



# **Survey for Active Campaigns: Guidance Document**

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## About CASE-Marts&Lundy CampaignSource

CampaignSource encompasses two global surveys on educational fundraising campaigns and associated data and reports. CampaignSource provides benchmarking data on “comprehensive campaigns” (or “capital campaigns”) that extend over multiple years, raise funds for a variety of purposes which may include unrestricted operating support, scholarships, faculty support, academic programs, building construction or renovation, endowment, or other strategic priorities of the institution. The survey is not intended for special purpose campaigns (e.g., initiatives to raise funds for an individual building or a specific program).

CampaignSource surveys are intended to provide insights into published campaign goals and outcomes, the compositions of campaign donor populations, campaign purposes, and other data and information to help institutions understand campaign impacts and frame plans and strategy for future campaigns.

CampaignSource surveys are aligned with the “Guidelines for Campaign Management” and other rules from the [CASE Global Reporting Standards](#) (“CASE Global Standards”). Campaigns’ counting policies may predate the publication of the CASE Global Standards and campaign goals may include securing funds that are excluding from counting by the CASE Global Standards but are, nonetheless, important in advancing campaign purposes.

To ensure that CampaignSource data is 1) comparable from institution to institution in keeping 2) aligned with the CASE Global Standards and 3) accurately reflects published campaign goals and outcomes, CampaignSource surveys break out data into New Campaign Funds Committed, including outright gifts, pledges, bequests and other funds reported in accordance with the CASE Global Standards, and a separate section on Other Campaign Funds that might include sponsored research, gifts of intellectual property, bequests from donors under the age of 65 and other funds counted as part of the campaign but excluded from New Funds Committed.

CampaignSource surveys collect data at two points in the campaign cycle: at public launch and upon completion of the campaign.

The surveys collect information on:

- Institutional characteristics, campaign policies, and goals
- The value and sources of outright gifts and pledges, planned gifts, and bequests countable under the CASE Global Standards.
- Counts of donors by type (based on hard and soft credit)
- The value of other campaign funds, not included in New Funds Committed that the institution is including in its announced campaign goals and totals.
- Staffing counts and campaign expenditures
- Uses and designations of New Funds Committed (for completed campaigns).

Aggregate findings from CampaignSource surveys will be published in periodic reports, and available to CASE members in AMAtlas Data Miner along with data from other AMAtlas surveys including the Alumni Engagement Metrics, Voluntary Support of Education, CASE-CCAE Support of Education, CASE-Ross Support of Education, and CASE Support of Education: Australia and New Zealand.

Thanks to [Marts&Lundy](#) for its generous support of the CampaignSource surveys and reports.

## Survey for Active Campaigns

The survey for Active Campaigns collects data on New Funds Committed including bequests/legacies, donor counts, and other campaign funds raised throughout the quiet phase of the campaign beginning with the start of the campaign's counting period up until public launch. The quiet phase (also known as leadership, pre-public or planning phase) is a period during which pace-setting gifts are sought from the individuals and organizations closest to the institution. The public phase (also known as the "active" phase) begins when the campaign is announced to the community and stakeholders. This is also when the official public marketing and reporting happen. Donor counts and values of funds raised reported in the survey should correspond to those in reports issued at the start of the public phase.

Survey participants are encouraged to submit complete data.

## Principles

CampaignSource data is fully transparent and aligned with the CASE Global Reporting Standards including these fundamental principles:

- Count only gifts and pledges in campaign totals that are received or committed during the period of time identified for the campaign.
- The quiet phase of a campaign is always a part of the designated campaign period. Report commitments (including pledges) received during the quiet phase as part of the campaign.
- Count each gift or pledge in only one campaign. In other words, a pledge made, but not fulfilled, during one campaign should not have the balance counted in a new campaign. Do not count payments received on pledges made prior to the current campaign, including those made between campaigns.

See the *CASE Global Reporting Standards* Chapter 7 "Guidelines for Campaign Management" for additional guidance on campaign counting and reporting.

## Section 1: Institution Characteristics and Campaign Policies

### Institutional Characteristics

1.A.1 Throughout this survey report all monetary values in your institution's home currency. CASE will convert currencies for use in published reports. Identify currency using the three-letter ISO 4217 currency code (e.g., USD, CAD, GBP, EUR, AUD, NZD, MXN). Currency codes can be found online on multiple websites.

1.A.2 Select the category which best describes your institution. Data Miner will include Carnegie classifications for U.S. institutions.

1.A.3 Report the value of all institutional expenditures for the last fiscal year completed during the quiet phase of the campaign. Include expenditures for instruction, research, public service, academic support, student services, bursaries/student financial aid, operation and maintenance of physical plant, and others. Institutions that have separate alumni associations and/or institutionally related fundraising foundations should include the expenditures of these affiliated entities.

Exclude Auxiliary Enterprises. Enterprises (e.g., bookstores, hospital services, independently managed housing, etc.).

If you participate in the CASE Voluntary Support of Education (VSE) survey, this figure aligns with the expenditures figure submitted in section 2.4 of the VSE survey.

**1.A.4 Endowment Market Value:** Report the value of the institution’s endowment at the end of the most recent fiscal year completed during the quiet phase of the campaign. “Endowment” generally describes a fund established at an institution to support projects, programs, or activities over an extended period. Endowment may include “true endowment,” “term endowment,” and “quasi endowment” (funds functioning as endowment or board designated as endowment). This corresponds to section 2.3 of the VSE survey.

**1.A.5 Clinical Medicine:** Hospitals and other clinical medicine programs can have a significant impact on fundraising. Indicate if your institution is engaged in clinical medicine. Do not include veterinary hospitals.

## Alumni

For this survey “alumni” are defined in keeping with the CASE Global Standards and CASE’s [Alumni Engagement Metrics](#) Survey as former students of the institution. This population includes diploma, degree, and certificate recipients, individuals who completed some courses but did not receive a credential, current students who previously received a credential but are currently engaged in further study—for example, an individual who received an undergraduate degree and who is currently working on a graduate degree. Alumni may also include honorary graduates (e.g., the only degree from your institution is an honorary one), post-docs, visiting students—such as study abroad students—and any other individual your institution considers an alumnus/a.

**Report alumni counts as of the end of the quiet phase of the campaign.**

**1A.6 Living Alumni** are defined as alumni who are not marked as deceased on your files, whether or not you have contact information.

**1.A.7 Legally Contactable Alumni** are alumni who are not marked as deceased, for whom the institution has a current means of contact (telephone number, email address, or postal mail address), and who do not have a total (for all purposes and by all means) no-contact status. Because of privacy laws that differ by country, individuals may specifically need to provide opt-in consent to allow the institution to be in touch with them. In those cases, only individuals who provided such consent should be counted here as Legally Contactable.

Another way to interpret this definition is that there is nothing that restricts the institution from legally contacting this person because a) the institution has at least one of the three means of contact, b) the person is not marked as fully opted-out, and/or c) the institution would be compliant with applicable law should it contact the individual.

For the purposes of this survey do not count as contactable alumni individuals who you can contact via social media, such as Twitter, Facebook, Instagram, etc. but for whom you do not have a current phone number, email address, or postal address.

## Prior Campaigns

1.A.8 Report the count of previously completed comprehensive campaigns conducted by the institution. “Comprehensive campaigns” (“capital campaigns”) extend over multiple years and raise funds for a variety of purposes which may include unrestricted operating support, scholarships, faculty support, academic programs, building construction or renovation, endowment, or other strategic priorities of the institution. Do not count special purpose campaigns (e.g., initiatives to raise funds for an individual building or a specific program).

1.A.9 Report the total value of funds counted as part of the last comprehensive campaign conducted by the institution.

## Campaign Policies and Goals

1.B.1 **Start of Counting Period:** Report the month and year during which gifts began being counted toward the campaign.

1.B.2 **Public launch:** Report the month and year in which the campaign was publicly launched. This should correspond to the end of quiet phase counting as opposed to the date of campaign launch events.

1.B.3 **End date of the campaign:** Report the month and year in which the campaign is planned to conclude.

1.B.4. **Financial Goal:** Report the campaign’s published financial goal at the beginning of the campaign’s public phase.

1.B.5 **Other Advancement Goals:** Describe other development or engagement goals specified in the campaign plan. Goals might include participation rates for alumni, faculty & staff, parents/grandparents; acquisition of new donors or new qualified prospects; alumni engagement (volunteer, experiential, or communications), or other advancement objectives.

1.B.6 Anticipated **Write Offs:** Report the percentage of pledges that the institution projects it will write off. If your institution did not make such projections leave the question blank.

The following questions are intended to determine the extent to which campaign counting and the data reported in subsequent sections of the survey are counted in compliance with the *CASE Global Reporting Standards*. The new standards were published in March 2021 and many active campaigns will have set policies before that time.

1.B.7-8 **Limits on Pledge Duration:** The *Global Reporting Standards* (7.7) stipulate that any pledge payments scheduled beyond 5 years after the end of a campaign should not be included in the campaign’s count of funds. Please indicate if the institution’s campaign counting policy conforms to the Standards. If not, and if your campaign policies include an alternate duration that pledge payments will be counted after the end of the campaign, please describe the institution’s counting policy.

1.B.9-10 **Bequest/Legacy Commitments:** The *CASE Global Reporting Standards (7.9.3)* exclude revocable bequest/legacy intentions from donors who will not be 65 years of age or older by the end of the campaign. When the age of the donor is unknown, a bequest / legacy intention should not be counted in campaign totals until the qualifying age is validated. Qualifying bequest/legacy commitments should be counted at face value. Please indicate if the institution's campaign counting policy conforms to the Standards. If not please describe the institution's counting policy.

1.B.11-12 **Exceptions to the Campaign Counting Period:** While it is generally discouraged to count gifts outside of the prescribed campaign counting period, the Standards indicate that in select circumstances exception might be warranted. Best practice would be for any such exceptions to be approved by the campaign committee or a select institutional leader as prescribed in the campaign plan or campaign counting policies. If your campaign counts include gifts or commitments made prior to the start of the campaign counting period, please report the value of those funds. See *CASE Global Reporting Standards 7.9.1*.

1.B.13 Report the value of funds raised during the quiet phase of the campaign as announced at the time of public launch.

## Section 2: Campaign New Funds Committed and Donor Counts

This section asks for counts of donors and the value of new funds committed in conformity with the *CASE Global Reporting Standards (4.1 and 7.9)*. Given that campaign counting policies may pre-date The CASE Global Standards and that some campaigns may include goals for funds that are not countable under the Standards, the value of Campaign New Funds Committed may not equal the value of announced campaign totals.

Section 3 of this survey (Other Campaign Funds) collects data on other funds that are excluded from counting by the CASE Global Standards, but that institutions included in their campaign goals and reports. The value of Total Campaign Funds Committed 2.3.4) and Other Campaign Funds in section 3 should equal the total funds raised as announced at the campaign's conclusion.

In this section only count gifts that conform to the Reporting Standards and that would be counted in AMAtlas fundraising surveys include the Voluntary Support of Education Survey, CASE-Ross Support of Education Survey, CASE-CCAE Support of Education Survey, and CASE Support of Education Survey: (Australia and New Zealand).

### Donor Counts and Campaign New Funds Committed

Sections 2.1 and 2.2 ask for **counts of donors and New Funds Committed** within the quiet phase counting period. Donor counts and valuations of new funds committed by source should reflect donors who received either legal credit, hard credit, direct contribution credit, soft credit, or recognition credit. Counts in this section may be duplicated; donors and gift values can be reported in all applicable categories for individual donors (alumni, parents/grandparents, faculty/staff, governing board members, and volunteers).

#### Campaign New Funds Committed

Report the value of outright gifts, pledges, and irrevocable planned gifts committed by source.

Pledges should be reported at face value and payable within the campaign period and for up to five years beyond the campaign end date. The value of pledge payments receivable more than five years after the conclusion of the campaign and included in announced campaign totals should be reported in Other Campaign Funds.

Do not include conditional pledges where conditions may not be met by the institution, until such time that it is anticipated the conditions will be met. For example, if a pledge for construction of a new building is conditioned on the institution securing a matched amount of funding for the project within a set time frame the conditional pledge should not be counted until the institution has fulfilled the terms of the match.

Exclude:

- The value of pledge payments scheduled to be received beyond five years after the end of the campaign.
- Payments on pledges counted in a prior campaign and funds from realized bequests made prior to the start of the campaign reporting period.
- Revocable planned gift commitments including bequest/legacy intentions. Counts and values of bequest/legacy commitments are collected and reported separately.
- Gifts of intellectual property
- The value of contracted research
- The value of government grants
- The value of other funds that do not meet the definition of educational philanthropy
- The value of volunteer services

See CASE Global Standards 4.1 for a detailed discussion of New Funds Committed.

## Donor Categories/Sources of Funds

Note that the survey asks for counts of donors, not individual gifts. If a donor made multiple gifts in the course of the campaign counting period only count them as one donor in the appropriate category or categories along with the total value of their gifts and commitments

Examples:

- An alumna donor who is also a volunteer would be counted as a donor in both alumni and volunteer categories and the value of her commitment(s) would be counted in both categories.
- Funds contributed by an alumnus who is also a parent of a current student and directed a gift to be made via a family foundation would be counted in alumni giving **and** parent giving, and the donor would be counted in both categories. The funds would not be counted in foundation giving.

## Individual Donors

2.1.1-2.1.4 Report the value of funds attributed to the various categories of individual donors and counts of associated donors.

- **Alumni:** are defined as former students of the institution. This population includes graduates of the institution who received a diploma, degree or multiple degrees, certificate, or award. It also includes individuals who completed at least one term or semester or at least one degree-credit course in a degree granting program, and honorary graduates, post-doctoral students, visiting students, and other individuals your institution considers alumni.
- **Parents/Grandparents** include parents and grandparents and guardians of current or former students.
- **Faculty and Staff** include all individuals employed by the institution as faculty or staff.
- **Other Individuals** include all individual donors not reported in one of the above categories.

### Volunteers

2.1.5-2.1.6 Report the value of funds attributed to volunteers and counts of associated donors. Donor counts and value of funds reported here should be a subset of donors and funds reported in 2.A.1 through 2.A.4.

- **Governing Board Members:** Include individuals who served on the institution’s governing board or the board of the institution’s institutionally affiliated foundation board at some point during the campaign reporting period.
- **All Volunteers:** For this survey “volunteers” are defined in accordance with CASE’s Alumni Engagement Metrics including individuals who serve in “formally defined and rewarding volunteer roles that are endorsed by and valued by the institution.” These would include:
  - governing or advisory board members
  - volunteer fundraisers, such as class agents/gift officers, major gift solicitation volunteers, online ambassadors
  - officers (e.g., chair, deputy chair, treasurer, secretary) in a group that is endorsed by the institution
  - activity/event host or organizer
  - individuals involved in student recruitment activities
  - career mentors
  - public advocates
  - classroom and/or commencement speakers (that are unpaid)
  - social media (blog, Instagram, Twitter, etc.) ‘take-over’ volunteers
  - Other volunteer roles that meet the definition as noted above.

### Organizational Donors

2.2.1-2.2.3 Report the value of funds contributed by different categories of organizational donors and counts of associated donors.

### Foundations

This category includes personal and family foundations, community foundations, and other foundations and trusts that are private, tax-exempt entities operated exclusively for charitable purposes.

- Personal and family foundations are established, and continue to operate, as conduits for charitable donations of an individual or members of a family.

- Community foundations typically have numerous donors and are structured as an amalgamation of grant making endowed funds.
- Other foundations and trusts include private foundations and charitable trusts that are not affiliated with a corporation and that make grants as their principal activity. These include most of the major private foundations that are not family foundations.

Company-sponsored foundations fall under Corporations and are excluded.

Donor-advised funds not held by community foundations are also excluded. Count donor-advised fund contributions as from a foundation only if they come from a community foundation and country-specific giving entities such as Australia's Private and Public Ancillary Funds. Otherwise, count them in the Other Organizations category.

Note that many gift-making organizations use the word foundation in their names (e.g., the National Foundation for Cancer Research) but have active fundraising programs and receive contributions from many sources. When they make grants, they are considered public grantmaking charities and are reported in Other Donors.

See CASE Global Standards 5.2.4 for additional guidance.

### Corporations

This category includes corporations, businesses, partnerships, and cooperatives organized for profit-making purposes, including corporations owned by individuals and families and other closely held companies. This category also includes company-sponsored foundations which have been created by business corporations and funded exclusively by their companies.

Contributions made by individuals through payroll deduction and transmitted to the institution from the individual's employer, should be credited to the individual.

Matching gifts: Count gifts made by businesses that match the voluntary contributions of employees or other participants as coming from the business or organization that made the payment rather than from the individual whose gift was matched. This is likewise the case for matching gifts made through a company-sponsored foundation or unaffiliated contracted third-party. You may elect to provide credit for recognition purposes only (soft credit) to the individual whose initial gift created the match.

See CASE Global Standards 5.2.3 for additional guidance.

### Other Organizations

The organizations considered Other include entities formed by a group of cooperating donors, such as individuals, institutions, or organizations, for facilitating their fundraising activities. Examples of fundraising consortia include the United Negro College Fund, the Virginia Council of Independent Colleges, the United Way, Rotary International, sororities and fraternities, and combined fund drives.

Distributions from donor-advised funds (DAF) are also credited to Other Organizations. For DAFs managed by the institution, only count distributions to the institution itself and not contributions to the fund.

Giving circles form to give money collectively to selected charitable entities. Participants pool their resources and select recipients. Gifts from a giving circle are recorded under Other Organizations if there is a check or other transfer in the name of the giving circle, except when the giving circle is affiliated with the institution. If the giving circle is formed of alumni for the benefit of the institution, gifts are then recorded under Alumni consistent with policies about gifts via an alumni association.

In some cases, it is permissible to report proceeds from external auction/event activities under Other Organizations. While these standards require counting gifts in the donor category reflecting the last entity with control of the funds, an organization may not have the resources to individually record the many donations involved in the case of an auction or external event.

For charity auctions, there are two possible gifts associated with each auction transaction; the item contributed for auction and funds received from the successful bidder in excess of the fair market value of the gift. Institutions that conduct auctions and other fundraising events independently of the development accounting system, along with those that do not have the wherewithal to handle the volume of gift entry, may report the net proceeds of such events in the Other Organizations category.

See CASE Global Standards 5.2.6 for additional guidance.

## Total Campaign Funds Committed

2.3.1 Report the value and count of documented new revocable bequest and legacy commitments made during the campaign counting period. Only counts bequests/legacies made by donors who will be age 65 or older by the end of the campaign. Bequests made by younger donors that are counted as part of your campaign should be reported as Other Campaign Funds in Section 3 of the survey.

Bequest/legacy commitments should be counted at face value. If your institution values bequest/legacy commitments in a different manner report them in section 3 of the survey.

2.3.2 Report the value and number of new irrevocable planned gifts secured during the quiet phase of the campaign. See *CASE Global Reporting Standards US 3.5* for a discussion of various types of irrevocable planned gifts.

US institutions should report irrevocable planned gifts/future commitments at present-value. CASE offers a free present-value gift calculator at <https://www.case.org/resources/voluntary-support-education-vse-survey-help>.

2.3.3 Report the value and number of outright gifts and pledges secured during the quiet phase of the campaign. This should equal the unduplicated value of new funds committed exclusive of bequest/legacies and irrevocable planned gifts. As noted above only count pledges at their duration up to five years after the duration of the campaign. The value of pledge payments receivable more than five years after the conclusion of the campaign and included in announced campaign totals should be reported in Other Campaign Funds.

2.3.4 Report the total value of new funds committed, inclusive of bequests/legacies and irrevocable planned gifts counted during the quiet phase of the campaign. This value along with the value of any Other Campaign Funds reported in Section 3 should equal the total announced value of funds raised during the quiet phase.

## Unduplicated Counts of Donors and Total New Funds Committed

This section asks for unduplicated counts of donors and associated values of gifts and pledges. Counts may be based on legal credit, hard credit, direct contribution credit, soft credit, or recognition credit but donors and funds should only be counted once among Individual or Organization donors. If a donor made multiple gifts/pledges during the campaign counting period only count the donor once but report the value of their total giving.

2.4.1 Total Individual Donors: Provide an unduplicated count of all individual donors, who made gifts, irrevocable planned gifts, or pledges within the campaign's quiet phase and the value of New Funds Committed.

2.4.2 Total Organization Donors: Provide an unduplicated count of all organizational donors (foundations, corporations, other organizations) that made gifts within the quiet phase of the campaign and the value of funds contributed.

2.4.3 Provide a count of first-time donors who made gift or commitments during the quiet phase of the campaign.

## Section 3: Other Campaign Funds: Intellectual Property, Sponsored Research, and Other Contributions Excluded from New Funds Committed

The campaign planning process affords institutions an opportunity to collectively envision a desired future, build consensus around strategic priorities and objectives, and share these with a wide range of constituents. While campaigns are typically focused on raising philanthropic support, they can also help to position the institution to attract sponsored research, governmental grants, or contributions of intellectual property and institutions may include securing non-philanthropic revenue among the goals of a campaign. For example, a campaign plan focused on securing gifts for a major disease research center might also include goals to increase sponsored research on the disease. Corporate donors to a campaign may supplement cash gifts with contributions of intellectual property. This section of the survey collects data on the value of resources secured and counted in the campaign that the CASE Global Standards exclude from counting in New Funds Committed.

**If your institution did not count any of the following towards the campaign, please leave this section blank.**

Other Campaign Funds includes contributions excluded from counting by the CASE Global Reporting Standards, but which individual institutions include in their campaign reports.

In this section report the value of all funds counted by the institution in published campaign reports (at public launch) excluding Campaign New Funds Committed as reported in Section 2 above. The total unduplicated value of New Funds Committed reported in 2.3.4 and the total of Other Campaign Funds should equal the value of campaign funds published in campaign reports.

3.1.1 Report the value of bequest commitments counted in the campaign but excluded from philanthropic counts in Section 2 of the survey (e.g., bequest commitments from donors who were or

will not be 65 years of age or older before the end of the campaign or bequests not counted at face value.)

3.1.2 Report the value of pledges counted in the campaign but excluded from philanthropic counts in Section 2 of the survey (e.g., pledge payments scheduled to be received more than 5 years after the completion of the campaign).

3.1.3 Report the value of contributions to institution sponsored donor advised funds that were not distributed to the institution during the quiet phase of the campaign.

3.1.4 Report the value of intellectual property, such as software licenses that are counted in the quiet phase of the campaign.

3.1.5 Report the value of contracted/ sponsored research counted toward the campaign goal during the quiet phase of the campaign.

3.1.6 Report the value of other funds not counted in Section 2 but counted as part of the campaign in the quiet phase.

3.1.7 Report the total value of Other Campaign Funds Counted in the quiet phase of the campaign (total of 3.1.1-3.1.6) This value, plus the value of Campaign New Funds Committed (2.3.4), should equal the total value of announced funds raised during the quiet phase of the campaign.

## Section 4: Advancement Staffing and Campaign Budget

### Advancement Staffing

CampaignSource survey collects data on overall institution advancement staffing as well as data on campaign-specific staffing and expenditures.

4.1: Report counts of full-time equivalent advancement staff positions at the institution at the end of the most recent fiscal year concluded prior to the end of the quiet phase/public launch.

Staff position FTE counts should be broken down by five functional areas: Advancement Management, Advancement Services, Alumni Relations, Communications & Marketing, Development/Fundraising.

Unfilled, but budgeted positions should be included in counts.

Depending on the institution's structure advancement staff may be distributed across multiple divisions or administrative units and paid for out of multiple budgets. Fundraising and alumni relations staff may be divided between an institution, an affiliated foundation, and an alumni association or embedded in and paid for by individual academic units.

The objective for this section to provide a comprehensive count of professional staff devoted to alumni relations, development/fundraising, advancement-related communications, and marketing, and administrative and other positions that contribute directly to advancement for the institution as a whole or a unit thereof.

Do not include the institution president/vice chancellor, head of school or other academic administrators who fundraise as part of their leadership duties. Do not include administrative staff who

provide occasional support for fundraising events but for whom advancement functions are not a core component of their job (e.g., a dean's assistant who provides occasional support for fundraising events would not be included).

Do not include volunteers.

Calculating staffing and investments for advancement communications and marketing often proves particularly challenging. Some integrated advancement programs include dedicated marketing and communications divisions supporting alumni relations and fundraising. At many institutions, however, alumni relations and fundraising programs rely on support from separate institutional marketing and communications departments responsible for a wide range of institutional branding and external relations functions. For this survey institutions should, to the best of their ability, report counts of marketing and communications staff that primarily and directly support alumni relations, fundraising/development, campaigns work, and donor stewardship functions.

### **Advancement staff counts correspond to those collected in the Voluntary Support of Education Survey and the Core Metrics Surveys.**

#### Functional Areas

Advancement staffing counts should be broken down by four functional areas.

4.1.1 Report FTE counts of **Advancement Management staff**: Include the Chief Advancement Officer and Executive Administrative Staff and administrative or operations staff who are part of the advancement team but are not counted in the following categories. This might include office managers, advancement events staff, talent management staff who work as part of the advancement team, and stewardship staff.

4.1.2 Report FTE counts of **Advancement Services** staff whose functions include database management, reporting, prospect research, donor relations, and gift processing.

4.1.3 Report FTE counts of **Alumni Relations** staff. The primary purpose of this activity is to build long-term relationships with alumni to develop champions of the institution's mission, enhance participation in the institution's activities, and enhance alumni financial support. Include alumni relations staff employed by independent alumni associations or administered programs, independent alumni associations, and programs administered by academic units.

4.1.4 Report FTE counts of **Communications and Marketing** staff. The primary purpose of this activity is to keep the institution's external audiences informed of activities, achievements, and priorities to build public support. Expenditures specifically dedicated instead to Alumni Relations or Development should be counted under those categories. For the Philanthropy Core Metrics survey report expenditures and staff counts only for communications and marketing functions directly supporting alumni relations and development (see note below).

4.1.5 Report FTE counts of **Development/Fundraising** staff. The primary purpose of this activity is to secure philanthropic gifts in support of the institution. Counts of development staff should include positions focused on annual fund/regular giving, major/principal gifts, planned/legacy giving, corporate and foundation relations, central development, college-based development, and campaign management

regardless of whether they are employed in a central advancement department, an affiliated foundation, academic units, athletic associations, or other affiliated organizations. Administrative or clerical staff who work exclusively in support of fundraising would also be counted here.

## Campaign Expenditures

4.2 If your institution had a dedicated annual campaign budget or used external counsel or consultants in addition to regular advancement staff, please report campaign expenditures, including expenditures for consultants and external contractors who provide guidance or support for campaign planning, communications and marketing, and events, as well as other campaign-specific costs for the last fiscal year completed during the silent phase of the campaign.

## Appendix: Definition of Educational Philanthropy and Exclusions from Counting

### Definition of Educational Philanthropy

Educational philanthropy is the voluntary act of providing private financial support to nonprofit educational institutions. To be categorized as philanthropy in keeping with CASE Global Standards, such financial support must be provided for the sole purpose of benefiting the institution's mission and its social impact, without the expressed or implied expectation that the donor will receive anything more than recognition as the result of such support.

### Exclusions

The following section outlines criteria for excluding revenues from counts of philanthropic funds, descriptions of transactions which may combine countable philanthropic elements and portions which convey benefits to the donor that should be excluded, and a list of specific types of revenue that are categorically excluded.

### Counting Exclusions

If any one of the following exclusion criteria apply, the whole of the funding associated with an agreement becomes ineligible for inclusion in Funds Received or New Funds Committed reported in the Core Metrics 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.

1. **Contractual Relationship:** A contract exists between the two parties that commits the recipient institution to provide an economic benefit for compensation, where the agreement is binding and creates a tangible benefit between the recipient institution and the funder. Contract income, including income for clinical trials, is ineligible.
2. **Exclusive Information:** The funder is entitled to receive exclusive information, or other privileged access to data or results emerging from the program or activity.
3. **Exclusive Publication:** The funder is entitled to receive exclusive information, or other privileged access to data or results emerging from the program or activity.

4. **Consultancy Included:** Consultancy for the funder or a linked organization is included as part of the agreement.
5. **Intellectual Property Rights:** The agreement assigns to the funder any full or partial commercial rights to intellectual property which may result from the program or 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 subsequent commercial opportunities. If the written agreement includes any actual *or potential future* commercial benefit of this kind, it must be excluded.
6. **Other forms of financial benefit:** Any other direct financial benefits required by the funder as a condition of the funding (e.g., discounted courses, training etc.).

#### Partial Exclusions Stemming from Tangible Donor Benefits (Quid Pro Quo Contributions)

- **Seating considerations:** Some institutions provide donors with special access to seating as a result of their gifts. Examples include the opportunity to purchase preferential entrance or seating for arts or athletics events. While the opportunity to purchase tickets in advance of the general public or in a more favorable location has some intrinsic value, it may not be clearly or easily quantifiable. In such cases the gift may be counted. When the value of benefits is known, institutions should reduce the value of the gift accordingly. Benefits may include the following: the fair market value of meals, reserved parking, access to special events, advertising, or seat licenses. A donor may refuse all benefits when making the gift to avoid any reduction in value.
- **Fundraising Events:** Some institutions raise philanthropic support through fundraising events. These events are set apart from cultivation or stewardship events because they have a philanthropic goal directly associated with them. When the value of benefits is known, institutions should reduce the value of the gift accordingly. These benefits may include the following: the fair market value of event tickets, meals, or reserved parking. A donor may refuse all benefits when making the gift to avoid any reduction in value.
- **Dues and membership programs:** Report only the amount of the dues/membership fees that exceeds the value of benefits the individual alumna/us receives from the institution in return for the dues. Any monies that exceed the dues payment are counted in the Core Metrics.
- **Stewardship Gifts and other Insubstantial Benefits:** Institutions often give donors token items such as bookmarks, key chains, mugs, or tee shirts that are not considered “substantial benefits.” Consult with your region’s charitable regulations for definitions and current threshold amounts for insubstantial benefits.

Following are some examples of quid pro quo contributions:

- A donor gives an institution \$100 in exchange for an event ticket with a fair market value of \$40. The \$60 is the maximum amount to be counted for CASE reporting purposes.
- A donor gives an institution \$1,000 and becomes eligible to receive two tickets to an annual donor recognition dinner for all \$1,000-plus donors. The fair market value of the dinner is \$100 per person. The value of the gift is \$800 unless the donor refuses the benefit at the time of solicitation.

## Corporate Sponsorships

Corporations and other organizations often give money to institutions to sponsor activities, events, or projects and in return receive recognition on campus, at the event, or in accompanying publications.

The main consideration that determines whether the payment is a gift is whether the recognition the corporation receives constitutes advertising. Rules regarding sponsorship and the definition of advertising differ from country to country. Survey respondents should count sponsorships in keeping with the current prevailing standards applicable to their regions.

## Other Exclusions

The following are also excluded from counts of philanthropic funds committed.

- Contributed services (Some accounting standards may recognize certain contributions of professional services as assets to an institution. Contributions of such services are not charitable contributions and are excluded from CASE AMAtlas survey reporting.)
- Investment earnings on gifts except interest accumulations counted in guaranteed investment instruments that mature within the reporting year, such as zero-coupon bonds.
- Software (with the exception of software that has been exclusively developed/highly customized for the institution)
- Exclusivity payments (funds received as a result of exclusive vendor relationships, such as pouring rights agreements).
- Merchandise Sale (unless the merchandise is sold as part of a fundraising program and the charitable portion of the transaction is clearly identified)
- Ticket sold at fair market value
- Raffle revenue
- Royalties from affinity agreements
- Tax on the purchase of goods
- Tuition payments.