

Sample Survey
FY2011 Higher Education Survey
Section 1. Pledges & Testamentary Commitments (Optional)

A. Outstanding Pledges Report the number and dollar amount of new contributions pledged (unconditionally) during the fiscal year but still outstanding at the end of the fiscal year, regardless of the promised payment date. Do not include pledges made in a previous year. Do not include pledge amounts paid during the reporting year. Pledges (unconditional promises) should not be counted anywhere else in the VSE survey.

	No. of Pledges	Amount \$
1. For current operations		
2. For capital purposes		

B. New Testamentary Commitments Report provisions made in wills (or through revocable trusts) during the fiscal year for which the institution has documentation. Documentation might include a photocopy of the pertinent portion of the will or trust document or a letter describing the commitment and its ultimate financial value to the institution. Do not include provisions that name the institution as a contingent beneficiary. Testamentary commitments (bequest intentions) should not be counted anywhere else in the VSE Survey.

	Number of provisions	Face value of provisions \$	Present value of provisions \$
New Testamentary Commitments			

**Sample Survey
 FY2011 Higher Education Survey
 Section 2. Finances & Enrollment (Required for All Versions)**

This entire section must be filled out in order to be listed in the VSE Report and be eligible for the CASE Award Program.

ENROLLMENT Count enrollment at the beginning of the academic year being reported (i.e., fall of 2004 for the report covering the 2004-05 fiscal year). All students (except continuing education) are counted: full-time, part-time, resident, extension, non-degree. **DO NOT** convert part-time students to full-time equivalents. **FULL-TIME EQUIVALENT ENROLLMENT** Count the FTE enrollment figure as of the beginning of the reporting period, i.e., opening fall FTE enrollment. If the FTE figure is not available, use the formula: the sum of all full-time students plus one-third of the number of part-time students (e.g., three part-time students equal one full-time student). **ENDOWMENT/LONG-TERM INVESTMENTS** Include all the following: - True endowment : funds provided the institution, the principal of which is not expendable by the institution under the terms of the agreement that created the fund. - Term endowment : similar to true endowment except that all or part of the funds may be expended after a stated period or upon the occurrence of a certain event as stated in the terms governing the funds. - Quasi-endowment : funds functioning as endowment - funds given to the institution "with no strings attached" or surplus funds that have been added to the endowment fund, the principal of which may be spent at the discretion of the governing board. Public institutions should include the combined endowment of the foundation and the institution. As a guideline, institutions should enter the amount reported on the NACUBO endowment survey. **EXPENDITURES** Include all expenditures for Instruction, Research, Public service, Academic support, Student services, Institutional support, Scholarships and fellowships, and Operation and maintenance of physical plant. Exclude Auxiliary Enterprises, Hospital Services, and Independent operations. Public institutions should enter the combined expenditures for the foundation and the institution.

	FY2010	FY2011
1. Enrollment - total headcount		
2. Enrollment - full-time equivalent		
3. Endowment market value \$		
4. Expenditures \$		

Notes on Endowment and Expenditures

**Sample Survey
FY2011 Higher Education Survey
Section 2b. Advancement Investment (Optional)**

QUESTION I: In the section below, report expenditures by function. Regardless of how the advancement function is administered (centrally or in a decentralized manner), report the distribution of expenditures by function below. Salaries and benefits should be included in rows 1. and 2. by function, even if they are paid for centrally.

	A. Development/ Fundraising	B. Alumni Relations /Affairs	C. Communications/ Marketing	D. Advancement Services	E. Advancement Management	F. Total Expenditures
1. Salaries						
2. Benefits						
3. Current Operations Expenditures						
4. Capital Expenditures						
5. Total Expenditures						

QUESTION II: In the section below, report the FTEs of paid staff by function. A single employee's time may be spread over several functional areas. This question is for number of staff, not for dollar amounts. Staffing costs go in Question I, rows 1. and 2.

	A. Development/ Fundraising	B. Alumni Relations/Affairs	C. Communications/ Marketing	D. Advancement Services	E. Advancement Management	F. Total Staff
6. Staff (FTE)						

QUESTION III: Use the space below to tell us if your institution is in an active capital campaign this fiscal year, and, if so, the dates of the campaign.

If your institution is in a capital campaign, check here. Then enter the dates of the campaign below.

The silent phase of the campaign started on the following date:

The campaign officially started on the following date:

The campaign ends on the following date:

QUESTION IV: Comments and Notes

Please use this space to enter comments or explanatory notes:

**Sample Survey
 FY2011 Higher Education Survey
 Section 3a. Outright Giving: Current Operations (Full option)**

DO NOT INCLUDE DEFERRED GIFTS IN THIS SECTION. There are three options for completing Section 3: Full, Partial, and Minimal. All forms of the survey count as full participation in the program. So, complete the version where the level of detail corresponds to the level of detail in your records. You might also want to do a shorter version because of time constraints. Please enter 0 where no gift income was received for a particular cell. Every cell below should have a number in it when you are finished.

	A. Alumni	B. Parents	C. Other Individuals	D. Foundations	E. Corporations	F. Religious Organizations	G. Fundraising Consortia	H. Other Organizations	I. TOTAL
1. Unrestricted									
2. Restricted Academic Divs.									
3. Faculty & Staff Compensation									
4. Research									
5. Public Service & Extension									
6. Library									
7. Operation & Maint. of Plant									
8. Student Financial Aid									
9. Athletics									
10. Other Restricted									
11. Total Restricted (2-10)									
12. Total Outright for Curr. Ops. (1&11)									

**Sample Survey
 FY2011 Higher Education Survey
 Section 3b. Outright Giving: Capital Purposes**

Do not include deferred gifts in this section. Please enter 0 where no gift income was received for a particular cell. Every cell below should have a number in it when you are finished! **DO NOT INCLUDE CORPORATE PARTNERSHIPS ANYWHERE ON THE VSE SURVEY. THESE INCLUDE THE PLM SOFTWARE AGREEMENTS AND OTHER SUCH ARRANGEMENTS THROUGH THE PACE PARTNERSHIPS.**

	A. Alumni	B. Parents	C. Other Individuals	D. Foundations	E. Corporations	F. Religious Organizations	G. Fundraising Consortia	H. Other Organizations	I. TOTAL
1. Prop., Build. & Equipment									
2. Endowment - Unrestricted									
3. Endowment - Restricted									
4. Loan Funds									
5. Total Outright for Capital Purposes									

**Sample Survey
FY2011 Higher Education Survey
Section 3c. Deferred Giving**

Please report both Face Value (FV) and Present Value (PV). The Present Value for VSE purposes is defined as the tax deduction to the donor as allowed by the IRS. You must report both. If you find your records do not contain both figures, please contact VSE Support and request help. The survey cannot be accepted without face and present value figures. There is a deferred gift calculator at www.cae.org/vse. This section is only for NEWLY established deferred gifts or gifts that had funds added to them this year. You do not report REALIZED deferred gifts anywhere on this survey. They are reported only when established. Also, do not put pledges or bequest intentions in this section. You can record them in section 1 if you want to keep a record. Please enter 0 where no gift income was received for a particular cell. Every cell below should have a number in it when you are finished.

	A. Alumni - FV	B. Alumni - PV	C. Parents - FV	D. Parents - PV	E. Others - FV	F. Others - PV	G. Total Face Value	H. Total Present Value
1. Endowment - Unrestricted								
2. Endowment - Restricted								
3. Other Purposes								
4. Total Deferred Giving								

**Sample Survey
FY2011 Higher Education Survey
Section 3d. Gift Income Summary**

This summary pulls together total rows from Section 3.a, 3.b, and 3.c. When you enter the data online, this section is filled in automatically. There is no data entry required.

	A. Alumni	B. Parents	C. Other Individuals	D. Foundations	E. Corporations	F. Religious Organizations	G. Fundraising Consortia	H. Other Organizations	I. GRAND TOTAL
1. Total Outright for Current Operations									
2. Total Outright for Capital Purposes									
3. Total Deferred at Present Value									
Official Total Using Present Value									
Total Deferred at Face Value									
Total Using Face Value									

**Sample Survey
FY2011 Higher Education Survey
Section 4a. Additional Details on Section 3 - Individuals**

1. Contributions from Individuals A. Contributions from Individuals for All Purposes Alumni Total - REQUIRED

	No. of Record	No. Solicited	No. Donors	Amount \$
1a. Alumni undergraduate degree or diploma holders				
1b. Alumni graduate only degree or diploma holders				
1c. Alumni without a degree or diploma				
1d. Enter Totals here ONLY if you have left 1a-1c above blank				
1e. Alumni Total				
	No. of Record	No. Solicited	No. Donors	Amount \$
2. Parents				
	No. of Record	No. Solicited	No. Donors	Amount \$
3. Faculty and Staff				
4. Students				
5. All Others not counted in 1-4				
Dollar Total of rows 3-5 above				

**Sample Survey
FY2011 Higher Education Survey**

B. Contributions from Individuals for Current Operations Only

	No. Solicited	No. Donors	Amount \$
1a. Alumni undergraduate degree or diploma holders			
1b. Alumni graduate degree or diploma holders			
1c. Alumni without a degree or diploma			
1d. Enter Totals here ONLY if you have left 1a-1c above blank			
1e. Alumni Curr. Ops. Total			
	No. Solicited	No. Donors	Amount \$
2. Parents			
	No. Solicited	No. Donors	Amount \$
3. Faculty and Staff			
4. Students			
5. All others not counted in 1-4 above			
Dollar Total of rows 3-5 above			

C. Bequests - REQUIRED Include realized bequests, not bequest intentions, which are reported in section 1. Make sure the bequests listed below are also reported in section 3A, 3B, and/or 3C. Bear in mind that most bequests would not appear in 3C. Generally, they are not deferred gifts. In some cases, though, a deferred gift may be established via a will. If any of the reported bequests were reported in 3C, report them below at their present value, not face value.

	No. of Donors	Amount \$
1. Bequests for Current Operations		
2. Bequests for Capital Purposes		
3. Enter Totals here ONLY if you have left lines 1 & 2 above blank		
4. Total Bequests		

**Sample Survey
FY2011 Higher Education Survey**

D. Three Largest Donor Totals from Individuals - REQUIRED. If any of these gifts are deferred gifts, use PRESENT value, not face value.

	Largest \$	2nd Largest \$	3rd Largest \$
1. From living individuals			
2. Through estate settlements (bequests)			

E. Direct Governing Board Giving for All Purposes Include current, emeritus and honorary board members. On row 1 include only gifts that receive legal/hard credit. NEW! Gifts that receive soft credit may be reported on row 2. Remember to report under the dollar amount, the sum of outright gifts plus deferred gifts at PRESENT (discounted) value. You should count trustees in this section even though you previously counted them as alumni, parents, or other individuals. And soft-credit gifts would still be counted even though they are also counted under the type of organization that provided the direct gift. Do not enter zero to indicate you are skipping the question! Just leave the question blank if you're not answering. It is very unlikely that zero is a valid answer to this question.

	No. of Donors	Amount \$
1. Governing Board Giving		
2. Additional Soft-Credit Gifts		

F. Deferred Giving - REQUIRED Number of gifts (Charitable Remainder Trusts, Pooled Income Funds, Gift Annuities, and the like) whose dollar amount is reflected in Section 3.C.

	Number established or added to during reporting period
Deferred Giving	

G. Appreciated Property Giving

	No. of Gifts	Amount \$
1. Securities		
2. Real estate		
3. Other real property		
4. Enter Totals here ONLY if you have left lines 1-3 above blank		
5. Total Apprec. Prop.		

**Sample Survey
FY2011 Higher Education Survey**

H. Personal Giving Additional Details Some personal gifts are dispensed through organizations and therefore are not reflected as personal giving data on this survey. Please report below personal gifts that are officially counted as coming from organizations elsewhere on this survey. The amount from family foundations will appear in section 4b and should not be entered here.

	No. of Donors	Amount \$
Donor-Advised Funds		
Businesses		
Other Organizations (Including Federated Funds)		

**Sample Survey
FY2011 Higher Education Survey
Section 4b. Additional Details on Section 3 - Organizations & Other**

2. Contributions from Organizations A. Foundations

	No. of Donors	Amount \$
1. Personal and Family		
2. Other foundations and trusts, excluding corporate		
3. Total		

B. Three Largest Donor Totals from Foundations - REQUIRED The sum of the three largest donor totals from Foundations below must not exceed the total dollar amount reported from Foundations above because these largest donor totals must be included in the amounts reported above and in Section 3.

	Largest \$	2nd Largest \$	3rd Largest \$
Foundations			

C. Corporations 1. Forms of Giving DO NOT INCLUDE CORPORATE PARTNERSHIPS ANYWHERE ON THE VSE SURVEY. THESE INCLUDE, BUT ARE NOT LIMITED TO, THE PLM SOFTWARE AGREEMENTS AND SIMILAR ARRANGEMENTS AS PART OF THE PACE PARTNERSHIP. IF THESE WERE INCLUDED IN SECTION 3, PLEASE RETURN TO THAT SECTION, REMOVE THEM, AND SAVE 3D AGAIN.

	No. of Gifts	Amount \$
1. Cash and securities (exclusive of matching gifts)		
2. Company products		
3. Other company property		
4. Matching gifts		
5. Total		

2. Additional Matching Gifts Details In addition to the amounts listed directly above in line 4, please report below matching corporate gifts that were dispensed through a third party, such as a community foundation, charitable gift fund, or other entity. These would not be counted as corporate giving elsewhere in the survey, but are under the control of companies.

	No. of Gifts	Amount \$
Matching Gifts Not Directly From a Corporation		

**Sample Survey
FY2011 Higher Education Survey**

D. Three Largest Donor Totals from Corporations - REQUIRED The sum of the three largest donor totals from Corporations below must not exceed the total dollar amount reported from Corporations you reported in Section 3. DO NOT INCLUDE CORPORATE PARTNERSHIPS ANYWHERE ON THE VSE SURVEY. THESE INCLUDE, BUT ARE NOT LIMITED TO, THE PLM SOFTWARE AGREEMENTS AND SIMILAR ARRANGEMENTS AS PART OF THE PACE PARTNERSHIP. IF THESE WERE INCLUDED IN SECTION 3, PLEASE RETURN TO THAT SECTION, REMOVE THEM, AND SAVE 3D AGAIN.

	Largest \$	2nd Largest \$	3rd Largest \$
Corporations			

3. Other Fundraising Activity A. Purposes of Gifts to Endowment: Income Restricted (Include both outright and deferred gifts, and use the PRESENT value of deferred gifts.)

	Amount \$
1. Academic Divisions	
2. Faculty and Staff Compensation	
3. Research	
4. Public Service and Extension	
5. Library	
6. Operation and Maintenance of Plant	
7. Student Financial Aid	
8. Athletics	
9. Other	
10. Total	

**Sample Survey
FY2011 Higher Education Survey**

Prior to FY2003, Gifts to Endowment, Income Restricted was calculated as the sum of Outright Gifts to Endowment, Income Restricted plus the FACE Value of Deferred Gifts (which are, by definition, gifts to endowment), with income restricted. The section below displays values that were entered before 2003. If you are viewing a survey from 1998-2002, you will see values in this section if the institution replied to the question. Otherwise, it will appear empty.

	Amount \$
1. Academic Divisions	
2. Faculty and Staff Compensation	
3. Research	
4. Public Service and Extension	
5. Library	
6. Operation and Maintenance of Plant	
7. Student Financial Aid	
8. Athletics	
9. Other	
10. Total	

B. Support of Intercollegiate (Extramural) Athletics ONLY Note that the total you report here is not comparable to other Athletics Giving Totals in the VSE Survey. In Section 3A, you report Current Operations Restricted Giving to Athletics for both Intramural and Extramural combined. Here you report only Extramural. Here should also include Extramural Gifts to Endowment, Income Restricted to Athletics that you include in Section 3.B (outright) and 3.C (deferred). For the year 2003 and forward, report the deferred giving restricted to Extramural Athletics at the present value, not the face value.

	No. of Donors	Amount \$
1. Restricted to current operations		
2. Restricted to capital purposes		
3. Total		

**Sample Survey
FY2011 Higher Education Survey**

Prior to 2003, the capital purpose gifts to endowment restricted to extramural athletics included deferred giving at face value, instead of the current standard, which is present value. If you answered this question in the past, you can see the capital purpose dollars with deferred giving at face value below.

	Amount \$
Restricted to capital purposes (using deferred at FV):	