



CASE-Marts&Lundy  
CampaignSource  
Survey



Marts&Lundy

# Survey for Active Campaigns: Guidance Document

December 16,2021

Contents

Contents ..... 2

About CASE-Marts&Lundy CampaignSource ..... 4

Survey for Active Campaigns ..... 5

Principles Regarding Campaigns ..... 5

Section 1: Institution Characteristics ..... 6

    1.1. Contact information..... 6

    1.2. Institution Type ..... 6

    1.3. Institutional Statistics..... 7

Section 2 Campaign background..... 9

    2.1 Identifying campaign..... 9

    2.2 Past Campaigns ..... **Error! Bookmark not defined.**

    2.3 Campaign Timeline..... **Error! Bookmark not defined.**

    2.4 Campaign Goals ..... 10

        2.4.6 Does the campaign have specific goals for any of the following..... 10

    2.5 Campaign policies ..... 11

        Pledges ..... 11

        Bequests/Legacy intentions ..... 11

    2.6 Campaign Counting Timeline ..... 11

Section 3: New Funds Committed and Donor Counts in an Active Campaign ..... 12

    Donor Counts and Campaign New Funds Committed in an Active Campaign ..... 12

    New Funds Committed During a Campaign..... 12

    Donor Categories/Sources of Funds ..... 13

    3.1 Individuals: Recognition Credit **(Required)**..... 13

    3.2 Organizations (required)..... 15

        Organizational Donors ..... 15

    3.3 Total Bequest / Legacy Intentions Committed during the Campaigns ..... 17

    3.4 Unduplicated donor counts / hard credit counts (required) ..... 17

Section 4: Other Campaign Funds: Intellectual Property, Sponsored Research, and Other Contributions Excluded from New Funds Committed ..... 18

    4.1 Other Funds Counted Towards a Campaign ..... 18

Section 5 Advancement Staffing and Budget ..... 20

    Advancement Staffing..... 20

    5.1 Advancement Staffing (required) ..... 20

Functional Areas ..... 21

5.2 Campaign Expenditures ..... 22

Appendix: Definitions and Exclusions from Counting..... 22

    Definition of Educational Philanthropy..... 22

    Definition of New Funds Committed ..... 23

    Exclusions..... 23

        Counting Exclusions ..... 23

        Partial Exclusions Stemming from Tangible Donor Benefits (Quid Pro Quo Contributions) ..... 24

        Corporate Sponsorships..... 24

        Other Exclusions..... 24

### About CASE-Marts&Lundy CampaignSource

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 Standards and campaign goals may include securing funds that are excluded from counting by the CASE Standards but are, nonetheless, important in advancing campaign purposes.

To ensure that CampaignSource data is 1) comparable from institution to institution 2) aligned with the CASE Standards and 3) accurately reflects published campaign goals and outcomes, CampaignSource surveys break out data into New Funds Committed, including outright gifts, pledges, bequests and other funds reported in accordance with the CASE 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, pledges, bequests, and other gifts countable as “New Funds Committed” under the CASE Standards (based on hard and soft credit)
- 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 counting as part of its campaign
- Staffing counts and campaign expenditures

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 donor counts and funds committed during the quiet / silent phase of the campaign prior to the start public phase. Donor counts and values of funds raised reported in the survey should correspond to those reported at the beginning of the campaign's public launch.

Survey respondents are encouraged to submit complete data to the degree possible.

### Principles Regarding Campaigns

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.

## Survey Overview

- Section 1: Institution Information (Required) - 14 questions (schools) / 12 questions (higher education institutions)
- Section 2: Active Campaign Background - 22 questions (10 required / 8 optional / 4 conditional)
- Section 3: New Funds Committed during an Active Campaign (Required) - 4 questions
- Section 4: Other Campaign Funds (Required) - 1 question
- Section 5: Staffing and Budget - 4 questions (1 required / 3 optional)

## About CampaignSource Survey Reporting Totals

For campaigns completed or entering into the public phase before March 21, 2021 it is expected that your counting policies may not be in alignment with the newest edition of the CASE Global Reporting Standards. A copy of the previous edition [2009 CASE Reporting Standards and Management Guidelines, 4th edition] is included at the end of the digital edition of the CASE Standards.

How reporting totals are calculated in this survey depends upon which version of the standards are being applied.

- Totals = New Funds Committed + Bequest Intentions [CASE Global Reporting Standards (2021)]
- Totals = New Funds Committed + Bequest Intentions + Other Funds Counted [CASE Reporting Standards and Management Guidelines, 4th Edition (2009)]

### Section 1: Institution Information

Some questions are specific to schools or higher education institutions and will only display to those institution types. You may see a jump in question numbers because of this.

#### 1.1. Contact information

##### 1.1.1 Institution Name (Required)

Please enter in the complete name of the institution

##### 1.1.2 Survey Contact First Name (Required)

Please enter in the first name of the person who will be responsible for submitting this data to the CampaignSource Survey.

##### 1.1.3 Survey Contact Last Name (Required)

Please enter in the first name of the person who will be responsible for submitting this data to the CampaignSource Survey.

##### 1.1.4 Survey Contact Email Address (Required)

Please enter in the email address of the person responsible for completing the CampaignSource Survey for Active Campaigns. This is also the address which will receive any additional information or questions about the institution's survey submission. If you wish for additional individuals to receive information and updates about this survey, please contact the AMAtlas team at [campaignsource@case.org](mailto:campaignsource@case.org).

#### 1.2. Institution Type

Select your institution type from the pick list presented.

Independent School

International School

Community College (2-year or further education)

Primarily undergraduate

Combined undergraduate and postgraduate

Professional school (post graduate only)

1.2.1. What ages do you serve? (Required – displays for schools only)

1.2.2 Does your school have a boarding program? Y/N (Required – displays for schools only)

1.2.3 Please select your school type.

Select your choice from the following options:

Girls only

Boys only

Co-educational

1.2.4 Are hospital or medical facility data included in your survey? N/Y (Required – displays for higher education only)

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. Veterinary hospitals are included as Science.

1.2.5 Select the numeral corresponding to the month in which your fiscal year ends. (Required)

1.2.6 Home Currency (Required)

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.

### 1.3. Institutional Statistics

Report figures as whole numbers without decimals.

1.3.1 Total institution expenditures / expenses for the last fiscal year of the quiet/ silent phase of the campaign (required)

Report the value of all institutional expenditures for the most recent fiscal year concluded before the end 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 (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.

1.3.2 Endowment market value at the end of the last fiscal year completed (required)

**Endowment Market Value:** Report the value of the institution’s endowment at the end of the most recent fiscal year concluded before the end of the campaign. “Endowment” generally describes a fund established at an institution to support projects, programs, or activities over an extended period. When reporting the value of institution endowment 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.

### 1.3.3 Enrollment: Total Headcount (Required)

Please provide the total number of students (total headcount, not full-time equivalent) who were enrolled at the beginning of the academic year within the fiscal year reporting period (e.g., fall of 2020 for a 2020-21 fiscal year). All students (except continuing education) are counted: full-time, part-time, resident, extension, nondegree.

Do not convert part-time students to full-time equivalents. Do not provide a rolling headcount for the whole year or just the number of new students registering.

Institutions that complete the CASE Voluntary Support of Education (VSE) survey and CASE Global Alumni Engagement Metrics (AEM) survey are required to report this figure there, as well.

### 1.3.4 Number of legally contactable alumni at the end of the last fiscal year of the quiet / silent phase of the campaign. (required)

For this survey “alumni” are defined in keeping with the CASE 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 campaign.**

##### Alumni categories

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

**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.

## Section 2 Active Campaign background

### 2.1 Campaign Name

2.1.1 What is the name of the active campaign you are currently reporting on? (Required)

### 2.2 Campaign Timeline

2.2.1 Enter the month and year that gifts began being counted toward the campaign. (Required)

Format: mm/yyyy

2.2.2 Enter the month and year of the public launch of the campaign. (Required) Format: mm/yyyy

2.2.3 Enter the month and year in which the campaign is planned to end. (Required)

Format: mmm/yyyy

2.2.4 Enter the month and year in which gifts will no longer be counted towards the campaign.

(Required) Format: mm/yyyy

2.2.5 Was there a transition in the institution's senior most leader during the public phase of the campaign period? Y/N

If yes, describe the transition.

Some examples would include the transition of a president, chancellor or chief advancement officer of the institution. These examples would also include the chief executive officer of a college or university foundation. For schools, this would include the head of school or the highest-ranking advancement officer.

2.2.6 Was the duration of the campaign changed during the quiet/silent phase? Y/N

2.2.7 If yes, please indicate whether the length was increased or decreased and by how many months the duration change?

Please use whole numbers in listing the number of months.

2.2.8 Why was the campaign duration changed?

Examples of when an institution would change the duration of the campaign would be:

- Meeting the campaign goal early
- Changes in institutional leadership
- Changes in the priorities of the campaign
- Unforeseen events – such as the COVID-19 pandemic

2.2.9 Has planning begun for the next campaign? Y/N

## 2.3 Campaign Goals

Report figures as whole numbers without decimals unless otherwise instructed.

2.3.1 What was the announced campaign goal (financial) as of public launch? (required)

Report the campaign’s published financial goal at the beginning of the campaign’s public phase.

2.3.2. Please report the percentage of campaign pledges that the institution projects will have to be written off. (required)

Maximum one decimal place.

Report the percentage of pledges that the institution projects it will write off if your institution has made such projections.

2.3.3 Does the campaign have specific goals for any of the following: (Optional)

Describe other development goals specified in the campaign plan. Goals might include participation rates for alumni, faculty & staff, parents/grandparents, acquisition of new donors, new qualified prospects, or other advancement objectives.

|   | Value of Gifts | Number of Donors/Participants |
|---|----------------|-------------------------------|
| Alumni donors   |                |                               |
| Faculty/staff donors  |                |                               |
| Parent/Grandparent donors   |                |                               |
| Acquisition of new first-time donors  |                |                               |
| New qualified prospects   |                |                               |
| Number of Alumni engaged beyond giving (Value N/A; provide number of participants only) |                |                               |

2.3.4 If the campaign has specific goals not listed above, please note them here. (Optional)

Examples could be international alumni, corporate or community giving.

## 2.4 Campaign policies

### Pledges

2.45.1. Does the campaign counting policy comply with the CASE Global Reporting Standards guidance that pledge payments scheduled to be received more than 5 years after the conclusion of the campaign be excluded from campaign counts? Y/N (required)

The *CASE 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 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.

2.4.2. If no, please state the campaign counting policy with regard to pledges (required)

2.4.3. If the campaign has a different policy regarding the duration of time pledge payments can be counted toward the campaign, please indicate the maximum duration in months for which the pledge payments are counted after the end date of the campaign. (required)

### Bequests/Legacy intentions

2.4.4 In the campaign, are revocable bequests and legacy intentions counted in accordance with the CASE Global Reporting Standards that stipulate that only bequest/legacy intentions from donors who will be age 65 or older by the end of the campaign be included in campaign counts at face value? (required)

The *CASE Global Reporting Standards* 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.

2.4.5 If you answered no, please describe the campaign policy for counting and valuing revocable bequests / legacy intentions? (required)

2.4.6. Does the campaign have a campaign gift acceptance committee to review and vet complex gifts? Y/N (Optional)

## 2.5 Campaign Counting Timeline

2.5.1 Were any gifts/pledges made prior to the start of the quiet / silent phase of the campaign included in new funds committed as reported in section 3 (New Funds Committed) of this survey? Y/N (Required)

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 quiet / silent phase of the campaign counting period, please report the value of those funds.

For additional guidance, see CASE Standards, Section 7.9.1

2.5.2 If yes, please state the beginning of the campaign counting period? (Required)

Enter in the month and year. Format: mm/yyyy

### Section 3: New Funds Committed during an Active Campaign

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 New Funds Committed reported here may not equal announced campaign totals.

Section 4 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 4 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-CCAIE Support of Education Survey, and CASE Support of Education Survey: Australia and New Zealand).

### Donor Counts and Campaign New Funds Committed in an Active Campaign

Questions 3.1 and 3.2 ask for counts of donors and New Funds Committed during with the quiet / silent phase of the campaign 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).

### New Funds Committed During a Campaign

New Funds Committed includes new outright gifts, new documented pledges for up to five years, new irrevocable planned gifts received or committed and new qualified and document bequests/legacy intentions

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. Planned gifts should be reported at present value.

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 addition guidance, see CASE Standards , Section 4.1.

#### Donor Categories/Sources of Funds

Whereas section 3 of this survey collects counts in alignment with the CASE Global Reporting Standards, Section 4 of this survey (Other Campaign Funds) collects data on other funds that are currently excluded from New Funds Committed under the CASE Global Reporting Standards.

For campaigns completing or entering the public phase after March 21,2021 it is expected that your counting policies may not be in alignment with the newest edition of the CASE Global Reporting Standards. A copy of the previous edition [ 2009 CASE Reporting Standards and Management Guidelines, 4<sup>th</sup> edition] is included at the end of the digital edition of the CASE Standards.

#### 3.1 Individuals: Recognition Credit (Required)

(Duplicated Counts/ Soft credit counts)

|                         | Value of Gifts | Number of Donors |
|-------------------------|----------------|------------------|
| Alumni                  |                |                  |
| Parents/Grandparents    |                |                  |
| Faculty/Staff           |                |                  |
| Other Individuals       |                |                  |
| Governing Board Members |                |                  |

Foundation Board Members

Other Volunteers

In this section duplication is expected as donors can fall in many categories. For example, if a donor is a current parent and a trustee, you would count the person in both categories.

For Governing Board Members and Foundation Board Members, include only those who were active during point of the campaign counting period.

This question is required. There should be no blank cells. If you had no gifts from a constituency, enter zeroes in that row.

**Note that the survey asks for counts of donors, not individual gifts.** If a donor made multiple gifts during the quiet / silent phase of 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.

In this section report the value of gifts and the number of donors for the following categories outlined below:

- **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.
- **Governing Board Members** Include individuals who served on the institution's governing board at some point during the campaign reporting period.
- **Foundation Board Members:** include individuals who served on the institutionally related foundation's board at some point during the campaign reporting period
- **Other 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.

### 3.2 Organizations (required)

|                     | Value of Gifts | Number of Donors |
|---------------------|----------------|------------------|
| Foundations         |                |                  |
| Corporations        |                |                  |
| DAFs                |                |                  |
| Other Organizations |                |                  |

#### Organizational Donors

3.2.1 – 3.2.4 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.

### **Donor Advised Funds**

This category includes gifts received from donor advised funds for immediate use by the organization. Do not include funds held but institutionally hosted donor advised funds or contributions made to institutionally held donor advised funds. These funds will be accounted for in Section 4.

See CASE Global Standards 5.1.3 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.

### 3.3 Total New Funds Committed During the Quiet/ Silent Phase (Required)

Enter the value and number of new revocable bequest/legacy intentions, irrevocable planned gifts, and outright / gifts pledges secured during the quiet / silent phase of the campaign.

If your institution does not count these gifts until they are realized, skip this section.

Base donor counts on **legal/hard credit**.

|   | Value of Gifts | Number of Donors |
|---|----------------|------------------|
| Revocable Bequest/Legacy Intentions           |                |                  |
| Irrevocable Planned Gifts (CRUTs, CGAs, etc.) |                |                  |
| Outright Gifts and pledges                    |                |                  |

### 3.4 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 quiet / silent phase of the campaign only count the donor once but report the value of their total giving.

#### 3.4 Unduplicated donor counts / hard credit counts (required)

**For New First Time Donors: provide a count of first-time donors who made gifts or pledges counted during the campaign. Leave the value of gifts blank for New First Time Donors.**

##### 3.4.1

|  | Value of Gifts | Number of Donors |
|--|----------------|------------------|
|--|----------------|------------------|

Total Individual Donors

Total Organization Donors

New First Time Donors

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

Total Organization Donors: Provide an unduplicated count of all organizational donors (foundations, corporations, other organizations) that made gifts during the campaign and the value of New Funds Committed.

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

## Section 4: 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.

This section is for reporting gifts counted during the campaign which fall outside of the newest CASE Global Reporting Standards.

CASE understands that there are many valid reasons why an institution may choose to count these gifts. The importance here is to be transparent with constituencies in your counting policies.

The total from 4.1 combined with bequests/legacy intentions and New Funds Committed should equal the total in 3.3.3 Announced Campaign Grand Total.

For additional guidance, see CASE Standards, section 3.3.

### 4.1 Other Funds Counted Towards a Campaign

Please report in whole numbers with decimals unless otherwise instructed.

This question is required. There should be no blank cells. If you had no gifts in a category, enter zeroes in that row.

|   | Value of Funds | Number of Donors |
|---|----------------|------------------|
| Bequests/Legacy Intentions from Donors under 65 |                |                  |
| Pledges over 5 years                            |                |                  |
| Institutional Donor Advised Fund                |                |                  |
| Intellectual Property                           |                |                  |
| Government Grants                               |                |                  |
| Exclusive Contracts                             |                |                  |
| Contracted / Sponsored research                 |                |                  |
| Other   |                |                  |
| Total   |                |                  |

**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 the conclusion of the campaign excluding New Funds Committed as reported in Section 2 above. The total unduplicated value of New Funds Committed reported in 2.4.4 and the total of Other Campaign Funds should equal the value of campaign funds published in final campaign reports.

Bequests/Legacy Intentions: Report the value of Bequests/legacy intentions 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.)

Pledges: 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).

Donor Advised Funds: Report the value of contributions to institution sponsored donor advised funds that were not distributed to the institution.

Intellectual property: Report the value of intellectual property, such as software licenses that are counted in the campaign.

Pass through grants: Report the value of pass-through grants counted towards the campaign.

Exclusive contracts: Report the value of any exclusive contracts (examples could be pouring rights) counted towards the campaign

Contracted / Sponsored Research: Report the value of contracted/ sponsored research counted toward the campaign goal during the of the campaign.

Other funds: Report the value of any other funds not counted in Section 2 but counted as part of the campaign

## Section 5 Staffing and Budget

### Staffing

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.**

#### 5.1 Advancement Staffing (required)

5.1.1 Total Staff FTE Positions (as of the end of the last fiscal year of the quiet / silent phase of the campaign. Maximum of one decimal place

#### Staff FTEs

Advancement Management

Advancement Services

Alumni Relations

Communications and Marketing

Development/Fundraising

Total

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.

### Functional Areas

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

5.1.1 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.

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

5.1.3 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.

5.1.4 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).

5.1.5 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.

5.1.2 Of the above totals, what number of these staff are dedicated to the campaign? (required)

## 5.2 Campaign Finances

### 5.2.1 Total Campaign Finances (Required)

Report the total campaign expenditures until the last fiscal year of the quiet / silent phase of the campaign. (required)

5.2.2 Did you purchase or upgrade any of the following: (select all that apply) (Optional)

|                           | Purchase / hire | Upgrade |
|---------------------------|-----------------|---------|
| Engagement software       |                 |         |
| CRM system                |                 |         |
| Adding staff              |                 |         |
| Wealth screening          |                 |         |
| Feasibility study         |                 |         |
| External campaign counsel |                 |         |
| Mailing list              |                 |         |

5.2 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 of the quiet / silent phase of the campaign during the silent phase of the campaign.

## Appendix: Definitions 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 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.

### Definition of New Funds Committed

New Funds Committed are new monies and property committed in the reporting year from any individual or qualified organization. This includes new outright gifts, new documented pledges for up to 5 years, new irrevocable planned gifts received or committed, and new qualified and documented bequests / legacy intentions.

### 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 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 because 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 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.