



CASE Support of Education Survey, Australia and New Zealand

Question by Question Guidance Notes

Updated 30 January 2023

INTRODUCTION

These notes are a supplement to, rather than replacement for, the Reporting Rules for Advancement (Reporting Rules). They are designed to clarify and simplify returns for respondents to the survey. Regular reference is made to the Reporting Rules, which provide more thorough details in cases of queries.

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.

Updates to the CASE Support of Education, Australia and New Zealand Survey 2023

- Several optional questions were introduced into the survey in 2018 and another two have been added to section E this year (2023). These questions have the word '(OPTIONAL)' at the end of the question text. The questions are optional as it recognised that some institutions may not be able to answer them due to data limitations. If choosing to answer any of the optional questions, the question must be answered for all three survey years.
- For the 2023 survey there have been changes to terminology, with "new funds secured" being amended to "new funds committed", and "cash income received" being amended to "funds received". The terms are simply substituted in most questions; others have needed further rephrasing to accommodate the new terminology. However, the actual definitions remain unchanged this year for this survey.

New terminology introduced this year:	
PREVIOUS TERM	NEW TERM
new funds secured	→ new funds committed
cash income received	→ funds received

The purpose of this change is to create consistency in the terminology across the different CASE regions. Please note the definition of new funds committed in the CASE Support of Education Survey for Australia and New Zealand differs to that used in the

CASE Global Reporting Standards. Bequest intentions are excluded from this Survey but realised bequests are included. CASE Global Reporting Standards count documented bequest intentions for donors aged 65 or older instead of realised bequests.

- In question F-2, contactable alumni now includes alumni for whom telephone numbers are known.

OVERVIEW TO COMPLETING THE SURVEY

I. Steps to completing the survey

There are 4 few steps to completing the CASE Support of Education, Australia and New Zealand 2023 Survey this year:

i. Step 1: Complete the Contact Form

The first step in the process is completing the survey contact form (link: https://case.az1.qualtrics.com/jfe/form/SV_5uT6a8MxwNH9I7c). We will use this information to provide you access to the survey¹. **Once the contact form is completed, a member of the CASE research team will reach out to you with the survey link and 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 three documents to assist with survey completion. The first two are the Guidance (this document) and Reporting Rules for Advancement 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 third 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 'the value of the largest cash gift received by your institution in the survey year' is less than 'total funds received'. *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.*

¹ Note: Your information will be stored on our database and you may get information from CASE from time to time.

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 A contains the text of the DSA for your reference. There is no hard copy required to be signed this year.

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.

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 Support of Education, Australia and New Zealand webpage](#) will be regularly updated to reflect any new information.

II. Navigating the Survey Platform (Qualtrics)

The online survey platform is hosted via Qualtrics, and this was introduced after taking onboard feedback about the data querying process post survey completion. This online

survey platform incorporates various automatic validations at the time of filling in the survey online; this will reduce the time taken for querying later making the whole process more streamlined.

- Clicking on your unique survey link will take you to the survey 'Table of Contents':
 - Try and complete the sections in order i.e. A to I – this will make the process the smoothest.
 - You can now click on any specific section you want to work on first, or just click the 'Continue' button to Read some important information before continuing with the first question in Section A.
 - Due to in-built survey logic, not all questions of one section will 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 '*'.
○ Optional questions are marked as 'OPTIONAL'.
- 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'.

III. 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 fsouth@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 fsouth@case.org.

IV. General points:

- i. As always, this Guidance 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 cannot answer any required questions, please email fsouth@case.org.

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. Incorrectly inputting zeroes in survey responses can have an **adverse effect** on the findings as it will lead to underestimating of averages.

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 fsouth@case.org .

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

For e.g., AUD5,500 should be entered as 5500,
institutional turnover of AUD137 million should be reported as 137000000 and
a gift of AUD10 as 10.

SECTION BY SECTION GUIDE

SECTION A: ABOUT YOUR INSTITUTION

A-1. to A-5. Institution Name, First Name, Last Name, Email Address, Job Title

The “person completing the questionnaire” may be contacted by CASE for spot data checks and queries about responses, in order to ensure consistency in reporting.

It is assumed that the questionnaire will be seen and signed off by the most senior individual at the institution (barring the CEO/Vice-Chancellor), responsible for philanthropic strategy and relationships.

These questions ask for details about people in your institution and those completing and signing off the survey.

A-6. In which year did your institution start a development/fundraising programme?

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” with associated dues before investing in a professional office: these do not count.)

A-7. To whom does the Director of Development report?

“Director of Development” means the most senior individual at the institution who practices high-end philanthropic strategy and relations day-to-day (not including the CEO/Vice-Chancellor). A Pro-Vice-Chancellor is considered the “Director of Development” if his/her philanthropic strategy and relationships role is hands-on. A Pro-Vice-Chancellor is not considered the “Director of Development” if he/she merely supervises the person who undertakes and leads on philanthropic strategy and relationships.

A-8. Do you have any overseas offices (including staff) responsible for local fundraising?

Please do not include overseas contracts with consultants of consultancy firms to undertake overseas fundraising on your behalf, unless they are engaged on a permanent or multi-year fixed-term basis.

A-9. If you do have any overseas offices (including staff) responsible for local fundraising, please state in which countries they are located.

Please do not include overseas contracts with consultants of consultancy firms to undertake overseas fundraising on your behalf, unless they are engaged on a permanent or multi-year fixed-term basis

A-10. Is your institution engaged in clinical medicine?

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.

A-11. In what currency will you be reporting your answers?

Do select if you are reporting in Australian dollars OR New Zealand dollars.

SECTION B: PHILANTHROPIC INCOME

Questions B1 – B13 are often challenging to get right.

They do not merely refer to philanthropic income secured by an active Development Office, but to philanthropic income secured throughout the university. The definitions of philanthropic income which qualify for the purposes of this survey have been developed over years and care should be taken to ensure that reporting is accurate and in line with these definitions.

For new funds committed (formerly “new funds secured”) to be counted they must be both eligible (see Reporting Rules) and the nature of the gift must meet the survey’s definition of philanthropic intent (see Reporting Rules and Appendices B and C).

Funding from Australian or New Zealand federal, state and local government and their agencies such as Australian Research Council (ARC), the National Health and Medical Research Council (NHMRC) do not count. Research grants do not count if they are subject to any of the exclusion criteria listed in Table 1 of the Reporting Rules. Sponsorship does not count.

B-1. What was the total value of new funds committed by your institution in the survey year?

The aim of this question is to demonstrate how active and successful your fundraising has been over the year.

New funds committed includes:

- New cash received as cash, including from externally administered bequests, but not any cash received as a result of selling gifts of physical assets from living or bequest donors (see below);
- Confirmed (non-bequest) pledges (the full duration of each pledge is counted) and the five-year value of recurring gifts committed in the year;
- Equivalent cash value of gifts in-kind, whether retained or sold. These include, for example, real estate, artwork or books. They may also include research equipment provided that if the equipment is part of a research grant or contract that research counts as philanthropic under the reporting rules. 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 bequests or from living donors) as documented on the day they were received by the institution (normally the known market price).

It does NOT include:

- Payments made against pledges.

In order for philanthropic funds committed to be counted, the source of the funds must be eligible and the nature of the funds must meet the survey's definition of philanthropic intent.

B-2. Of the new funds committed by your institution, what amount came from bequests received in the survey year?

This question is a subset of B-1. It should only include bequests received by the institution in the relevant year from the estates of deceased individuals. Pledges from living donors should not be included as they could be revoked. Bequests still passing through probate should also not be included.

Bequests received includes:

- Cash, including from externally administered bequests, but not any cash received as a result of selling gifts of physical assets from bequest donors;
- Equivalent cash value of bequeathed gifts in-kind, whether retained or sold. These include, for example, real estate, artwork or books. 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 bequests as documented on the day they were received by the institution (normally the known market price).

B-3. What was the total value of funds received by your institution in the survey year? (NOT pledges and EXCLUDING gifts-in-kind regardless of whether realised for cash)?

Total funds received (formerly "cash income received") refers only to cash received in the relevant 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 philanthropic funds received includes:

- New single cash gifts;
- Cash received in-year towards pledges and recurring gifts;
- 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 bequest);

- Cash received from bequests;

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 philanthropic funds received to be counted, the source of the income must be eligible and the nature of the income must meet the survey's definition of philanthropic intent.

B-4. Of the total value of funds received by your institution in the survey year, what was the total value of bequest funds received?

This question is a subset of B-3. It should only include funds received by the institution in the relevant year from the estates of deceased individuals. Bequest 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 bequest gift involves a physical asset which the institution could sell (real estate, artwork or books, etc.), this cannot be counted as "philanthropic funds received". Instead, the value of the asset should be recorded under gifts-in-kind in the year in which the asset was received by the institution. If the bequest 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.

The response for this question should be equal or less than the response given for B-2.

B-5. What was the total equivalent cash value of gifts-in-kind received by your institution in the survey year?

The value, at the date received of all gifts-in-kind should be recorded here, regardless of whether they were subsequently realised for cash. Include in your response the value of bequeathed gifts-in-kind that have been received by the institution in year.

The value of gifts-in-kind should be based on an external expert view (other than the donor).

Do not include the documented value of gifts of shares, appreciated securities, bonds and other financial instruments in this question as they are recognised as funds received.

Money realised during the survey year by selling any gifts-in-kind which were made in previous years, should not be recorded here, as the equivalent cash value of these gifts-in-kind should have been recorded in previous years i.e. year of receipt of the gift-in-kind.

Any income received from donated real estate (e.g. rent) or from other gifts-in-kind (e.g. royalties) is excluded from the survey.

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

B-6. What was the value of the largest new non-bequest gift committed to your institution in the survey year?

This includes documented pledges, counted at their total value, regardless of duration; single cash gifts; and gifts-in-kind. It does not include bequest pledges, bequest income received, and pledge payments.

B-7. What was the source of the largest new pledge committed to your institution in the survey year?

Choose from drop-down.

- Alumnus in lifetime
- Other individual in lifetime
- Trusts/Foundations
- Corporates
- Other organisation
- Not applicable

B-8. What was the value of the largest gift given to your institution in the survey year as funds received?

'Bequest cash 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 bequest.

It is possible for your largest cash gift received to be a single payment against a pledge. For example, if someone has pledged \$1M and makes a \$250,000 payment towards that pledge, and no single cash 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 within the relevant year.

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

B-9. What was the source of the largest gift given to your institution in the survey year as funds received?

Choose from drop-down.

- Alumnus in lifetime
- Alumnus bequest
- Other individual in lifetime
- Other individual bequest
- Trusts/Foundations
- Corporates
- Other organisation
- Not applicable

B-10. How many gifts of \$1,000,000 or over did you receive in the survey year as new funds committed?

This includes documented pledges, counted at their total value, regardless of duration; single cash gifts; and gifts-in-kind. It does not include bequest pledges, bequest income received and pledge payments.

B-11. How many gifts of \$1,000,000 or over did you receive in the survey year as funds received?

Cash gifts must be fully received in cash in the relevant year. This could include large pledge payments from pledges made in previous years (or the current year).

'Bequest cash 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 bequest.

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

B-12 to B13. Annual Fund

"Annual Funds" have a range of definitions. Normally, Annual Funds include many donors, each of whom make relatively small gifts. Normally, Annual Fund income does not fluctuate greatly from year to year.

A sampling of different types of Annual Funds follows. None is right or wrong – and some institutions evolve and change from one definition to another over time. *The first three are the most typical, and are recommended as best practice either as stand alone or in combination.*

- All gifts/pledges received in response to specific activity, such as particular mailing campaigns and/or student telethons
- All gifts/pledges received from individuals where the institution believes it is possible to raise the same against from those individuals in future year(s)
- All gifts/pledges received from individuals worth X or less (often X = \$1,000 or \$5,000)
- All gifts/pledges which are "unrestricted"
- Friends memberships, either corporations and/or individuals (though all sponsorship and benefit-driven "friends of" are excluded from the survey)
- Some combination of the above

Annual Funds do not normally include legacy cash received.

B-12. What was the total value of annual fund income committed to your institution in the survey year?

Include new cash and new confirmed pledges (the full duration of the pledge is counted). Standing Orders and Direct Debits (i.e. recurring gifts) without end dates should be counted at five years' value.

Exclude pledge payments.

B-13. What was the total value of annual fund income given to your institution in the survey year as funds received?

Include all cash received, including new single cash gifts, pledge payments and recurring gift payments.

Do not include any income which is anticipated or pledges to arrive in future years.

SECTION C: PHILANTHROPIC INCOME - BY PURPOSE

C-1. Of the total new funds committed in B-1 how much was... (Optional Question)

Unrestricted – Income that was not specified or designated to a particular cause or project by the donor. This income can be used by the schools for any purposes, without any restrictions.

Restricted for student and staff bursaries and scholarships – Income, restricted by the donor, to be used for student and staff financial aid.

Restricted for capital projects and infrastructure – Income, restricted by the donor, to be used for building and maintenance of physical assets of land and property including its buildings, grounds, equipment and other facilities.

Restricted for research programmes and partnerships – Income, restricted by the donor, to be used for scientific, technical and humanistic investigation including grants for individuals, projects or research centers and institutes.

Restricted for other purpose – Income, restricted by the donors, that cannot be classified in one or another of the restricted categories listed above.

The aim of this question is to demonstrate the donor's intent regarding the usage of the funds.

C-2. Of the total funds received in B-3 how much was... (Optional Question)

- **Unrestricted** (Description as indicated in Qn. C-1)
- **Restricted for student and staff bursaries and scholarships** (Description as indicated in Qn. C-1)

- **Restricted for capital projects and infrastructure** (Description as indicated in Qn. C-1)
- **Restricted for research programmes and partnerships** (Description as indicated in Qn. C-1)
- **Restricted for other purpose** (Description as indicated in Qn. C-1)

The aim of this question is to demonstrate the donor's intent regarding the usage of the funds.

SECTION D: PHILANTHROPIC INCOME - BY SOURCE

D-1. How much new funds committed, (B-1) came from the following sources? (Optional Question)

Sum of D-1-1 to D-1-5 should be equal to total new funds committed in B-1.

If any individual (alumni or non-alumni) gave 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.

a) **Alumni** – 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.

b) **Other individuals** – All new funds committed from non-alumni individuals, including current and former staff

c) **Trusts and foundations** – This category includes foundations and trusts that are private tax-exempt entities operated exclusively for charitable purposes.

If any individual (alumni or non-alumni) gave 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.

d) Corporates – Companies/Businesses

e) Other organisations – All new funds committed from organisations that are not categorised as trusts, foundations or corporates.

D-2. How much funds received (B-3), came from the following sources? (Optional Question)

Sum of D-2-1 to D-2-5 should be equal to total funds received in B-3. Sources definitions as described above.

SECTION E: PHILANTHROPIC INCOME - BY CONTRIBUTION LEVEL

Please note this section has two new questions.

- Please include both individual and organisation donors.
- Soft credits should be excluded.
- A donor's total donations for the year determine which band they fall within. Therefore, someone who makes a one-off donation of \$9,000 and also pays 12 monthly payments of \$100 each against a pledge made the previous year, would be counted:
 - once under the \$1,000-\$9,999 category for **new funds committed** (because only the new \$9,000 gift is considered); and
 - once in the \$10,000-\$99,999 category for **funds received** (because the 12 x \$100 pledge payments are added to the new \$9,000 gift).

E-1. For new funds committed, how many donors made contributions that fall into one of the following gift bands? (Optional Question)

	\$1-\$999	\$1,000-\$9,999	\$10,000-\$99,999	\$100,000-\$999,999	\$1,000,000 - \$9,999,999	\$10,000,000 +	Total
Total number of donors							

Each donor should only be counted once for this question regardless of the number of qualifying gifts/pledges they made in the year.

E-2. For funds received, how many donors made contributions that fall into one of the following gift bands? (Optional Question)

	\$1-\$999	\$1,000-\$9,999	\$10,000-\$99,999	\$100,000-\$999,999	\$1,000,000 - \$9,999,999	\$10,000,000 +	Total
Total number of donors							

Each donor should only be counted once for this question regardless of the number of qualifying gifts/pledge payments received from them in the year.

E-3. For new funds committed, what was the combined value of the donations for all the donors falling within each of the following gift bands? (Optional Question)

	\$1-\$999	\$1,000-\$9,999	\$10,000-\$99,999	\$100,000-\$999,999	\$1,000,000 - \$9,999,999	\$10,000,000 +	Total
Total value of gifts							

For this question, you need to sum the value of the new funds committed by the donors you counted in E-1. For example, if you had 95 donors who committed sums between \$1-\$999, add up all of the new funds committed by these 95 donors in the year. So, if 45 made one-

off gifts of \$20 and the other 50 pledged monthly gifts of \$40 for a year, the answer you would give for the \$1-\$999 band would be $(45 \times \$20) + (50 \times \$480) = \$24,900$.

E-4. For funds received, what was the combined value of the donations for all the donors falling within each of the following gift bands? (Optional Question)

	\$1-\$999	\$1,000-\$9,999	\$10,000-\$99,999	\$100,000-\$999,999	\$1,000,000 - \$9,999,999	\$10,000,000 +	Total
Total value of gifts							

For this question, you need to sum the value of the funds received from the donors you counted in E-2. For example, if you had 150 donors who gave between \$1-\$999, add up all of the funds received from these 150 donors in the year. So, if they had all responded to an appeal that asked them to make a one-off gift of \$200, the answer you would give for the \$1-\$999 band would be $(150 \times \$200) = \$30,000$.

SECTION F: CONSTITUENTS

F-1. What is total number of alumni that your institution had in the survey year?

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.

Alumni – As per definition used in section D.

F-2. From F-1 above, what was the total number of contactable alumni (postal mail, email, and/or phone number) your institution had in the survey year?

This question asks how many living alumni you are able to contact. It does not matter whether or not you did actually contact them.

For someone to count as contactable, you must have at least one reliable means of reaching them anywhere in the world out of the following three options: a postal address, an email address, and/or a phone number*. Other means of contact (e.g. social media profiles) are **not** considered sufficient for the purposes of this question.

In addition, you should only include them if it is legal for your institution to contact them. You should not include someone who has opted-out of all communication with your institution, or if they have opted out of all the specific forms of contact you have available. For example, someone who has opted out of electronic communication (but has not opted out of telephone or postal communication) would not count as contactable if you currently only have a valid email address for them. However, alumni who are major donors or major gift prospects should be included as contactable, even if they have opted out of mass solicitation.

Contactable alumni numbers will probably fluctuate over the year, so you should choose a method of calculating (e.g. a snapshot of the number on a specific date) and use this consistently. At most institutions, contactable alumni numbers increase 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.

**Please note this question has been amended to include alumni for whom your institution has a reliable telephone number – previously only postal and email addresses were considered.*

F-3. What was the total number of alumni donors your institution had in the survey year (including those that made a pledge payment)?

This should be a subset of the alumni you counted in F-1.

For the purposes of this question, please include:

- Alumni making a new single cash gift in the year;
- Alumni making a cash payment against a pledge or recurring gift made in this or any previous year (including Standing Order or Direct Debit payments);
- Alumni making a gift in kind in the year.

Please exclude:

- Any individual or organisation who makes a new pledge in the year but did not actually make a cash gift in that year;
- Individuals making bequest pledges;
- Deceased individuals from whose estates bequest cash has been received.

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.

If alumni who are partners make joint gifts, they should be counted as two gifts.

Each alumnus who gives via affiliated grant-making support organisations (for instance, a North American 501(c)3) should be counted individually.

F-4. What was the total number of donors (alumni, other individuals and organisations) who made a gift for any purpose (including pledge payment) to your institution in the survey year?

For the purposes of this question, please include:

- An individual or organisation making a new single cash gift in the year;
- An individual or 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.

Please exclude:

- Any individual or organisation who makes a new pledge in the year but did not actually make a cash gift in that year;
- Individuals making bequest pledges;
- Deceased individuals from whose estates bequest cash has been received.

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.

If individuals who are partners make joint gifts, they should be counted as two gifts.

Each alumnus who gives via affiliated grant-making support organisations (for instance, a North American 501(c)3) should be counted individually.

C-3 (total number of donors) should have a higher or equal number to C-2 (total number of alumni donors).

F-5. How many new bequest intentions were confirmed in the survey year?

The aim of this question is to further demonstrate how active your bequest programme has been over the year. While previous bequest questions focused on bequests received, this question focuses on bequest intentions/pledges (excluded from all other questions in this survey).

Include bequest intentions/pledges where:

- The individual has confirmed that he/she has included a gift in his/her will to your institution (notification can either be written or verbal and either directly from the individual or from a solicitor etc.); and
- The will has been executed – the clause is already in a signed will and is not just an intention to do so in the future;

Contingent bequests are to be excluded. This is where the will specifies that your institution will only receive the gift should all other gifts specified in the will fail/cannot be fulfilled.

F-6. How many bequests were the source of contributions to new funds committed in the survey year? (Optional Question)

This is the number of individual bequests that were the source of bequest new funds committed in the year (i.e. the number of bequests that make up the funds figure from B-2). You may have received several payments from a single bequest as the estate is settled; these should only be counted once.

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

F-7. How many bequests were the source of contributions to funds received in the survey year? (Optional Question)

This is the number of individual bequests that were the source of bequest funds received in the year (i.e. the number of bequests that make up the cash figure from B-3). You may have received several payments from a single bequest as the estate is settled; these should only be counted once.

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

SECTION G: CAPITAL CAMPAIGNS

A “capital campaign” is a concentrated effort to raise a specified sum of money to meet a specified goal or goals, normally within a specified period of time.

Capital campaigns can be for a specific purpose (e.g. \$15 million for a new building) and/or institution wide, with a number of specific purposes under a campaign “umbrella”.

Some capital campaigns include annual fund returns against their capital campaign target; others do not. Both approaches are acceptable.

Capital campaigns are normally divided into a “quiet phase” (where funds are sought, mostly from major gifts, but the campaign is not publicly announced); and a “public phase” (the period between public announcement of the campaign, and its conclusion).

G-1. As at December of the survey year, were you in a capital campaign (including a quiet phase) for the institution as a whole?

Yes, or no.

G-2. If you were in a capital campaign as at December of the survey year, what was the financial target of the campaign?

If you do not have a confirmed financial target, then you are not in a capital campaign.

G-3. How long (i.e. number of years) do you expect the public phase of the campaign to, be?

Count the total number of years from the public announcement of the campaign to its anticipated public announcement of conclusion.

G-4. What percentage of the target had you achieved or do you expect to achieve before going public?

SECTION H: INVESTMENT AND STAFFING

H-1 to H-3. Fundraising Expenditure

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

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 Report Rules Appendix E 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.

Some universities employ students to make fundraising calls at certain times of year on a temporary employment basis. These costs should be attributed to salary where possible but can be included in 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 Appendix E of the Reporting Rules for the allocation of development and alumni staff costs.

H-1. What were the fundraising STAFF costs of your institution in the survey year?

Exclude Alumni Relations staff costs.

Include 50% of database staff costs.

H-2. What were the fundraising NON-STAFF costs for your institution in the survey year?

Exclude Alumni Relations non-staff costs.

Include 50% of database costs.

H-3. What were the TOTAL fundraising costs of your institution in the survey year?

Sum of H-1 and H-2.

H-4 to H-6. Alumni Relations Expenditure

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

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 a subsequent question.

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 Report. Rules Appendix E 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.

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.).

H-4. What were the alumni relations STAFF costs of your institution in the survey year?

Exclude Fundraising staff costs.

Include 50% of database staff costs.

H-5. What were the alumni relations NON-STAFF costs of your institution in the survey year?

Exclude Fundraising non-staff costs.

Include 50% of database costs.

H-6. What were the TOTAL alumni relations costs for your institution in the survey year? (Sum of H-4 and H-5)

H-7. What were the total production and distribution costs for the alumni magazine for your institution in the survey year?

An alumni magazine is any regularly printed magazine that is sent to the majority of your alumni.

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.

Donor newsletters, e-newsletters and departmental newsletters should not be included.

H-8 to H-11. How many full-time equivalent (FTE) staff worked...

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.

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.

H-8. How many full-time equivalent (FTE) staff worked mainly on fundraising at your institution in the survey year?

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.

H-9. How many of the fundraising staff reported in H-8: (Optional Question)

H-9.1. were directly involved in working with alumni, corporates, friends of the institutions and others to raise funds?

H-9.2. played a supporting role in raising funds?

For the subset of staff who worked mainly on fundraising at your institution in (year), how many of these were directly involved in working with alumni, corporates, friends of the institutions and others to raise funds? How many of these staff played a supporting role in raising funds?

Roles that might be directly involved in raising funds could include: major gift officers/managers, principal gift managers/directors, annual giving staff or telephone callers. For the purposes of this question, those in support roles would include staff with a focus on related activities such as donor relations, prospect research, gift processing, database administration, fundraising events management or communications.

H-10. How many full-time equivalent (FTE) staff worked mainly on alumni relations at your institution in the survey year?

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

H-11. How many of the alumni relations staff reported in H-10: (Optional Question)

H-11.1. were directly involved in working with alumni to engage them through participation in alumni programs and/or volunteering their time to the institution?

H-11.2. played a supporting role in engagement programs?

For the subset of staff who worked mainly on alumni relations at your institution in (year), how many of these were directly involved in working with alumni to engage them through participation in alumni programs and/or volunteering their time to the institution? How many of these staff played a supporting role in your engagement programs?

Roles that might be directly involved in engagement would be alumni relations officers/managers/directors etc. For the purposes of this question, those in support roles would include staff with a focus on related activities such as marketing, communications, administration, events management, data management or analysis. Please note, staff working on all forms of cultivating giving from alumni should be captured as part of the fundraising question above.

H-12. What was the total institutional expenditure in the survey year?

This refers to the total expenditure of the institution, not just fundraising expenditure.

SECTION I: Survey Sign-off and Data Sharing Agreement (DSA)

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

I-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.

I-2: Data Sharing Agreement REQUIRED*

This question contains the text of the DSA. **Appendix A** (of this document) contains the entire text of the DSA for your reference.

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

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 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.

I-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 your time to complete it.

If you need to amend any answers after you have submitted the survey OR if you have any other questions, please email fsouth@case.org.

Appendix A

Data Sharing Agreement: CASE Support of Education Survey, Australia and New Zealand, 2023 (REQUIRED)*

Between Council for Advancement and Support of Education - Asia Pacific (“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 Support of Education Survey, Australia and New Zealand (previously called Charitable Giving to Universities in Australia and New Zealand Survey).

Database means that database comprising disaggregated questionnaire responses and information provided by Sharing Institutions and the data and information contained therein since 2006.

Sharing Institution means an institution that has agreed to the terms contained in this Agreement.

Survey means CASE Support of Education Survey, Australia and New Zealand 2023 (previously called Charitable Giving to Universities in Australia and New Zealand Survey) conducted by CASE.

Tool means the online reporting tool accessible at the website address notified by CASE to the Institution providing access to the Database.

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;

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 The Institution shall procure that the obligations in clause 3.1 are observed by its employees.

3.3 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.

3.4 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.

3.5 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).

3.6 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.

3.7 The provisions of this clause 3 shall be deemed effective from the signing date in the calendar year of signature shall remain in full force and effect thereafter.

4 DURATION AND TERMINATION

Once signed, this Agreement shall come into force on the date of 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 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 Australian law.

Name of institution:

First Name:

Last Name:

Position:

Date: