a notification at the end of each section confirming that you have completed the required questions for that section.
- Required vs optional questions:
  - Required questions are marked with 'REQUIRED\*' or the sub-parts of a required question are marked with a '\*' or '\*'.
  - Questions that are not marked with 'REQUIRED\*' or '\*' or '\*' are optional questions.
- Survey completion status:
  - There is a basic survey status bar at the top which shows how much of the survey you've completed till now.
- Saving the survey:
  - Rather than relying on a Save button, Qualtrics instead automatically saves as your work. Whenever you click outside of a question or move to a different tab or section, Qualtrics checks for changes and then saves any changes.
  - You can force a check and **save** by pressing Ctrl + S (on a PC) or Cmd + S (on a Mac).
  - The 'Continue' button will take you to the next question/page (and sometimes this is a question in the next section).
  - The 'Back' button will take you to the previous page of questions.
    - If you do want to go back to the previous page, please click outside of all questions to ensure that whatever you have filled-in on that page is **retained**.
  - As soon as you click the 'Back' button to go back to the previous page, you will get a pop-up message:

"Confirm Navigation

We'll temporarily save your work, but answers on this page will not be recorded unless you come back and submit this page."

to confirm that you're still OK with going back (remember, if you clicked outside all questions on that page, any responses you've filled-in will still get saved, despite the confirm navigation message), click 'Go Back'.

This is also when (in case any responses do not get saved) the offline Survey Validation Worksheet you have completed will come in handy to minimise the risk of errors and to support data checking.



### III. Changes to the Survey

Our thanks to everyone who provided their inputs to the new optional questions (on linked charities and development services – FTE staff, staff and non-staff costs) that we tested during the previous (i.e., 2019-2020 survey cycle) that were introduced after giving due consideration to the responses provided in the 'Ross-CASE Test Bed Questionnaire' survey.

Of the new questions last year, we are only going to have the linked charity question included for 2020-2021 while we work along with the CASE-Ross Editorial Board to come up with new definitions for development services which will be in-sync with CASE's other global surveys and metrics.

This year we will remove these questions: Cash income received by contribution from non-alumni individuals that are Staff & Former Staff, Parents, Grateful Patients/Pets, Other Individuals.

Question H-5: How many NON-ALUMNI individuals made total cash contributions falling into the following categories in the survey year? and its subparts H-5-1-1 to H-5-1-6, H-5-2-1 to H-5-2-6, H-5-3-1 to H-5-3-6, H-5-4-1 to H-5-4-6, and H-5-5-1 to H-5-5-6 which requested for number of Staff & Former Staff, Parents, Grateful Patients/Pets, Other Individuals.

Question H-6: Which other individuals (from H-5) made a cash contribution?

[Notes have been inserted throughout this Supporting Document and the online survey to signpost that section H has been updated.](#)

We will again re-look at your feedback from the testbed survey and review more questions over the next survey cycles.

### IV. Previous survey data:

Data from previous iterations of the survey will NOT be automatically prepopulated.

Previous years data can be accessed via the [CASE Benchmarking Toolkit](#) by clicking on the 'Report' button against the most recent survey, then clicking on the 'Multi-Year Report' button and selecting the years for which you need the previous data and generating a multi-year report to see your earlier data. The '[CASE Benchmarking Toolkit How-To-Guide](#)' provides a click-by-click guide to help you navigate the toolkit while benchmarking. If you'd like to update your institution's data for any of the previous survey years, please email [dkrishnaswamy@case.org](mailto:dkrishnaswamy@case.org) or [europa@case.org](mailto:europa@case.org).

Please note that some features of the CASE Benchmarking Toolkit are not compatible with the Google Chrome and Microsoft Edge browsers. However, if you use either Firefox or the Internet Explorer browser, you should not have any problems. In case you continue to face any issue with accessing prior years' data please email [dkrishnaswamy@case.org](mailto:dkrishnaswamy@case.org) or [europa@case.org](mailto:europa@case.org).

## V. General points:

- i. As always, this Supporting Document has been designed to help you and provides extra detail for most questions.

- ii. Required questions:

Throughout the survey we have marked some questions as **REQUIRED\***. **REQUIRED\*** questions are central to the report and benchmarking, so we would appreciate if you could prioritise these questions.

If you do not have a response to a Required question and would like to come back to it later (e.g., for B-2: Total institutional expenditure), due to the inbuilt validation checks you will need to put in a place-holder value which you can later come back and edit before submitting the survey. The easiest thing to do is to enter 1000000000 for B-2 and then come back and edit it when you have the updated figure.

If you cannot answer any required questions and would like to skip one or more of these, please enter -99 if the question is asking for a number or monetary amount; doing so will meet the requirement of entering a number and also flag it for us that you would like to skip this question.

- iii. Zero vs NA values:

Please enter a zero with careful consideration. Please **do not** enter a zero to signify 'Not Applicable' or 'Not reportable' or 'Nil' or 'Refused to answer'. Enter a zero *only* if your answer is zero. A zero (0) in the response box means you are responding but did not receive funds/do not have donors to report for a question. Incorrectly inputting zeroes in survey responses can have an **adverse effect** on the findings as it will lead to underestimating of averages.

*For e.g., if your institution does not accept legacies, enter 'Not Applicable'. However, if your institution accepts legacies and received no legacies in the given survey year, enter '0' instead of NA.*

If you need any help to do this, please email [dkrishnaswamy@case.org](mailto:dkrishnaswamy@case.org) or [europe@case.org](mailto:europe@case.org).

- iv. Skipping a question in Qualtrics:

- While we do not advise this, if you cannot answer any of the questions and would like to skip i.e., not provide a response to it, please enter the value **-99** (a negative number) if the question is asking for a number or monetary amount and **NA** if the question takes a text response. Doing this will meet the validation requirements and also flag the question for us to know that you would like to skip this question.
- In case a question has sub-parts and you would like to skip the whole question, including all the sub-parts, then write **-99** as a response for each of the sub-parts and the total will also be a negative number (though it will have more digits than -99).
- If you want to temporarily skip a question and come back to it later (once you have received your updated figures), you can also enter **-99** (or a similar negative number) as a temporary placeholder and edit the figure before submission. In case this figure will only be updated at a later date, for example, for institutional income figures in some cases, do email me at [dkrishnaswamy@case.org](mailto:dkrishnaswamy@case.org) and let me know that you will provide me with an updated figure later and email and let me know the figure once you have it.

- v. Please complete the survey **using whole numbers**. Enter monetary amounts in full and do not use texts or symbols. Do not enter commas. Do not enter the currency symbol.

For e.g., £5,500 should be entered as 5500,  
institutional turnover of £137 million should be reported as 137000000 and  
a gift of £10 as 10.

## About this document

This document has three sections and provides guidance on:

- [SECTION A](#): Funding that is eligible for inclusion in the survey and how that funding is recorded (explanations of new funds secured and cash income received);
- [SECTION B](#): An overview of the survey and some general guidance on its completion; and
- [SECTION C](#): All questions included in the survey and detailed question by question guidance.

## SECTION A: WHAT TO COUNT FOR THE SURVEY

### A.1 Introduction

The definition of 'philanthropic funds' which qualify as eligible for the purposes of this survey has been developed over several years in line with best practice across the sector. Therefore, care should be taken to ensure that reporting is accurate and in line with these definitions. These can be found in [Section A.2](#).

Please note that the Survey does not just seek to record philanthropic funds received by an active Development Office, but philanthropic funds received throughout the institution.

The Survey records philanthropic funds in two ways:

- Cash income received
- New funds secured

These terms are further defined in sections [A.6](#) and [A.7](#).

### A.2 Definition of philanthropic funds

Gifts or donations can only be counted within this survey as philanthropic funds if they meet **both** of the following criteria:

- The source of the funds is eligible; AND
- The nature of the gift meets the survey's definition of philanthropic intent (see [A.2.2](#) onwards).

#### A.2.1 Eligible sources of philanthropic funds

These include:

- Gifts from personal donors, in the UK and overseas, of cash and other instruments of wealth, including shares, appreciated securities, bonds etc.;
- Gifts-in-kind of physical items - property, art, equipment etc.;
- Actual legacy income received in-year from deceased individuals (legacy pledges from living donors are excluded from any part of the survey.);
- Donations from charitable trusts and foundations in the UK and overseas. This includes donations from independent charities associated with NHS Trusts (but not direct from NHS Trusts);
- Grants made by affiliated support foundations such as North American 501(c) (3) organisations and similar organisations in other countries.
- Gifts from companies in the UK and overseas;
- Gifts from overseas governments or their agencies and foundations;
- Income from the National Lottery and similar sources (e.g., Heritage Lottery Fund, Sport England etc.).
- Funding through the Land Fill Scheme.

Note that qualifying as an eligible source as above is not enough to determine the eligibility of funds as philanthropic, as the gift must also be made with *philanthropic intent* (see below).

### A.2.1.1 Ineligible sources of philanthropic funds

These include:

- All funding from the government (and its agencies) of the country where your institution's primary base of operations is located. Note that government funds received as part of a matched-funding scheme are also not philanthropic. For UK and Ireland, please refer to the links below:
  - UK - <https://www.gov.uk/government/organisations>
  - Ireland - <https://www.gov.ie/en/help/departments/><sup>3</sup>;
- Funding from NHS Trusts;
- All funding from the EU or its agencies;
- Royalties and other funds generated by the exploitation of the University's intellectual property rights;
- Internal transfers within the institution.

### A.2.2 Definition of philanthropic intent

Giving to an institution with philanthropic intent is defined as all giving which does not confer full or partial ownership of a deliverable, financial benefit, or control to the funder in return for the funding. The gift must be owned in full by the receiving institution once it is received.

#### A.2.2.1 Exclusions from philanthropic intent

If any one of the following 7 exclusion criteria apply, the whole of the funding associated with an agreement becomes ineligible for the survey. Institutions may not deduct the known or estimated value of any such exclusions from the overall value of the funding associated with an agreement and report the net remaining balance.

No.	Exclusion Criteria	Description
1	Contractual relationship	A contract exists between the two parties which commits the recipient institution to provide an economic benefit for compensation, where the agreement is binding and creates a quid pro quo relationship between the recipient institution and the funder. <i>Contract income, including income for clinical trials, is ineligible.</i>
2	Exclusive information	The funder is entitled to receive exclusive information, or other privileged access to data or results emerging from the programme of activity.
3	Exclusive publication	The funder is entitled to exclusive rights to publication of research or other results through their own branded communication channels (website, report, etc.).
4	Consultancy included	Consultancy for the funder or a linked organisation is included as part of the agreement.
5	IP rights	The agreement assigns to the funder any full or partial rights to intellectual property which may result from the programme of activity. This exclusion extends to the provision of royalty-free licenses (whether exclusive or non-exclusive) to the funder and also to granting the funder first option or similar exclusive rights to purchase the rights to any

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<sup>3</sup> Updated – August 2021.

No.	Exclusion Criteria	Description
		subsequent commercial opportunities. If the written agreement includes any actual or <i>potential future</i> benefit of this kind, it must be excluded.
6	Other forms of financial benefit	Any other direct financial benefits are required by the funder as a condition of the funding (e.g., discounted courses, training etc.).
7	Funder control	The funder retains control over operational decisions relating to the use of funds once the gift has been made. This includes control over appointment and selection procedures to academic posts and student scholarships (for detailed rules and examples on funder control of gifts see <a href="#">Appendix Z</a> ). Note that this clause has nothing to do with a donor's right to know that a gift will be used for a designated purpose, where applicable, which is entirely consistent with a philanthropic gift.

This list is not comprehensive. There may also be other circumstances where service provision with a commercial value means that funding cannot be regarded as having philanthropic intent.

#### A.2.2.2. Separating Agreements

In some circumstances it may be appropriate for philanthropic and contractual elements of a multi-faceted relationship with an organisation to be summarised in separate written agreements. In these circumstances the funding subject to the gift agreement is eligible for the survey, as long as none of the 7 exclusion criteria apply and as long as the income associated with the gift agreement is not contingent on delivery of any activities included within the separate contractual agreement. Please also see [A.4](#) re. HMRC rules relating to substantial donors.

#### A.2.2.3 Corporate Sponsorship

Exclusion criteria 1 dictates that in the vast majority of cases corporate sponsorship must be excluded from the survey, as sponsorship is based on a quid pro quo relationship.

As the definition of 'sponsorship' can vary greatly between institutions, for the purposes of the CASE-Ross Group Support of Education Survey, UK and Ireland any corporate sponsorship which is subject to VAT as a chargeable supply according to HMRC definitions must be **excluded** from the survey. HMRC considers an agreement to take the form of sponsorship liable for VAT "if, in return, you are obliged to provide the sponsor with a significant benefit".

HMRC advise that this significant benefit might include **any** of the following:

- Naming an event after the sponsor;
- Displaying the sponsor's company logo or trading name;
- Participating in the sponsor's promotional or advertising activities;
- Allowing the sponsor to use your name or logo;
- Giving free or reduced-price tickets;
- Allowing access to special events such as premieres or gala evenings;
- Providing entertainment or hospitality facilities; or
- Giving the sponsor exclusive or priority booking rights.

HMRC adds the following note: "This list is not exhaustive and there are many other situations in which your sponsor may be receiving tangible benefits. What matters is that the agreement or understanding you have with your sponsor requires you to do something in return."

The only circumstances where HMRC consider corporate support not to be eligible for VAT (and which as a result could be included within the **CASE-Ross Group Support of Education Survey, UK and Ireland**, as long as none of the general exclusions apply) is where acknowledgement is restricted to:

- Giving a flag or sticker.
- Naming the donor in a list of supporters in a programme or on a notice.
- Naming a building or university chair after the donor (without the use of a logo).
- Putting the donor's name on the back of a seat in a theatre.

(Source: HMRC Reference: Notice 701/41)

For the purposes of the survey, these HMRC guidelines should be applied in assessing the eligibility of **all** sponsorship agreements, including those with international companies not subject to HMRC regulations.

#### A.2.2.4 Approaches from donors/funders

Some companies, trusts or individuals may approach an institution about a potential gift, or invite specific institutions to apply for grants; this has no bearing on the philanthropic intent involved and any gifts or grants gained on that basis should be included in the survey if none of the 7 exclusion criteria apply.

#### A.2.2.5. Requests for Reports to funders

The donor/funder often requests or requires an accounting of the use of funds and of the impact of the programmes or projects undertaken. Any such request/requirement from the donor for regular status or other reports does not negate the philanthropic intent underlying a specific gift or grant, so agreements with reporting requirements are still eligible if none of the 7 exclusion criteria apply.

#### A.2.2.6 Donor Stewardship

Donor stewardship strategies (e.g., providing update reports on the progress of students supported by donors, or informal contact between donors and those supported by their gifts), do not of themselves represent a benefit to the donor. Stewardship of this kind is considered best practice and is actively encouraged.

### A.2.3 Notes on university priorities and activities typically supported by philanthropic funds

Philanthropic funds can support buildings and land, staff appointments, equipment and other assets, scholarships and bursaries, endowment of lectures and other academic activities, core funding of academic activities and in some limited circumstances funding of research programmes. (Note: None of the 7 exclusion criteria must apply, irrespective of the activity funded; see also the examples in [Appendix X](#)).

Funding for **buildings, land and equipment** will typically be eligible for the survey, as long as the facilities funded will remain the property of the University.

Funded **staff appointments** are eligible, but if the agreement states that the member of staff will allocate time to specific activities which would not meet the philanthropic intent definitions within this document (i.e., any of the exclusion criteria e.g., consultancy or work on research contracts) then the funding should be excluded **in full** from the survey. Exclusion 7 – Funder control – will also need careful assessment (see [Appendix Z](#)).

Funding for **scholarships and bursaries** is eligible, as long as the student recipient is not required to undertake specific activities of economic benefit to the funder (e.g., research projects, work placements, etc.), in which case the funding should be excluded **in full** from being reported in the survey. Exclusion 7 – funder control – will also need careful assessment (see [Appendix Z](#)).

**Research funding:** The exclusion criteria described above mean that the majority of research funding for institutions, whether in the form of contracts with business and industry or from grant-awarding bodies (even if they themselves are charities), should not be counted as a gift and should therefore be excluded from the survey. In some cases grants for research programmes from trusts and foundations may be eligible, but these will need to be assessed closely against the exclusion criteria on a case-by-case basis, given the differences in grant conditions between grant-making bodies (see [Appendix Y](#) for worked examples which are intended to help guide institutions' case-by-case assessments of specific grants/research programmes).

### A.3 Supporting documentation

It is essential that the survey data includes only donations which are documented by paperwork (typically in the form of a simple gift agreement). If other individuals across the University outside of the Development Office have assessed income as being eligible for the survey, it is essential that those individuals have assessed the relevant income against these CASE-Ross rules in full. Development Offices also need to check that if other individuals across the University have assessed income as being eligible for the survey, paperwork documentation exists, even if the Development Office themselves are not in possession of it.

### A.4 HMRC substantial donor rules

Institutions may have multi-faceted relationships with some donors and funders, some of a philanthropic, some of a contractual, nature. HMRC have issued 'anti-avoidance' guidance as to tax treatment in these circumstances (known as 'substantial donor rules' – your finance office will have full details), in order "to tackle those who influence or set up charitable structures with a view to avoiding tax rather than with any charitable intent". As institutions enjoying charitable status, universities have since 2006 been required to comply with these accounting rules. Development offices must as a result ensure that they are liaising with their finance offices to ensure that the survey data is in full compliance with these rules.

### A.5 Recording philanthropic funds: cash gifts and pledges

Please take special care to distinguish between pledges and cash gifts.

#### A.5.1 Cash gifts

Includes monies received within the financial year from any source (individual in lifetime, legacy, corporate, trust/foundation) by cash, cheque, Standing Order, Direct Debit, CAF, electronic wire transfers; and any actual or future Gift Aid income received in relation to these payments.

Cash payments from overseas donors (individual or institutional) should be counted according to the value on the date they were transferred to your institution. So, if an American 501(c)3 organisation collects gifts in year 1 and donates them to your institution in year 2, you should count the cash



value of the donation in year 2 (although, the individual donors should be counted in survey questions 13 and 14 in the year in which they made the gift). See worked examples in [Appendix X](#).

### A.5.2 Pledges

Include multi-year and/or future-year gifts. Only documented, confirmed pledges should be reported. These are standing orders, direct debit mandates, documented gift agreements or other signed documentation from the donor which confirm the size of the donation and a timetable for the transfer of funds. Included are:

- Multi-year Direct Debit/Standing Order gifts;
- Multi-year formal pledge agreements for medium and large gifts;
- Single gifts which are promised to be made in a future year and have supporting documentation.

Oral pledges and legacy pledges should *not* be included in the survey. Unrealised legacy pledges are never counted as 'pledges' by this survey, even if documented, because they are revocable.

Unspecified or undocumented pledges should not be included in the survey.

## A.6 Recording philanthropic funds: Cash income received

Cash income received refers only to cash received in the 2020-2021 financial year. The aim is to record the value of all cash received, in the year, by the institution as a result of philanthropic giving, regardless of when the fundraising activity relating to the cash gift took place, i.e., even if the gift was pledged in a previous year.

### A6.1 Cash income received includes

- Cash received in the year resulting from new pledges and new single cash gifts.
- Cash received in the year resulting from pledges made in previous years.
- Any actual or future Gift Aid income received or due in future as a result of cash received in year.
- The documented value of gifts of shares, appreciated securities, bonds and other financial instruments provided by the receiving institution's broker on the day that they were received (i.e., the value at the point of gift) and whether from living donors or from a legacy.
- Cash received from legacy gifts.

### A.6.2 Cash income received does NOT include

- Cash received from any sale of financial instruments (shares etc.) donated in previous years.
- Income received from any retained donated financial instruments (shares etc.) or real estate.
- Income generated from endowments.
- Gifts-in-kind (regardless of whether realised for cash); **importantly**, if a legacy gift involves a gift-in-kind of a physical asset, which the institution could sell (e.g., real estate, artwork or books, etc.), this cannot be counted as 'cash income received'. Instead, the value of the asset should be recorded under gifts-in-kind under new funds secured in the year in which the asset was received by the institution, irrespective of whether it chooses to sell it at a later date.

## A.7 Recording philanthropic funds: New funds secured

### A.7.1 'New funds secured' includes

- Cash received in the year resulting from new confirmed non-legacy pledges and new single cash gifts.
- Confirmed non-legacy pledges committed in the year, counting the multi-year value of any such pledges for up to five years. The five years includes the year in which the pledge is made, but care should be taken not to 'double count' the first payment against a new pledge. For example: a donor makes a pledge in the course of 2020-2021 to make a gift to the University of £50,000 to be paid over five years. The donor also makes the first payment of £10,000 in the course of 2020-2021. The appropriate amount to record for new funds secured in 2020-2021 is £50,000 NOT £60,000 (the £50,000 pledge PLUS the £10,000 payment).
- Any actual or future Gift Aid income received or due in future as a result of new single cash gifts or confirmed non-legacy pledges counting up to five years' worth of funding for each pledge.
- Equivalent cash value of gifts in kind whether 'realised' or 'unrealised'. These include for example real estate, art works or books. They may also include research equipment provided that if the equipment is part of a research grant, it counts as philanthropic under the definition at [Section A.2](#). Please note that most research funding does not count as philanthropic. The equivalent cash value should be the independently assessed market value on the day that the gift was received.
- Equivalent cash value of financial instruments (shares etc.) received as gifts (whether from legacies or living donors) as documented on the day they were received (normally the known market price).
- Upgrades to existing regular gifts (only the upgraded amount can be counted).

### A.7.2 'New funds secured' excludes

- Cash received in the year resulting from pledges made in previous years.

### A.7.3 Treatment of Shares and Financial instruments under 'new funds secured'

Gifts of shares, appreciated securities, bonds and other financial instruments should be valued for the purposes of 'new funds secured' at the documented value provided by the receiving institution's broker on the day that they were received.

Any income received from these financial instruments (e.g., dividends, interest, etc.) should be excluded from the survey.

Sales receipts in respect of gifts of shares and financial instruments made in previous years should not be recorded in 'new funds secured' for the current year as these gifts should have been recorded under 'new funds secured' in previous years at their imputed value at the time they were given.

### A.7.4 Treatment of gifts of real estate and gifts-in-kind under 'new funds secured'

The value of donated real estate and other gifts-in-kind that create assets in the institution's balance sheet (e.g., books and paintings), should be included under 'new funds secured' based on an external expert view (other than that of the donor) on the value of the gift as close to the date of receipt as possible.

Any income received from donated real estate (e.g., rent) or from other gifts in kind should be excluded from the survey.

Sales receipts in respect of real estate and other gifts-in-kind made in previous years should not be recorded in 'new funds secured' as these gifts should have been recorded under 'new funds secured' in previous years at their imputed value at the time they were given.

Gifts-in-kind of services rendered (e.g., providing event facilities; volunteer time) are excluded entirely from the survey.

#### A.7.5 Return of unspent monies under 'new funds secured'

If donors making gifts for restricted purposes stipulate that any unspent monies should be returned to the funder, the full amount pledged can still be counted under 'new funds secured'. Any monies eventually returned to the donor should be deducted from the 'new funds secured' total for the relevant year.

#### A.7.6 Requirement for documentation under 'new funds secured'

Only documented, confirmed pledges should be reported in the survey as 'new funds secured'. These are standing orders, direct debit mandates, documented gift agreements or other signed documentation from the donor which confirm the size of the donation and a timetable for the transfer of funds.

Oral pledges should not be included in the survey.

For the avoidance of doubt, any unspecified or undocumented pledges should not be included in the survey

#### A.7.7 Legacies and 'new funds secured'

Legacy cash income received during the year should be included under new funds secured.

If the University received notification during the year that a will has gone through probate, but the related cash was not received during the year, no value should be included under 'new funds secured', even if specified sums are included in the probate documentation.

Legacy pledges from living donors are excluded from the survey.

#### A.7.8 Pledge duration under 'new funds secured'

The value of up to the first five years' duration of confirmed pledges, from the date of the pledge, should be counted within 'new funds secured'. If a donor makes a pledge for a period exceeding five years, for the purposes of the survey, this can be treated as multiple pledges each of up to 5 years duration. For example, someone gives an open-ended direct debit of £10 per month. You can count this in the year it was given for five years. When the 6<sup>th</sup> year begins you can count this donation again and count it for a further 5 years. This can continue until the donation ends.

## A.8 Recording philanthropic funds: Treatment of multi-institution with a single 'grant-holding' body under 'cash income received'

- Some Trusts will allocate funding which is eligible for the survey to one 'grant holding' institution, on the basis that an element of the funding may be allocated to another institution or institutions.
- If the grant holding institution has full discretion over the level of any award to another institution, the full value of the funds received can be included under 'new funds secured' and subsequently under 'cash income received' in current/future years. If the agreement includes a specific amount ear-marked by the donor that is to be allocated by the grant-holding institution to another specific institution or institutions, the grant-holding institution should deduct that element of the funding before including it in its own 'new funds secured' or 'cash income received' entry on the survey.
- Conversely, an institution can only count funding received from similar multi-institutional programmes where they are not the grant-holding institution if an explicit level of funding for their institution is earmarked for their institution by the donor as part of the written agreement. This similarly applies to both 'new funds secured' and 'cash income received'.

## SECTION B: SURVEY OVERVIEW AND GENERAL GUIDANCE

### B.1 Survey overview

This section provides you with an overview of the CASE-Ross Group Support of Education Survey, UK and Ireland for this year. You can see which topics are covered and what information is required to complete each section. Also listed are questions that are marked as **REQUIRED\*** in the survey.

**REQUIRED\*** questions are central to the study report and benchmarking, so we would appreciate if you could prioritise these questions. If you wish to see all the questions in detail, please refer to Section C.

Overview	REQUIRED* questions	Total questions	REQUIRED* questions/Total questions
Section A: Introduction Institution information Vice-Chancellor information Development Director information (or similar) The person completing the survey	6	8	6/8
Section B: Institution Details Currency reporting in Total institutional expenditure Clinical medicine Business school University Museum Linked charity	6	9	6/9
Section C: Alumni Details Number of alumni Number of contactable alumni	3	3	3/3
Section D: Fundraising and Alumni Relations Programme Development office When the institution's development/alumni programme began	2	2	2/2
Section E: Fundraising and Alumni Relations Staff Fundraising staff Alumni relations staff	2	2	2/2
Section F: Fundraising and Alumni Relations Expenditure Fundraising expenditure Alumni relations expenditure Alumni magazine expenditure	4	5	4/5

Overview	REQUIRED* questions	Total questions	REQUIRED* questions/Total questions
Section G: Cash Income Received (Total and by Source) Total Donor source (individuals, alumni, non-alumni and organisations)	5	10	5/10
Section H: Cash Income Received (By Contribution Level) Donors of cash income by contribution level (e.g., £9,999-£100,000 or £100,000+)	0	10	0/14
Section I: Cash Income Received from Legacies Legacy cash income How legacy cash income is split by contribution level	2	3	2/3
Section J: Largest Cash Gift Three largest cash gifts Their sources	6	9	6/9
Section K: Fundraising Triggers 'Triggers' for cash income received from individuals Value of cash income received from mass solicitation and otherwise	1	4	1/3
Section L: Donor Intentions Value of cash income designated as an endowment Value of endowed cash income restricted for particular use Value of non-endowed cash income restricted for particular use	5	5	5/5
Section M: Potential Donors (Total and Individual) Number of potential donors solicited (individuals, alumni and non-alumni)	3	7	3/7
Section N: Potential Donors (Organisations) Number of potential donors solicited that were organisations	2	3	2/3
Section O: Donor Numbers (Total and individual) Number of donors (individuals, alumni and non-alumni)	3	7	3/7
Section P: Donor Numbers (Organisations) Number of donors that were organisations	2	3	2/3

Overview	REQUIRED* questions	Total questions	REQUIRED* questions/Total questions
Section Q: New Funds Secured (Total and by Source) New funds secured split by: Total Gifts-in-kind Donor source (individuals, alumni, non-alumni and organisations)	6	11	6/11
Section R: New Funds Secured (by Contribution Level) Donors by contribution level (e.g. £5,000-£49,999 or £5,000,000+)	0	2	0/2
Section S: Largest Confirmed New Pledge/Gift Three largest confirmed new pledges/gifts Their sources	6	9	6/9
Section T: Alternative Methods of Counting Alternative methods of how your institution counts fundraising totals in a way that differs to this survey	2	5	2/5
Section U: Institutional Campaigns Targets and timings of institutional campaigns Income received from campaigns	5	12	5/12
Section V: Survey Sign-off and Data sharing Agreement (DSA) Survey sign-off Details of the person signing off the DSA and survey DSA sign-off	3	3	3/3
REQUIRED* questions/TOTAL questions	74	132	75/138
REQUIRED* fields/TOTAL fields	104	267	105/300

## B.2 General Guidance

This section provides general guidance to support the completion of this survey. This information is relevant to all questions so please read thoroughly before completing the survey.

### B.2.1 Survey Reporting Dates

Unless otherwise specified in the survey the **'year 2020-2021'** or **'the year'** relates to **1<sup>st</sup> August 2020 – 31<sup>st</sup> July 2021, both dates included.**

### B.2.2 Definition of 'Individuals'

Individuals include undergraduate alumni; postgraduate alumni; other alums (Hon, Erasmus, non-graduating etc.); staff; former staff; governors, trustees, parents, current students, grateful patients (including pet/animal owners); and all other individuals.

### B.2.3 Personal Trusts and similar

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

### B.2.4 Treatment of Joint Gifts

If individuals who are partners make joint gifts, they should be counted as two donors for the purposes of questions relating to donor numbers.

However, care should be taken not to double-count the value of the gift in questions relating to breakdown of cash income received and new funds secured.

### B.2.5 Donors to and income from 501(c)(3) organisations and other such organisations

Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received and new funds secured from these donors should be treated as coming from individuals for the purposes of classifying the source of gifts and pledges.

The **'Cash Income Received'** from such donors should be the total amount received by the institution from the 501(c)(3) during the course of 2020-2021. This is the total amount of cash that has been transferred from the 501(c)(3) into the institution's bank account.

The **'New Funds Secured'** from such donors should be the total amount pledged/given as new cash to the 501(c)(3) during the course of 2020-2021.

It is appreciated that this may result in some anomalies – for example, where a donor makes a gift to the 501(c)(3) in March 2020 but the cash is not received by the institution until August 2021. In such circumstances, this contribution should not be represented in the questions breaking down cash income received.



## B.2.6 Individual Non-alumni Categories

If any individual non-alumni donor falls into multiple categories listed below, then they should be counted only in the first relevant category.

Each individual should be accounted for ONCE.

For example, if an individual donor is both a member of staff and a parent then they should be counted in the 'staff' category only, and not in the 'parent' category.

Examples of individual categories are detailed below:

Non-alumni types	
Category	Examples Include
Staff	Full time, Part time and Former Staff
Parents	Parents of current students and of alumni
Grateful patients	Grateful patients, Pet/Animal owners
All other individuals	Members of the community, current students

## B.2.7 Alumni Definitions

'Alumni' are former students of the institution.

The following four definitions are examples of who can be counted as 'alumni'. None is right or wrong – and some institutions evolve and change from one definition to another over time. However, these four definitions are the most typical, and are recommended as best practice either as standalone or in combination.

- All former students who received an award (e.g., degrees, certificates, diplomas) from the institution.
- All former students who ever studied at the institution, however briefly.
- Honorary graduates.
- Current students who have already received one degree from the institution and are now returning to take a further degree (though each individual should only be counted once, however many degrees they have from your institution).

You should use the same definition, whichever you pick, throughout the survey.

## B.2.8 Alumni Categories

If any individual alumnus has been awarded multiple qualifications, then they should be counted only in the first relevant category.

Each individual should be accounted for ONCE.

For example, if an individual received both a BA (undergraduate award) and a PGCE (other qualification/award) then they should be counted in the 'undergraduate alumni' category only, and not in the 'other qualification/award alumni' category.

Examples of which degree level comprises the alumni categories are detailed below:

Alumni types	
Category	Examples Include
Undergraduate alumni	BA, BSc, MEng, MBChB
Masters/PhD alumni	PhD, MSc, MBA
Other qualification/award alumni	PGCE, Diplomas, Certificates, Professional Qualifications
Other alumni	Honorary Graduates, Erasmus, Visiting Students, Non-graduating alumni

## B.2.9 Organisation Definitions

Organisations include companies, charitable trusts and foundations, independent charities associated with NHS Trusts (but not direct from NHS Trusts), overseas governments or their agencies and foundations, National lottery and similar sources (e.g., Heritage Lottery Fund, Sport England etc.).

Organisations which are specifically excluded from this survey are:

- All funding from HM Government and its agencies, including HEFCE and the research councils;
- Funding from NHS Trusts;
- All funding from the EU or its agencies;
- All funding from the government (and its agencies) of the country where your institution's primary base of operations is located. Note, government funds received as part of a matched-funding scheme are also not philanthropic. For UK and Ireland, please refer to the links below:
  - UK - <https://www.gov.uk/government/organisations>
  - Ireland - <https://www.gov.ie/en/help/departments/><sup>4</sup>;
- Royalties and other funds generated by the exploitation of the University's intellectual property rights;
- Internal transfers within the institution.

For further information about how to accurately report on organisations see [Section A: What to Count in the Survey](#).

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<sup>4</sup> Updated – August 2021.

### B.2.10 Organisation Categories

If any organisation falls into multiple categories, then they should be counted only in the first relevant category.

Each organisation should be accounted for ONCE.

For example, if an organisation donor is both a Trust and a Company they should be counted in the 'Trusts and Foundations' donor category only, and not in the 'Companies' donor category.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

Trust/Foundations	
Companies	
Lottery	
Other	
Total	

### B.2.11 Gift Aid

**Gift Aid should be included in all your responses where applicable** – therefore a gift of £100 plus Gift Aid should be shown as £125. Gift Aid should always be counted in the same financial year as the gift itself was made (or, in which the gift is pledged to be made), whether or not your institution has actually made the claim within that financial year. For example, a gift of £100 is received in this financial year but you plan to claim the gift aid in the next financial, you should include the gift aid value in this financial year.

Income received in membership fees, or part thereof, that qualifies for Gift Aid can be counted in the survey as philanthropic income.

Any event income or part thereof, from ticket sales or similar, that qualifies for Gift Aid can be counted in the survey as philanthropic income.

### B.2.12 Not Application and Zero Definitions

**It is vitally important to distinguish between a value of zero, i.e., where £0 was received, and questions for which you do not have an answer, i.e., which are not applicable.** For e.g., where total income is broken down by source of alumni the total income from alumni must add up to the sum of the income from each of the alumni types. If total income from alumni was £10,000 and £5,000 of this came from undergraduate and £5,000 from post graduate alumni then in this case, income from other alumni should be 0.

If the value was zero, please use 0; if you respond with 0 when in fact you did not know the answer, you may distort sector-wide reports which are important for understanding trends and patterns in philanthropy.

### B.2.13 Number Format

**Please complete the survey using whole numbers.** In accordance with last year's survey please ensure that you update any previous years' responses to reflect whole figures. For example, institutional turnover of £137million should now be reported as: 137000000; and a gift of £10 as 10.

If you need to round a figure it should be rounded up to the nearest pound. E.g., £24.56 should be recorded as £25.

### B.2.14 Treatment of sponsored activity (marathons etc.)<sup>5</sup>

It is recognised that institutions are receiving increasing philanthropic income from crowdfunding and from sponsored activity (such as marathon running) through organisations such as Just Giving and Virgin Money and are dealing with and recording this income in different ways. Future iterations of this survey may include specific questions about income from these sources. In the meantime, the broad guidance is as follows:

- Respondents should treat as a donor the individual who has undertaken a sponsored activity (such as a marathon, hill-walk etc.) and who has effectively collected income from sponsors through an organisation such as JustGiving or VirginMoney. This individual is referred to in this guidance as the '**collecting donor**'.
- The individual sponsors of the collecting donor should not be counted as donors for the purposes of this survey.
- Cash income received from this kind of activity, should be treated as coming from an individual (the 'collecting donor') and that donor classified accordingly.
- The trigger for this cash income received should be classified as 'Other' and the free text field used to identify it as being triggered by this kind of activity.

### B.2.15 Linked Charities<sup>6</sup>

A Linked Charity is a charitable institution that has been established to support a University's general and/or specific purposes. Hallmarks of a linked charity **may include some or all** of the following:

- There is a formal trust deed which may cite the aim of providing benefit to the University (or a department or group within the University);
- There is a board of trustees on which the University is represented, such that the University has influence in decision making;
- The charitable objectives are aligned with those of the University e.g., the majority of beneficiaries are University staff, students or departments;
- There are recorded donor wishes which align with the University's charitable objectives;
- The University, or a specific group or department within the University, is the recipient of a significant proportion of the charity's outward funding or philanthropy.

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<sup>5</sup> New section 'Treatment of Sponsored Activity (Marathons etc.)', September 2015.

<sup>6</sup> New section 'Linked Charities', September 2019.

## SECTION C: QUESTION BY QUESTION GUIDANCE

All survey questions are included in the following section. Depending on how you answer particular questions, you may not be asked to answer all questions. This also means that the question numbers may not appear in running order.

This information is not available with every question on the online survey. *Please keep this document to hand if you have any doubts about any questions.* The questions numbers in this document correspond to those in the Validation Worksheet in Excel of the survey and the online survey. Most text boxes and fields will have question validation for the **REQUIRED\*** questions. This means that:

**The printed guidance is designed to be dipped into as well as read as a whole so you may find a number of sections repeated.**

The survey consists of **22 sections - Section A to Section V.**

### Section A: Introduction

There are eight questions in this section. Six questions are **REQUIRED\***.

This section collects basic information about the survey-filler and the institution.

#### **A-1: Institution's name REQUIRED\***

Response is limited to options provided; select your institution name from the list provided. If your institution's name is not in the list, choose 'Other' and please specify the name of your institution in the box provided alongside.

#### **A-2: Country-Region REQUIRED\***

Response is limited to options provided; select your institution name from the list provided.

#### **A-3: In which city is your institution's main campus located? REQUIRED\***

Response is limited to options provided; select your institution name from the list provided.

#### **A-4: If you selected 'Other' in A-3, please specify which city your institution's main campus is located in.**

Provide a response to A-4 if response to A-3 is 'Other'; A text field.

#### **A-5: Vice-Chancellor information REQUIRED\***

First name\*: A text field

Last name\*: A text field

#### **A-6: Development Director information REQUIRED\***

First name\*: A text field

Last name\*: A text field

Email address\*: Please enter a valid email address

A-7: Are you the Development Director of your institution? **REQUIRED\***

This is a Yes/No question and response is limited to options provided.

A-8: Your information

First name: A text field

Last name: A text field

Email address: Please enter a valid email address

Contact number: Limited to valid UK phone number i.e., in standard UK phone number format i.e., OXX XXXX XXXX or OXXX XX XXXX where X is a digit between 0 and 9

Job title: A text field

Provide a response to A-8 if response to A-7 is 'No'.

## Section B: Institution Details

There are nine questions in this section. Six questions in this section are **REQUIRED\***.

**B-1: In what currency will you be reporting your answers? **REQUIRED\*****

Response is limited to options provided (£ or €).

Please select the currency in which you will be reporting your figures.

**B-2: Total institutional expenditure **REQUIRED\*****

Response is limited to number with up to two decimal digits.

This refers to the **total expenditure** of the institution, not just fundraising expenditure. The total figure is most likely to be in the tens or hundreds of millions.

### Validations:

- Total fundraising costs (F-1\_Total) must be less than total institutional expenditure (B-2)
- Total alumni relations costs (F-2\_Total) must be less than total institutional expenditure (B-2)
- Total non-staff production and distribution costs of alumni magazine (F-4) must be less than total institutional expenditure (B-2)

**B-3: Total number of students (undergraduate and post-graduate) as per HESA records (full person equivalent i.e., headcount)**

Response is limited to number with up to two decimal digits.

**B-4: Total number of staff (academic and operational) as per HESA records (full person equivalent i.e., headcount)**

Response is limited to number with up to two decimal digits.

**B-5: Is your institution engaged in clinical medicine? REQUIRED\***

This is a Yes/No question and response is limited to options provided.

The answer to this question can vary between institutions and you need to decide how best to answer this question based on your own institution. Indicators of engaging in clinical medicine include having a medical school or running large clinical medicine research.

**B-6: Does your institution have a business school? REQUIRED\***

This is a Yes/No question and response is limited to options provided.

**B-7: Does your business school have an alumni office/alumni function? REQUIRED\***

This is a Yes/No/Not applicable question and response is limited to options provided; Provide a response to B-7 if response to B-6 is 'Yes'.

**B-8: Does your institution have any affiliated university museums? REQUIRED\***

This is a Yes/No/Not applicable question and response is limited to options provided.

**B-9: Does your institution have a linked charity?**

This is a Yes/No/Not applicable question and response is limited to options provided.

## Section C: Alumni Details

There are three questions in this section. All questions in this section are **REQUIRED\***.

**C-1: What is total number of alumni that your institution had in the survey year? REQUIRED\***

Response is limited to number with no decimal digits.

This question asks about the total number of alumni not just those who are contactable. This is to obtain information on how successful institutions are at finding and maintaining contact with alumni.

For the purposes of this question, please include all living alumni as at 31 July 2021, but exclude those who have only just graduated in summer 2021. Some institutions will have information on summer 2021 graduates at the time of survey submissions, others will not. They should be excluded to ensure institutions are reporting this figure on a consistent basis.

'Alumni' are former students of the institution.

The following four definitions are examples of who can be counted as 'alumni'. None is right or wrong – and some institutions evolve and change from one definition to another over time.

However, these four definitions are the most typical, and are recommended as best practice either as standalone or in combination.

All former students who received an award (e.g., degrees, certificates, diplomas) from the institution;

All former students who ever studied at the institution, however briefly;

Honorary graduates;

Current students who have already received one degree from the institution and are now returning to take a further degree (though each individual should only be counted once, however many degrees they have from your institution).

You should use the same definition, whichever you pick, throughout the survey.

[Validation: Total contactable alumni \(C-2\) must be less than or equal to total alumni \(C-1\)](#)

**C-2: What is the total number of CONTACTABLE ALUMNI your institution had in each of the survey year? REQUIRED\***

Response is limited to number with no decimal digits.

For the purposes of this question, please include all contactable living alumni as at 31 July 2021, but exclude those who have only just graduated in summer 2021. Some institutions will have information on summer 2021 graduates at the time of survey submissions, others will not. They should be excluded to ensure institutions are reporting this figure on a consistent basis.

Contactable living alumni refer to those for whom you have an active mailing address **OR** an active email address. Please do NOT include alumni for whom you hold only a telephone number or **any alumni who have opted out of being contacted by the institution.**<sup>7</sup>

An 'active' mailing/email address is one that you currently use to send post/email to that person. In this regard you consider it to be a valid and usable address and have not received any notice that it is incorrect. If someone has both an active mailing and email address they should only be counted once.

Very few institutions are able to contact all of their alumni. At most universities the number of contactable living alumni increases slightly year on year, reflecting the fact that the number of new alumni graduating each year normally outweighs the number who become 'lost' or deceased.

[Validations:](#)

- [Total contactable alumni \(C-2\) must be less than or equal to total alumni \(C-1\)](#)
- [Total contactable alumni \(C-2\) must be equal to the total of all categories of contactable alumni \(C-3\\_Total\)](#)
- [Total alumni donors \(O-3\) must be less than or equal to Total contactable alumni \(C-2\)](#)

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<sup>7</sup> Guidance for calculating contactable alumni updated, September 2015.



**C-3: Out of your contactable alumni, how many fell into the following ALUMNI CATEGORIES in the survey year? REQUIRED\***

Response is limited to number with no decimal digits.

If any individual has been awarded multiple qualifications, then they should be counted only in the first relevant category.

Each individual should be accounted for ONCE.

For example, if an individual received both a BA (undergraduate award) and a PGCE (other qualification/award) then they should be counted in the 'undergraduate alumni' category only, and not in the 'other qualification/award alumni' category.

Examples of which degree level comprises the alumni categories are detailed below:

Alumni types	
Category	Examples Include
Undergraduate alumni	BA, BSc, MEng, MBChB
Masters/PhD alumni	PhD, MSc, MBA
Other qualification/award alumni	PGCE, Diplomas, Certificates, Professional Qualifications
Other alumni	Honorary Graduates, Erasmus, Visiting Students, Non-graduating alumni

NOTE: The total field will automatically populate; please do not enter any data for total.

[Validation: Total contactable alumni \(C-2\) must be equal to the total of all categories of contactable alumni \(C-3\\_Total\)](#)

## Section D: Fundraising and Alumni Relations Programme

There are two questions in this section; both are All questions in this section are **REQUIRED\***.

**D-1: Do you have a development/alumni programme at your institution? REQUIRED\*.**

This is a Yes/No/Not applicable question and response is limited to options provided.

**D-2: In which year did your institution start its development/alumni programme? REQUIRED\*.**

Limited to a number between 1800 and 2020 with no decimal digits; Provide a response to D-2 if response to D-1 is 'Yes'.

This is the year when your institution first invested in a professional alumni relations and/or fundraising programme. (Some institutions have historically had separately constituted 'alumni associations' before investing in a professional office: these do not count.)

## Section E: Fundraising and Alumni Relations Staff

There are three questions in this section. Two questions in this section are **REQUIRED\***.

### **E-1: How many FTE staff worked mainly on FUNDRAISING at your institution in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

This question seeks to find out the size of the fundraising functions at your institution. Staff from departments/faculties outside of the Development Office, who act as ‘Champions’ or fundraise, should not be included in this total.

Staff should be allocated to either fundraising or alumni relations depending on which area comprises the majority of their role. Those with equally split roles should be attributed 50:50 between the two categories (for examples see the table below).

Temporary staff, such as student telethon callers, envelope stuffers, or temporary staff who work at fundraising/alumni events, should not be included in these numbers.

Role	Fundraising	Alumni Relations
Director of Development	100%	
Development/Gift Officers	100%	
Annual Fund Staff	100%	
Prospect Researcher	100%	
Trusts Officer	100%	
Legacy Officer	100%	
PA/Secretary for Director/Gift Officers	100%	
Alumni Officer (if fundraising in job description)	50%	50%
Head of Operations/Development Services	50%	50%
Head of Data	50%	50%
Data Entry Staff	50%	50%
Alumni Officer (no fundraising in job description)		100%
Magazine/Communications Officer		100%
PA/Secretary for Alumni Office		100%
Alumni Reunions/Event Officer		100%

**Validation:** If the institution has any FTE staff in fundraising (E-1), fundraising staff costs (F-1\_1) cannot be 0

### **E-2: How many FTE staff worked mainly on ALUMNI RELATIONS at your institution in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

This question seeks to find out the size of the Alumni Relations function(s) at your institution.

Staff should be allocated to either fundraising or alumni relations depending on which area comprises the majority of their role. Those with equally split roles should be attributed 50:50 between the two categories (for examples see the table below).

Temporary staff, such as student telethon callers, envelope stuffers, or temporary staff who work at fundraising/alumni events, should not be included in these numbers. See [table under E-1](#).

Validation: If the institution has any FTE staff in alumni relations (E-2), alumni relations staff costs (F-2\_1) cannot be 0

## Section F: Fundraising and Alumni Relations Expenditure

There are six questions in this section. Five questions in this section are **REQUIRED\***.

### **F-1: What was your institution's expenditure on FUNDRAISING in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

The measurement of fundraising expenditure should, for comparison purposes, only include the staff and non-staff costs involved in **fundraising** (development) activities.

Fundraising Staff Costs	
Fundraising Non-Staff Costs	
Total	

NOTE: The total field will automatically populate; please do not enter any data for total.

For the purposes of this question, expenditure therefore includes only the staff and non-staff fundraising costs which could be said to represent the institution's fundraising function and which are generally the responsibility of the Development Director, or the equivalent appointment.

For the purposes of this question, expenditure excludes the indirect costs associated with philanthropic support for the institution e.g., the time of any academic staff and administrative staff not identified in table below and the costs associated with the recruitment of students or the promotion of the research activities of your institution.

An appropriate proportion of the costs of staff with a joint focus on fundraising and alumni relations should be attributed to fundraising expenditure (see table below).

Include National Insurance and Pension costs in all calculations for staffing costs.

Some universities employ students to make fundraising calls at certain times of year on a temporary employment basis. These costs may be attributed to salary or non-salary costs according to institutions' preference and ease of calculation.

Non-staff costs relating to fundraising should be included under fundraising expenditure, including 50 per cent of the operational costs relating to the database (licences, etc.). See [table under E-1](#).

#### Validations:

- Total fundraising costs (F-1\_Total) must be less than total institutional expenditure (B-2)
- If the institution has any FTE staff in fundraising (E-1), fundraising staff costs (F-1\_1) cannot be 0

### **F-2: What was your institution's expenditure on ALUMNI RELATIONS excluding the alumni magazine in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

The measurement of alumni relations expenditure should, for comparison purposes, only include the staff and non-staff direct costs involved in **alumni relations** activities.

Alumni Relations Staff Costs	
Alumni Relations Non-Staff Costs	
Total	

NOTE: The total field will automatically populate; please do not enter any data for total.

For the purposes of this question, expenditure therefore includes only the staff and non-**staff alumni relations** costs which could be said to constitute the institution’s alumni relations function and which are generally the responsibility of the Development Director, or the equivalent appointment.

The costs associated with producing and distributing an alumni magazine should not be included here as they are the subject of subsequent questions.

For the purposes of this question, expenditure excludes the indirect costs associated with alumni relations e.g., any academic staff and administrative staff not identified in table below and the costs associated with the recruitment of students or the promotion of the research activities of your institution.

An appropriate proportion of the costs of staff with a joint focus on fundraising and alumni relations should be attributed to alumni relations expenditure (see the table below).

Include National Insurance and Pension costs in all calculations for staffing costs.

Non-staff costs relating to alumni relations should be included under alumni relations expenditure, including 50 per cent of the operational costs relating to the database (licenses, etc.). See [table under E-1](#).

Validations:

- Total alumni relations costs (F-2\_Total) must be less than total institutional expenditure (B-2)
- If the institution has any FTE staff in alumni relations (E-2), alumni relations staff costs (F-2\_1) cannot be 0

An alumni magazine is any regularly printed magazine that is sent to the majority of your alumni. Donor newsletters, e-newsletters and departmental newsletters should not be included.

**F-3: Did your institution publish an alumni magazine in the survey year? REQUIRED\***

This is a Yes/No/Not applicable question and response is limited to options provided.

An alumni magazine is any regularly printed magazine that is sent to the majority of your alumni. Donor newsletters, e-newsletters and departmental newsletters should not be included.

**F-4: What were the non-staff production and distribution costs of your ALUMNI MAGAZINE in the survey year? REQUIRED\***

Limited to number with up to two decimal digits; Provide a response to F-4 if response to F-3 is 'Yes'.

If your institution did not produce a magazine in the survey year you will not be asked this question. The total non-staff cost of design, print and fulfilment of your magazine(s) should be reported.

If your institution produced two magazines a year at a cost of £50,000 per magazine you should report a total cost of £100,000.

Validation: Total non-staff production and distribution costs of alumni magazine (F-4) must be less than total institutional expenditure (B-2)

**F-5: How many editions of your magazine were produced and distributed in the course of the survey year? REQUIRED\***

Limited to number with no decimal digits; Provide a response to F-5 if response to F-3 is 'Yes'.

If your institution did not produce a magazine in the survey year you will not be asked this question.

## Section G: Cash Income Received (Total and by Source)

There are 10 questions in this section. Five questions in this section are **REQUIRED\***.

This section asks about cash income received, as a result of philanthropic giving, by your institution.

Cash income received refers only to cash received in the survey year financial year. The aim of this question is to record the value of all cash received, in the year, by the institution as a result of philanthropic giving, regardless of when the fundraising activity relating to the cash gift took place, i.e., even if the gift was pledged in a previous year.

Total cash income received includes:

- Cash received in the year resulting from new pledges and including new single cash gifts;
- Cash received in the year resulting from pledges made in previous years;
- Any actual or future Gift Aid income received or due in future as a result of cash received in year;
- The documented value of gifts of shares, appreciated securities, bonds and other financial instruments provided by the receiving institution's broker on the day that they were received (i.e., the value at the point of gift) and whether from living donors or from a legacy).
- Cash received from legacy gifts.
- Importantly, if a legacy gift involves a gift-in-kind of a physical asset, which the institution could sell (e.g., real estate, artwork or books, etc.), this cannot be counted as 'cash income received'. Instead, the value of the asset should be recorded under gifts-in-kind under new funds secured in the year in which the asset was received by the institution, irrespective of whether it chooses to sell it at a later date.

It does NOT include:

- Cash received from any sale of financial instruments (shares etc.) donated in previous years;
- Income received from any retained donated financial instruments (shares etc.) or real estate;
- Gifts-in-kind (regardless of whether realised for cash);
- Income generated from endowments.

In order for cash income received to be counted, the source of the gift must be eligible, and the nature of the gift must meet the survey's definition of philanthropic intent ([Section A: What to Count in the Survey](#)).

Worked examples of these questions are also shown in [Appendix X](#).

Please refer to [Section B](#) of the guidance in relation to the treatment of joint gifts and gifts to affiliate organisations such as 501(c)(3) organisations in the USA.

**G-1: What was the TOTAL cash income received by your institution in the survey year? REQUIRED\***

This is a key question and if you do not answer this question you will not be asked most questions that follow in this section.

Validations:

- Total cash income from individuals (G-2) and total cash income from organisations (G-8) must sum up to the total cash income for institutions (G-1)
- Cash income from legacies (I-1) must be less than total cash income received (G-1)
- Largest cash gift (J-1) must be less than or equal to total cash income received (G-1)
- Second largest cash gift (J-4) must be less than total cash income received (G-1)
- Third largest cash gift (J-7) must be less than total cash income received (G-1)
- Sum of largest cash gift (J-1), second largest cash gift (J-4) and third largest cash gift (J-7) must be less than or equal to total cash income received (G-1)
- Cash income received to be invested as an endowment (L-1) must be less than or equal to cash income received (G-1)
- Sum of cash income to be invested as an endowment (L-1) and cash income restricted for non-endowment (L-5) must be less than or equal to total cash income received (G-1)

**G-2: Out of the cash income received, what was the total cash income received by your institution from INDIVIDUALS in the survey year? REQUIRED\***

Individuals include undergraduate alumni; postgraduate alumni; other alums (Hon, Erasmus, non-graduating etc.); staff; former staff; governors, trustees, parents, current students, grateful patients (including pet/animal owners); and all other individuals.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received from these donors should be treated as coming from individuals.

#### Validation:

- Total cash income from individuals (G-2) and total cash income from organisations (G-8) must sum up to the total cash income for institutions (G-1)
- Total cash income from alumni (G-3) and total cash income from all categories of non-alumni individuals (G-6\_Total) must sum up to total cash income from individuals (G-2)
- Total cash income from all categories of alumni (G-4\_Total) and total cash income from all categories of non-alumni individuals (G-6\_Total) must sum up to total cash income from individuals (G-2)
- Total cash income from triggers (K-1\_Total) must be equal to cash income from individuals (G-2)

#### **G-3: Of the total cash income received by individuals, how much was received from ALUMNI in the survey year? REQUIRED\***

‘Alumni’ are former students of the institution.

The following four definitions are examples of who can be counted as ‘alumni’. None is right or wrong – and some institutions evolve and change from one definition to another over time. However, these four definitions are the most typical, and are recommended as best practice either as standalone or in combination.

- All former students who received an award (e.g., degrees, certificates, diplomas) from the institution;
- All former students who ever studied at the institution, however briefly;
- Honorary graduates;
- Current students who have already received one degree from the institution and are now returning to take a further degree (though each individual should only be counted once, however many degrees they have from your institution).

You should use the same definition, whichever you pick, throughout the survey.

#### Validations:

- Total cash income from alumni (G-3) and total cash income from all categories of non-alumni individuals (G-6\_Total) must sum up to total cash income from individuals (G-2)
- Total cash income from alumni (G-3) must be equal to total cash income from all categories of alumni (G-4\_Total)

#### **G-4: Of the total cash income received from alumni, what was the cash income received from the following TYPE OF ALUMNI DONORS in the survey year?**

If any individual has been awarded multiple qualifications, then they should be counted only in the first relevant category.

Each individual should be accounted for ONCE.

For example, if an individual received both a BA (undergraduate award) and a PGCE (other qualification/award) then they should be counted in the ‘undergraduate alumni’ category only, and not in the ‘other qualification/award alumni’ category.

Examples of which degree level comprises the alumni categories are detailed below:

Alumni types	
Category	Examples Include
Undergraduate alumni	BA, BSc, MEng, MBChB
Masters/PhD alumni	PhD, MSc, MBA
Other qualification/award alumni	PGCE, Diplomas, Certificates, Professional Qualifications
Other alumni	Honorary Graduates, Erasmus, Visiting Students, Non-graduating alumni

NOTE: The total field will automatically populate; please do not enter any data for total.

#### Validations:

- Total cash income received from the different types of alumni should be equal to the total cash income received from alumni
- Total cash income from all categories of alumni (G-4\_Total) and total cash income from all categories of non-alumni individuals (G-6\_Total) must sum up to total cash income from individuals (G-2)
- Total cash income from alumni (G-3) must be equal to total cash income from all categories of alumni (G-4\_Total)

#### **G-5: Please describe the types of ‘other’ alumni from whom you received a gift.**

A text field; Provide a response to G-5 if response to ‘other alumni’ in G-4 was greater than 0.

Other alumni may include Honorary Graduates, Non-graduating alumni, etc.

#### **G-6: How much of the remaining cash income received from individuals was received from NON-ALUMNI individuals falling into the following categories in the survey year?**

If any individual non-alumni donor falls into multiple categories listed below, then they should be counted only in the first relevant category.

Each individual should be accounted for ONCE.

For example, if an individual donor is both a member of staff and a parent then they should be counted in the ‘staff’ category only, and not in the ‘parent’ category.

Examples of individual categories are detailed below:

Non-alumni types	
Category	Examples Include
Staff	Full time, Part time and Former Staff
Parents	Parents of current students and of alumni
Grateful patients	Grateful patients, Pet/Animal owners
All other individuals	Members of the community, current students

NOTE: The total field will automatically populate; please do not enter any data for total.



### Validations:

- Total cash income from alumni (G-3) and total cash income from all categories of non-alumni individuals (G-6\_Total) must sum up to total cash income from individuals (G-2)
- Total cash income from all categories of alumni (G-4\_Total) and total cash income from all categories of non-alumni individuals (G-6\_Total) must sum up to total cash income from individuals (G-2)

### **G-7: Please describe the 'other' non-alumni individuals from whom you received a gift.**

A text field; Provide a response to G-7 if response to 'other individuals' in G-6 was greater than 0.

Other individuals may include members of the community, current students, etc.

### **G-8: How much cash income was received from ORGANISATIONS in the survey year? REQUIRED\***

Organisations include companies, charitable trusts and foundations, independent charities associated with NHS Trusts (but not direct from NHS Trusts), overseas governments or their agencies and foundations, National lottery and similar sources (e.g., Heritage Lottery Fund, Sport England etc). Organisations which are specifically excluded from this survey are:

- All funding from HM Government and its agencies, including HEFCE and the research councils;
- Funding from NHS Trusts;
- All funding from the EU or its agencies;
- All funding from the government (and its agencies) of the country where your institution's primary base of operations is located. Note, government funds received as part of a matched- funding scheme are also not philanthropic. For UK and Ireland, please refer to the links below:
  - UK - <https://www.gov.uk/government/organisations>
  - Ireland - <https://www.gov.ie/en/help/departments/><sup>8</sup>
- Royalties and other funds generated by the exploitation of the University's intellectual property rights;
- Internal transfers within the institution.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received from these donors should be treated as coming from individuals.

For further information about how to accurately report on organisations see [Section A: What to Count in the Survey](#).

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<sup>8</sup> Updated – August 2021.

### Validations:

- Total cash income from individuals (G-2) and total cash income from organisations (G-8) must sum up to the total cash income for institutions (G-1)
- Total cash income from organisations (G-8) must be equal to total cash income from all categories of organisations (G-9\_Total)

**G-9: Of the money received from organisations, what was the cash income received from the following TYPE OF ORGANISATIONS in the survey year? REQUIRED\***

Trust/Foundations	
Companies	
Lottery	
Other	
Total	

NOTE: The total field will automatically populate; please do not enter any data for total.

Validation: Total cash income from organisations (G-8) must be equal to total cash income from all categories of organisations (G-9\_Total)

**G-10: Please describe the ‘other’ organisations from which cash income was received.**

A text field; Provide a response to G-10 if response to ‘other’ in G-9 was greater than 0.

Other organisations may include registered charities, community groups, etc.

## Section H: Cash Income Received (By Contribution Level)

There are fourteen questions in this section.

The following questions are still concerned with cash income received.

A donor’s total cash income received level is determined by the total amount received from the donor during the survey year. For example, if a donor gives a single gift of £50,000 and also pays 12 monthly payments of £100 against a pledge made in previous years, their total cash income would be £51,200. In addition, if Gift Aid is claimed against these donations the total cash income received would be £64,000 (regardless of when the Gift Aid cash is received).

Cash income received refers only to cash received in the survey year. The aim is to record the value of all cash received in the year, regardless of when the fundraising activity relating to the gift took place, i.e., even if the gift was pledged in previous years.

For the purposes of these questions, please include:

- Cash received in the year resulting from new pledges and new single cash gifts;
- Cash received in the year resulting from pledges made in previous years;
- Any actual or future Gift Aid income received or due in future as a result of cash received in the year;

- The documented value of gifts of shares, appreciated securities, bonds and other financial instruments provided by the receiving institution’s broker on the day that they were received and whether from living donors or from a legacy; and
- Cash received from legacy gifts.

Please exclude:

- Cash received from any sale of financial instruments donated in previous years;
- Income received from any retained donated financial instruments or real estate;
- Income generated from endowments; and
- Gifts-in-kind (regardless of whether realised for cash). Importantly, if a legacy gift involves a gift-in-kind of a physical asset, which the institution could sell this cannot be counted as cash income received. The value of these gifts-in-kind should be recorded under new funds secured in [Section A.7](#).<sup>9</sup>

**H-1: How many donors gave your institution total cash contributions that fall into one of the following categories?**

Response is limited to number with no decimal digits.

£1-£999	
£1,000-£9,999	
£10,000-£99,999	
£100,000-£999,999	
£1,000,000+	
Total	

NOTE: The total field will automatically populate; please do not enter any data for total.

Please count both individual and organisation donors.

To identify a donor’s total cash contribution level the total amount received from a donor during the survey year should be used. For example, if a donor gives a single gift of £50,000 and pays 12 monthly payments of £100 against a pledge made in previous years, his/her total cash contribution would be £51,200. If we could claim gift aid on these donations the total cash contribution would become £64,000. Therefore, this donor would be counted once under the £10,000 - £99,999 category.

Validations:

- Cash income contribution at each contribution level for donors (H-1) must be equal to the total of the same contribution category for individuals (H-2) and organisations (H-7)

**H-2: Of the donors that made cash contributions, how many INDIVIDUALS made a total cash contribution that falls into the following categories in the survey year?**

Response is limited to number with no decimal digits.

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<sup>9</sup> Guidance for counting cash income received by contribution level updated, August 2016.

£1-£999	
£1,000-£9,999	
£10,000-£99,999	
£100,000-£999,999	
£1,000,000+	
Total	

NOTE: The total field will automatically populate; please do not enter any data for total.

Please include undergraduate alumni; postgraduate alumni; other alumni (Hon, Erasmus, non-graduating etc); staff; former staff; governors, trustees, parents, current students, grateful patients (including pet/animal owners); and all other individuals.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received from these donors should be treated as coming from individuals.

To identify a donor's total cash contribution level the total amount received from a donor during the survey year should be used. For example, if a donor gives a single gift of £50,000 and also pays 12 monthly payments of £100 against a pledge made in previous years, his/her total cash contribution would be £51,200. If we could claim gift aid on these donations the total cash contribution would become £64,000. Therefore, this donor would be counted once under the £10,000 - £99,999 category.

#### Validations:

- Cash income contribution at each contribution level for donors (H-1) must be equal to the total of the same contribution category for individuals (H-2) and organisations (H-7)
- Cash income contribution levels of individuals at each contribution level (H-2): must be greater than or equal to the total of the same contribution category for alumni (H-3 and H-3a)

#### **H-3: How many ALUMNI donors made total cash contributions falling into the following categories in the survey year?**

Response is limited to number with no decimal digits.

If any individual has been awarded multiple qualifications, then they should be counted only in the first relevant category.

Each individual should be accounted for ONCE.

For example, if an individual received both a BA (undergraduate award) and a PGCE (other qualification/award) then they should be counted in the 'undergraduate alumni' category only, and not in the 'other qualification/award alumni' category.

Examples of which degree level comprises the alumni categories are detailed below:

	£1-£999	£1,000-£9,999	£10,000-£99,999	£100,000-£999,999	£1,000,000+	Total
Undergraduate						
Masters/PhD						
Other Award						
Other Alumni						
Total						

NOTE: The total fields will automatically populate; please do not enter any data for totals.

To identify a donor's total cash contribution level the total amount received from a donor during the survey year should be used. For example, if a donor gives a single gift of £50,000 and also pays 12 monthly payments of £100 against a pledge made in previous years, his/her total cash contribution would be £51,200. If we could claim gift aid on these donations the total cash contribution would become £64,000. Therefore, this donor would be counted once under the £10,000 - £99,999 category.

Validations:

- Cash income contribution levels of individuals at each contribution level (H-2): must be greater than or equal to the total of the same contribution category for alumni (H-3 and H-3a)

**H-3a: How many ALUMNI donors made total cash contributions falling into the following categories in the survey year?**

*If you completed question H-3, please verify that the totals you enter in H-3a are equal to the automatic column totals from H-3 or try and complete at least H-3a.*

Response is limited to number with no decimal digits.

	£1-£999	£1,000-£9,999	£10,000-£99,999	£100,000-£999,999	£1,000,000+	Total
Total alumni donors						

NOTE: The total field in grey will automatically populate.

Validations:

- Cash income contribution levels of individuals at each contribution level (H-2): must be greater than or equal to the total of the same contribution category for alumni (H-3 and H-3a)
- Values in this table should match with column totals of H-3.

**H-3b: How many ALUMNI donors made total cash contributions falling into the following categories in the survey year?**

*If you completed question H-3, please verify that the totals you enter in H-3b are equal to the sum of the row totals of H-3 or try and complete at least H-3b.*

Response is limited to number with no decimal digits.

Undergraduate	
Masters/PhD	
Other Award	
Other Alumni	
Total	

NOTE: The total field in grey will automatically populate.

Validations:

- Values in this table should match with row totals of H-3

**H-4: Which ‘other’ alumni made a cash gift?**

A text field; Provide a response to H-4 if response to ‘other alumni’ in H-3b was greater than 0.

Please describe the types of ‘other’ alumni from whom you received a gift. Please specify for example if they were Honorary Graduates or Erasmus etc.

**H-5: This question has been deleted from the survey for this year (i.e., survey year 2020-2021) based on the feedback received from the Ross-CASE Test Bed Questionnaire’ survey that was run alongside the 2018-19 CASE-Ross Survey.**

(Earlier H-5 was: How many NON-ALUMNI individuals made total cash contributions falling into the following categories in the survey year?)

	£1-£999	£1,000-£9,999	£10,000-£99,999	£100,000-£999,999	£1,000,000+	Total
Staff & Former Staff						
Parents						
Grateful Patients/Pets						
Other Individuals						
Total						

**H-6: This question has been deleted from the survey for this year (i.e., survey year 2020-2021) based on the feedback received from the Ross-CASE Test Bed Questionnaire’ survey that was run alongside the 2018-19 CASE-Ross Survey.**

(Earlier H-6 was: Which ‘other individuals’ made a cash contribution?)

**H-7: Of the donors that made gifts, how many ORGANISATIONS made total cash contributions in the following categories?**

Response is limited to number with no decimal digits.

£1-£999	
£1,000-£9,999	
£10,000-£99,999	
£100,000-£999,999	
£1,000,000+	
Total	

Organisations include companies, charitable trusts and foundations, independent charities associated with NHS Trusts (but not direct from NHS Trusts), overseas governments or their agencies and foundations, National lottery and similar sources (e.g., Heritage Lottery Fund, Sport England etc).

Organisations which are specifically excluded from this survey are:

- All funding from HM Government and its agencies, including HEFCE and the research councils;
- Funding from NHS Trusts;
- All funding from the EU or its agencies;
- All funding from the government (and its agencies) of the country where your institution's primary base of operations is located. Note, government funds received as part of a matched- funding scheme are also not philanthropic. For UK and Ireland, please refer to the links below:
  - UK - <https://www.gov.uk/government/organisations>
  - Ireland - <https://www.gov.ie/en/help/departments/><sup>10</sup>
- Royalties and other funds generated by the exploitation of the University's intellectual property rights;
- Internal transfers within the institution.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received from these donors should be treated as coming from individuals.

For further information about how to accurately report on organisations see [Section A: What to Count in the Survey](#).

If a company has given more than one gift during the year they should only be counted once. For example, if a company has given a gift of £50,000 and a second gift of £75,000 their total contribution is £125,000 and the company is counted once under the £100,000-£999,999 category.

Validations:

- Cash income contribution at each contribution level for donors (H-1) must be equal to the total of the same contribution category for individuals (H-2) and organisations (H-7)

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<sup>10</sup> Updated – August 2021.

- Values in this table should match with column totals of H-8.

**H-8: Of the total organisations that made a cash contribution in the survey year, how many ORGANISATIONS made cash contributions in the following categories?**

Response is limited to number with no decimal digits.

	£1-£999	£1,000-£9,999	£10,000-£99,999	£100,000-£999,999	£1,000,000+	Total
Trusts/ Foundations						
Companies						
Lottery						
Other						
Total						

NOTE: The total fields will automatically populate; please do not enter any data for totals.

If a company has given more than one gift during the year they should only be counted once. For example, if a company has given a gift of £50,000 and a second gift of £75,000 their total contribution is £125,000 and the company is counted once under the £100,000-£999,999 category.

Validation: Total number of organisational cash contributors for each of the different organisation types in each income bracket cannot be more than the total number of organisational cash contributors for the corresponding income bracket.

**H-8a: Of the total organisations that made a cash contribution in the survey year, how many ORGANISATIONS made cash contributions in the following categories in the survey year?**

*If you completed question H-8, please verify that the totals you enter in H-8a are equal to the automatic row totals from H-8 or try and complete at least H-8a.*

Response is limited to number with no decimal digits.

	Total
Trusts/ Foundations	
Companies	
Lottery	
Other	
Total	

NOTE: The total field in grey will automatically populate.

Validations:

- Values in this table should match with row totals of H-8.



### H-9: Which other organisations made cash contributions?

A text field; Provide a response to H-9 if response to 'other' in H-8a was greater than 0.

Other organisations may include registered charities, community groups, etc.

## Section I: Cash Income Received from Legacies

There are three questions in this section. Two questions in this section are **REQUIRED\***.

### I-1: What was the total cash income received from LEGACIES in the survey year? **REQUIRED\***

Response is limited to number with up to two decimal digits.

These questions should only include cash income received by the institution in this year from the estates of deceased individuals. Pledges from living donors should not be included as they could be revoked. Money still passing through probate should also not be included.

Importantly, if a legacy gift involves a physical asset which the institution could sell (real estate, artwork or books, etc.), this cannot be counted as 'cash income received'. Instead, the value of the asset should be recorded under gifts-in-kind under 'new funds secured' in the year in which the asset was received by the institution. If the legacy includes financial instruments (shares etc.) then these should be included in the answer to this question and should be valued on the day that they are received, not at the value that is eventually realised when sold.

Validation: Cash income from legacies (I-1) must be less than total cash income received (G-1)

### I-2: How many legacies were the source of cash contributions in the survey year? **REQUIRED\***

Response is limited to number with no decimal digits.

This is the number of individual legacies that were the source of legacy cash income received in the year (i.e., the number of legacies that makeup the cash figure from I-1). You may have received several payments from a single legacy as the estate is settled; these should only be counted once.

For example, a legacy that settles in three contributions (£10,000, £20,000, £30,000), should be counted as a single legacy.

### I-3: Of the legacies received in the survey year, how many total cash contributions from legacies fell into the following categories?

Response is limited to number with no decimal digits.

£1-£999	
£1,000-£9,999	
£10,000-£99,999	
£100,000-£999,999	
£1,000,000+	
Total	

NOTE: The total field will automatically populate; please do not enter any data for total.

This the value of individual legacies that were the source of legacy cash received in the year. If you have received several payments from a single legacy as the estate is settled, these should be totalled to find the value of the legacy gift and put into the appropriate category.

For example, a legacy that settles in three contributions (£10,000, £20,000, £30,000) – all received in the course of the survey year - should be counted as a single legacy of value £60,000 and be put in the contribution category of £10,000-£99,999.

## Section J: Largest Cash Gift

There are nine questions in this section. Six questions in this section are **REQUIRED\***.

### **J-1: What was the value of the LARGEST cash gift your institution received in the survey year? REQUIRED\*.**

Response is limited to number with up to two decimal digits.

‘Legacy cash income received’ is a permissible source for this question. It must, however, be realised cash rather than an estimated value for a gift-in-kind (such as property) received as part of a legacy.

It is possible for your largest cash gift received to be a single payment against a pledge made in previous years. For example, if someone has pledged £1M and makes a £250,000 payment towards that pledge, and no single gifts are received that are larger than that in the year then your largest cash gift is £250,000. You can only count the money that has been received.

A few large gifts often make up a large percentage of total cash received. Therefore, answers to this question should reflect how the donor feels about his/her gift(s) over the full year. For instance, if one donor is supporting two entirely separate projects then these should be treated as two separate gifts. But if one donor is making multiple payments across the year in support of a single project, then these payments should be reported summed up as a single gift.<sup>11</sup>

Gifts-in-kind, even if they have been sold for cash, are excluded from this section.

#### Validations:

- Sum of largest cash gift (J-1), second largest cash gift (J-4) and third largest cash gift (J-7) must be less than or equal to total cash income received (G-1)
- Sum of largest cash gift (J-1), second largest cash gift (J-4) and third largest cash gift (J-7) must be less than or equal to total cash income received (G-1)

### **J-2: And what was the source of the largest cash gift? REQUIRED\*.**

Response is limited to options provided as listed below:

- Alumnus in Lifetime
- Alumnus legacy
- Other individual in lifetime
- Other individual legacy
- Trusts/Foundations

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<sup>11</sup> Guidance for counting largest cash gifts updated, September 2015.

- Companies
- Lottery
- Other organisation

**J-3: What was the 'other' source of the largest cash gift?**

A text field; Provide a response to J-3 if response to J-2 is 'Other organisation'.

**J-4: What was the value of the SECOND LARGEST cash gift your institution received in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

See guidance for question [J-1](#).

Validations:

- Sum of largest cash gift (J-1), second largest cash gift (J-4) and third largest cash gift (J-7) must be less than or equal to total cash income received (G-1)
- Second largest cash gift (J-4) must be less than total cash income received (G-1)
- Second largest cash gift (J-4) must be less than or equal to than largest cash gift (J-1)

**J-5: What was the source of the second largest cash gift? REQUIRED\***

Response is limited to options provided; same answer categories as [J-2](#).

**J-6: What was the 'other' source of the second largest cash gift?**

A text field; Provide a response to J-6 if response to J-5 is 'Other organisation'.

**J-7: What was the value of the THIRD LARGEST cash gift your institution received in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

See guidance for question [J-1](#).

Validations:

- Sum of largest cash gift (J-1), second largest cash gift (J-4) and third largest cash gift (J-7) must be less than or equal to total cash income received (G-1)
- Third largest cash gift (J-7) must be less than total cash income received (G-1)
- Third largest cash gift (J-7) must be less than or equal to second largest cash gift (J-4)

**J-8: What was the source of the third largest cash gift? REQUIRED\***

Response is limited to options provided; same answer categories as [J-2](#).

**J-9: What was the 'other' source of the third largest cash gift?**

A text field; Provide a response to J-9 if response to J-8 is 'Other organisation'.

## Section K: Fundraising Triggers

There are four questions in this section. One question in this section is **REQUIRED\***.

These questions continue to focus on cash income received in the survey year financial year.

The questions are about the ways your institution generated, from **individuals**, cash income received in the survey year. It is important that only gifts from **individuals** are included in this section.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received from these donors should be treated as coming from individuals.

Cash income received from sponsored activities such as marathons and hill walks should be treated as income from an individual: **the collecting donor**. Respondents should record income under the **'Other' trigger type** in Q75 and Q77 and use the free-text field at Q76/Q78 to identify it as income from these sources as in the example below:

Other: £20,000

Other, text: £10,000 from sponsored activity (£5,000 Just Giving; £5,000 Virgin Money; £10,000 crowdfunding;

For further information, please see Section [B.2.7](#)<sup>12</sup>.

**K-1: What was the value of cash income received from INDIVIDUALS from the following TRIGGERS in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

Mass solicitation (e.g., Telethon/Direct Mail/E-Ask – including texts and 'piggy back' asks)	
Face to face or Tailored proposal	
Unsolicited	
Unknown	
Legacy	
Other	
Total	

Gift Triggers are the interaction or event that caused an individual to decide to donate. The event that triggered the gift may have taken place in previous years. For example, a face-to-face ask in 2019-2020 may result in a gift in 2020-2021. Where possible the relevant gift trigger should be used. If you do not know the trigger, then use the 'Unknown' option.

**Trigger definitions:**

**Piggy back:** When a mailing was sent with a primary purpose which was not to ask, but which may have included either a donation form or a note of a donation website. Typical examples of 'piggy

<sup>12</sup> New guidance on sponsored activities and online fundraising, September 2015.

back' asks include a donation form sent along with the alumni magazine, a telethon pre-call letter without an explicit ask in it, or an event booking form which includes a line for adding a donation to a booking fee, or a mailing to encourage legacy pledges which also includes a lifetime gift donation form.

**'Face to face' or 'tailored proposal':** For any gift where there has been a direct ask by an employee of the University and/or a volunteer, to fund a particular project/proposal.

**'Unsolicited trigger':** For gifts received from individuals where there has not been a specific/identifiable ask made by the institution. The donor has sought out the institution on his/her own and decided to support the institution him/herself.

**'Unknown':** Where the Development Office is unable to identify a trigger and should be used to record gifts received direct to departments/academics where the trigger is unknown. Many of these gifts may have been solicited by the academics/staff but if the Development office is unaware of this the Unknown trigger should be used. If you are unsure of the trigger use the 'Unknown' option.

**'Legacy':** Should be used to record cash income received from legacies. Although each legacy donation may have an identifiable 'trigger' we do not seek to clarify those triggers here. Our sole aim in including legacy giving here is to ensure that the total matches the total of cash income received from individuals in the year.

NOTE: The total field will automatically populate; please do not enter any data for total.

Validations:

- Total cash income from triggers (K-1\_Total) must be equal to cash income from individuals (G-2)
- Cash income from mass solicitation (K-3\_Total) must be equal to cash income from mass solicitation (K-1-1)

**K-2: If you have added income to the 'Other' trigger types please describe what these 'other' triggers are?**

A text field; Provide a response to K-2 if response to 'other' in K-1 was greater than 0.

**K-3: Of the cash income received in the survey year as a result of MASS SOLICITATION, how much was triggered by the following approaches?**

Response is limited to number with up to two decimal digits.

The event that triggered the cash income received could have occurred either this year, and/or in previous years.

**Telethon:** Trigger was a phone call made as part of a phone telethon or calling campaign.

**Direct Mail:** Trigger was a postal direct mail ask (which could include a telethon pre call letter if it included a specific ask).

**E-Ask:** Trigger was an electronic ask such as an email or ask made via a social media site.

**Text:** Trigger was an ask made via text message/SMS.

**Piggy Back:** Trigger was another mailing with a primary purpose which was not to ask, but which may have included either a donation form or a note of a donation website. Typical examples of 'piggy back' asks include a donation form sent along with the alumni magazine, a telethon pre-call letter without an explicit ask in it, or an event booking form which includes a line for adding a donation to a booking fee, or a mailing to encourage legacy pledges which also includes a lifetime gift donation form.

NOTE: The total field will automatically populate; please do not enter any data for total.

Validation: Cash income from mass solicitation (K-3\_Total) must be equal to cash income from mass solicitation (K-1-1)

**K-4: If you have added income to the 'Other' trigger types please describe what these 'other' triggers are?**

A text field; Provide a response to K-4 if response to 'other' in K-3 was greater than 0.

## Section L: Donor Intentions

There are five questions to be filled in this section; all five questions are **REQUIRED\***.

These questions continue to focus on cash income received in the survey year financial year. They ask about the donors' intentions for the gifts your institution received in the survey year.

**L-1: What was the total cash income received in the survey year that was instructed to be invested as an endowment? REQUIRED\***

Response is limited to number with up to two decimal digits.

For the purposes of this question, an 'Endowment' is any donation where the donor's intention is that the original gift amount is invested by the institution and used to generate annual income that is used as specified by the donor. In most cases the endowment capital (original donation) is never spent but continues to generate income year on year.

For example, a donor gives £1,000,000 to be endowed for student scholarships. The institution invests this money and on an annual basis the income/interest is collected and used to provide a number of scholarships each year. The original £1,000,000 is not used for the scholarships.

Sometimes a donor will intend that the capital sum not be spent, but the terms of the endowment provide that in certain tightly defined circumstances (for example if the meaningful value of the scholarship can no longer be met from the interest on the endowment) the element of capital growth or a proportion of the capital itself can be expended. Although such gifts may be classified as 'expendable endowments' by the finance office, they should be treated as endowments for the purposes of this question.

If a donor gives a sum to be spent over a number of years (e.g., £1,000,000 to be spent over five years), such a gift may well be classified as an expendable endowment by the finance office but should NOT be counted as an endowment for the purposes of this question.

Validations:

- Cash income received to be invested as an endowment (L-1) must be less than or equal to cash income received (G-1)
- Sum of cash income to be invested as an endowment (L-1) and cash income restricted for non-endowment (L-5) must be less than or equal to total cash income received (G-1)
- Cash income to be invested as restricted endowment (L-3) must be less than or equal to cash income received to be invested as endowment (L-1)

**L-2: Donors sometimes restrict what their donations can be spent on. Was any of the cash income that was instructed to be invested as an endowment restricted in any way? REQUIRED\***

This is a Yes/No/Not applicable question and response is limited to options provided.

For the purpose of this survey, a donation is restricted if the donor has made any requirements as to how the money is spent (for example, 'to be used for Scholarships' or 'For student projects' or 'For the Department of X').

For the purpose of this survey, a donation is unrestricted if the Institution is allowed to spend the money **entirely** at their discretion (for example 'where need is greatest' or the gift is to the University of X).

**L-3: of the cash income received in the survey year that was instructed to be invested as an endowment, how much was restricted? REQUIRED\***

Response is limited to number with up to two decimal digits; Provide a response to L-3 if response to L-2 is 'Yes'.

A donation is restricted if the donor has made any requirements as to how the money is spent (for example 'to be used for Scholarships' or 'For student projects' or 'For the Department of X').

A donation is unrestricted if the institution is allowed to spend the money entirely at their discretion (for example 'where need is greatest' or the gift is simply 'to the University of X').

Validation: Cash income to be invested as restricted endowment (L-3) must be less than or equal to cash income received to be invested as endowment (L-1)

**L-4: Donors sometimes restrict what their donations can be spent on. Was any of the non-endowment income that your institution received in the survey year restricted? REQUIRED\***

This is a Yes/No/Not applicable question and response is limited to options provided.

A donation is restricted if the donor has made any requirements as to how the money is spent (for example 'to be used for Scholarships' or 'For student projects' or 'For the Department of X').

A donation is unrestricted if the Institution is allowed to spend the money entirely at their discretion (for example 'where need is greatest' or the gift is simply 'to the University of X').

**L-5: What was the value of total non-endowment cash income that was restricted in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits; Provide a response to L-5 if response to L-4 is 'Yes'.

A donation is restricted if the donor has made any requirements as to how the money is spent (for example 'to be used for Scholarships' or 'For student projects' or 'For the Department of X').

A donation is unrestricted if the Institution is allowed to spend the money entirely at their discretion (for example 'where need is greatest' or the gift is simply 'to the University of X').

Validation: Sum of cash income to be invested as an endowment (L-1) and cash income restricted for non-endowment (L-5) must be less than or equal to total cash income received (G-1)

## Section M: Potential Donors (Total and Individual)

There are seven questions in this section. Three questions in this section are **REQUIRED\***.

This section asks about the number of potential donors your institution solicited and those donors from whom your institution received gifts from in the survey year.

**M-1: How many POTENTIAL DONORS did your institution solicit for gifts and pledges in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

This is the number of individuals and organisations to which you made a targeted ask. This could include telethons, direct mail, email solicitations, face to face asks and tailored proposals.

It does not include indirect asks including 'piggy back' asks, which are defined as mailings with a primary purpose which was **not** to ask, but which may have included either a donation form or a note of a donation website. Typical examples of 'piggy back' asks include sending a donation form along with the alumni magazine, a telethon pre-call letter without an explicit ask in it, or an event booking form which includes a line for adding a donation to a booking fee, or a mailing to encourage legacy pledges which also includes a lifetime gift donation form.

Each potential donor (individual or organisation) should only be counted once in this section. For example, if someone is called in a telethon and also receives a direct mail ask, they should be counted once. If another person receives more than one direct mail ask, they should be counted just once.

Validation: Potential individual donors (M-2) and potential organisation donors (N-1) must be equal to total potential donors (M-1)

**M-2: Of the POTENTIAL DONORS solicited, how many were INDIVIDUALS in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

Individuals include undergraduate alumni; postgraduate alumni; other alums (Hon, Erasmus, non-graduating etc.); staff; former staff; governors, trustees, parents, current students, grateful patients (including pet/animal owners); and all other individuals.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.



Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this question. Please see [Section B](#) for more information.

Validations:

- Potential individual donors (M-2) and potential organisation donors (N-1) must be equal to total potential donors (M-1)
- Potential alumni donors (M-3) and potential non-alumni individual donors (M-6) must be equal to potential individual donors (M-2)

**M-3: Of the individual potential donors solicited, how many were ALUMNI in the survey year?**  
**REQUIRED\***

Response is limited to number with up to two decimal digits.

‘Alumni’ are former students of the institution.

The following four definitions are examples of who can be counted as ‘alumni’. None is right or wrong – and some institutions evolve and change from one definition to another over time. However, these four definitions are the most typical, and are recommended as best practice either as standalone or in combination.

- All former students who received an award (e.g., degrees, certificates, diplomas) from the institution;
- All former students who ever studied at the institution, however briefly;
- Honorary graduates;
- Current students who have already received one degree from the institution and are now returning to take a further degree (though each individual should only be counted once, however many degrees they have from your institution).

You should use the same definition, whichever you pick, throughout the survey.

Validations:

- Potential alumni donors (M-3) and potential non-alumni individual donors (M-6) must be equal to potential individual donors (M-2)
- Total potential alumni donors of all categories (M-4\_Total) must be equal to potential alumni donors (M-3)

**M-4: Of the potential alumni donors solicited, how many fell into the following categories in the survey year?**

Response is limited to number with up to two decimal digits.

If any individual has been awarded multiple qualifications, then they should be counted only in the first relevant category. Each individual should be accounted for ONCE. For example, if an individual received both a BA (undergraduate award) and a PGCE (other qualification/award) then they should be counted in the ‘undergraduate alumni’ category only, and not in the ‘other qualification/award alumni’ category.

Examples of which degree level comprises the alumni categories are detailed below:

Alumni types	
Category	Examples Include
Undergraduate alumni	BA, BSc, MEng, MBChB
Masters/PhD alumni	PhD, MSc, MBA
Other qualification/award alumni	PGCE, Diplomas, Certificates, Professional Qualifications
Other alumni	Honorary Graduates, Erasmus, Visiting Students, Non-graduating alumni

NOTE: The total field will automatically populate; please do not enter any data for total.

[Validation](#): Total potential alumni donors of all categories (M-4\_Total) must be equal to potential alumni donors (M-3)

**M-5: Please describe the types of ‘other’ alumni whom you approached?**

A text field; Provide a response to M-5 if response to ‘other alumni’ in M-4 was greater than 0.

Other alumni may include Honorary Graduates, Non-graduating alumni, etc.

**M-6: How many of the remaining individuals you approached were NON-ALUMNI falling into the following categories in the survey year?**

Response is limited to number with up to two decimal digits.

If any individual non-alumni donor falls into multiple categories listed below, then they should be counted only in the first relevant category.

Each individual should be accounted for ONCE.

For example, if an individual donor is both a member of staff and a parent then they should be counted in the ‘staff’ category only, and not in the ‘parent’ category.

Examples of individual categories are detailed below:

Non-alumni types	
Category	Examples Include
Staff	Full time, Part time and Former Staff
Parents	Parents of current students and of alumni
Grateful patients	Grateful patients, Pet/Animal owners
All other individuals	Members of the community, current students

NOTE: The total field will automatically populate; please do not enter any data for total.

[Validation](#): Potential alumni donors (M-3) and potential non-alumni individual donors (M-6) must be equal to potential individual donors (M-2)

**M-7: Please describe the ‘other’ non-alumni individuals whom you approached.**

A text field; Provide a response to M-7 if response to ‘other individuals’ in M-6 was greater than 0.

Other individuals may include members of the community, current students, etc.

## Section N: Potential Donors (Organisations)

There are three questions in this section. Two questions in this section are **REQUIRED\***.

**N-1: How many (number) of the remaining potential donors were ORGANISATIONS in the survey year? REQUIRED\***

Please include trusts/foundations; companies; lottery; and other sources.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual. Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received from these donors should be treated as coming from individuals.

An organisation should only be counted ONCE. For example, if a company was solicited face to face but also receives a direct mail ask, they should be counted once.

### Validations:

- Potential individual donors (M-2) and potential organisation donors (N-1) must be equal to total potential donors (M-1)
- Sum of potential organisation donors of all categories (N-2\_Total) must be equal to potential organisation donors (N-1)

**N-2: Of the potential organisation donors solicited, how many fell into the following categories in the survey year? REQUIRED\***

An organisation should only be counted once in this section. For example, if an organisation is a Trust and also a company it should be counted once in the 'Trusts/Foundations' category.

Please note that if any individual gives through another vehicle (i.e., his/her personal Trust/Foundation or his/her company), those donation(s) should be recorded as gifts from an individual and not be recorded at this question.

Trust/Foundations	
Companies	
Lottery	
Other	
Total	

NOTE: The total field will automatically populate; please do not enter any data for total.

Validation: Sum of potential organisation donors of all categories (N-2\_Total) must be equal to potential organisation donors (N-1)

**N-3: What 'other' type of potential organisation donors were there?**

A text field; Provide a response to N-3 if response to 'other' in N-2 was greater than 0.

Other organisations may include registered charities, community groups, etc.

## Section O: Donor Numbers (Total and individual)

There are seven questions in this section. Three questions in this section are **REQUIRED\***.

**O-1: What was the TOTAL number of donors from whom your institution received gifts in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

For the purposes of this question, please include:

- An individual or organisation making a new single cash gift in the year;
- An individual organisation making a cash payment against a pledge made in this or any previous year (including Standing Order or Direct Debit payments);
- An individual or organisation making a gift in kind in the year.
- An individual who has undertaken a sponsored activity such as a marathon and who has effectively collected funds from sponsors through an organisation such as Just Giving, or Virgin Money: the 'collecting donor' (but not the individual sponsors themselves – see below).<sup>13</sup>

Please exclude:

- Any individual or organisation who makes a new pledge in the year but does not actually make a cash gift in that year;
- Individuals making legacy pledges;
- Deceased individuals from whose estate legacy cash has been received.
- The individual sponsors of a 'collecting donor' individual undertaking a sponsored activity such as a marathon.<sup>14</sup>

Remember: If a single donor made more than one payment, or made more than one gift, he/she should only be counted ONCE as a single donor.

Please see [Section B](#) of the guidance regarding the treatment of joint gifts.

Validation: Individual donors (O-2) and organisation donors (P-1) must be equal to total donors (O-1)

**O-2: Of the total donors, how many of these donors were INDIVIDUALS in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

Individuals include undergraduate alumni; postgraduate alumni; other alums (Hon, Erasmus, non-graduating etc.); staff; former staff; governors, trustees, parents, current students, grateful patients (including pet/animal owners); and all other individuals.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

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<sup>13</sup> New guidance on sponsored activities and online fundraising, September 2015.

<sup>14</sup> New guidance on sponsored activities and online fundraising, September 2015.

Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received from these donors should be treated as coming from individuals. Please see [Section B](#) of the guidance for more information.

Validations:

- Individual donors (O-2) and organisation donors (P-1) must be equal to total donors (O-1)
- Alumni donors (O-3) and non-alumni individual donors (O-6\_Total) must be equal to individual donors (O-2)

**O-3: Of the total individual donors, how many of these donors were ALUMNI? REQUIRED\***

Response is limited to number with up to two decimal digits.

‘Alumni’ are former students of the institution.

The following four definitions are examples of who can be counted as ‘alumni’. None is right or wrong – and some institutions evolve and change from one definition to another over time. However, these four definitions are the most typical, and are recommended as best practice either as stand alone or in combination.

- All former students who received an award (e.g., degrees, certificates, diplomas) from the institution;
- All former students who ever studied at the institution, however briefly;
- Honorary graduates;
- Current students who have already received one degree from the institution and are now returning to take a further degree (though each individual should only be counted once, however many degrees they have from your institution).

You should use the same definition, whichever you pick, throughout the survey.

Validations:

- Alumni donors (O-3) and non-alumni individual donors (O-6\_Total) must be equal to individual donors (O-2)
- Total alumni donors (O-3) must be less than or equal to Total contactable alumni (C-2)
- Sum of categories of alumni donors (O-4\_Total) must be equal to alumni donors (O-3)

**O-4: Of the total alumni donors, how many of the individual alumni donors fell into the following alumni categories in the survey year?**

Response is limited to number with up to two decimal digits. If any individual has been awarded multiple qualifications, then they should be counted only in the first relevant category. Each individual should be accounted for ONCE.

For example, if an individual received both a BA (undergraduate award) and a PGCE (other qualification/award) then they should be counted in the ‘undergraduate alumni’ category only, and not in the ‘other qualification/award alumni’ category. Examples of which degree level comprises the alumni categories are detailed below:

Alumni types	
Category	Examples Include

Undergraduate alumni	BA, BSc, MEng, MBChB
Masters/PhD alumni	PhD, MSc, MBA
Other qualification/award alumni	PGCE, Diplomas, Certificates, Professional Qualifications
Other alumni	Honorary Graduates, Erasmus, Visiting Students, Non-graduating alumni

NOTE: The total field will automatically populate; please do not enter any data for total.

[Validation](#): Sum of categories of alumni donors (O-4\_Total) must be equal to alumni donors (O-3)

**O-5: Please describe the types of ‘other’ alumni from whom you received a gift?**

A text field; Provide a response to O-5 if response to ‘other alumni’ in O-4 was greater than 0.

Other alumni may include Honorary Graduates, Non-graduating alumni, etc.

**O-6: Of the total individual donors, how many of the NON-ALUMNI donors fell into the following categories in the survey year?**

Response is limited to number with up to two decimal digits.

If any individual non-alumni donor falls into multiple categories listed below, then they should be counted only in the first relevant category. Each individual should be accounted for ONCE. For example, if an individual donor is both a member of staff and a parent then they should be counted in the ‘staff’ category only, and not in the ‘parent’ category.

Examples of individual categories are detailed below:

Non-alumni types	
Category	Examples Include
Staff	Full time, Part time and Former Staff
Parents	Parents of current students and of alumni
Grateful patients	Grateful patients, Pet/Animal owners
All other individuals	Members of the community, current students

NOTE: The total field will automatically populate; please do not enter any data for total.

Validation: Alumni donors (O-3) and non-alumni individual donors (O-6\_Total) must be equal to individual donors (O-2)

**O-7: Please describe the ‘other’ non-alumni donors from whom you received a gift?**

A text field; Provide a response to O-7 if response to ‘other individuals’ in O-6 was greater than 0.

Other individuals may include members of the community, current students, etc.

## Section P: Donor Numbers (Organisations)

There are three questions in this section. Two questions in this section are **REQUIRED\***.

**P-1: Of the total donors, how many of all donors were ORGANISATIONS in the survey year?  
REQUIRED\***

Response is limited to number with up to two decimal digits.

Organisations include companies, charitable trusts and foundations, independent charities associated with NHS Trusts (but not direct from NHS Trusts), overseas governments or their agencies and foundations, National lottery and similar sources (e.g., Heritage Lottery Fund, Sport England etc).

Organisations which are specifically excluded from this survey are:

- All funding from HM Government and its agencies, including HEFCE and the research councils;
- Funding from NHS Trusts;
- All funding from the EU or its agencies;
- All funding from the government (and its agencies) of the country where your institution’s primary base of operations is located. Note, government funds received as part of a matched- funding scheme are also not philanthropic. For UK and Ireland, please refer to the links below:
  - UK - <https://www.gov.uk/government/organisations>
  - Ireland - <https://www.gov.ie/en/help/departments/><sup>15</sup>
- Royalties and other funds generated by the exploitation of the University’s intellectual property
- rights;

<sup>15</sup> Updated – September 2019.

- Internal transfers within the institution.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received from these donors should be treated as coming from individuals. See [Section B](#) for more information.

For further information about how to accurately report on organisations see the section on ‘philanthropic intent and associated rules’ within [Section A: What to Count in the Survey](#).

Validations:

- Individual donors (O-2) and organisation donors (P-1) must be equal to total donors (O-1)
- Total of the organisation donors (P-2\_Total) must be equal to organisation donors (P-1)

**P-2: Of the total organisation donors, how many of the organisation donors fell into the following categories in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

Trust/Foundations	
Companies	
Lottery	
Other	
Total	

NOTE: The total field will automatically populate; please do not enter any data for total.

Validation: Total of the organisation donors (P-2\_Total) must be equal to organisation donors (P-1)

**P-3: What ‘other’ types of organisational donors were there?**

A text field; Provide a response to P-3 if response to ‘other’ in P-2 was greater than 0.

Other organisations may include registered charities, community groups, etc.

## Section Q: New Funds Secured (Total and by Source)

There are 11 questions in this section. Six questions in this section are **REQUIRED\***.

This section is about new funds secured this year. The aim of these questions is to demonstrate how active and successful your fundraising has been over the year.

‘New Funds secured’ **includes:**

- Cash received in the year resulting from new confirmed non-legacy pledges and new single cash gifts;
- Confirmed non-legacy pledges committed in the year, counting the multi-year value of any such pledges for up to five years (the five years includes the year in which the pledge is



made), but care should be taken not to 'double count' the first payment against a new pledge.

For example: a donor makes a pledge in the course of the survey year to make a gift to the University of £50,000 to be paid over five years. The donor also makes the first payment of £10,000 in the course of the survey year. The appropriate amount to record for new funds secured in the survey year is £50,000 NOT £60,000 (the £50,000 pledge PLUS the £10,000 payment).

- Any actual or future Gift Aid income received or due in future as a result of new single cash gifts or confirmed non-legacy pledges counting up to five years' worth of funding for each pledge.
- Equivalent cash value of gifts in kind whether 'realised' or 'unrealised'. These include, for example, real estate, art works or books. They may also include research equipment provided that if the equipment is part of a research grant it counts as philanthropic under the definition at [Section A.2](#). Please note that most research funding does not count as philanthropic. The equivalent cash value should be the independently assessed market value on the day that the gift was received.
- Equivalent cash value of financial instruments (shares etc) received as gifts (whether from legacies or living donors) as documented on the day they were received (normally the known market price).
- Upgrades to current regular gifts, committed in the year, counting the multi-year value of the upgrade for up to five years (the five years includes the year in which the pledge is made). Care should be taken not to double count the cash received in the first year against the upgraded amount.

For example, a donor increases their direct debit from £5 per month to £10 per month. This is an upgrade of £5 per month and can be counted as funds secured. The direct debit has no end date so it can be counted for the full five years. In this case the funds secured amount would be £300.<sup>16</sup>

'New Funds secured' **excludes**:

- Cash received in the year resulting from pledges made in previous years.

More information about counting new funds secured can be found under [Section A.7](#) of this document.

Please refer to [Section B](#) of the guidance in relation to the treatment of joint gifts and gifts to affiliate organisations such as 501(c)(3) organisations in the USA.

**Q-1: What was the total value of new funds secured by your institution in the survey year?**

**REQUIRED\***

Response is limited to number with up to two decimal digits.

Validations:

- Sum of new funds secured from individuals (Q-3) and new funds secured from organisations (Q-9) must be equal to total new funds secured (Q-1)
- Sum of largest pledge (S-1), second largest pledge (S-4) and third largest pledge (S-7) must be less than or equal to total new funds secured (Q-1)
- Largest pledge (S-1) must be less than or equal to total new funds secured (Q-1)

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<sup>16</sup> Guidance on upgrades to current regular gifts updated, September 2015.

- Second largest pledge (S-4) must be less than total new funds secured (Q-1)
- Third largest pledge (S-7) must be less than total new funds secured (Q-1)

**Q-2: What was your total equivalent cash value of gifts-in-kind in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

The value, at the date received of all gifts-in-kind from any donor source should be recorded here, regardless of whether they were subsequently realised for cash. The value of gifts-in-kind should be based on an external expert view (other than the donor) Further information can be found under [A.7](#) of this document.

Validation: Cash value of gifts-in-kind (Q-2) cannot be more than total new funds secured (Q-1).

**Q-3: Of the total funds secured, what was the total value of new funds secured from INDIVIDUALS in the survey? REQUIRED\***

Response is limited to number with up to two decimal digits.

Individuals include undergraduate alumni; postgraduate alumni; other alums (Hon, Erasmus, non-graduating etc.); staff; former staff; governors, trustees, parents, current students, grateful patients (including pet/animal owners); and all other individuals.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received from these donors should be treated as coming from individuals. Please see [Section B](#) of the guidance for more information.

Please see [Section B](#) of the guidance regarding the treatment of joint gifts.

Validations:

- Sum of new funds secured from individuals (Q-3) and new funds secured from organisations (Q-9) must be equal to total new funds secured (Q-1)
- New funds secured from alumni (Q-4) and new funds secured from non-alumni individuals (Q-7\_Total) must be equal to new funds secured from individuals (Q-3)

**Q-4: Of the total value of new funds secured by individuals, how much was received from ALUMNI in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

‘Alumni’ are former students of the institution.

The following four definitions are examples of who can be counted as ‘alumni’. None is right or wrong – and some institutions evolve and change from one definition to another over time. However, these four definitions are the most typical, and are recommended as best practice either as standalone or in combination.

- All former students who received an award (e.g., degrees, certificates, diplomas) from the institution;
- All former students who ever studied at the institution, however briefly;
- Honorary graduates;
- Current students who have already received one degree from the institution and are now returning to take a further degree (though each individual should only be counted once, however many degrees they have from your institution).

You should use the same definition, whichever you pick, throughout the survey.

Validations:

- New funds secured from alumni (Q-4) and new funds secured from non-alumni individuals (Q-7\_Total) must be equal to new funds secured from individuals (Q-3)
- New funds secured from all alumni donor categories (Q-5\_Total) must be equal to new funds from alumni (Q-4)

**Q-5: What was the total value of new funds secured the following type of alumni donors in the survey year?**

Response is limited to number with up to two decimal digits. If any individual has been awarded multiple qualifications, then they should be counted only in the first relevant category. Each individual should be accounted for ONCE. For example, if an individual received both a BA (undergraduate award) and a PGCE (other qualification/award) then they should be counted in the ‘undergraduate alumni’ category only, and not in the ‘other qualification/award alumni’ category. Examples of which degree level comprises the alumni categories are detailed below:

Alumni types	
Category	Examples Include
Undergraduate alumni	BA, BSc, MEng, MBChB
Masters/PhD alumni	PhD, MSc, MBA
Other qualification/award alumni	PGCE, Diplomas, Certificates, Professional Qualifications
Other alumni	Honorary Graduates, Erasmus, Visiting Students, Non-graduating alumni

NOTE: The total field will automatically populate; please do not enter any data for total.

Validation: New funds secured from all alumni donor categories (Q-5\_Total) must be equal to new funds from alumni (Q-4)

**Q-6: Please describe ‘other’ alumni from whom you secured new funds.**

A text field; Provide a response to Q-6 if response to ‘other alumni’ in Q-5 was greater than 0.

Other alumni may include Honorary Graduates, Non-graduating alumni, etc.

**Q-7: Of the total value of new funds secured by individuals, how much was received by the following types of other NON-ALUMNI individuals in the survey year?**

Response is limited to number with up to two decimal digits.

If any individual non-alumni donor falls into multiple categories listed below, then they should be counted only in the first relevant category. Each individual should be accounted for ONCE.

For example, if an individual donor is both a member of staff and a parent then they should be counted in the 'staff' category only, and not in the 'parent' category.

Examples of individual categories are detailed below:

Non-alumni types	
Category	Examples Include
Staff	Full time, Part time and Former Staff
Parents	Parents of current students and of alumni
Grateful patients	Grateful patients, Pet/Animal owners
All other individuals	Members of the community, current students

NOTE: The total field will automatically populate; please do not enter any data for total.

Validation: New funds secured from alumni (Q-4) and new funds secured from non-alumni individuals (Q-7\_Total) must be equal to new funds secured from individuals (Q-3)

**Q-8: Please describe the 'other' non-alumni' donors there were.**

A text field; Provide a response to Q-8 if response to 'other' in Q-7 was greater than 0.

Other non-alumni individuals may include members of the community, current students, etc.

**Q-9: What was the total value of new funds secured from ORGANISATIONS in the survey year?**  
**REQUIRED\***

Response is limited to number with up to two decimal digits.

Organisations include companies, charitable trusts and foundations, independent charities associated with NHS Trusts (but not direct from NHS Trusts), overseas governments or their agencies and foundations, National lottery and similar sources (e.g., Heritage Lottery Fund, Sport England etc).

Organisations which are specifically excluded from this survey are:

- All funding from HM Government and its agencies, including HEFCE and the research councils;
- Funding from NHS Trusts;
- All funding from the EU or its agencies;
- All funding from the government (and its agencies) of the country where your institution's primary base of operations is located. Note, government funds received as part of a matched- funding scheme are also not philanthropic. For UK and Ireland, please refer to the links below:
  - UK - <https://www.gov.uk/government/organisations>
  - Ireland - <https://www.gov.ie/en/help/departments/><sup>17</sup>
- Royalties and other funds generated by the exploitation of the University's intellectual property rights;

<sup>17</sup> Updated – September 2019.

- Internal transfers within the institution.

If any individual gives through another vehicle (i.e., their personal Trust/Foundation or their own company), those donation(s) should be recorded as gift(s) from an individual.

Donors to affiliate/support organisations such as 501(c)(3) organisations in the USA should be treated as donors to the institution for the purposes of this survey and therefore cash income received from these donors should be treated as coming from individuals. Please see section B of the guidance for further information.

For further information about how to accurately report on organisations see the section on ‘philanthropic intent and associated rules’ within the general guidance [Section A](#).

Validations:

- Sum of new funds secured from individuals (Q-3) and new funds secured from organisations (Q-9) must be equal to total new funds secured (Q-1)
- New funds secured from all organisation categories (Q-10\_Total) must be equal to new funds from organisations (Q-9)

**Q-10: Of the new funds secured from organisations, what was the total value of new funds secured from following type of organisations in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

Trust/Foundations	
Companies	
Lottery	
Other	
Total	

NOTE: The total field will automatically populate; please do not enter any data for total.

Validation: New funds secured from all organisation categories (Q-10\_Total) must be equal to new funds from organisations (Q-9)

**Q-11: Please describe the ‘other’ organisations from which new funds were secured.**

A text field; Provide a response to Q-11 if response to ‘other’ in Q-10 was greater than 0.

Other organisations may include registered charities, community groups, etc.

## Section R: New Funds Secured (by Contribution Level)

There are two questions in this section.

**R-1: How many donors gave your institution new funds secured in the survey year that fall into one of the following contribution level categories?**

£1-£4,999	
£5,000-£49,999	
£50,000-£499,999	

£500,000-£4,999,999	
£5,000,000+	
Total	

NOTE: The total field will automatically populate; please do not enter any data for total.

If a donor has given more than one gift/confirmed pledge during the year they should only be counted once. For example, if a donor has given a single gift of £50,000 and pledged to give a further 100,000 each year for the following four years - and the gifts are eligible for gift aid, the total new funds secured is £562,500 (including gift aid) and this is counted as a single donor under the £500,000 - £4,999,999 category.

## R-2: Any other comments?

A text field.

## Section S: Largest Confirmed New Pledge/Gift

There are nine questions in this section. Six questions in this section are **REQUIRED\***.

These new pledges could be new single cash gifts received in the year, or the total value of a new multi-year pledge secured in the year.

They can include a new legacy gift that has been received but not a legacy pledge.

They cannot include a payment made against a confirmed non-legacy pledge made in a previous year.

Gifts-in-kind, even if they have been sold for cash, are not included in this question.

It is possible for the largest new gifts or pledges to be the same gifts as the largest cash gifts. For example, if a new cash gift of £750,000 was received and the five-year value of no new confirmed non-legacy pledge exceeded this.

A few large pledges often make up a large percentage of total new funds secured. Therefore, answers to this question should reflect how the donor feels about his/her pledge(s) over the full year. For instance, if one donor is supporting two entirely separate projects then these should be treated as two separate pledges/gifts. But if one donor is making multiple payments across the year in support of a single project, then these payments should be reported summed up as a single gift.<sup>18</sup>

### S-1: What was the value of the largest new pledge/gift your institution received in the survey year? **REQUIRED\***

Response is limited to number with up to two decimal digits.

#### Validations:

- Largest pledge (S-1) must be less than or equal to total new funds secured (Q-1)

<sup>18</sup> Guidance for counting largest new gifts/pledge updated, September 2015.

- Sum of largest pledge (S-1), second largest pledge (S-4) and third largest pledge (S-7) must be less than or equal to total new funds secured (Q-1)

**S-2: What was the source of the largest new pledge/gift? REQUIRED\***

Response is limited to options provided as listed below:

- Alumnus in Lifetime
- Alumnus legacy
- Other individual in lifetime
- Other individual legacy
- Trusts/Foundations
- Companies
- Lottery
- Other organisation

**S-3: What was the 'other' source of your largest new pledge/gift?**

A text field; Provide a response to S-3 if response to S-2 is 'Other organisation'.

**S-4: What was the value of the second largest new pledge/gift your institution received in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

Validations:

- Second largest pledge (S-4) must be less than total new funds secured (Q-1)
- Second largest pledge (S-4) must be less than or equal to than largest pledge (S-1)
- Sum of largest pledge (S-1), second largest pledge (S-4) and third largest pledge (S-7) must be less than or equal to total new funds secured (Q-1).

**S-5: What was the source of the second largest new pledge/gift? REQUIRED\***

Response is limited to options provided; same answer categories as [S-2](#).

**S-6: What was the 'other' source of the second largest new pledge/gift?**

A text field; Provide a response to S-6 if response to S-5 is 'Other organisation'.

**S-7: What was the value of the third largest new pledge/gift your institution received in the survey year? REQUIRED\***

Response is limited to number with up to two decimal digits.

Validations:

- Third largest pledge (S-7) must be less than total new funds secured (Q-1)
- Third largest pledge (S-7) must be less than or equal to second largest pledge (S-4)
- Sum of largest pledge (S-1), second largest pledge (S-4) and third largest pledge (S-7) must be less than or equal to total new funds secured (Q-1)

**S-8: What was the source of the third largest new pledge/gift? REQUIRED\***

Response is limited to options provided; same answer categories as [S-2](#).

**S-9: What was the 'other' source of your third largest new pledge/gift?**

A text field; Provide a response to S-9 if response to S-8 is 'Other organisation'.

## Section T: Alternative Methods of Counting

There are five questions in this section. Two questions in this section are **REQUIRED\***.

This section asks if your institution counts fundraising totals in a way which differs to this survey. It allows you to report your fundraising income as you do according to your own institution's definition.

Some institutions count different sources and kinds of money when reporting their income from fundraising to their wider stakeholders (e.g., to their Court or governing body or as the publicly announced target of a campaign). For example, an institution may not be in a campaign but may include corporate sponsorship money or all research income from Charitable Organisations when reporting.

**T-1: Does your institution count/report on fundraising totals differently from this survey?**  
**REQUIRED\***

This is a Yes/No question and response is limited to options provided.

**T-2: Using your institution's definition what was the total cash income received from fundraising in the survey year?**

Response is limited to number with up to two decimal digits; Provide a response to T-2 if response to T-1 is 'Yes'.

More information about counting cash income received can be found in [Section A: What to Count in the Survey](#) section of the Supporting Document.

**T-3: Using your institution's definition, what was the total new funds secured from fundraising in the survey year?**

Response is limited to number with up to two decimal digits; Provide a response to T-3 if response to T-1 is 'Yes'.

More information about counting new funds secured can be found in [Section A: What to Count in the Survey](#) section of the Supporting Document.

**T-4: Is your institution's definition used for an institutional campaign? REQUIRED\***

This is a Yes/No question and response is limited to options provided. Select one option from list; Provide a response to T-4 if response to T-1 is 'Yes'.

An institutional campaign is an announced, institutional drive for a defined amount of significant philanthropic support for a number of strategically important initiatives in a defined time frame.



An institutional campaign typically comprises three phases as outlined below:

Planning	Define target and portfolio of initiatives for support; define the prospect pool; conduct feasibility study; external leadership (campaign board) and internal leadership (VC, PVC, project leaders) recruitment, put in place staffing and non-staff resource necessary to run the campaign.
Private	Work with internal and external leadership to secure 40% to 60% of target in the largest gifts from leadership donors. Small dinners/events and private meetings.
Public	Public launch, full PR drive with associated materials, high profile events, wider fundraising.

**T-5: Please give a short description of your alternative method of counting?**

A text field; Provide a response to T-5 if response to T-1 is 'Yes'.

There is a textbox provided for you to describe your institution’s alternative method of counting.

## Section U: Institutional Campaigns

There are 12 questions in this section. Five questions in this section are **REQUIRED\***.

This section is concerned with institutional campaigns. An institutional campaign is an announced, institutional drive for a defined amount of significant philanthropic support for a number of strategically important initiatives in a defined time frame.

The questions you are asked will depend on the campaign status of your institution.

An institutional campaign typically comprises three phases as outlined in question [T-4](#).

**U-1: Has your institution concluded an institutional campaign in the last 20 years? REQUIRED\***

This is a Yes/No question and response is limited to options provided.

**U-2: Is your institution currently in the public phase of an institutional campaign? REQUIRED\***

This is a Yes/No question and response is limited to options provided.

**U-3: Is your institution currently in the private phase of a campaign? REQUIRED\***

This is a Yes/No question and response is limited to options provided. See the table above for definitions of campaign phases.

**U-4: Is your institution currently in the planning phase of a campaign? REQUIRED\***

This is a Yes/No question and response is limited to options provided. See the [table above](#) for definitions of campaigns and phases.

**U-5: When did/will you start the private phase of your campaign?**

Year (YYYY): Please enter the YEAR in YYYY format.

Month (MM): Please enter the MONTH in MM format.

See the [table above](#) for definitions of campaign phases.

**U-6: When is your campaign's public phase expected to start?**

Year (YYYY): Please enter the YEAR in YYYY format.

Month (MM): Please enter the MONTH in MM format.

**U-7: When did you start the public phase of your campaign?**

Year (YYYY): Please enter the YEAR in YYYY format.

Month (MM): Please enter the MONTH in MM format.

**U-8: When is your institution's campaign expected to end?**

Year (YYYY): Please enter the YEAR in YYYY format.

Month (MM): Please enter the MONTH in MM format.

**U-9: Has your institution decided what the public financial target for your campaign will be?**

**REQUIRED\***

This is a Yes/No question and response is limited to options provided.

**U-10: What is the public financial target for your campaign?**

Response is limited to number with up to two decimal digits; Provide a response to U-10 if response to U-9 is 'Yes'.

**U-11: What was the total value of cash income received by your institution towards your current campaign target from the start of the campaign until 31 July of the survey year?**

Response is limited to number with up to two decimal digits. Provide a response to U-11 if response to U-2 is 'Yes' OR U-3 is 'Yes' OR U-9 is 'Yes'.

This should be a multi-year total covering the campaign period to 31 July 2021, not just a total for the survey year.

More information about counting cash income received can be found in [Section A: What to Count in the Survey](#) section of the Supporting Document.

**U-12: What was the value of new funds secured by your institution towards your current campaign target from the start of the campaign until 31 July of the survey year?**

Response is limited to number with up to two decimal digits. Provide a response to U-12 if response to U-2 is 'Yes' OR U-3 is 'Yes' OR U-9 is 'Yes'.

This should be a multi- year total covering the campaign period to 31 July 2021, not just a total for the survey year.

More information about counting new funds secured can be found in [Section A: What to Count in the Survey](#) section of the Supporting Document.

## Section V: Survey Sign-off and Data sharing Agreement (DSA)

There are three questions to be filled in this section; all three questions are **REQUIRED\***.

### **V-1: Sign-off REQUIRED\***

Before the completed survey is submitted, we require that the senior most Advancement Professional/Director of Development reviews, signs off and agrees to submitting the reported data by selecting the 'I agree' option.

### **V-2: Data Sharing Agreement REQUIRED\***

This question contains the text of the DSA. [Appendix W](#) (of this document) contains the entire text of the DSA for your reference.

You are also required to sign/agree to the terms of the Data Sharing Agreement (DSA) – this has been embedded within the survey itself. *There is no hard copy required to be signed.*

The DSA is in place to ensure participating institutions do not share results outside of their institution and guarantees that results are only used for benchmarking purposes. Other main points are:

- All participating institutions must answer the required questions.
- All participating institutions will get access to un-anonymised data.
- Each participating institution will get access to the full survey dataset irrespective of the questions answered i.e., it won't be a like-for-like data share.

The person signing off on the survey should add their information here. This includes:

Name of Institution\*: A text field.

First Name\*: A text field.

Last Name\*: A text field.

Email Address\*: Response is limited to Email address.

Position\*: A text field.

Date (DD/MM/YYYY)\*: Response to this field is limited to DD/MM/YYYY format and should be the date that the DSA and survey were reviewed and signed-off.

### **V-3: Data Sharing Agreement Sign-off REQUIRED\***

Before the DSA is submitted, we require it to be signed. This can be done by selecting the 'I agree' option.

This completes all the questions for this survey.

Thank you for taking the time to complete the CASE-Ross Support of Education Survey, United Kingdom and Ireland, 2022 (survey year 2020-2021).

By going to the next page you will submit your survey, so if you or someone else wishes to review your responses do not go past this page.

Once submitted, your responses will be locked unless you contact a CASE staffer to re-open the survey for you.

**If you need to amend any answers after you have submitted the survey OR if you have any other questions, please email [dkrishnaswamy@case.org](mailto:dkrishnaswamy@case.org) or [europa@case.org](mailto:europa@case.org).**

## Appendix W: Data Sharing Agreement: CASE-Ross Group Support of Education Survey, UK and Ireland, 2022 (survey data year 2020-2021)

Between Council for Advancement and Support of Education (“CASE”), and the Institution indicated below (the “Institution”) individually a Party and together the Parties.

The Parties hereby agree in consideration for the rights granted by CASE to the Institution and the rights granted by the Institution to CASE:

### 1. DEFINITIONS

The following definitions apply in this agreement.

Data means the data comprising the questionnaire responses provided by the Institution to CASE in respect of the CASE-Ross Group Support of Education Survey, UK and Ireland;

Database means that database of data comprising disaggregated questionnaire responses and information provided by Sharing Institutions and the data and information contained therein since 2006;

Survey means CASE-Ross Group Support of Education Survey, UK and Ireland 2022 (previously called Ross-CASE Survey) conducted by CASE;

Survey Collaborators means CASE, the CASE-Ross Editorial Board, CASE, and such other organisations as is approved by CASE subject always to the confidentiality provisions set out in clause 3;

Tool means the online reporting tool accessible at the website address notified by CASE to the Institution providing access to the Database;

Sharing Institution means an institution that has agreed to the terms contained in this Agreement.

### 2. RIGHTS

2.1 CASE hereby grants the Institution a right to access the Tool and use the information contained in the Database solely for the Institution’s internal benchmarking or performance for the term of this Agreement, subject always to Clause 3.

2.2 The Institution hereby grants CASE:

2.2.1 a non-exclusive, perpetual, royalty free, worldwide licence to use the Data for the purposes of the Survey subject to the terms of this Agreement; and

2.2.2 a non-exclusive, perpetual, royalty free, worldwide licence to sub-licence the Data to the Survey Collaborators for the purposes of the Survey; and

2.2.3 a non-exclusive, perpetual, royalty free, worldwide licence to sub-licence the Data to other Sharing Institutions for the purposes of internal benchmarking of performance.

### 3. CONFIDENTIALITY

3.1 The Institution shall:

(a) keep confidential the Database and/or information obtained from the Tool;

(b) not disclose to third parties, without the express prior written consent of CASE, the Database and/or information obtained from the Tool;

(c) ensure that no publication of Database and/or information obtained from the Tool occurs without the prior express written consent of CASE; and

(d) disclose the Database and/or information obtained from the Tool which is provided by CASE to the Institution for internal benchmarking or performance, only to those persons necessary for the purposes of such internal benchmarking and only to the extent necessary for the proper performance of their duties.

3.2 Information about each Sharing Institution's cluster will be shared with all Sharing Institutions by CASE. This information will be included in the Database and the Tool.

3.3 The Institution shall procure that the obligations in clause 3.1 are observed by its employees, students, officers and agents and by any other party retained by the Institution and any other party who engages in the internal benchmarking or performance at the instigation of the Institution.

3.4 The Institution shall notify CASE immediately if it becomes aware of any disclosure in breach of the obligations in this clause 3. At the request of CASE, the Institution will take all such steps as are necessary to prevent further disclosure.

3.5 The provisions of this clause 3 shall not apply to:

(a) any information which is in the public domain at the date of this agreement or which subsequently comes into the public domain other than by breach of this agreement or any other confidentiality agreement; or

(b) any information already in the possession of the Institution at the date of this agreement, other than under an obligation of confidentiality; or

(c) any information obtained without any obligation of confidence from a third party that is not in breach of a confidentiality agreement with the Company concerning the information obtained.

(d) the extent information is required to be disclosed by law, by any governmental or other regulatory authority or by a court or other authority of competent jurisdiction provided that, to the extent it is legally permitted to do so, it gives the other party as much notice of such disclosure as possible and, where notice of disclosure is not prohibited, it takes into account the reasonable requests of the other party in relation to the content of such disclosure.

3.6 On termination of this Agreement, the Institution shall erase all Database and/or information obtained from the Tool from computer and communications systems and devices used by it, including such systems and data storage services provided by third parties (to the extent technically practicable).

3.7 CASE gives no warranty of any kind in respect of the Tool or the Database and all statutory and implied warranties, terms and conditions are excluded to the full extent allowed by law.

3.8 The provisions of this clause 3 shall be deemed effective from the 30th September in the calendar year of signature shall remain in full force and effect thereafter.

#### **4. DURATION AND TERMINATION**

4.1 This agreement shall come into force on the date of the signature below and shall remain in force until the earlier of:

(a) three months after CASE has served a notice to the Institution; or

(b) the date of any breach by the Institution of the terms of this Agreement; or

(c) 14 days after the date of any notice of breach of this Agreement by CASE or the Survey Collaborators as notified by the Institution.

**5. Contracts (Rights of Third Parties) Act 1999**

The Parties agree that any Sharing Institution has the right to enforce the terms of this letter against the Parties should they disclose the Database in breach of the terms of this letter.

**6. Governing Law**

We agree that the terms of the letter will be governed by English law.

Executed as an agreement for and on behalf of

Name of institution: \_\_\_\_\_

First Name: \_\_\_\_\_

Last Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

## Appendix X: Worked Examples

This section provides a worked example to illustrate the principles for reporting philanthropic support as set out in these Rules.

During the financial year (1<sup>st</sup> August to 31<sup>st</sup> July) the University of X received a selection of cash gifts, confirmed pledges, legacies and gifts in kind (all totals grossed up to include Gift Aid etc). These are described in the following table along with an indication of how they should be reported (or not).

	Description of support	New Funds secured	Cash Income received	Gifts in kind	Donor Numbers
A	12 one-off gifts from trusts and large donors totalling £150,000. All have been received. Of these, £40,000 came from the Kresge Foundation.	150000	150000	-	12
B	50 confirmed pledges from trusts and other large donors totalling £245,000. These have not yet been received but will come in over the next 5 years.	245000	-	-	50
C	A gift from a trust of £200,000 in four equal instalments, of which the first £50,000 has been received.	200000	50000	-	1
D	The final £5,000 instalment of a £20,000 gift from an individual donor made over four years.	-	5000	-	1
E	A gift of a painting received within the year that was sold and the cash received – raising £15,000.	15000	-	15000	1
F	A gift in kind of computer equipment valued at £20,000, not yet sold.	20000	-	20000	1
G	A historic book given six years ago was sold within the year for £600. <i>This should have been counted in previous years and is ineligible to be counted again.</i>	-	-	-	-
H	Five alumni have written to say that they have each left £8,000 in their wills. <i>This type of legacy pledge cannot be recorded in the survey.</i>	-	-	-	-
I	Two alumni have died leaving legacy gifts totalling £92,000. The University receives notification during the year that both wills have gone through probate, but no cheques were received during the year. These gifts are ineligible.	-	-	-	-
J	One alumna has died and the University received notification during the year that the will had gone through probate. A total of £140,000 is due to the university and the first instalment of £80,000 was received during the year. [Note: in this example if the remaining £60,000 is received the following year, that £60,000 would be included under 'funds secured' in that year. See also K below.]	80000	80000	-	-
K	The final instalment of a legacy of £100,000 has been received, worth £25,000. The previous instalments were received last year.	25000	25000	-	-



L	Two hundred donors have made one-off Annual Fund cash gifts (cheque/credit cards) – all received – worth £55,500.	55500	55500	-	200
M	One hundred Annual Fund donors have taken out open ended standing orders of £1,000p.a. and the first instalments worth £100,000 have been received. <i>As the standing orders have been set up, a further 4 years of instalments, worth £400,000, can be recorded as confirmed pledges under 'new funds secured'.</i>	500000	100000	-	100
N	£66,000 has been received from 50 previous Annual Fund standing orders set up in previous years	-	66000	-	50
O	20 joint gifts have been received totalling £20,000. <i>As these are joint gifts each donation has been made by 2 people so the number of donors should be recorded as 40.</i>	20000	20000		40
P	In your telephone campaign, 25 alumni made oral pledges totalling £20,000 over four years, but no paperwork has been received. <i>These oral pledges cannot be recorded anywhere in the survey.</i>	-	-	-	-
Q	100 donors give equivalent of £50,000 to the University of X's 501(3)c charity in the USA, which moves £30,000 to the University in the year 2020-2021.	50000	30000	-	100
R	20 donors gave equivalent of £20,000 to the University of X's 501(3)c charity in the USA in 2019-2020 (the previous year), this was transferred to the University in the year 2020-2021: <i>Only the cash received is counted as the funds secured and donor numbers would have been counted in the previous year.</i>	-	20000	-	-
<b>Totals to be reported at each question</b>		<b>1360500</b>	<b>601500</b>	<b>35000</b>	<b>556</b>

## Appendix Y: Examples of research programme/position funding that are eligible or ineligible as philanthropic funds for the survey

	Example scenario	Eligibility for the survey	Number and nature of exclusion criteria
A	An individual agrees to fund a research fellowship and a PhD studentship for five years in lung cancer research, and the University offers to name the positions in memory of her husband. The gift agreement is clear that all resulting research outputs, including any intellectual property rights which emanate from the research of the funded positions or their team, will remain the property of the University.	<b>ELIGIBLE</b>	None
B	A company endows a Professorship in sustainable engineering. The Chair is named after the company, but the company does not expect private access to privileged or commercially valuable data or information, or private consultancy or training, or other form of direct financial benefit. The company asks for representation on the appointment panel, which the University accepts on the clear understanding that the appointment rests with the University and will follow the University's appointment procedures.	<b>ELIGIBLE</b>	None
C	Identical case to B, but ten days' consultancy a year is built into the agreement.	<b>INELIGIBLE</b>	<b>One exclusion: No. 4 – Consultancy.</b> None of the funding is eligible.
D	A charitable trust funds a professorship and a research associate for ten years to work in a specific field of regenerative medicine. The agreement states that all findings will be in the public domain. The agreement includes a clause stating that if intellectual property with commercial value emanates from the research programme, the rights to this will be split 50/50 between the University and the charity. All other clauses in the gift agreement are entirely compatible with the definitions of philanthropic intent in this survey.	<b>INELIGIBLE</b>	<b>One exclusion: No. 5 – IP rights.</b> Even though no specific IP split is agreed, inclusion of this potential financial benefit to the charity makes it ineligible.
E	A medical charity provides money for research funding. They specify in the agreement that "The grant receiving organisation hereby grants a perpetual, royalty-free non-exclusive licence" to the charity.	<b>INELIGIBLE</b>	<b>One exclusion: No. 5 – IP rights.</b> Even though the IP related rights are non-exclusive, any such inclusion in the agreement means exclusion from the survey.
F	A funder uses blanket terms for their research grant agreements. These include the requirement for a share of any resulting IPR even where this is clearly not relevant to the research programme in hand.	<b>INELIGIBLE</b>	<b>One exclusion: No. 5 – IP rights.</b> If no IPR is anticipated, contact could be made with the donor to seek to have this clause removed. It is the wording of the agreement that counts.

G	<p>A charitable foundation awards a project grant to the University. The grant has a defined multi-year timeline and payment schedule; milestones to deliver along the way; and a specific purpose.</p> <p>An annual report and three quarterly updates must be submitted by the University each year. The Foundation may request additional reports. The Foundation "is making the grant in furtherance of its charitable purposes" and requires that any knowledge gained during the project "be promptly and broadly disseminated to the scientific and international development community.</p> <p>None of the 7 exclusion criteria under A.2.2.1 apply.</p>	<b>ELIGIBLE</b>	<p><b>None.</b></p> <p>Neither the inclusion of detailed reporting requirements, nor agreed milestone targets along the way, undermine the philanthropic intent of the grant.</p>
H	<p>A professional institute provides funding for a Principal Researcher exploring a niche area of research. The results of this research are relevant to the interests of the members of the funding institute. The funded person is required to provide the funder with a quarterly report on the progress of the research. The funder has the exclusive rights to publicise the results on their website, thereby putting them in the public domain. The University grants the funder a non-exclusive license to use the results and copyright materials generated in the course of the project.</p>	<b>INELIGIBLE</b>	<p><b>Two exclusions: No. 3 – exclusive publication; and No. 5 – IP rights.</b></p>
I	<p>A funder funds both a piece of research and also a post for a three-year period. The agreement states that the post holder will work both across the research as well as on other projects.</p> <p>The agreement for the research funding includes the requirement for a share in any resulting IPR but there is no specific provision for a share of IPR on the funding of the post.</p>	<b>INELIGIBLE</b>	<p><b>Post funding – excluded as part of the agreement relates to non-philanthropic activity)</b></p> <p><b>Research funding – one exclusion: No. 5 – IP rights.</b></p>
J	<p>A fellowship is jointly funded by the Medical Research Council (MRC) and a charity. The overall agreement meets all of the criteria for a philanthropic gift according to the CASE-Ross rules.</p>	<p>Element funded by the charity - <b>ELIGIBLE</b>;</p> <p>MRC element <b>INELIGIBLE</b></p>	<p><b>None. The source is ineligible (Government funding).</b></p>
K	<p>A major trust (e.g., Wellcome) funds both research contracts through their funding programmes, as well as making philanthropic donations to institutions for buildings and equipment.</p>	<p>Research contract funding <b>INELIGIBLE</b>;</p> <p>Donations for building <b>ELIGIBLE</b>(as long as the institution owns the new facility – e.g., building or laboratory).</p>	<p>Research Contract Funding – <b>One exclusion: No. 1 – contractual Relationship</b></p>

## Appendix Z: Rules and examples relating to donor/funder control of funds

The definition of philanthropic funds confirms that the recipient institution must retain complete ownership of any resultant work or product. This dictates that an individual, charitable trust or corporate funder/donor may not retain any explicit or implicit control over a gift after acceptance by the institution.

A donor/funder can make a restricted gift to a department or area to which the recipient institution should apply the contribution and has the right to expect that restriction to be honoured. Both parties may wish to engage in discussion of shared aims as a part of a programme of activity funded, and recipient institutions also often wish to involve donors informally in the activity they are funding as part of good stewardship. However, certain forms of donor involvement or influence undermine the recipient institution's control over the gift. Specifically, funder control over candidate selection precludes the counting of a gift within the survey.

The appointment process for donor-funded student scholarship recipients or staff appointments must remain under the control of the recipient institution.

### **Example A**

A donor establishes a scholarship fund but requires that (s)he be able to select the recipient. This cannot be counted as philanthropic funds. The selection of the student must rest with the recipient institution, which may nonetheless choose to involve the donor at an appropriate level in the student selection process. But if the donor has a majority or a casting vote, or the power of veto in that process, the funding must not be counted.

### **Example B**

A donor makes a restricted contribution to a professorship while requiring the institution to award a professorship to a specified individual. This cannot be counted as philanthropic funds. As for example A above, the institution may elect to involve the donor at an appropriate level in the selection process but if the donor has a majority of casting vote or power of veto, the funding cannot be counted for the purposes of the survey.