

---

## Appendices

Appendix 1: Glossary	66
Appendix 2: Acknowledgements	68
Appendix 3: Bibliography	71
Appendix 4: Analysis of Ross-CASE data	94
Appendix 5: Data analysis methodology and division of institutions into groups	100
Appendix 6: Open consultation introduction and survey instrument	106
Appendix 7: HEFCE matched funding outcomes	113
Appendix 8: Results of the UUK Managed Capacity-Building Scheme	117
Appendix 9: HEFCE/CASE Europe matched funding award winners	119
Appendix 10: Tax reliefs available on giving in the UK	122
Appendix 11: Myth busting – does it take 13 gifts in an annual fund before someone will make a big gift?	126
Appendix 12: Key aspects of productive development operations	129

The main text of 'Review of Philanthropy in UK Higher Education: 2012 status report and challenges for the next decade' has been published in a separate file which is available at [www.hefce.ac.uk/pubs/rereports/year/2012/philanthropyreview/](http://www.hefce.ac.uk/pubs/rereports/year/2012/philanthropyreview/)

## Appendix 1: Glossary

<b>Advancement</b>	A systematic, integrated method of managing relationships in order to increase an institution's reputation and support from its key stakeholders. It comprises alumni relations and development and can also include communication and marketing functions.
<b>AHUA</b>	Association of Heads of University Administration
<b>Alumni</b>	Those who have studied at a university. Some universities include all students who have registered in this definition, others include only those who have successfully completed their course.
<b>Annual or regular giving</b>	Repeatable gifts usually made out of current income. Direct mail, email and the telephone are common ways of seeking this support although increasingly person-to-person fundraising is used as well.
<b>BUFDG</b>	British Universities Finance Directors' Group
<b>CASE &amp; CASE Europe</b>	Council for Advancement and Support of Education. Global membership association that promotes good practice in Advancement in Education. CASE Europe is a charity registered in England.
<b>Case for Support</b>	A statement or document that explains the purpose and specific ambition of an institution or part thereof, the cost of achieving that ambition and the benefits that will accrue from so doing.
<b>CCNI</b>	The Charity Commission of Northern Ireland
<b>CRT</b>	Charitable remainder trust
<b>CTG</b>	Charity Tax Group
<b>Development</b>	The desired outcome for the institution of successful fundraising. It is sometimes used as a euphemism for fundraising.
<b>Development Office</b>	That part of the institution's administration with responsibility for choreographing relationships and raising the funds that enable institutional development.
<b>Endowment</b>	Investments, usually held as financial or real estate assets, which are invested by the institution to generate income. They usually cannot be disposed of or spent as if they were income, even in the long-term.
<b>Exempt charity</b>	A charity which by virtue of its legal status and regulatory structure is not regulated by the Charity Commission, OSCR or CCNI. Most HEIs are exempt charities and their charitable status is regulated by their funding councils.

<b>HEFCE</b>	Higher Education Funding Council for England
<b>HEFCW</b>	Higher Education Funding Council for Wales
<b>HEI</b>	Higher Education Institution
<b>HMRC</b>	Her Majesty's Revenue and Customs
<b>LDM</b>	Leadership in Development Management – a HEFCE-supported programme carried out by CASE designed for aspiring Development Directors.
<b>MFS</b>	The Matched Funding Schemes in England and Wales
<b>OSCR</b>	Office of the Scottish Charity Regulator
<b>Lifetime legacies</b>	This term is the UK version of a particular form of gift that is made possible by the US tax code, which some believe should be introduced in the UK. Donors may give a sizeable sum to the institution and in return receive income from that donation during their lifetimes. In addition, a portion of the initial gift provides tax relief for the donor. The rate of the income to the donor is often determined by an external rate setting body; the amount of the taxable donation is determined by the donor's age(s) as set by the US IRS. They are often administered by an external agency, such as a trust bank, and the reporting requirements to both the donor and the taxing agency are strict. There are several forms that such a gift may take, but most frequently they are charitable remainder trusts or charitable unit trusts.
<b>Registered charity</b>	A charity regulated by the Charity Commission, OSCR or CCNI. Some HEIs, including Oxford and Cambridge colleges, are registered charities, although most universities are regulated by their funding council. These are known as Exempt Charities (qv).
<b>ROI</b>	Return on investment
<b>Ross Group</b>	A group of experienced Development Directors from about 20 UK research universities.
<b>Ross-CASE Survey</b>	An Annual survey of fundraising performance carried out by the National Centre for Social Research on behalf of the Ross Group. Participation in the survey was mandatory for HEIs that wished to take part in the Matched Funding Schemes.
<b>SFC</b>	The Scottish Further and Higher Education Funding Council
<b>SIEF</b>	The Spring Institute in Educational Fundraising. A week-long residential programme run by CASE for newcomers to fundraising or newcomers to educational fundraising.
<b>UUK</b>	Universities UK

---

## Appendix 2: Acknowledgements

The panel wish to express appreciation for the generosity with which over 500 participants to the review gave their time, expertise and advice. This report is greatly enriched by the breadth and depth of their input.

### HEFCE Review Group members

Shirley Pearce CBE, Vice-Chancellor and President, Loughborough University (Chair)  
Nick Blinco, Director of Development and Alumni Relations, University of Birmingham  
Rory Brooks, Founder, Rory and Elizabeth Brooks Foundation  
Professor Sir Richard Trainor, Principal, King's College London  
Martin Williams, Director, Higher Education Strategy, Department for Business, Innovation and Skills

### HEFCE secretariat

Ian Lewis  
Fiona MacMillan

### More Partnership

Adrian Beney  
James Butler  
Joanna Motion  
Simon Pennington  
Rebecca Rendle  
Catherine Roe

### Interviewees

#### Higher education institutions in the UK

- **Professor Madeleine Atkins**, Vice-Chancellor, Coventry University
- **Cathy Bell**, Development Director, University of Glasgow
- **Kerry Bryson**, Director of Development and External Affairs, University of Stirling
- **Professor Sir Robert Burgess**, Vice-Chancellor, University of Leicester
- **Tim Cobb**, Head of Development and Alumni Relations, Nottingham Trent University
- **Alison Coles**, Director of Development and Alumni Relations, University of Kent
- **Jennifer Cormack**, Director of University Fundraising, King's College London
- **Sarah Cripps**, Development Manager, Institute of Education
- **Professor David Eastwood**, Vice-Chancellor, University of Birmingham
- **Liesl Elder**, Director of Development, University of Oxford

- **Professor Michael Farthing**, Vice-Chancellor, University of Sussex
- **Professor Neil Gorman**, Vice-Chancellor, Nottingham Trent University
- **Vicky Hayhurst**, Head of Development and Alumni, Leeds Metropolitan University
- **Tricia King**, Pro-Vice-Master for Student Experience and Director of External Relations, Birkbeck, University of London
- **Professor Paul Layzell**, Principal, Royal Holloway, University of London
- **Professor Keith Mander**, Deputy Vice-Chancellor Physical Resources, University of Kent
- **Professor Gerry McCormac**, Principal and Vice-Chancellor, University of Stirling
- **Professor Anton Muscatelli**, Principal and Vice-Chancellor, University of Glasgow
- **Steve O'Connor**, Director of Development, University of Leicester
- **Professor Susan Price**, Vice-Chancellor, Leeds Metropolitan University
- **Tania Jane Rawlinson**, Director of Campaigns and Alumni Relations, University of Bristol
- **Emma Sambrook**, Director of Development, University of the West of England
- **Kate Seeckts**, Director of Development, Royal Northern College of Music
- **Michael Simmons**, Director of Development, London South Bank University
- **Professor Peter Slee**, Deputy Vice-Chancellor, University of Huddersfield
- **Julian Smyth**, Director of Development and Alumni Relations, Aberystwyth University
- **David Stevens**, University Secretary and Bursar (Deputy Vice-Chancellor), University of Chester
- **Professor Jonty Stockdale**, Principal, Royal Northern College of Music
- **Nick Stokes**, Director of Marketing and Communications, Coventry University
- **Professor Eric Thomas**, Vice-Chancellor, University of Bristol
- **Andrew Walker**, Director of Development, Cardiff Metropolitan University
- **Professor Steve West**, Vice-Chancellor, University of the West of England
- **Professor Tim Wheeler**, Vice-Chancellor, University of Chester

#### **Donors and those representing donor organisations**

- **Nicholas Bull**
- **Roger Holmes**
- **Gordon Horsfield**
- **Luis Juste**, Director, Santander Universities UK
- **Firoz Lalji**
- **Harvey McGrath**

- **Carolyn Perry**, Director, MBI Al Jaber Foundation
- **Nathu Puri**
- **Paul Ramsbottom**, Executive Secretary, The Wolfson Foundation
- **Martin Rushton Turner**
- **Dev Sanyal**, Executive Vice President and Group Chief of Staff, BP
- **Martin Smith**
- **Ros Smith**

#### Other

- **Sam Anderson**, Senior Policy Adviser, Charities and Inheritance Tax, Personal Tax, Welfare and Pensions Group, HM Treasury
- **Beth Breeze**, Researcher, Centre for Study of Philanthropy, Humanitarianism and Social Justice, University of Kent
- **Nicola Dandridge**, Chief Executive, Universities UK
- **Moyra Doyle**, Managing Director, Richmond Associates
- **Kate Hunter**, Executive Director, CASE Europe
- **Dan Perrett**, Founder and Managing Partner, Perrett Laver
- **Maya Prabhu**, Head of UK Philanthropy, Coutts & Co
- **Mark Robson**, Head of the Bank of England's Statistics Division and HEFCE Board member
- **Lorna Somers**, Vice President, McMaster University Foundation

And over 450 respondents to the open consultation.

## Appendix 3: Bibliography

Author / Title / Publisher	Abstract where available, or Summary / Pertinent Findings.
<p>Acs, Zoltan J., Phillips, Ronnie J. "Entrepreneurship and Philanthropy in American Capitalism", <i>Small Business Economics</i> Volume 19, Issue 311/1/2002</p>	<p>American capitalism differs from all other forms of industrial capitalism is its historical focus on both the creation of wealth (entrepreneurship) and the reconstitution of wealth (philanthropy). Philanthropy is part of the implicit social contract that continuously nurtures and revitalizes economic prosperity. Much of the new wealth created historically has been given back to the community, to build up the great social institutions that have a positive feedback on future economic growth. This entrepreneurship-philanthropy nexus has not been fully explored by either economists or the general public. The purpose of this paper is to suggest that American philanthropists - especially those who have made their own fortunes - create foundations that, in turn, contribute to greater and more widespread economic prosperity through knowledge creation. If we do not analyze philanthropy we can understand neither how economic development occurred nor what accounts for American economic dominance.</p>
<p>Taylor, Alton L., Martin, Joseph C., Jr. "Characteristics of Alumni Donors and Nondonors at a Research I, Public University", <i>Research in Higher Education</i> Volume 36, Issue 36/1/1995</p>	<p>This study was an investigation of selected attitudinal, demographic, involvement, and philanthropic characteristics of alumni donors and nondonors from a Research I, public university. A random sample of 500 alumni (250 donors and 250 nondonors) was selected from a population of 37,691. There were 371 (74%) usable surveys returned. A discriminant function analysis was used to predict group membership of donors versus nondonors, and high donors versus low donors. Using the classification step, 65 percent of the alumni were correctly classified as donors or nondonors, and 87 percent of the alumni high donors and low donors were correctly classified.</p>
<p>Baade, Robert A.; Sundberg, Jeffrey O. "<a href="#">What determines alumni generosity?</a>" <i>Economics of Education Review</i> 15, no. 1 (1996): 75-81.</p>	<p>College alumni giving is correlated with institutional characteristics (quality and development efforts) and student characteristics (quality and wealth). This paper uses a two-step least-squares approach with data and quality/wealth variables to explore the "rich-student, quality-school" alumni generosity phenomenon. Alumni giving is influenced by institutional quality and development effort.</p>
<p>Barrett, T. Gregory. "Institutional culture, life-cycle issues and other factors: issues that selected alumnae who are actively involved in Spelman College self-report as being influential in their giving decisions," <i>there</i> 2, no. 3 (March 2002): 259-279.</p>	<p>This qualitative study examines factors that influence alumnae giving to Spelman College, an historically black college for women. Findings include a strong desire to help the next generation, a feeling of rebuilding or repaying, and a unique sense of loyalty to both the Spelman Sisterhood and to the College. Generational life-cycle factors that influence giving include the impact of single-income stay-at-home mothers, children who are the financial caretakers of their parents and grandparents, young adults carrying the financial burden of student loans, and retirees dealing with the tax implications of individual retirement accounts.</p>

<p>Bekkers, René and Wiepking, Pamala. “Generosity and Philanthropy, a Literature Review”, University of Notre Dame Science and Generosity Initiative. Work funded by the John Templeton Foundation and grant #451-04-110 of the Netherlands Organization for Scientific Research</p>	<p>We present an overview of the academic literature on philanthropy, divided in two parts. In part one, we discuss the question of who gives how much; in part two, we discuss the question of why people give. In part one, we survey the literature on characteristics of individuals and households that are related to giving. In part two, we identify eight mechanisms as the most important forces that drive giving: (1) awareness of need; (2) solicitation; (3) costs and benefits; (4) altruism; (5) reputation; (6) psychological benefits; (7) values; (8) efficacy. We evaluate the progress in the almost 500 studies we reviewed and suggest directions for future research on philanthropy.</p>
<p>Bekkers, René. “Limits of Social Influence on Giving: Who is Affected When and Why?” Center for Philanthropic Studies, VU University Amsterdam Paper presented at ‘Social Influences and charitable giving’ 24th February 2012, Royal Over-Seas League, London</p>	<p>Presenting evidence from tax records and three large scale field experiments testing social influence effects on giving in the Netherlands. The experiments are conducted among university alumni (n=6,672) and among large random samples of the Dutch population (n=1,474; n=1,765). Also tax records are used to test peer effects among a very large random sample (n=172,947) of citizens in the Netherlands. The experiments show evidence for positive but weak social information effects on small donations. Social information effects are stronger in conditions in which people are actively imagining what others are giving. The tax records show that amounts donated by high level donors (exceeding 1% of income) are strongly sensitive to changes in the tax price as well as to changes in giving by other high level donors in the area of residence.</p>
<p>Belfield, Clive R. and Beney, Adrian P. “What Determines Alumni Generosity? Evidence for the UK.” <i>Education Economics</i> 8:65-80, 2000.</p>	<p>This paper examines the scale and determinants of alumni giving, using datasets from two public-sector, doctoral-granting universities in the UK. The importance of alumni generosity - both as revenue and as a performance measure - is considered, comparing new UK evidence with extant findings on US donor behaviour. Evidence is presented on systematic differences in alumni generosity, based on personal characteristics, solicitation efficiency, and the characteristics and quality of the Higher Education received by graduates. Distinguishing the propensity to give from the scale of giving, there are evident differences by gender, income, by type of campaign and by subject studied.</p>
<p>Beney, Adrian and Whitmore, Marc. “Report on training funded by HEFCW and HEFCE”, February 2012, <i>More Partnership Ltd.</i></p>	<p>A report on the efficacy of the HEFCE/HEFCW funded training programme delivered as part of the Matched Funding Programmes, together with recommendations as to future actions.</p>
<p>Breeze, Beth. “Donors and governmental perceptions of philanthropy”. Chapter in “<i>Philanthropy and better society</i>”, Alliance Publishing Trust, London, 2012</p>	<p>Breeze argues that philanthropy is misunderstood by Government and philanthropists alike, and that the agenda for donors is very different from that which the government might prefer donors to have.</p>



<p><b>Bridge Group, The. "Evidence to the BIS Select Committee on the Future of Higher Education", 10 March 2011</b></p>	<p>11. An area of work which is emerging, and could be significantly developed, is the mobilisation of university alumni to support the professional progress of students from more disadvantaged backgrounds. Fundraising from alumni will become increasingly important (to boost bursary/scholarship funds, for example), and we advocate the continuation of the government matched funding scheme, [11] specifically targeted at fundraising aimed at improving student access and employability. While this would significantly increase the capacity and impact of work in this area, inspiring alumni can also contribute to the employability and professional success of students. This could be accomplished through mentoring, by offering structured, paid placements, providing support during application and interview processes and by facilitating students' access to the types of professional networks more affluent students might have established through family links.</p> <p>Recommendation 4: The continuation of the government matched funding scheme, targeted specifically at fundraising campaigns aimed at improving student access to the professions. Explore with institutions the development of employability programmes targeted at more disadvantaged students, driven by the mobilisation of alumni.</p>
<p><b>Briechele, Peter. "Does Institutional Type Affect Alumnae Donating Patterns in the United States?", <i>International Journal of Educational Advancement</i>, Volume 4, Issue 1</b></p>	<p>Women currently comprise over 55 percent of college and university enrolments and control a substantial amount of wealth in the United States. Yet historical research on philanthropy has made little distinction between male and female donors. Are there no differences or have we failed to understand why women give? This study investigated the effect of institutional type (public, private sectarian, or private nonsectarian) on alumnae donating patterns. An anonymous mail survey was used to gather data on the factors that persuaded alumnae to donate to their alma mater and the areas they gave financial support. The results indicate associations between institution type and six of 12 factors that persuaded alumnae to donate and seven of 11 areas they supported financially.</p>
<p><b>Brower, Dana R. Factors that relate to alumni giving at public master's colleges and universities. Ph.D. diss. University of Virginia, 2006. 168 pages.</b></p>	<p>Study results revealed significant correlations between alumni giving and multiple advancement program variables, including: class gift programs; dues structures of alumni associations; involving undergraduates in telephoning and soliciting alumni for contributions; volunteer hours worked on behalf of the alumni office; and development effort. No significant correlations were found between alumni giving and either alumni or development office budgets or staff sizes. Nine of 16 institutional variables were significantly correlated with alumni giving, including: age of the institution; tuition and fees; the percentage of first-time, full-time undergraduates receiving federal grant aid, institutional grant aid, and loan aid; expenditures; and enrolment. Tuition and fees, average loan award as a percentage of cost of attendance, volunteer hours worked on behalf of the alumni relations office, and class gift programs collectively explained 70.5% of the variance in alumni giving.</p>

<p>Bruce, Grady D. "<a href="#">Exploring the likelihood and reality of MBA alumni financial donations</a>," <i>GMAC® Research Reports</i> (January 2007).</p>	<p>... But what factors are associated with the likelihood that graduating students will make future financial donations to their schools – specifically, those graduating from MBA programs? And what factors are associated with the frequency of financial donations by MBA alumni? These are the questions explored in this study. The exploration begins with a review of the literature on alumni giving, with special attention to research that bears on the present study. Using data from two large-scale surveys of graduating MBAs and MBA alumni, measures and analyses are presented and interpreted for both the donation likelihood of graduating students and the donation behavior of alumni. A discussion that relates the findings to prior research and presents implications for MBA program administrators follows along with suggestions for future research.</p>
<p>Burkhardt, John C. "Transformational Giving and its Relationship to the Emerging Roles of Public Colleges and Universities", <i>International Journal of Educational Advancement</i>, Volume 7, Issue 2</p>	<p>Senior leaders whose job it is to advance the work of public colleges and universities frequently position and leverage the work of their institutions as serving the public good. In doing so, there are frequent references made to the potential role of philanthropy in transforming society by focusing institutional attention on its most daunting challenges. This paper reflects on how transformational giving relates to the expansion of the public university mission and examines how engagement with society in addressing its problems creates new opportunities as well as challenges for giving relationships. It falls to university presidents and senior advancement leaders to pay close attention to the ways that significant gifts set universities on a course of change. The paper challenges traditional approaches to higher education's role in responding to complex societal issues, and helps to clarify two often-used but misunderstood concepts in the advancement profession – transformation and transaction.</p>
<p>Burlingame, Dwight E. "Nonprofit and Philanthropic Studies Education: The Need to Emphasize Leadership and Liberal Arts", <i>Journal of Public Affairs Education</i> Volume 15, Issue 11/1/2009</p>	<p>A case is put forth for the development of education for nonprofit leadership, based upon the liberal arts as a foundation for understanding. Selected examples are provided of such curriculum, as put into practice.</p>
<p>CAF/NCVO. "UK Giving 2011, Trends and Characteristics" December 2011</p>	<p>Statistics and Trends from the Charities Aid Foundation and the National Council for Voluntary Organisations for 2011. Based on data from the UK Office of National Statistics</p>

<p><b>Carrier, Sharon M. “Key Variables Account for Greater Revenue Among Community College Foundations”, <i>International Journal of Educational Advancement</i>, Volume 5, Issue 1</b></p>	<p>As public community colleges continue to face constrained budgets and restricted state support, they must maximize their pursuit of philanthropic support and the performance of the foundations established at their institutions for this purpose. In a recent study, community college resource development professionals nationwide were surveyed regarding their institutional foundations. The results showed that the foundations bringing in the most annual revenue were those associated with colleges that had the largest endowments, had foundation board members deemed to be very critical to the foundation operation, and had the largest enrolments. The findings underscore the importance of building a tradition of successful fund raising and fostering foundation board member leadership. Attention to these key variables may provide for greater fund-raising potential for community colleges nationwide.</p>
<p><b>CASE, the International CASE Alumni Relations Survey, 2011</b></p>	<p>The International CASE Alumni Relations Survey (ICARS) measures alumni relations activity among Higher Education Institutions outside the United States. ICARS is an annual survey completed by more than 70 institutions in the UK, Europe and around the world (the majority are UK institutions). The results of the 2011 survey, completed in October 2011 (based on the 2010/2011 financial year) were released in March 2012, when Judith Kroll, Senior Director of Research for CASE, published a paper, entitled <i>What Does Successful Alumni Relations “Look Like”?</i>, summarising the findings of the survey.</p>
<p><b>CASE / HEFCE. Various publications on the Matched Funding Scheme, 2010 – 2012</b></p>	
<p><b>CASE / Kindred. “YouGov Omnibus Survey – Data on Giving to Universities”, March 2010</b></p>	<p>Data from the work which was commissioned by CASE and Kindred from YouGov as part of a mothballed initiative to raise the profile of giving to Higher Education in the UK.</p>
<p><b>Chapleo, Chris. “Is Communications a Strategic Activity in UK Education?”, <i>International Journal of Educational Advancement</i>, Volume 6, Issue 4</b></p>	<p>This qualitative exploratory paper investigates whether communications/public relations is regarded by opinion formers in UK education as a strategic business activity or a tactical marketing tool. It is based upon depth interviews with 16 senior managers with strategic roles in UK higher or further education, or Government bodies, conducted between June and September 2004. The findings seem to suggest that communications/PR is ideally seen by leaders as a strategic function, but that there are limitations to this vision becoming a reality. The research goes on to offer initial conclusions on some of the issues surrounding perception, resource, and implementation of strategic communications/PR in UK education, with implications for practitioners considered.</p>

<p>Clotfelter, Charles T. "<a href="#">Alumni giving to elite private colleges and universities</a>," <i>Economics of Education Review</i> 22, no. 2 (2003): 109-120.</p>	<p>This paper examines patterns of alumni giving, using data on two cohorts of former students from a sample of private colleges and universities. Higher levels of contributions are associated with higher income, whether or not the person graduated from the institution where he or she first attended college, and the degree of satisfaction with his or her undergraduate experience. Their satisfaction in turn was a function of particular aspects of that experience, including whether there was someone who took a special interest when he or she was enrolled there. Among the more recent cohort of graduates, <b>those who had received need-based aid tended to give less</b> and those who were related to former alumni tended to give more.</p>
<p>Clotfelter, Charles T. "<a href="#">Who are the alumni donors? Giving by two generations of alumni from selective colleges</a>," <i>Nonprofit Management and Leadership</i> (Winter 2001): 119-138.</p>	<p>Using data on former students of fourteen private colleges and universities, this paper examines patterns of alumni giving. The data are taken from the College and Beyond survey, which covers individuals who entered the institutions in the fall of 1951, 1976, and 1989. Contributions by these former students to these colleges and universities tend to be quite concentrated, with half of all donations being given by the most generous 1 percent of the sample. A higher level of contribution is associated with higher income, with having participated in extracurricular activities in college, with having had a mentor in college, and with the degree of satisfaction in one's undergraduate experience. The projected donations for the most generous of these alumni over the course of a lifetime are quite high, with totals for the 1951 cohort exceeding those from the 1976 cohort.</p>
<p>Clotfelter, Charles T. "Charitable Giving and Tax Policy in the U.S." Duke University, May 7, 2012</p>	<p>Paper to the Altruism and Charitable Giving Conference at the Paris School of Economics</p>
<p>Clotfelter, Charles T. "Tax incentives and charitable giving: evidence from a panel of taxpayers", <i>Journal of Public Economics</i>, Volume 13, Issue 3, 1980</p>	<p>No abstract available.</p>
<p>Cochi Ficano, Carlena K.; Cunningham, Brendan M. "<a href="#">The determinants of donative revenue flows from alumni of higher education: An empirical inquiry</a>," <i>The Journal of Human Resources</i> XXXVII (2002): 540-569.</p>	<p>Institutions of higher education are increasingly relying upon alumni giving and endowment earnings as sources of funding. This paper utilizes a new database on average alumni donations at the institutional level and institutional characteristics to explore the role that lagged institutional characteristics and policy have on subsequent donations to the institution. Our results confirm the noncontemporaneous effects of variations in the average scholastic achievement of matriculated students (a proxy for both student quality and student socioeconomic status) on subsequent donative revenue flows and indirectly address some of the open questions left by previous theoretical inquiries.</p>

<p>Croteau, Jon Derek and Wolk, Holly Gordon.  “Defining advancement career paths and succession plans: Critical human capital retention strategies for high-performing advancement divisions”,  <i>International Journal of Educational Advancement</i>  Volume 10: 59-70; 2010.6</p>	<p>There are many factors that can influence whether a highly talented staff member will build a career within an institution or use it as a stepping stone. This article defines and explores the notions of developing career paths and succession planning and why they are critical human capital investment strategies in retaining the highest performers in advancement divisions. The article discusses how developing career paths and engaging in succession planning is a long-term human capital investment with a powerful return. The article will give advancement managers the rationale to develop career paths and succession plans for their highest performers and for sustaining high performance advancement divisions.</p>
<p>Dugan, Kelly; Mullin, Charles H.; Siegfried, John J.  <a href="#">Undergraduate financial aid and subsequent giving behavior</a>. Nashville, TN: Vanderbilt University, 2000.  23 pages.</p>	<p>This discussion paper was later published in <i>The Quarterly Review of Economics and Finance</i> 45 no. 1 (February 2005): 123-143.</p> <p>Data on 2,822 Vanderbilt University graduates were used to investigate alumni giving behavior during the 8 years after graduation. A two-stage model accounting for individual truncation was used first to estimate the likelihood of making a contribution and second to estimate the average gift size conditional on contributing. <b>The type of financial aid received as an undergraduate appears to have a greater influence on subsequent alumni generosity than the amount received.</b> Adding some scholarship to a loan-only package or eliminating all loans from a mixed loan-grant package increased the likelihood of a subsequent contribution. Increasing the total size of the package or altering the proportions of an already mixed package appears to be inconsequential for future donations. Students who receive small merit scholarships contribute more as alumni than students who receive either no merit scholarship or a large merit scholarship.</p>
<p>Fanning, Peter. “Gift Aid Forum – report to Economic Secretary to the Treasury”, October 2010</p>	<p>Report to HM Treasury following a series of meetings between representatives of not for profit organisations in the UK, Treasury ministers and officials and other interested parties to investigate ways of improving the Gift Aid scheme.</p>

<p>Gaier, Scott. "<a href="#">Alumni satisfaction with their undergraduate academic experience and the impact on alumni giving and participation</a>," <i>International Journal of Educational Advancement</i> 5, no. 4 (August 2005): 279-288.</p>	<p>The hypothesis for this research was that the higher the level of academic satisfaction, the more likely it is for alumni to be involved with the university. Alumni involvement was defined as alumni giving and/or alumni participating with their alma mater within the last three years. There were 1,608 alumni from a large state university who participated in the research out of the 3,397 alumni who received invitations to participate, resulting in a 47.3 percent response rate. Participants completed a revised edition of the Comprehensive Alumni Assessment Survey via the internet. The revised CAAS collected data regarding alumni satisfaction with the academic system, demographics, involvement in extracurricular activities, and current involvement as alumni. Data were analyzed in four steps. Step one analyzed alumni satisfaction with the academic system. Step two analyzed demographic and extracurricular data. Step three analyzed alumni responses within age cohorts. The final step was a qualitative analysis of comments made by participating alumni. Findings demonstrated a significant positive relationship between alumni satisfaction with the academic system as undergraduates and current alumni involvement with their alma mater. Simply stated, the higher the level of satisfaction with the academic experience, the more likely alumni are to give and/or participate with the university.</p>
<p>Gallo, Maria. "Beyond Philanthropy: Recognising the value of alumni to benefit higher education institutions", <i>Tertiary Education Management</i>, Volume 18, Issue 1, 2012</p>	<p>As austerity measures become a reoccurring theme, higher education institutions (HEIs) worldwide are examining diverse sources of funding, such as philanthropy, as an alternative to State support. This paper argues that building lifelong relationships with alumni offers an HEI with a strategy to yield other residual benefits for the institution, which may also lead to philanthropy. The research offers a deeper understanding of the alumni-academy relationship using institutional advancement (IA) strategies. IA is defined as an approach to building relationship with stakeholders—including alumni—to increase support for an institution. By consulting specialist IA literature, this study develops an alumni relationship-building cycle for consideration by institutions. A case study of an Irish university is the vehicle to analyse this paradigm. The empirical evidence shows that applying IA strategies and building alumni relationships at each stage of the cycle offers the institution positive outcomes ultimately towards advancement.</p>

<p>Gottfried, Michael A.; Johnson, Erica L. "<a href="#">Solicitation and donation: an econometric evaluation of alumni generosity in higher education</a>," <i>International Journal of Educational Advancement</i> Volume 6, no.4 (November 2006): 268-281.</p>	<p>This paper evaluates the relationship between alumni solicitation and alumni donation within institutions of higher education. The issue of alumni giving is important for universities because the average cost of university tuition has increased dramatically over the past 20 years at an annual growth rate larger than the United States CPI (Harvard University Factbook, 2005–06). For instance, in 2005 at Harvard, only 21 percent of total university income came from student tuition, whereas 48 percent came from donors. By 2003, alumni donations across all U.S. universities have become on average the largest source of donations and in 2005 have risen to 26.6 percent of university donations. Of key importance for our research is resolving the debate within the literature on the effect of solicitation of alumni donations. We employ a fixed effects model on the largest and longest-spanning panel dataset yet seen in the literature on alumni giving. This dataset consists of 2,986 universities and colleges in the United States over a period of 12 years. Second, we look at those schools most highly regarded in the US, as determined by the <i>U.S. News and World Report</i>, which consists of 117 schools. We determine that solicitation efforts, in all of our regression analyses, provide a positive marginal effect on levels of alumni donations. Thus, we add to the field on alumni generosity by developing definitive conclusions regarding the verifiable effects of solicitation, as well as other university-specific characteristics.</p>
<p>Gottfried, Michael. "School urbanicity and financial generosity: Can neighbourhood context predict donative behaviour in spite of the economy?", <i>International Journal of Educational Advancement</i>, Volume 9, Issue 4</p>	<p>This article contributes new research to the literature on the relationship between institutional-level factors and financial generosity. In the framework of the existing research on how school-level attributes correspond to donor behavior, no study has examined the relationship between the institutional neighbourhood context and private giving. The purpose of this article is to examine this relationship. Specifically, this article has assessed the degree to which school urbanicity and other neighborhood contextual factors are related to alumni, corporate and foundation generosity. Controlling for commonly employed institutional predictors, such as school endowment, as well as holding constant the state, year and unique state-year economic environment over the period 1998 – 2008, the results have pointed toward significant correlations between a university's neighborhood context and private donations.</p>

<p>Grant, James H., Lindauer, David L. "The Economics of Charity Life-Cycle Patterns of Alumnae Contributions", <i>Eastern Economic Journal</i> Volume 12, Issue 24/1/1986</p>	<p>This paper presents charitable giving in a consumer demand framework and examines the relationship between age and personal donations. Relying on data on alumnae contributions to a four-year liberal arts college, information on the age-charitable giving profile is used to make inferences about the income elasticity of donations over the life cycle. A second aim of the paper is to discuss the economics of alumnae contributions. In addition to presenting the average life-cycle pattern of such gifts, we discuss the impact of fully anticipated reunions on the distribution of donations over the life cycle. The results suggest that the income elasticity of alumnae giving increases with alumnae age. Significant increases in educational donations relative to the long run age-giving path are realized, which are not at the expense of lower contributions in either the immediate pre- or post-reunion years. Reunion drives also increase the number of gift givers in a manner analogous to, albeit smaller than, their impact on per capita contribution levels.</p>
<p>Gunsalal, Robert. "The Relationship of Institutional Characteristics and Giving Participation Rates of Alumni". <i>International Journal of Educational Advancement</i>, Volume 5, No 2, 2005.</p>	<p>There are many variables that influence alumni giving at colleges and universities. A growing body of research is revealing new knowledge about factors related to individual donors, fund-raising practices, and the external environment. However, relatively little attention has been given to basic institutional characteristics that may impact alumni giving. This study asks the question, "What institutional characteristics, not directly related to fund-raising practices, predict higher giving participation rates (GPR) among alumni?" Using secondary analysis of data compiled by <i>US News and World Report (USNWR)</i>, this study examines characteristics of private master's level universities ranked in the top two tiers of <i>USNWR's</i> 2002 edition of <i>America's Best Colleges</i>. This study finds sufficient explanatory power in some basic institutional variables to merit their consideration in comparisons of fund raising between institutions.</p>
<p>Harrison, William B., Mitchell, Shannon K. and Peterson, Steven P. "Alumni Donations and Colleges' Development Expenditures." <i>American Journal of Economics and Sociology</i>, Inc. Volume 54, No 4</p>	<p>Since college development officers supply recognition to alumni and seek donations in return a model is devised wherein this exercise of market power in the exchange is included. Data for three years is used from eighteen universities and colleges-public and private, large and small, research and teaching-oriented. The findings indicate that schools with higher development costs generate substantially more donations. Several demographic characteristics of the student body were tested. Schools with higher participation in fraternities and sororities have higher giving, while schools with a higher proportion of part-time students have lower giving. Surprisingly, having an NCAA Division I athletic program has no significant effect on alumni giving. Likewise, alumni donations seem independent of whether a school is public or private, or is or is not a research institution. Finally, the size of a school's endowment has no predictive value, but the level of annual bequests is strongly positively related to alumni giving.</p>
<p>HM Government, "Giving White Paper", 2011</p>	<p>The UK Government's White Paper on promoting giving</p>



<p>Hoyt, Jeff E. <a href="#">Understanding alumni giving: theory and predictors of donor status</a>. Association for Institutional Research.</p>	<p>This article has an extensive literature review of previous research on alumni giving.</p>
<p>Institute of Fundraising, Feb 2012</p>	<p>Research carried out on the Institute's behalf by YouGov designed to explore the general public's attitudes and behaviours towards charitable giving. In particular the research has focussed on and the motivating drivers behind giving and how people's attitudes and levels of giving vary by whether a charity is prompting them or they are being pro-active in their financial support.</p>
<p>Jendrek, Margaret Platt; Lynch, Jean M. <a href="#">Report on student debt and alumni giving</a>. American Student Assistance, 2007. 28 pages.</p>	<p>U.S. students are facing the highest financial burden due to college loan repayment in history. At the same time, colleges and universities are experiencing reduced or flat external funding from sources such as state appropriations, revenue from endowments, or federal grants. The intersection of these factors begets the need to understand how student debt influences alumni giving.</p>
<p>Jendrek, Margaret Platt; Lynch, Jean M. <a href="#">Student loans and alumni giving: who repays the loan?</a> <i>International Journal of Education Advancement</i> 11, no. 1 (2012): 11-18.</p>	<p>Alumni giving has long been important to the survival of higher education and with the havoc wreaked by the current financial crisis, generating donations from graduates has become crucial. However, fund raising efforts cannot ignore a reality that severely threatens the generosity of alumni. <b>The numbers of students relying on loans to pay for college is rising and every year the debt burden of graduates reaches higher and higher proportions.</b> How likely is it that alumni who are still paying for their college education will be able to—or even want to—give generously to their alma mater? At the heart of this dilemma is the need to understand how student debt influences alumni giving.</p>
<p>Kelly, John; Davis, A de R; Footman, Ray; Lee, Christabel; Mawditt, Richard. "Boosting University Income; Report of a CUA Working Party on Supplementary Sources of Funding for universities in Great Britain" <i>Conference of University Administrators</i>, 1984</p>	<p>The authors were convened as a group to examine supplementary sources of income available to universities in the UK, particularly those not provided by customary means from central and local government. The report covered the generation of income from overseas fees, commercial use of university space, collaboration with industry, alumni relations and "appeals and fundraising." It concluded: "all universities have the opportunity to increase their income in ways suggested in this report; some more than others. If they want to raise large sums, universities will need to make a wholehearted commitment. This may include administrative reorganisation and some changing roles. There is no easy path to wealth."</p>
<p>Ketchum Canada Inc, "<i>Sector Snapshot</i>", Spring 2012</p>	<p>A summary of data on various aspects of different sectors in the Canadian Not-for-Profit Universe.</p>

<p>Kroll, Judith. "What Does "Successful" Alumni Relations Look Like?", <i>CASE</i>, 2012</p>	<p>The International CASE Alumni Relations Survey, now in its sixth year and with questions developed by senior alumni relations professionals, has been instrumental in documenting the evolving alumni relations landscape outside of the United States and sharing best practices of successful programmes.</p> <p>The assessment of the 2011 survey builds on the analytical framework developed for the 2008 survey, which created a statistical picture of what success looks like, i.e., which alumni services and activities are statistically associated with greater success and what successful alumni relations programmes do more of than less successful programmes.</p>
<p>Langseth, Mark N. and McVeety, Cassie S. "Engagement as a Core University Leadership Position and Advancement Strategy: Perspectives from an Engaged Institution", <i>International Journal of Educational Advancement</i>, Volume 7, Issue 2</p>	<p>Over the past decade, Portland State University (PSU) has received consistent national accolades for its innovative, engaged approaches to student learning. More recently, PSU has expanded its emphasis on engaged research and has more intentionally highlighted its institutional partnerships and impact on the region. A current (2006–07) university-wide planning process has, for the first time, explicitly established "engagement" in learning, in scholarship, and in institutional partnerships as PSU's "core leadership position." As such, engagement will guide university goal setting, budgetary decision-making, and priorities for PSU's next capital campaign. This paper discusses the evolution of PSU's commitment to engagement and current and future implications for fund raising at PSU and beyond.</p>
<p>Levine, Wendy. "Communications and alumni relations: What is the correlation between an institution's communications vehicles and alumni annual giving?", <i>International Journal of Educational Advancement</i>, Volume 8 Issue 3</p>	<p>This paper examines the relationship between colleges' communications pieces and their undergraduate alumni giving. In order to test the question, 250 surveys were mailed to annual giving and development directors at private US colleges that were members of the Council of Advancement and Support of Education. Fifty-eight surveys were returned. The analysis revealed that the overall number of communications pieces sent to alumni was not associated with higher alumni giving levels or participation. The frequency with which certain communication pieces were sent was positively associated with giving: alumni magazines and alumni electronic newsletters. For annual fund and campaign appeal letters, the results were mixed; there was some positive association with alumni giving and some negative association with alumni giving.</p>
<p>Liu, Ying. "<a href="#">Determinants of private giving to public colleges and universities</a>," <i>International Journal of Educational Advancement</i> 6, no. 2 (February 2006): 119-140.</p>	<p>This paper explores the relationship between institutional factors, policy and governance factors, and macroeconomic factors and variations in overall voluntary support and its varying sources to public colleges and universities. Study results suggest that institutions at the top of the institutional hierarchy enjoy accumulative advantage in generating voluntary support; <b>that increased tuition level has a negative effect on corporate, foundation, and total private giving</b>; and that different donor groups have different motivations for making gifts.</p>

<p>Mann, Timothy. "<a href="#">College fund raising using theoretical perspectives to understand donor motives</a>," <i>International Journal of Educational Advancement</i> 7, no. 1 (March 2007): 35–45.</p>	<p>This paper provides senior leadership teams with a body of literature that will guide the development of fundraising strategy and provides an interdisciplinary context for understanding donor motives. Consideration of these theoretical foundations can help shape the fund-raising philosophy of the institution. These perspectives also have practical implications on the interactions between the College and its alumni including how the College communicates with alumni or how donors are recognized for their generosity.</p>
<p>McDearmon (quote) in "<a href="#">What's in it for me</a>," <i>International Journal of Educational Advancement</i> (February 2010).</p>	<p>"Several key variables that both positively and negatively affect young alumni willingness to make gifts have been identified. <b>Alumni who received student loans to finance their degrees are less likely to make contributions</b> (Monks, 2003; Marr <i>et al</i>, 2005). <b>According to Monks' research, those who graduate with at least US \$10,000 in student loan debt will contribute 10 percent less than other alumni. Receiving financial awards has been found to have the opposite effect on alumni giving. According to Monks (2003) and Marr <i>et al</i> (2005), alumni who received awards such as scholarships and grants are more likely to be donors after graduation.</b>"</p>
<p>McDearmon, J. Travis and Shirley, Kathryn. "Characteristics and institutional factors related to young alumni donors and non-donors", <i>International Journal of Educational Advancement</i> Volume 9: 83-95; 2009.29</p>	<p>This study examined the results of an institutional survey conducted by the Annual Giving Office at a large public university in the Midwest. Overall, 2,273 young alumni participated in an online survey that assessed personal and institutional factors related to an alumna's willingness to make donations to the university. The results of the study indicated that factors such as residential status, receiving financial awards and making donations to other charities have positive correlations with young alumni being donors to the university. A multiple regression analysis shows that an alumnae's overall positive experience at the university, being an in-state student, and giving to other charities are significant predictors of an alumnus making gifts to the institution.</p>
<p>McDearmon, J. Travis. "What's in it for me: A qualitative look into the mindset of young alumni non-donors", <i>International Journal of Educational Advancement</i> Volume 10: 33-47; 2010.3</p>	<p>This study analyzed the open-ended responses given by young alumni during an institutional survey conducted by the annual giving office at a large, public university. For this study, 204 responses from non-donors were analyzed and coded. Several keys themes were identified in the analysis, including young alumni's attitudes regarding career services, how incentives may motivate this population to make gifts and the desire for this generation to specify how their donation will be used. All of these themes were evaluated in regards to how they may increase the giving behaviours of recent graduates.</p>
<p>Meer, Jonathan, Rosen, Harvey S. "Altruism and the Child Cycle of Alumni Donations", <i>American Economic Journal: Economic Policy</i> Volume 1, Issue 12/1/2009</p>	<p>We study alumni contributions to an anonymous research university. If alumni believe donations will increase the likelihood of their child's admission, and if this belief helps motivate their giving, then the pattern of giving should vary systematically with the ages of their children, whether the children ultimately apply to the university, and the admissions outcome. We call this pattern the child cycle of alumni giving. The evidence is consistent with the child-cycle pattern. Thus, while altruism drives some giving, the hope for a reciprocal benefit also plays a role. We compute rough estimates of the proportion of giving due to selfish motives.</p>

<p>Meer, Jonathan; Rosen, Harvey S. <a href="#">Does generosity beget generosity? Alumni giving and undergraduate financial aid</a>. Working paper no. 224. The Griswold Center for Economic Policy Studies, Princeton University, October 2011.</p>	<p>This working paper was later published by the National Bureau of Economic Research as <a href="#">NBER working paper no. 17861</a> in February 2012.</p> <p>We investigate how undergraduates' financial aid packages affect their subsequent donative behavior as alumni. We focus on three types of financial aid, scholarships, loans, and campus jobs. <b>Our main findings are: 1) Individuals who took out student loans are less likely to make a gift, other things being the same. We conjecture that this phenomenon is caused by an “annoyance effect” – alumni resent the fact that they are burdened with loans. 2) Scholarship aid reduces the size of a gift, but has little effect on the probability of donating. The negative effect of receiving a scholarship on donations decreases in absolute value with the size of the scholarship. We do not find any evidence that scholarship recipients give less because they have relatively low incomes post graduation. 3) Aid in the form of campus jobs does not have a strong effect on donative behavior.</b></p>
<p>Minniear, Cindy Raina. <a href="#">Donor motivations in higher education: the impact of incentives, involvement, and opportunity on alumni giving</a>. Ph.D. diss. University of Louisville, 2006. 188 pages.</p>	<p>Charitable giving is important to many non-profit organizations. In times of crisis, many people are willing to contribute. However, charitable giving is not only important during tragedies. Many non-profit organizations rely on external support to meet their ongoing financial needs. Therefore, understanding donor motivations in any context is crucial. The current study specifically focused on donor motivations in higher education. Based on prior research, five motives were identified: (1) incentives, (2) alumni involvement, (3) student involvement, (4) opportunity I – being asked to give, and (5) opportunity II – having the financial resources to give.</p>
<p>Monks, James. <a href="#">“Patterns of giving to one's alma mater among young graduates from selective institutions,”</a> <i>Economics of Education Review</i> 22, no. 2 (2003): 121-130.</p>	<p>This paper examines individual characteristics that are correlated with alumni giving across graduates from 28 institutions in an attempt to identify attributes and experiences of graduates that are more likely to make donations to their alma mater. The objective of this analysis is not simply to determine the current characteristics of an individual that are associated with alumni giving, but rather to identify individual characteristics that may be observable to campus administrators and are correlated with alumni generosity.</p> <p>Page 126 has loan information. This article is often quoted as, “Monks (2003) reveals that alumni who gave less to their alma mater had loan debt, which limited capacity to give.”</p>
<p>Mullin, Charles H. Siegfried, John J. “Grants today, gifts tomorrow: a study links financial aid packaging and young alumni giving” <i>CASE CURRENTS</i> 27, no. 4 (April 2001): 9-10.</p>	<p>To determine how student aid affects giving after graduation, researchers at Vanderbilt University analyzed factors that influence young alumni giving. Data on 2,822 graduates over eight years showed that receiving a need-based scholarship raised a graduate's likelihood of giving by 12 percent, while need-based loans reduced the probability by the same degree. The amount of aid had no effect. The article also lists other findings of the study.</p>

<p>Nehls, Kimberly. "Presidential transitions during capital campaigns", <i>International Journal of Educational Advancement</i>, Volume 8 Issue 3</p>	<p>In the past few decades, capital campaigns at institutions of higher education have increased in duration, while collegiate presidential tenures have been doing just the opposite. Turnover in the top post was frequent, even during major fundraising campaigns. Before this study, presidential transitions during campaigns had not been previously analyzed. Therefore, the objective of this exploratory study was to better understand presidential transitions during capital campaigns from the perspective of the chief development officer (CDO) who maintained continuity. Nine CDOs, who experienced presidential transitions during campaigns were interviewed to better understand their experience. The strategies for dealing with a presidential transition during a campaign included (a) providing input in the selection of the new president; (b) communication with constituency; (c) education of the incoming president; (d) involving the new president in the campaign right away; and (e) creating new funding priorities. Recommendations for a CDO dealing with a change in leadership during a campaign have been outlined in this paper.</p>
<p>Nesbit , Becky, Rooney, Patrick, Bouse, Gary, and Tempel, Eugene R. "Presidential Satisfaction with Development Programs in Research and Doctoral Universities: A Comparison of Results from Surveys in 1990 and 2000", <i>International Journal of Educational Advancement</i>, Volume 9 Issue 3</p>	<p>The increasing costs of higher education and the decreasing willingness of taxpayers to support it have amplified the importance of fund-raising in the modern university. The (dis)satisfaction of the university president with his/her development program can have profound ramifications for the success of the program and the careers of the development professionals. This paper addresses a gaping hole in the academic and practitioner knowledge base by investigating what makes presidents satisfied and/or dissatisfied with their institution's development efforts. A president's perceived expertise of the fund-raising staff and his/her satisfaction with the funds raised in the past year are significant predictors of the president's overall satisfaction with fund-raising at the university. This paper also explores changes in satisfaction with fund-raising from 1990 to 2000 and finds in general that university presidents were more satisfied with most aspects of fund-raising in 2000 than they were in 1990.</p>
<p>Nicholson II, William D. "Leading Where it Counts: An Investigation of the Leadership Styles and Behaviors that Define College and University Presidents as Successful Fundraisers", <i>International Journal of Educational Advancement</i>, Volume 7, Issue 4</p>	<p>This paper provides presidents and academic leadership with a body of literature that will strengthen the leaders' understanding of the unique behaviors and characteristics that are paramount to successful fund raising in the academic arena. A better understanding of transformational, transactional, and transformative leadership theory, and the attributes that are associated with them, can not only help leaders shape and mold their approach to fund raising but also enable them to infuse a greater sense of meaning into their respective institutions while increasing the amount of financial support they garner.</p>

<p>Okunade, Albert A.; Berl, Robert L. "<a href="#">Determinants of charitable giving of business school alumni</a>," <i>Research in Higher Education</i> 38 (1997): 201–214.</p>	<p>This study investigated the propensity of Business School alumni to donate cash to the alma mater. A logit regression model was fitted to the survey response data from the 1955/56–1990/91 alumni of a large, Carnegie-classified "Doctoral University I" public higher educational institution. The marginal probability of giving was found to be significantly related to factors such as time since graduation, major area of degree, willingness to recommend the university to others, household attributes and family ties to the alma mater, the number of other voluntary donors known, and the availability of matching gift accounts where alumni are employed. The logit estimates can be used to predict the likelihood of giving and for selecting fund-raising prospects more efficiently. Potentially rich future research directions are explored.</p>
<p>Okunade, Albert Ade., Wunnava, Phanindra V., Walsh, Raymond, Jr. "Charitable Giving of Alumni: Micro-Data Evidence from a Large Public University", <i>American Journal of Economics and Sociology</i> Volume 53, Issue 11/1/1994</p>	<p>This research examines the age-donation profile of gift-giving alumni at a large public university.</p>
<p>Palmer, Tracy. "Forever in your debt: examining the connection between student loan burdens and young alumni giving," <i>CASE CURRENTS</i> 29, no. 1 (January 2003): 31-33.</p>	<p>Heavy student loan debt can make young alumni feel they can't afford to make a gift. The author explores trends in student debt and proposes four strategies for addressing the problem in appeals to young alumni. This article is of interest to annual giving officers and development and alumni professionals who work with young alumni.</p>
<p>Proper, Eve, Caboni, Timothy C., Hartley III, Harold V. and Willmer, Wesley K. "More bang for the buck': Examining influencers of fundraising efficiency and total dollars raised", <i>International Journal of Educational Advancement</i>, Volume 9, Issue 1</p>	<p>This study examines institution-specific factors that are within the control of the advancement office and that predict fundraising efficiency and total dollars raised. Using data from the Council of Independent Colleges and IPEDS, fundraising outcomes are examined at private colleges in the United States. Most of the variables of interest are not statistically significant, with the exception of staff size, which is positively correlated with dollars raised. Institutional age and endowment size positively affect dollars raised; student body size positively affects efficiency.</p>

<p>Proper, Eve, Willmer, Wesley K., Harold V. Hartley III and Caboni, Timothy C. “Stakeholder perceptions of governance: Factors influencing presidential perceptions of board effectiveness”, <i>International Journal of Educational Advancement</i>, Volume 9 Issue 3</p>	<p>This article examines the factors that influence presidents’ perceptions of board effectiveness in relation to their boards’ fundraising role. Data from a survey of small college presidents are used to see what factors influence each of four areas of satisfaction: deciding policy, making financial contributions, referring donor prospects and soliciting donors. Presidents are more satisfied when the boards have received training, there is a fundraising committee, the president is skilled at fundraising, the board has more female members, the college has recently conducted a capital campaign and it is difficult to recruit good trustees. The findings suggest that presidents and fundraisers should encourage boards to receive training in fundraising and should encourage boards to have a development committee. Other factors that influence satisfaction are amenable to presidential intervention, but not fundraiser intervention, such as presidential skill in fundraising and the gender composition of the board. Presidents can seek out training and work to develop their own fundraising skills, benefiting not only the board’s performance but their own.</p>
<p>Routley, Claire and Sargeant, Adrian and Scaife, Wendy. “Bequests to Educational Institutions: Who Gives and Why?”, <i>International Journal of Educational Advancement</i>, Volume 7 Issue 3</p>	<p>Bequests have played an important role in the foundation and development of many educational organizations. It is possible that as mortality rates increase, bequest income will become even more vital. In order to maximize income from this source, practitioners need to understand both who leaves bequests, and what their motivations may be for doing so. This study analyzes literature from the fields of marketing, sociology, economics, and sociology to provide an insight into both who gives and why. The findings show that individuals from across the donor base may be receptive to a bequest appeal, and that there appear to be both altruistic and egoistic motivations driving the bequest giving decision. The study concludes with suggestions as to how these findings may be incorporated into practitioners’ bequest fundraising.</p>
<p>Salmon, Adrian. “Historic Donations to the University of Leeds”</p>	<p>A listing of gifts to the University of Leeds form 1831 to 1951, updated with current values by Adrian Salmon, Head of Annual Giving, University of Leeds.</p>
<p>Sargeant, Adrian and Shang, Jen. “Growing Philanthropy in the United States”. Hartsook, (2011)</p>	<p>A Report on the June 2011 Washington, D.C. Growing Philanthropy Summit.</p>

<p>Satterwhite, C. Robin and Cedja, Brent, “Higher Education Fund Raising: What is the President to Do?”, <i>International Journal of Educational Advancement</i>, Volume 5, Issue 4</p>	<p>Reductions in state and federal allocations to higher education are requiring colleges and universities to seek alternative sources of funding, and higher education institutions are becoming progressively more involved in fund raising. This increased dependence on private sources of funding emphasizes the need for more in-depth studies of higher education fund raising, particularly for additional information regarding the function of the president in the fund-raising process. The primary purpose of this study is to examine the function of presidents in the fund-raising process within higher education. The study focuses on the president and the chief development officer in public four-year institutions within the state of Texas with campaigns less than \$100m.</p> <p>The study uses a multiple case design, allowing the researcher to examine subjects in a real-life setting and, consequently, to identify specific themes relating to a phenomenon. The themes that emerged in the analysis of data related to six specific presidential behaviors within the broad context of fund raising: (1) strategic planning, (2) coordinating external stakeholders, (3) building teams, (4) coordinating internal stakeholders, (5) directing the fund-raising process, and (6) allocating resources to achieve fund-raising goals.</p>
<p>Shepherd, Neil. “Tuition fee-based philanthropy and the state”. Oxford-Man Institute of Quantitative Finance, 2012</p>	<p>The author argues that it is in the state’s financial interest to incentivise universities to philanthropically fundraise to provide tuition fee waivers, particularly for students from poorer families and where the waivers are on fees above £6k. He makes a proposal as to how this could be carried out and show that without such incentives it is unlikely universities will sufficiently fundraise for this cause.</p>
<p>Smith, Mitch. “<a href="#">Paying it back, not forward.</a>” <i>Inside Higher Ed</i> (February 28, 2012).</p>	<p>An analysis of 15 years of alumni giving at one unidentified private university affirms one widely held belief of fundraisers and casts doubt on another. <b>Graduates who used loans to finance their undergraduate education were less likely to donate to the college</b>, Jonathan Meer and Harvey S. Rosen wrote in a <a href="#">paper</a> published by the National Bureau of Economic Research.</p>
<p>Smith, Zachary A, “Assessing educational fundraisers for competence and fit rather than experience: A challenge to conventional hiring practices”, <i>International Journal of Educational Advancement</i> Volume 10: 87-97; 2010.11</p>	<p>This article challenges current recruitment and hiring practices in educational advancement organizations, while proposing a paradigm shift in addressing the talent shortage of fundraising professionals. A case is presented that competence and fit is more important than experience for successful and productive fundraising outcomes. The paper concludes with a prescriptive solution for hiring fundraisers based on a three-step model: recruiting for competence, hiring for organizational fit and training for technical skills.</p>



<p>Sturgis, Rhonda, "Presidential Leadership in Institutional Advancement: From the Perspective of the President and Vice President of Institutional Advancement", <i>International Journal of Educational Advancement</i>, Volume 6, Issue 3.</p>	<p>Since the establishment of higher education systems in the US the position of college and university president has evolved. In regards to fund-raising this position has changed dramatically with the creation of the vice president of institutional advancement. Over time these two positions have expanded the fund-raising function into a team effort. Within this team environment leadership is a key attribute to fund-raising success. For fund-raising to be successful the president must be a strong leader who is focused on teamwork, providing communication, and working with the team to set goals and objectives. As the team relationship is so important, this study utilized the Team Performance Questionnaire (TPQ), by Dr. Riechmann, to explore the hypothesis that presidents and vice presidents of institutional advancement will have similar perspectives on presidential leadership as it relates to the fund-raising environment. The findings of this study provide interesting perceptions on presidential leadership in the fund-raising arena. By understanding these leadership perceptions the president and vice president can work toward overcoming misconceptions and develop a dynamic fund-raising team.</p>
<p>Sun, Xiaogeng, Hoffman, Sharon C., and Grady, Marilyn L. "A Multivariate Causal Model of Alumni Giving: Implications for Alumni Fundraisers". <i>International Journal of Educational Advancement</i>, Volume 7, No 4, 2007.</p>	<p>Despite readily available alumni survey data warehoused at many alumni associations and foundations across colleges and universities, researchers have underutilized the abundant available data to identify key predictors of alumni donation, including factors that trigger alumni donation behavior. Utilizing the data from a two-year alumni survey conducted at a Midwest public university, a multivariate causal model that captures the determinants of alumni donation was applied to the data. Four hypotheses were tested. Three were found to be significant.</p> <p>Based on a multivariate causal model that analyzed data from a two-year alumni survey, the findings suggest that alumni fundraisers and higher education administrators may increase alumni solicitations if they collaboratively create a comprehensive communication strategy to reach alumni; focus on current students as future funders, provide quality educational experiences to students; encourage and support relationship building between faculty and current students and graduates; enhance alumni services based on stakeholders needs; and most importantly, redirect and expand efforts to connect with older female alumni.</p>
<p>Taylor, Alton L. and Martin Jr, Joseph C. "Characteristics of Alumni Donors and non Donors at a Research 1 Public University" <i>Research in Higher Education</i>, Volume 36, No 3</p>	<p>This study was an investigation of selected attitudinal, demographic, involvement, and philanthropic characteristics of alumni donors and non-donors from a Research I, public university. A random sample of 500 alumni (250 donors and 250 non-donors) was selected from a population of 37,691. There were 371 (74%) usable surveys returned. A discriminant function analysis was used to predict group membership of donors versus non-donors, and high donors versus low donors. Using the classification step, 65 percent of the alumni were correctly classified as donors or non-donors, and 87 percent of the alumni high donors and low donors were correctly classified.</p>

<p>Terry, Neil; Macy, Anne. "<a href="#">Determinants of alumni giving rates</a>," <i>Journal of Economics and Economic Education Research</i> 8, no. 3 (2007).</p>	<p>An alternate title of this article presented at the Allied Academies International Internet Conference (2007) was "Does Student Debt Impact Alumni Giving Rates?"</p> <p>This manuscript examines the determinants of alumni giving rates. The data set is derived from <i>U.S. News &amp; World Report</i> and comprises 196 educational institutions. The combination of decreased state funding for education and increasing costs of education has increased the need to find alternative sources of funds. Alumni donations provide the funds needed along with the signal that alumni are proud of their alma mater. Regression results indicate that <b>the primary determinants of alumni giving rates are institutional acceptance rate, amount of average student debt, percent of students receiving Pell Grants, cost of room and board</b>, value of the institution's endowment, public versus private institutions, percent of full-time students, and percent of female students.</p>
<p>Universities UK, "Gifts that Grow, Charitable Giving in UK Higher Education", May 2009</p>	<p>A report and celebration of the role of Philanthropy in UK Higher Education, produced by UUK, the representative body for the Executive Heads of UK Higher Education.</p>
<p>Unwin, Julia. "Philanthropy must start listening to the Poor", lecture, Greshams College, 29 Mar 2012</p>	<p>In a powerful and provocative lecture at Gresham College titled 'Philanthropy then, philanthropy now', the chief executive of the <a href="#">Joseph Rowntree Foundation</a> argued that in the future the giving away of large sums of money must be shaped by a humility that the philanthropists of the 19th and 20th centuries did not show.</p>
<p>Wastyn, Linda M. "<a href="#">Why alumni don't give: a qualitative study of what motivates non-donors to higher education</a>," <i>International Journal of Educational Advancement</i> 9, no. 2 (September 2009): 96-108.</p>	<p>This project explores why non-donors do not give to their alma mater by interviewing 12 non-donors for an in-depth examination of their decision-making processes. The Van Slyke and Brooks (2005) model of alumni giving provides the conceptual framework. This study concludes that where donors and non-donors differ is in the ways in which they socially construct their college experiences to create their own realities. The stories they tell themselves and others about their college experiences and the values they attach to those stories create a reality in which giving does not fit. <b>They tell themselves that the college is too expensive for them or their children today, that other charities need their money more, and that the education they received was a product for which they already paid.</b> This reality becomes the narrative lens through which non-donors interpret and evaluate requests for donations to the college. Variables such as their reasons for attending college, how they fit college into their life and <b>whether they viewed college as a commodity</b> emerged as important themes in these non-donors' narratives. Other process variables – who makes the giving decisions and how they prioritize giving – come into play for these non-donors as well. This study shows the need to include non-donors in research that explores factors that motivate alumni to give to their alma mater and confirms that examining the impact of demographic characteristics and experiences on alumni giving relies on oversimplified pictures of donors' and non-donors' decision-making processes.</p>

<p>Wealth-X. "Europe, Wealth by Tier, Intelligence Briefing" Wealth-X, Inc, Singapore. September 2011</p>	<p>Summary data on ultra high net worth individuals in Europe.</p>
<p>Weerts, David J. Ronca, Justin M. "<a href="#">Using classification trees to predict alumni giving for higher education</a>," <i>Education Economics</i> 17, no. 1 (March 2009): 95-122.</p>	<p>As the relative level of public support for higher education declines, colleges and universities aim to maximize alumni-giving to keep their programs competitive. Anchored in a utility maximization framework, this study employs the classification and regression tree methodology to examine characteristics of alumni donors and non-donors at a research-extensive university in the United States. The study suggests that levels of giving relates to household income, religious background, degree and venue in which the alum keeps in touch with the campus, alumni beliefs about institutional needs, and the number of institutions competing for alumni gift dollars. Implications for future research and practice are discussed.</p>
<p>Weerts, David J., Ronca, Justin M. "Characteristics of Alumni Donors Who Volunteer at their Alma Mater", <i>Research in Higher Education</i> Volume 49, Issue 35/1/2008</p>	<p>In the competitive marketplace of higher education, colleges and university leaders increasingly rely on the influence and service of their alumni to further institutional goals. Because of their demonstrated financial commitment to the institution, alumni donors are often enlisted to serve important roles as volunteers and political advocates. Using binomial logistic regression, this study examines a large sample of alumni donors from a large doctoral/research extensive university to predict donors who are most likely volunteer at the institution (via advisory board service, political advocacy, alumni club support). The study suggests that volunteering among alumni donors is predicted by capacity variables related to gender, residence, and overall civic engagement. Inclination to volunteer is associated with the quality of academic experience while an undergraduate student, beliefs about alumni volunteer roles, and number of degrees earned at the institution.</p>
<p>Willemain, Thomas R., Goyal, Anil, Deven, Mark Van, Thukral, Inderpreet S. "Alumni Giving: The Influences of Reunion, Class, and Year", <i>Research in Higher Education</i> Volume 35, Issue 510/1/1994</p>	<p>We analyzed fifty years of inflation-adjusted data on the Annual Giving program of Princeton University. Most of the variation in both average size of gifts and percentage of class giving can be explained with simple models having three factors: reunion number, class identity, and fiscal year. Besides providing insights into factors influencing donations, these models provide a way to unmask features that are not evident in the raw data, such as trends in giving behavior and exceptional performances by particular classes in particular years.</p>

<p>Williams, Stephanie Roderick. "Donor Preferences and Charitable Giving", <i>International Journal of Educational Advancement</i>, Volume 7 Issue 3</p>	<p>This study aimed to learn more of the differences that may exist between the two most powerful groups of donors today, baby boomers (40–58 years old) and mature donors (59 and older), in an effort to help organizations improve fundraising efforts. Questions about the importance of organizational efficiency, program outcomes, and the desire for information were explored. This study entailed the administration of a mail survey of 2,000 donors.<sup>1</sup></p> <p>Statistically significant differences existed between the following age groups:</p> <ul style="list-style-type: none"> <li>• baby boomers and mature donors, where baby boomers valued information more than mature donors;</li> <li>• young donors (aged 18–39) and baby boomers, where young donors valued efficiency less; and</li> <li>• young donors and mature donors, where young donors valued efficiency less and outcomes and information more than mature donors.</li> </ul> <p>This study confirmed that a majority of donors value organizational efficiency and outcomes and that most donors seek information when making a decision to give. It also revealed significant differences between age groups that may help fundraisers and policy makers improve their understanding of donor preferences and charitable giving.</p>
<p>Wunnava, Phanindra V.; Lauze, Michael A. "<a href="#">Alumni giving at a small liberal arts college: evidence from consistent and occasional donors</a>," <i>Economics of Education Review</i> (December 2001): 533-543.</p>	<p>This study observed the financial giving of alumni at a small, private liberal arts college covering a 23 year period of consistent (longitudinal) and occasional donors. After observing historical characteristics of donors, college officials have a greater probability of accurately predicting future alumni gifts. Key determinants of alumni giving for both consistent and occasional donors are as follows: volunteering for the college, major in a social science division, language school attendance, residence in states with alumni chapters, and employment within the financial sector. Additionally, alumni with relatives who have attended the college, and alumni who have played a varsity sport during college, are two groups very likely to donate. Our study suggests that Alumni Offices may benefit from rating donors' giving potential (and subsequently focusing on these individuals), extensively publicizing reunions, and by targeting those who volunteered during their college years. Among occasional donors, Alumni Offices may want to target males, fraternity/sorority members, and alumni who are close to retirement.</p>
<p>Wylie, Peter. "Sports, Fund Raising, and the 80/20 Rule", CASE Books, 2005</p>	<p>An investigation of whether or not the Pareto principle really does apply to the size of gifts given to Universities.</p>
<p>Wylie, Peter and Sammis, John. "Benchmarking Lifetime Giving in Higher Education", 2009</p>	

<p>Yachnin, Jennifer. "<a href="#">Students who get grants tend to give more as alumni, study suggests</a>," <i>Chronicle of Higher Education</i> (November 28, 2000).</p>	<p>A new study suggests that colleges that provide students with more aid in the form of grants instead of loans may end up with more-generous alumni later.</p>
<p>Zetland, David. "<a href="#">They get you coming and going: university market power and fees</a>." UC Davis, <i>Agriculture &amp; Resource Economics</i> (2007). 20 pages.</p>	<p>Universities are simultaneously competitors and monopolists. When prospective students decide where to apply for their university education, they can choose among many places. The university's choice of the Application fee can affect this application decision. On the other hand, matriculated students must accept the monopolistic price for some services, including transcripts. Economic theory would predict that universities set their Application fees at a competitive level, while charging very high Transcript fees. I have constructed a dataset of 248 "National Universities" and tested this conventional wisdom. I find that universities are indeed competitive with respect to Application fees, but that Transcript fees may be set "too high" in an effort to recover costs through user fees, a position popular among cost-accountants and university administrations, but perhaps naïve in the bigger picture. Since there is a negative relationship between Transcript fee and the rate of alumni participation in annual donations to their alma mater, lowering the Transcript fee would have long-term benefits that would offset short-term losses from lower Transcript fee revenue.</p>

---

## Appendix 4: Analysis of Ross-CASE data

1. We have devised a scheme and a methodology to test a number of assumptions and theories about fundraising performance and success. This analysis is based on Ross-CASE data.

### Caveats and methodology

2. The analysis can only be as good as the data. Our inspection of the data suggests that most institutions report reasonably strictly. We have a sufficiently large sample that some inaccuracies in reporting, although not all, are suppressed by those who report strictly. Nevertheless, it is clear that a minority of institutions are including anomalous figures in their returns.
3. This is still a relatively small dataset. While 164 HEIs is a decent sample, within this group there are a number of different categories and institution types, and it is not illuminating to compare DMU with UCL, or the University of Chichester with the University of Cambridge. Accordingly we needed a way to group institutions together to allow meaningful comparisons.
4. We therefore established the groupings we describe in Appendix 2. These are:
  - Oxbridge
  - Pre-1960
  - 1960s
  - 1990s
  - 2000s
  - Specialist
5. A further consideration is the “lumpy” nature of some of the data. A useful indicator of performance is the number of gifts of over £500,000. But for more than half the institutions in the survey, the number of these is zero and only 12 institutions have achieved 10 or more of these in the last five years.<sup>1</sup>
6. Because of the distorting effect of very large gifts on the statistics, yet because these are also the gifts that make the biggest difference to the institution, we needed to devise a way of looking at fundraising performance over more than one year, but in a way which also recognises the significant extra efforts the sector has made in the last three years.

### Measures of success

7. Taking into account all the above, we have defined the following as measures of success:
  - a. The sum of new funds raised in the last three years. This is referred to as “3yr money raised” and represents new commitments made, so that a new cash gift is included, as is a multi-year pledge at the full value of the pledge. Cash payments on pledges from the previous year are not included.

---

<sup>1</sup> For the future the Ross-CASE survey instrument might consider capturing data on gifts of over £50,000 instead, or as well.

- b. The most recent proportion of alumni who are giving (Latest Participation).
  - c. The most recent cash received from the regular giving programme (Latest Regular Giving Income).
  - d. The most recent year's cash received from all giving, as a proportion of total institutional expenditure.
  - e. The sum of all philanthropic cash received in the last three years, divided by the sum of the budget for the Development and Alumni programmes for the last three years. This is referred to as 3yr RoI.
8. We have tested these for correlation against each other and against a number of factors, as follows:
- a. To whom the development director reports
  - b. Number of development staff
  - c. Number of alumni relations staff
  - d. Number of alumni
  - e. Extent of non-staff related development budget
  - f. Overall development expenditure
  - g. Number of £500,000 gifts received
  - h. Campaign goal
  - i. University ranking (Guardian, THE World, Times overall and Times research column within Times overall)
  - j. Number of development and alumni staff per 1,000 alumni
  - k. Addressable alumni
  - l. Development expenditure as a proportion of total institutional budget
  - m. Development and alumni relations expenditure as a proportion of total institutional budget
  - n. Institutional budget
9. We tested these using Spearman's rank correlation coefficient, where a score of 1 means there is a perfect positive correlation between the two variables, -1 is a perfect inverse correlation, and 0 means there is no correlation at all. Spearman was chosen because it is less sensitive than the alternative Pearson correlation to strong outliers that are in the tails of the data. A test of statistical significance of the result was then carried out, and those which were not significant were discarded. A Spearman coefficient of 0.4 or greater was regarded as worthy of note, with the higher the value, the stronger the indication of correlation between the variables.
10. Since there are only two universities in the Oxbridge group we have not performed any analysis on these.

Results: **Blue** results show very strong correlation; **green** somewhat less so, and **purple** having significant correlation, but less so than green

Variable 1	Variable 2	Pre-1960s	1960s	1990s	2000s	Specialist
3yr money raised	% of non alumni donors					
3yr money raised	Age of programme	0.46	0.55	0.45		0.67
3yr money raised	Campaign target	0.93				
3yr money raised	Expenditure on FR per alum	0.53		0.69		0.67
3yr money raised	FR & AR budget as % of HEI budget			0.67	0.43	0.62
3yr money raised	FTE alumni relations	0.77	0.40		0.53	
3yr money raised	FTE fundraisers	0.79	0.67	0.63	0.70	0.84
3yr money raised	Fundraising expenditure	0.82	0.61	0.71	0.60	0.81
3yr money raised	Guardian ranking		-0.72			
3yr money raised	Latest participation	0.46		0.54	0.43	0.51
3yr money raised	Latest regular giving income	0.77	0.57			
3yr money raised	Number of alumni	0.66			0.51	
3yr money raised	Number of 500k gifts	0.85		0.88		
3yr money raised	Reporting line					
3yr money raised	Staff per 1000 alumni	0.64		0.45		0.59
3yr money raised	THE world ranking	-0.61	-0.45			
3yr money raised	Times research score	0.51	0.63			
3yr money raised	Total turnover	0.67				0.45
3yr Rol	% of non alumni donors					
3yr Rol	3yr money raised	0.55		0.78	0.46	
3yr Rol	Age of programme					
3yr Rol	Campaign target					
3yr Rol	Expenditure on alumni relations					
3yr Rol	Expenditure on FR					
3yr Rol	Latest annual fund income					
3yr Rol	Median legacy income	0.41				
3yr Rol	Number of 500k gifts	0.51				
3yr Rol	Staff per 1000 Alumni					
Cash raised as % of turnover	FR budget as % of turnover	0.58		0.57	0.53	0.61
Latest regular Giving Income	Latest participation	0.68	0.93			
Latest regular Giving Income	Non staff FR budget	0.77				
Latest participation	Staff per 1000 alumni	0.76				0.59



## Discussion

11. In discussing the results shown above, it is important first to emphasise that a strong correlation between an indicator in column 1 and a second one in column 2 indicates only that as one increases, there is a strong correlation with an increase observed in the other. It does not say that there is necessarily a causal relationship between the two.

### Factors seen across many groups of universities

12. It is noticeable that only two measures were strongly correlated across every group of universities. These related to the correlation between “3yr money raised” and both the number of fundraisers on the staff and the total expenditure on fundraising over that period. If there is a causal link, this suggests that the greater the investment in fundraising, the greater will be the return.
13. There is also seen a strong correlation between the cash raised as a percentage of the institution’s overall budget and the proportion of that budget spent on fundraising. This correlation was seen in all but the 1960s universities. Once again this suggests that the greater the investment in fundraising, so the return should be greater.
14. A strong correlation was observed in most groups between “3yr money raised” and the longevity of the development programme. Unsurprisingly the only group in which this correlation was missing is the very youngest universities. It was statistically significant, but least strong in the pre-1960s and in the 1990s universities. This suggests to us that although the age of a development programme does have an impact it is not a prerequisite for successful fundraising.
15. A correlation was also found in four out of the five groups between “3yr money raised” and the proportion of alumni giving to the university. We suspect that this correlation has as much to do with broad professionalism in a development operation as it does any causal connection between these two factors. In other words, a development office raising a lot of money is likely to have good alumni participation. For the reasons discussed in appendix 8, we would be very nervous if this were understood to mean that good alumni participation automatically leads to, or is a necessary precursor for, successful overall fundraising.

### Factors seen in three groups of universities

16. Correlations between “3yr money raised” and the following factors were found in three groups of universities:
  - Expenditure on development per alumnus (pre-1960s, 1990s and Specialist)
  - Development and alumni relations budget as a percentage of the overall university budget (1990s, 2000 and Specialist)
  - The number of staff in alumni relations (pre-1960s, 1960s and 2000s)
  - The number of development and alumni relations staff per thousand alumni (pre-1960s, 1990s and Specialist)
17. Each of these factors is a further way of representing resource commitment to development (and alumni relations) and each of them shows a positive correlation between that and that fundraising success.

### Factors in older universities (pre-1960s and 1960s)

18. The correlations discussed above exhaust almost all the combinations where there was a statistically significant correlation between a measure of fundraising success and some other measure in universities other than those founded in the 1960s or earlier.
19. Within these older two groups, further significant factors were found but there were also interesting divergences between the two groups. Common factors not discussed above included a correlation between fundraising success and both the institution's position in the Times Higher Education world ranking and its position in the research score in the Times league tables. We are cautious about these league tables, but we nevertheless report and highlight these two correlations. There was also a correlation, but in the 1960s universities only, between their position in the Guardian ranking and fundraising success. Once again we emphasise that there is no causal link between these two things although we note that other research has found a link between size of endowment and position in world rankings.
20. We believe that three factors are probably at work here. The first is that, within the UK at least, universities high in these rankings tend to be those that pursue clinical medicine, and there is no question that UK institutions with clinical medicine are, as a group, raising more money than comparable ones without this area of work. The other two factors are much more speculative, and rather than asserting that they are true we would prefer to suggest that more research is done in this area. The first is to ask whether there is a connection between institutional ranking and singleness of mind in the overall institutional pursuit of excellence (as opposed to the pursuit of excellence within particular departments or subject areas.) Secondly, this might be a growing sign that the improving quality of work enabled by philanthropic giving is increasing the measure of overall quality for the institution.
21. Many of the factors that correlated with fundraising success in pre-1960s universities also correlated with success in 1960s universities. However a stark difference was seen when we tested the correlation between "3yr money raised" and the target for an organised campaign. There was an extremely strong correlation (.93) between these two factors in pre-1960s universities, even excluding Oxbridge. We believe that campaigns in this group of universities are becoming very intentional operations: beginning to resemble the best campaigns in North America and engaging the attention of both the senior management team and leading academics. The integration of advancement into institutional planning, and an appropriate match between published fundraising target and investment in fundraising appear to be paying off.
22. Despite one third of the 1960s universities reporting being in a campaign (roughly the same proportion as in the pre-1960s universities), no correlation was found between disclosed fundraising target and three-year fundraising performance. It could be that these campaigns are at an earlier stage of progress than in the pre-1960s group, but we suspect that this may be a simplistic explanation. We also recognise that the overall number of data points is small. The question that we believe this lack of correlation prompts is whether or not such campaigns in younger universities are "campaigns" in the accepted sense. By this we mean are they organised development plans that address many areas of institutional life simultaneously and, as noted in the paragraph above, are they appropriately resourced in comparison with the target?
23. We believe this prompts important questions about institutional readiness for the single-minded effort and intensity that a successful campaign will require. The pre-1960s universities appear to be showing that if the institution is ready, then the results will follow. The data suggest that their

younger counterparts may, in some cases, have launched campaigns whose targets are aspirational rather than based on a stretching but realistic target.

### **Return on investment**

24. There was surprisingly little correlation in any group between the cost of raising £1 and any other factor. (Work on the Regular Giving Benchmarking programme that More Partnership has carried out, however, suggests that where budget is spent wisely, an increasing investment can improve the rate of return.)
25. Where there was correlation, it was found in the pre-1960s universities, with a significant although not strong correlation between return on investment and both the number of £500,000 gifts and the median legacy income. This suggests that concentration on larger gifts can improve return on investment, and that investment in legacy fundraising appears to have considerable potential to improve return on investment. Elsewhere in the report we have highlighted that some younger universities are having considerable success in legacy fundraising, and so this should not be thought of as something that can only be successfully pursued by other institutions.

### **Regular giving**

26. We tested the extent to which there was correlation between both income and participation from a regular giving programme and other factors. Aside from a predictable strong correlation between each other, we found in two groups that there was a correlation between the proportion of alumni giving and the staff complement per thousand alumni. This latter factor is a measure of the extent to which an Advancement office can provide a segmented approach towards its alumni.
27. We also found, in the pre-1960s universities, a strong correlation between the non-staff fundraising budget and the level of income enjoyed from a regular giving programme. Once again this supports the assertion that more investment in asking should result in greater income.

### **Summary**

28. Analysis of this nature has not, we believe, been carried out on Ross-CASE data before, and we believe that further work could be very beneficial for the sector.

---

## Appendix 5: Data analysis methodology and division of institutions into groups

1. A total of 164 higher education institutions have made a return in the Ross-CASE survey in the last five years. All but one of these is based in the UK. Nearly one third of these raised less than £200,000 in new gifts and pledges in the most recent year of reporting, and less than half raised more than £1 million. At the other end of the scale, the significant success of Cambridge and Oxford means that, as is well documented, they raised 44% of all the money given to HEIs in 2010-11. Thus the data contained in the Ross-CASE survey and in the information and practice we have gathered comes from a relatively small, and very widely dispersed dataset. It is not illuminating to compare DMU with UCL, or the University of Chichester with the University of Cambridge. Accordingly we needed a way to group institutions together to allow meaningful comparisons.
2. It was tempting to look at institutional “Mission Groups” as a way of doing this. It is probably reasonable to compare performance and fundraising characteristics using the Russell and 94 Groups since they have almost all been committed to fundraising for some time, are highly selective and represent many of the top research universities in the UK. But while the other mission groups contain institutions whose interests and characteristics have considerable commonality, their history, current activity and engagement in advancement varies substantially and was not found to be a useful way of grouping institutions for comparison purposes. Further, a number of HEIs with a strong commitment to fundraising fall outside the mission groups.
3. Instead, we have grouped universities by a combination of year of obtaining university status, and length of activity in advancement to see whether this produces more coherent analysis. We believe that it does. This is partly because the histories and alumni profiles of these institutions are similar, but also because the governance structures and even their *raison d'être* have a good deal in common and have thus had an impact on the extent, age and style of advancement operation.
4. The groupings that we have used are as follows:

Group	Rationale	Examples
Oxbridge	Outperformance of all other institutions	Oxford and Cambridge
Pre-1960	From the ancient Scottish universities through to those founded before 1960, all these institutions have a distribution of alumni of all ages, and a place in the national consciousness as institutions that represent “establishment” and continuity	Aberdeen, Manchester, Cardiff, Reading, Newcastle <sup>2</sup>

---

<sup>2</sup> Newcastle is an example of a university actually founded later than 1960 but with a degree awarding continuity and history much older. It therefore “feels like” a pre 1960s university.

Group	Rationale	Examples
1960s	This is a group of universities founded at a particular time in the nation's history, after the Robbins report and at a time of democratisation of higher education. They often share new campuses and a sense of the radicalism of the 1960s	Sussex, Ulster, Essex, Stirling
1990s	More conventionally known as the "Post-92s" these are almost all former polytechnics. Many share a much older history than even their immediate polytechnic predecessor, but they are nevertheless characterised by their polytechnic roots in relation to the governance and alumni populations	Oxford Brookes, Hertfordshire, Napier, Glasgow Caledonian, Glamorgan
2000s	Mostly former higher education or teacher training colleges that went through a transition via university college to university in the last decade	Chester, Chichester, Winchester, Northampton
Specialist	These are colleges and schools of higher education with degree-awarding powers characterised by their relatively tight focus on particular subjects. Many would fit into one of the groups above, but this sense of focus gives an edge to their ability to (or difficulty in) defining a Case for Support and an ability to communicate messages to a well-defined audience.	School of Pharmacy, Institute of Education, Courtauld, Guildhall, Glasgow School of Art, Leeds College of Music, Rose Bruford, Institute of Cancer Research, the Royal Agricultural College

We recognise that some of the HEIs which attained University status in the 2000s are specialist in nature and could therefore have been classified with the Specialist section rather than 2000s. The corollary will be true for a small number in the Specialist section. If these classifications were adopted for future work, for example by the Ross-CASE survey, then a second iteration of the divisions would probably be necessary.

# Full Listing of Institutions and Groups

## Oxbridge

University of Cambridge

University of Oxford

## Pre-1960

Aberystwyth University

Bangor University

Birkbeck, University of London

Cardiff University

Durham University

Newcastle University<sup>3</sup>

Queen Mary, University of London

Queen's University Belfast

Royal Holloway, University of London

School of Oriental and African Studies

Swansea University

Trinity College Dublin (Trinity  
Foundation)

University College London

University of Aberdeen

University of Birmingham

University of Bristol

University of Edinburgh

University of Exeter

Goldsmiths, University of London

Imperial College London

King's College London

London School of Economics & Political  
Science

University of Glasgow

University of Hull

University of Leeds

University of Leicester

University of Liverpool

University of London and its Institutes

University of Manchester

University of Nottingham

University of Reading

University of Sheffield

University of Southampton

University of St Andrews

University of Wales Trinity Saint David

---

<sup>3</sup> Independent from Durham since 1963, but with earlier alumni who regard themselves as "Newcastle" alumni rather than Durham ones.

## 1960s

Aston University	University of East Anglia
Brunel University	University of Essex
City University London	University of Kent
Cranfield University	University of Salford
Keele University	University of Stirling
Lancaster University	University of Strathclyde
Loughborough University	University of Surrey
Open University	University of Sussex
University of Bath	University of Warwick
University of Bradford	University of York
University of Dundee	

## 1990s

Anglia Ruskin University	Sheffield Hallam University
Bath Spa University	Staffordshire University
Birmingham City University	Swansea Metropolitan University
Bournemouth University	Teesside University
Cardiff Metropolitan University	University of Brighton
Coventry University	University of Central Lancashire
De Montfort University	University of Derby
Edinburgh Napier University	University of Glamorgan Group
Glasgow Caledonian University	University of Greenwich
Kingston University	University of Hertfordshire
Leeds Metropolitan University	University of Huddersfield
Liverpool John Moores University	University of Lincoln
London Metropolitan University	University of Plymouth
London South Bank University	University of Portsmouth
Manchester Metropolitan University	University of Sunderland
Middlesex University	University of the West of England
Northumbria University	University of West London
Nottingham Trent University	University of Westminster
Oxford Brookes University	University of Wolverhampton
Robert Gordon University	

## 2000s

Arts University College at Bournemouth  
Askham Bryan College  
Bishop Grosseteste University College  
Lincoln  
Buckinghamshire New University  
Canterbury Christ Church University  
Edge Hill University  
Filton College  
Glyndwr University  
Kingston College  
Leeds City College  
Leeds Trinity University College  
Liverpool Hope University  
Moulton College  
Newman University College  
Norwich University College of the Arts  
Plymouth College of Art  
Ravensbourne College  
Roehampton University  
Ruskin College  
St Helens College  
St Mary's University College

Stockport College  
University Campus Suffolk Ltd  
University College Birmingham  
University College Falmouth  
University College Plymouth St Mark &  
St John  
University of Bedfordshire  
University of Bolton  
University of Chester  
University of Chichester  
University of Cumbria  
University of Gloucestershire  
University of Northampton  
University of Wales, Newport  
University of Winchester  
University of Worcester  
Walsall College  
Warwickshire College  
West Nottinghamshire College  
Writtle College  
York St John University



## Specialist

Central School of Speech and Drama

Conservatoire for Dance and Drama

Courtauld Institute of Art

Glasgow School of Art

Guildhall School of Music & Drama

Harper Adams University College

Heythrop College

Institute of Cancer Research

Institute of Education, University of London

Leeds College of Art

Leeds College of Music

Liverpool Institute for Performing Arts

London Business School

London School of Hygiene & Tropical  
Medicine

Rose Bruford College

Royal Academy of Music

Royal Agricultural College

Royal College of Art

Royal College of Music

Royal Northern College of Music

Royal Veterinary College

School of Pharmacy, University of London

St George's, University of London

Trinity Laban Conservatoire of Music and  
Dance

University for the Creative Arts

University of the Arts London

---

## Appendix 6: Open consultation introduction and survey instrument

Welcome to the HEFCE Review of Philanthropic Support for Higher Education. Thank you in advance for taking part in the public consultation phase.

The closing date for submissions is 7 June 2012.

### Introduction to the Consultation

Philanthropic support for Higher Education in the United Kingdom is not new, nor even recent. Almost every UK degree awarding institution whose lineage is older than the middle of the twentieth century was founded and grew on the shoulders of philanthropic support, from individuals, foundations and the charitable, commercial and industrial interests of their day. Many younger institutions also have significant history of receiving philanthropic support.

In recent years, philanthropy towards Higher Education has grown in significance and impact. One of the key drivers of this growth was the 2004 Thomas Report “**Increasing Voluntary Giving to Higher Education Task Force report to Government**”. The report can be downloaded from the BIS website via this link <http://bit.ly/ThomasReport>

Many of the recommendations of the Thomas Report have been implemented, notably interventions such as the fundraising capacity-building scheme funded by HEFCE and administered through Universities UK and the subsequent £200 million government **Matched Funding scheme**, as well as enhanced leadership commitment at Higher Education Institutions and more extensive training of professional fundraising staff .

It is clear that fundraising and philanthropic support will continue to have an increasingly important role to play in contributing to the total resources available for higher education as well as enhancing the current student and alumni experience.

HEFCE has now commissioned a review which will look at the current state of philanthropic support and address challenges for the next decade. The review is led by a board chaired by Professor Shirley Pearce, Vice-Chancellor of Loughborough University and including Sir Rick Trainor, Principal of King’s College London; Rory Brooks of MML Capital Partners LLP, Martin Williams, Director of Higher Education Policy, Department of Business, Innovation and Skills and Nick Blinco, Director of Development and Alumni Relations at the University of Birmingham.

More Partnership has been commissioned to support this task.

The board have agreed that evidence should be gathered from as wide a variety of participants as possible, and you are therefore invited to take part in this consultation.

## Who should take part in the Consultation?

HEFCE and the board are keen to encourage as wide a range of responses as possible. Anyone with an interest in the flourishing of the UK Higher Education system is encouraged to take part.

We recognise that some organisations may wish to make a submission to the consultation as a formal institutional contribution. It is up to each institution to decide who should do this. If the response is a formal one being submitted as an official institutional response, please indicate that this is the case.

We want to emphasise that we very much encourage personal views as well as formal institutional ones.

## Taking part in the Consultation

You can take part in the consultation in one of two ways:

- You can complete the consultation on line at [www.surveymonkey.net/s/HEPhilanthropy](http://www.surveymonkey.net/s/HEPhilanthropy)
- At the end of this introduction are a series of questions. Please answer in your own document those questions which you feel are relevant, and send your answers to the contact details below.

In order to understand the context for submissions, we request that you identify yourself as well as your institution where relevant. We can not guarantee to take anonymous contributions into account.

## Confidentiality

We wish, as far as is possible and reasonable, to make public all the evidence we receive during this consultation. This is likely to involve the inclusion of quotations from submissions to the consultation in the final report. We would not attribute these personally, but we would want to place them in context by identifying the author's role and the mission group of their institution, for example "Donor, University Alliance", or "Principal, GuildHE."

Separately, we anticipate that some of the detailed responses to this consultation will contain wisdom and comment which would be of use to the sector and provide an illuminating appendix to the final report. We therefore intend to publish at least some submissions in an online appendix to the final report, unless you request us not to do this in the case of your submission. Our intention is that these would be attributed, but email addresses would be removed.

If you want all, or any part, of your response to be treated as confidential, please indicate clearly any elements which you wish to be unattributable, and any which you would like us to keep wholly confidential. You should note that the Freedom of Information Act 2000 applies to this work.

The closing date for receipt of submissions is 7 June 2012.

## Contact Details

Please send correspondence to

HEFCE Review  
c/o More Partnership  
31 Exchange Street  
Dundee  
DD1 3DJ

T: 01382 224730  
E: hefcereview@morepartnership.com

---

## HEFCE Review of Philanthropic Support for Higher Education in the UK – Open Consultation

### Completing this consultation:

Although any respondent is welcome to respond to all the questions, it is not our expectation that all will wish to do so. It would be preferable to have detailed responses to a smaller number of questions in respect of which a respondent feels they can make a significant and knowledgeable contribution.

We ask everyone to complete the Preliminary section, comprising questions 1 and 2, and then to answer other appropriate questions as they wish. All respondents are encouraged to complete the final question. Please return your response by **7 June 2012**.

---

## Preliminary: You and your Organisation

1. In order to understand the context for your responses, please tell us about you, your organisation and the role you play within the organisation. Please see details about confidentiality of responses at the end of this questionnaire.

Please supply:

- Your Name
  - Job / Role title
  - Name of Institution
  - E-Mail address and / or Telephone Number (in case we need to contact you – this will not be published)
2. Please indicate the nature of the role(s) you play within the organisation, for example (tick any that apply)
    - Donor to the Organisation
    - Senior Executive Leadership
    - Governor / Council Member
    - Other Volunteer
    - Academic
    - Fundraising (including support roles)
    - Alumni Relations
    - Communications
    - Marketing
    - Other (please specify)

---

## Section 1: Improving understanding of donors to Higher Education

### If you are a donor to a UK Higher Education Institution

3. Please complete this section if you are a donor to a Higher Education Institution (HEI) in the UK or abroad. Helpful information will include:

- What caused you to become a donor? Did you give spontaneously, or were you asked, perhaps by direct mail or telephone, or maybe in person?
- If you are willing, please tell us approximately how much you have given to UK HEIs in the last five years or so. Have you given by Direct Debit or cash as a regular gift, or have your gift(s) been made in other ways? Have you included a legacy in your will, or given your time? (This information would not be disclosed.)
- Why did you decide to give?
- What do you feel has been achieved by giving?
- How does this compare to giving to other charitable causes?
- Is the recipient organisation also your employer?
- Are there things which HEIs could do which would make it more likely that you would continue or increase your support?

### If you are not a donor to a UK Higher Education Institution

4. Please complete this section if you are not a donor to any Higher Education Institution anywhere in the world.

- Do you give to charity?
- Have you ever been asked to give to any UK Higher Education Institution? If so, how were you asked and for what purpose?
- If you have been asked, why did you decide not to give? How did the “ask” compare to being asked to give to other charities?
- What might persuade you to give to a Higher Education Institution?

---

## Section 2: Improving our understanding of government initiated incentives to giving to HE

### The Matched Funding Schemes

5. There has been recently a Matched Funding Scheme whereby donors to English HEIs could have their giving matched in part by government. A similar scheme is running in Wales.
  - Were you aware of the existence of this initiative?
  - What was your overall experience of participating in the scheme?
  - How did it alter the way you approached or invested in fundraising / development?
  - Do you have an impression of the impact of the scheme across England and Wales?
  - Have you any examples of gifts made solely because a matched fund was in place?

### Tax and Regulatory Environment

6. The tax and regulatory environment set a context in which charitable giving occurs. We are interested to know if you believe there are changes which could stimulate more giving.
  - Do you feel you understand what tax incentives are available to donors who make charitable gifts? Could you explain them to someone else?
  - If you are a fundraiser or donor, is tax relief at the Higher / Additional Rate significant? Does the donor take this into account when deciding how much to give?
  - Does your organisation intend to engage with the forthcoming consultation on the proposed 25% cap on uncapped tax reliefs? What is your opinion of the proposed change?
  - In your opinion, is the recent reduction of Inheritance Tax for those who give 10% or more in their wills likely to be helpful in stimulating giving?
  - Are there other incentives using the tax system which the government might consider?
  - The 2011 White Paper on Giving suggested a number of measures to stimulate giving, including ATM and Round Pound schemes, encouraging volunteering, simplifying Gift Aid claims for charities, better recognition of philanthropy at all levels and a range of other measures. Do you think these could have an impact in Higher Education? (link to White Paper at <http://bit.ly/givinggp>)
  - Are there any other measures you would encourage government to consider?

---

## Section 3: Improving our understanding of the impact of philanthropy on Higher Education:

7. We want to know about the impact of philanthropy on Higher Education. In particular:
- Can you give examples of specific projects which have been funded by philanthropy which led to direct, positive outcomes?
  - Has the institution had to adapt its leadership, governance or operations in order to attract or as a result of philanthropic gifts, and if so how has it done this?
  - Are there any pitfalls or ethical concerns in engaging with philanthropy? How might these be avoided and / or properly managed?

---

## Section 4: Improving our understanding of the changes required by Higher Education Institutions:

8. We want to know what Institutions could do which would increase their chances of being successful in raising philanthropic funds. In particular:
- What do you think are the critical factors that lead to success in attracting philanthropic funds in a Higher Education Institution?
  - Do you think this is an activity that your institution(s) as a whole understands, or is it 'done in the Development Office', and most other staff keep their distance?
  - Are there aspects of fundraising and philanthropic support which have worked particularly well, or not so well?
  - Why do you think donors decide to give to your institution(s)?
  - Why do you think, when asked, some potential donors do not give to your institution?
  - If you met someone on a plane or in a lift, and they gave you 30 seconds to tell them about the most important things for which your institution was seeking philanthropic support, would you be able to answer in a way which might persuade the person to give?
  - What is the role of Alumni Relations in encouraging stakeholders to engage with their universities and to encourage philanthropy?
  - Is the institution currently involved (or has it very recently been involved) in a fundraising Campaign, and could you say how much that was for and what the priorities are?
  - Do you have any observations about the role of the Vice-Chancellor or equivalent and the senior executive leadership, and/or the Chair of Governors / Council and volunteers in achieving success in attracting philanthropic support?

---

## Section 5: The future

9. What are the major issues facing the ability of the Higher Education sector to attract philanthropic gifts in the years ahead? You might like to consider:
- What impact (if any) do you think the introduction of higher tuition fees in England will have on philanthropic giving in the coming years?
  - If you are a fundraiser, or academic or volunteer involved in fundraising, do you feel you have received adequate training for what you are expected to do? What more could be done? Is there an adequate career path for fundraisers?
  - What could be done at government level, or by HEFCE or other similar agents, to encourage best practice in fundraising?
  - What are the limits on an institution reaching its potential in this area?
  - What would success in this area look like in (say) 2018 – for your institution? And for UK academia as a whole?
  - How can the proportion of alumni who give to Universities be improved?
10. Is there more room for collaboration with other organisations in order to increase philanthropy to Higher Education? For example:
- Collaborative projects between HEIs?
  - More collaboration between philanthropists and fundraisers in different sectors, e.g. the Arts or the conventional “charity” sector?
  - More academic research into what makes fundraising successful?
11. If there was one message you could convey via this Review what would it be?

---

## Returning the Consultation document

Responses can be received in Word (.doc), XML (.docx) and Acrobat (.pdf) formats, or by post.

Please return your response to this consultation by **7 June 2012** to

HEFCE Review  
c/o More Partnership  
31 Exchange Street  
Dundee  
DD1 3DJ

E: [hefcereview@morepartnership.com](mailto:hefcereview@morepartnership.com)

Enquiries about the consultation can be directed in the first instance to the addresses above, or on 01382 224730.



---

## Appendix 7: HEFCE matched funding outcomes

HEFCE published Circular letter 14/2012 in June 2012. It is reproduced below (excluding Annex A). The full document can be accessed at [www.hefce.ac.uk/pubs/year/2012/cl142012](http://www.hefce.ac.uk/pubs/year/2012/cl142012)

### Matched funding scheme for voluntary giving: 2008-2011 outcomes

1. This letter summarises the outcomes and impact of the matched funding scheme and future steps to address the challenges for voluntary giving to higher education (HE). No action is required in response.

#### Background

2. In 2008 the Government launched the three-year matched funding scheme for voluntary giving. The scheme, to be administered by HEFCE, was announced in HEFCE Circular letter 11/2008. The scheme aimed to achieve a step-change in the voluntary giving and matched eligible donations raised between August 2008 and July 2011 at participating higher education institutions (HEIs) and directly funded further education colleges (FECs).

3. The scheme has now ended, with all final payments to institutions made by 31 March 2012.

4. Funding for the scheme was originally announced at £200 million. This was subsequently reduced in the January 2012 grant letter to HEFCE to £148 million. At the outset we decided to invest £2 million of the total sum to help develop fundraising capacity within the HE sector which was seen as essential for the future. This included invested funds in a programme of support and training led by the Council for Advancement and Support of Education (CASE) Europe. We intend to invest the remaining funding to support the recommendations from the review 'Philanthropic Support for Higher Education in UK: 2012 Status report and Challenges for the next decade'.

#### Participating institutions and impact

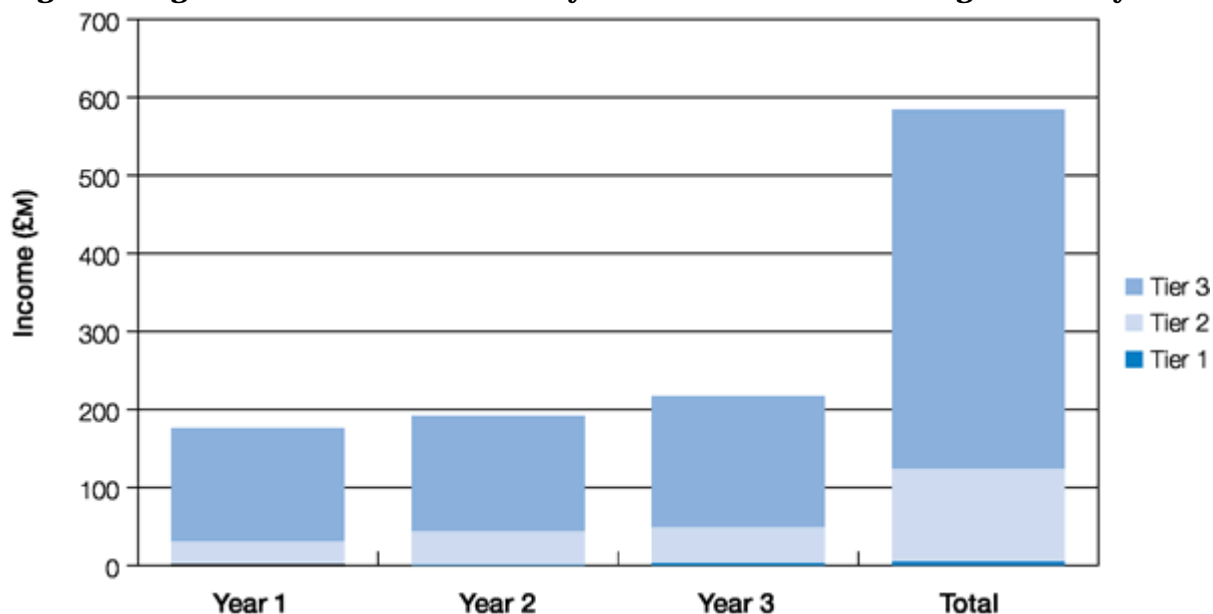
5. A total of 135 institutions participated in the matched funding scheme, including nine FECs, with each institution choosing the allocation tier which best reflected its experience in fundraising. The tiers each had different matched funding ratios and caps, as shown in Table 1.

**Table 1 Tiers of the matched funding scheme for voluntary giving**

Tier	Fundraising experience	Ratio public:private	Matched funding cap
1	Little or no fundraising experience	1:1	£200,000
2	Existing development programmes in place	1:2	£1,350,000
3	The most experienced fundraisers	1:3	£2,750,000

6. The scheme has been very successful. Over the duration of the scheme, around £580 million of eligible gifts raised by English universities and colleges has been matched, as shown in Figure 1.

**Figure 1 Eligible income raised in each year of the matched funding scheme by tier**



Source: Ross-Case survey

7. This has resulted in payments of over £143 million to institutions. Annex A shows the allocations of matched payments made to institutions over the three years of the scheme.

8. The success of institutions in securing this level of philanthropic support is particularly encouraging given contemporary economic challenges, and even more so since the same period has seen support for other UK charities declining and a decrease in giving to HE in North America.

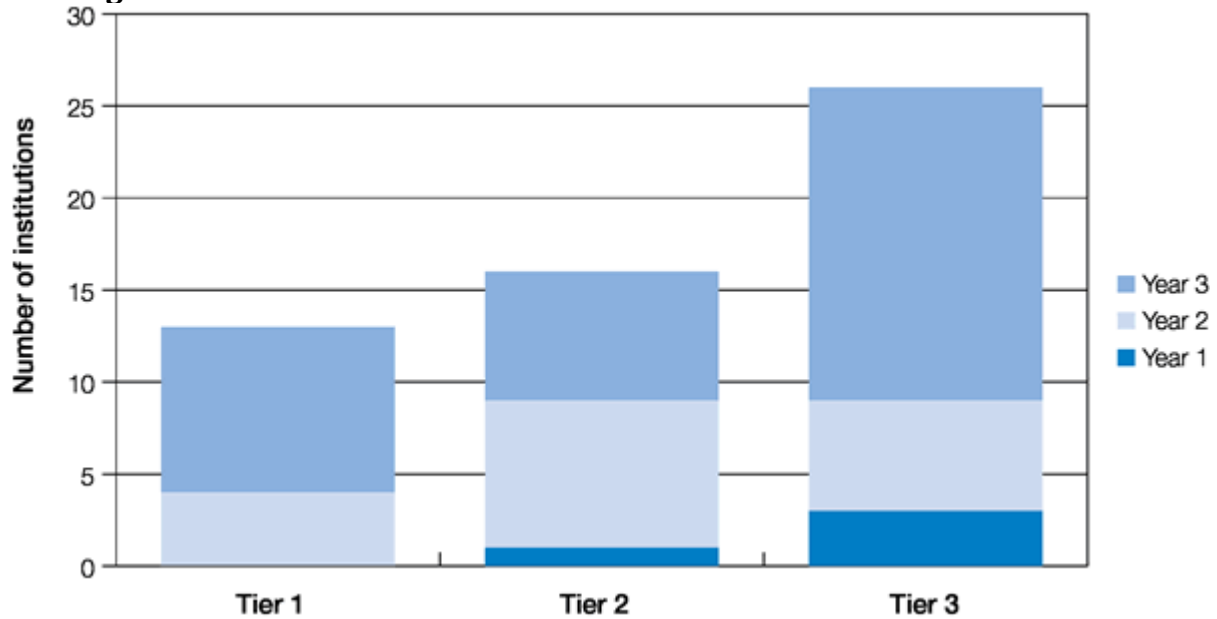
9. Professor Eric Thomas, Vice-Chancellor of the University of Bristol, president of Universities UK and chair of the board of CASE Europe, has commented on the scheme:

‘In addition to generating an alternative source of income, the HEFCE matched funding for voluntary giving scheme has succeeded in bringing about a culture change – it has raised the awareness of giving to higher education, helping to normalise giving at all levels. Universities themselves have articulated the case for the role of philanthropy in our sector – both individually and collectively. They have highlighted its impact on the lives of current and future students, academic research programmes and the communities where our institutions are rooted.’

10. A total of 55 institutions reached their cap for matched funding during the scheme: 13 tier-1 institutions, 16 tier-2 institutions and 26 institutions from tier 3 (see Figure 2).

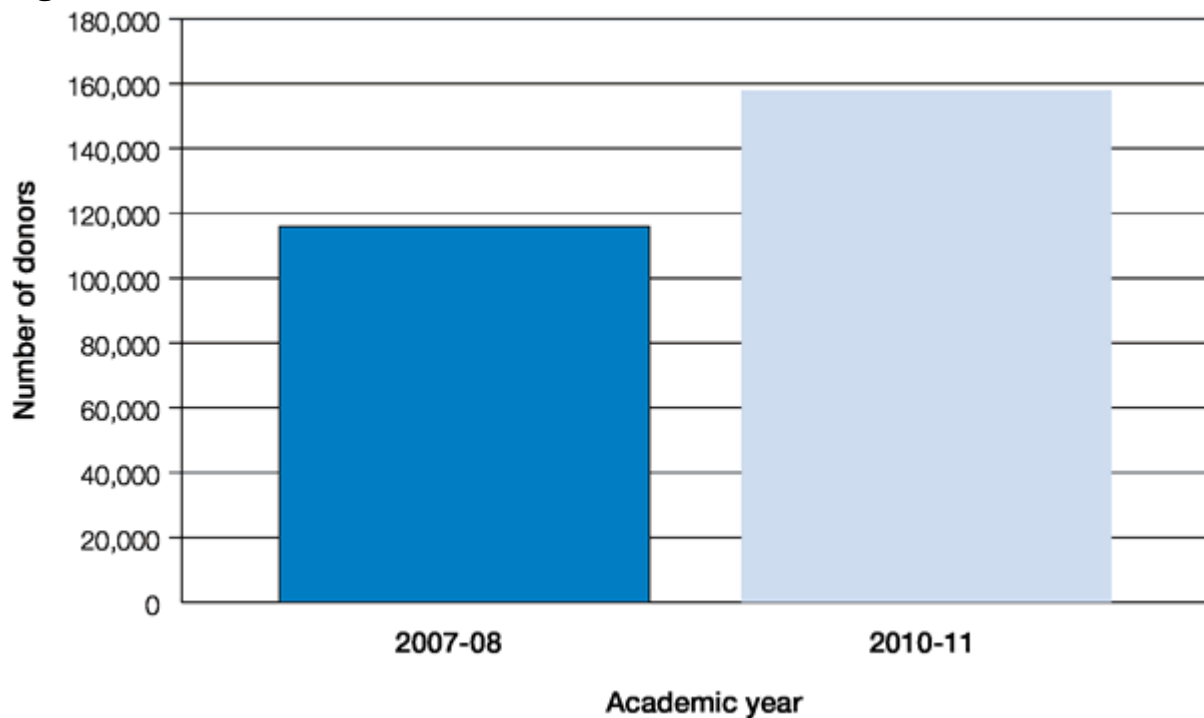
11. The success of the matched funding scheme is further evidenced by the increase in the number of donors. In 2007-08, participating institutions received gifts from 115,787 donors. This rose to 157,788 in 2010-11, an increase of more than a third (see Figure 3).

**Figure 2 Number of institutions from each tier who met their cap for matched funding**



Source: HEFCE voluntary giving returns

**Figure 3 Number of donors**



Source: Ross-CASE survey 2012

### **CASE Europe support**

12. As mentioned in paragraph 4, support has been given to institutions through training and development opportunities delivered by CASE Europe.

13. As at January 2012, 87 per cent of participating institutions, involving nearly 1,000 delegates across all three tier groups, benefitted from the CASE Europe programmes. Most of the programmes will finish later this summer, by which time it expects to have met the target of 90 per cent participation. Feedback indicates that these have been well received and are contributing

to building capacity across a range of universities and colleges, leading to improved performance at raising gifts.

14. The Graduate Trainee Programme has been particularly successful. This programme recruits graduates to follow a year-long programme in host HEIs with strong development departments. The programmes, each designed by the host institution and CASE Europe, introduce trainees to good practice in all areas of development, creating a solid platform on which to base a career in fundraising. This programme has benefitted a total of 21 trainees. Seven are currently in training, with the remainder now in employment, mostly within HE. The programme will continue into a fourth year.

15. Similarly, support for the Leadership in Development Management Programme will continue until March 2013. This is another area where capacity is being built; it is targeted at emerging or new development directors, introducing them to the best ideas in the profession of HE fundraising.

16. CASE seminars and conferences have also been held for non-fundraising staff within institutions and for HE governors.

### **Future philanthropic support for HE**

17. The matched funding scheme was set up as a result of a recommendation made in the 2004 Thomas report, 'Increasing voluntary giving to higher education'. As the sector faces a new phase in its evolution, fundraising and philanthropic support will become increasingly important in contributing to the resources available to institutions. It is timely now, as the matched funding scheme comes to an end, to review progress made by the sector in building on its endeavours and good practice in this area.

18. HEFCE has therefore commissioned a review of philanthropic support for HE in the UK. The review will focus on the following four areas of investigation where we are seeking to improve our understanding:

- donors to HE
- government-initiated incentives for giving to HE
- the impact of philanthropy on HE
- the changes required by HEIs to improve their success in fundraising.

19. This work is being overseen by a review group chaired by Professor Shirley Pearce, Vice-Chancellor and President of Loughborough University. The other members of the group are: Professor Sir Rick Trainor, Principal of King's College London; Martin Williams, Director of HE Policy, Department of Business, Innovation and Skills; Nick Blinco, Director of Development and Alumni Relations at the University of Birmingham; and a donor to HE, Rory Brooks of MML Capital Partners LLP.

20. We have commissioned More Partnership to support the work of the review, which will report this summer. The report will include recommendations for Government, institutions and donors.

### **Consultation**

21. As part of the review, an open consultation has been launched addressing the key areas listed in paragraph 18. The consultation can be found at: [www.morepartnership.com/news/hefcereview](http://www.morepartnership.com/news/hefcereview).

22. For further information, contact Fiona MacMillan, tel 0117 931 7039, e-mail [f.macmillan@hefce.ac.uk](mailto:f.macmillan@hefce.ac.uk).

---

## Appendix 8: Results of the UUK Managed Capacity-Building Scheme

The UUK managed capacity-building for English universities operated for three years from 2006. It offered up to £125,000 for each year of the scheme, to be spent on fundraising activities, matched on a £1 for £1 basis against extra institutional spending on fundraising. Grants could not be spent on alumni relations, consultancy or food. It was available to institutions raising less than £1.25 million p.a. at the time of application. Successful bids for the grants were made by 27 universities.

The Charts below show the total fundraising performance of institutions in each age grouping, differentiated as to whether or not they received capacity-building funds. Year 1 is valued at 1 in all cases. The dotted lines represent institutions which did receive capacity-building funds; the solid ones did not.

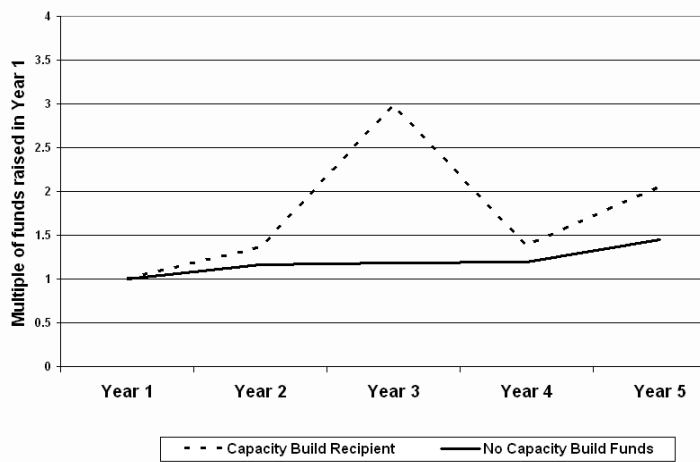
The breakdown of recipients in each university age group is given below. It should be noted that the data points for some of these analyses are very small.

Age Group	Funding	No Funding
Pre-1960	3	23
1960s	10	8
1990s	10	23
2000s	2	37
Specialist	2	23

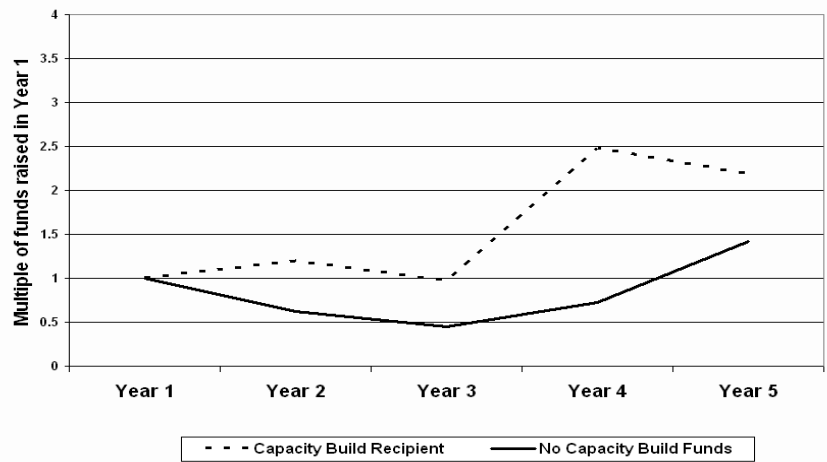
There is evidence that those universities that date from the 1960s or earlier that received capacity-building grants have grown their relative fundraising success more quickly than those that did not receive such grants. The evidence from universities younger than that is less conclusive, but the proportionate sample size is smaller and advancement practice in those organisations was often at a very low level. It may also reflect the prohibition on spending the grant on alumni relations work. In the older universities, relationships with alumni will have been much more developed, and the grant will have allowed them to capitalise on that. In the younger ones this is much less likely to have been the case.

## Comparison of funds raised in HEIs which received Capacity Building Matched Funding against those which did not

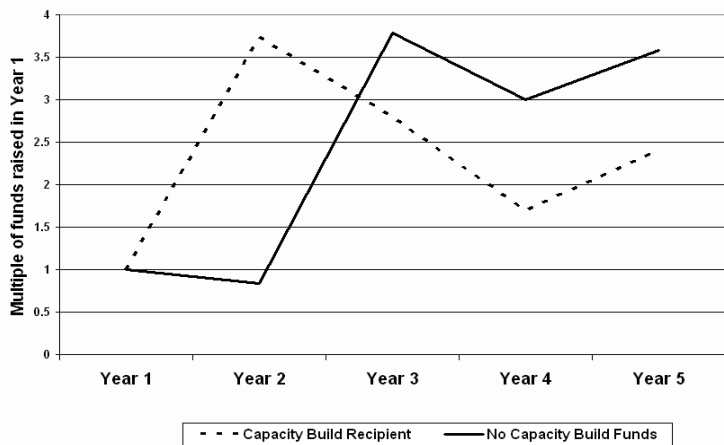
Pre 1960



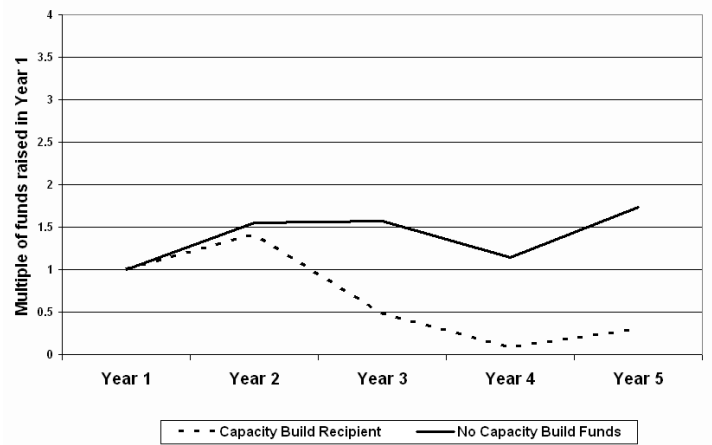
1960s



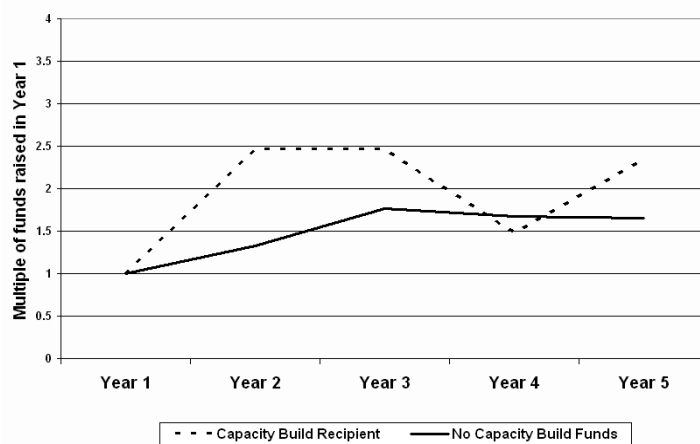
1990s



2000s



Specialists



---

## Appendix 9: HEFCE/CASE Europe Matched Funding Award winners

### 2010-2011 Award Winners

**Three institutions received CASE Europe Matched Funding Awards, one per tier, for improving and sustaining fundraising performance and increasing donors, securing new funds and growing cash income.**

#### **Rose Bruford College of Theatre and Performance (Tier One)**

Matched funding has proven particularly important with regards to Rose Bruford's Jubilee Fund, which doubled thanks to the Matched Funding scheme and was launched in 2012. The student body's single biggest need, next to bursaries, rears its head every summer, as graduating students want to embark upon new projects in order to launch their careers. Grants created through the Jubilee Fund are now available to graduating students working on everything from new computer programmes to shows that they want to take to the Edinburgh Festival. There is one condition, and that is that the students that apply must be able to match the money they are given: essentially, to produce their own matched funding. The number of applicants has been unprecedented, and it is hoped that the Jubilee Fund will go on to support students for years to come.

#### **The University of the West of England (UWE) (Tier Two)**

UWE had never had a fundraising department, yet in light of the Matched Funding scheme, one was created. One amazing success story was that of a donor who had been interested in giving £100,000 per year over a period of ten years. Instead, the donor decided to donate £1.2 million over the duration of the Matched Funding Scheme, producing a total of £1.8 million for the university after the match. As a result, the university was able to fund a Professor of Speech and Language Therapy, partially paid for by the Matched Funding Scheme.

#### **Guildhall School of Music and Drama (Tier Three)**

In September 2010, during the Matched Funding Scheme, the school embarked upon its first telephone-based alumni campaign. Of around 7,000 school alumni, 700 were called and around a third of those contacted made first-time gifts to the school. Because the Matched Funding Scheme was not prescriptive in how the raised money must be spent, Guildhall invested the funds in its capital appeal for much-needed additional facilities. New premises named 'Milton Court' are currently being built opposite the school's existing building on Silk Street, opening in 2013, and will incorporate three major new performance venues as well as further teaching and rehearsal space.

### 2009-2010 Award Winners

**The universities honoured in the second year of the scheme demonstrated growth in philanthropic income raised over the second year of the Matched Funding Scheme. The scheme helped these universities strengthen their fundraising activity and created a strong foundation on which they will continue building in the future.**

### **The University of Wolverhampton (Tier 1)**

The Matched Funding Scheme has had the strongest impact on the university's development of Student Union activities – in particular a new learning resource facility in the Ambika Paul Student Union Centre. Located on the Wolverhampton City Campus, the centre was unveiled in November 2010 after £500,000 was raised to renovate the facility. This centre provides a vibrant, state-of-the-art environment for students to meet, study and relax, as well as counselling support facilities for new students facing hardship.

### **The University of Brighton (Tier 2)**

The Matched Funding Scheme helped the university to build credibility for the development and alumni engagement function. The scheme incentivised colleagues within the university following the institutional decision to allow the matched funding value to follow the designation of any gift made. This encouraged university staff to collaborate directly with the Development and Alumni Office which in turn allowed the department to demonstrate their professional approach to the job of fundraising and alumni engagement. It has also enabled the office to create a network of 'champions' across the university. The scheme has also supported the swift establishment of the Ambassadors, a buoyant leadership giving club which has brought together over 50 donors, each giving at least £1,000 per annum – members include alumni, friends, former staff, senior management and governors.

### **School of African and Oriental Studies (SOAS) (Tier 3)**

SOAS's early decision that matched funding income would fund student-facing projects, particularly scholarships, attracted wide support from staff, students and alumni. A new Alumni & Friends Fund was launched and raised £100,000 for scholarships, hardship support and a variety of student projects. SOAS has attracted a number of six- and seven-figure gifts from international philanthropists, foundations and alumni and was on target to reach the maximum £8.25 million tier 3 cap of the scheme.

## **2008-2009 Award Winners**

**Awards were made to three universities, one per tier, which made improved and sustained fundraising performance during the first year of the Matched Funding Scheme for Voluntary Giving 2008–09. These institutions demonstrated a strong increase in the number of alumni donating, and secured new funds and growth in cash income.**

### **University of Plymouth (Tier 1)**

Prior to the scheme the University of Plymouth had a modest alumni relations and fundraising function. The launch of the scheme accelerated plans to strengthen this area backed by a committed and enthusiastic senior management team. The scheme helped the university to lay a strong foundation of fundraising activity. As Plymouth's activity is relatively new it was helpful that the scheme underlined the reasons why universities should be fundraising at all. Plymouth was delighted to have reached the tier 1 cap.



**Birkbeck, University of London (Tier 2)**

Birkbeck's relatively new development function had built momentum and been successful in its fundraising. After joining tier 2, they found that by the end of year 1, they had reached the cap of £1.35 million. Not only had income increased, but their profile with internal and external stakeholders had been enhanced. Senior staff had grown in their appreciation of the contribution which fundraising can make to Birkbeck and the number of active donors among alumni was increasing.

**Nottingham Trent University (Tier 3)**

The launch of the Matched Funding Scheme was opportune as it coincided with the appointment of Sir Michael Parkinson as Nottingham Trent University's first ever Chancellor, the announcement of one of the biggest philanthropic donations in the university's history, and the need to secure further support for a £90 million capital development project. This prompted the launch of the Chancellor's Building Futures Appeal, one of many initiatives which appealed for support and informed alumni and friends about the Matched Funding Scheme.

## Appendix 10: Tax reliefs available on giving in the UK

The table below sets out the existing main tax concessions on gifts to UK charities, including universities.

<b>Gift Type</b>	<b>Tax Rebate to Charity</b>	<b>Basic Rate Tax Relief to Donor</b>	<b>Higher Rate(s) Tax Relief to Donor</b>	<b>Capital Gains Tax Relief to Donor</b>	<b>Inheritance Tax Relief to Estate</b>
<b>Gift Aid</b>	✓	✗	✓	Not Applicable	Not Applicable
<b>Giving from Payroll</b>	✗	✓	✓	Not Applicable	Not Applicable
<b>Giving Shares, Land or other Real Property</b>	✗	✓	✓	✓	Not Applicable
<b>Legacies</b>	✗	Not Applicable	Not Applicable	✓	✓

### Gift Aid

The underlying principle is that the charity is able to reclaim Basic Rate tax on any Gift Aid gift, and the donor can reclaim Higher Rate tax if s/he pays it. In both cases the donor must make a Gift Aid Declaration, which can be done in written, verbal or electronic form.

The donor must have paid enough income or capital gains tax in the year to cover all the tax reclaimed by charities to whom they make Gift Aid gifts, and must not receive benefits – apart from very minor ones – in return. Gift Aid is back-dateable for four tax years in respect of charitable organisations which are not also limited companies.

Worked examples of how Gift Aid works for a basic rate and a higher rate taxpayer appear overleaf.

## Gift Aid Worked Examples

<b>Basic Rate Taxpayer has £100 gross income</b>			
<b>Earning</b>	<b>Giving</b>	<b>Tax Return</b>	<b>Charity</b>
<b>£20 tax to HMRC</b>			<b>Charity receives £20 from HMRC</b>
<b><sup>4</sup>£80 taken home</b>	<b>Donor gives £80 to charity under Gift Aid</b>	<b>No need to write anything on tax return</b>	<b>Charity receives £80 from donor</b>
<b>Donor has £80</b>	<b>Donor has £0</b>	<b>Donor has £0</b>	<b>Charity has £100 Donor has £0</b>

<b>40% Taxpayer has £100 gross income</b>			
<b>Earning</b>	<b>Giving</b>	<b>Tax Return</b>	<b>Charity</b>
<b>£40 tax to HMRC</b>			<b>Charity receives £20 from HMRC</b>
<b>£60 taken home</b>	<b>Donor gives £80 to charity (same as for a basic rate taxpayer)</b>	<b>Donor reclaims £20 on tax return</b>	<b>Charity receives £80 from donor</b>
<b>Donor has £60</b>	<b>Donor has given away £20 more than their taxed income</b>	<b>Donor receives rebate of £20</b>	<b>Charity has £100 Donor has £0</b>

<sup>4</sup> We would like to credit Sam Anderson for inspiring this method of presentation of Gift Aid.

<b>45% Taxpayer has £100 gross income</b>			
<b>Earning</b>	<b>Giving</b>	<b>Tax Return</b>	<b>Charity</b>
<b>£45 tax to HMRC</b>			<b>Charity receives £20 from HMRC</b>
<b>£55 taken home</b>	<b>Donor gives £80 to charity (same as for a basic rate taxpayer)</b>	<b>Donor reclaims £25 on tax return</b>	<b>Charity receives £80 from donor</b>
<b>Donor has £55</b>	<b>Donor has given away £25 more than their taxed income</b>	<b>Donor receives rebate of £25</b>	<b>Charity has £100 Donor has £0</b>

### Giving from Payroll

Many employers and pension schemes operate a Payroll Giving Scheme. All the tax relief goes to the donor. Very simply, the donor asks their employer to take a certain amount of money from their pay each payday, and pass it on to a charity or charities. The gift has to be made via an “agency charity” which usually charges a fee. The most commonly used agency charity is the Charities Aid Foundation, operating as “Give as You Earn”.

Tax relief on Payroll Giving all goes to the donor. The gift is deducted from salary before tax is charged. Payroll Giving does not attract National Insurance relief. So if the donor wants to give £10 a month, and they pay basic rate tax at 20%, their take home pay will drop by £8, and by £6 for a higher rate tax payer. The donor need take no further action to enjoy the relief.

Some employers make matching gifts when their staff give to charity.

### Gifts of Shares, Land or other Real Property

Outright gifts of shares listed on a “recognised stock exchange” and gifts of Real Property are exempt from capital gains tax on disposal, and in addition attract income tax relief. The value of the donated shares or property is regarded as a deduction from the donor’s gross income for the year in which the gift is made.

## Legacies

An outright gift made on death to a charity – a charitable legacy – is entirely exempt from Inheritance and Capital Gains Tax.

In normal circumstances this reduces the cost of legacy to a taxable estate by 40%. Thus the “cost” to the other non-charitable beneficiaries of the charitable legacy is only £60 for every £100 of assets given away if they are made from an estate whose value exceeds the allowance operating for that estate.

Recent changes include an “incentive” whereby those whose estates are taxable, and who leave 10% or more to charity, will have the remainder of their taxable estate taxed at 36% rather than 40%.

---

## Appendix 11: Myth busting – does it take 13 gifts in an annual fund before someone will make a big gift?

Evidence from the United States has shown that many major alumni donors have first made a stream of “annual fund” level gifts to their institution. Thus it is widely quoted that “most major donors make 12 smaller gifts first”, or that “the first gift made by most major donors was less than \$20.”

This empirical evidence has had overlaid onto it some less reliable assumptions, deriving from an unproven suggestion that there is a causal link between the stream of smaller gifts and the first large one. Since most US universities solicit all their alumni each year, then those well disposed towards the university will give, and those who are or become wealthy may well become major donors. This does not establish any form of causation however. In the general alumni population it is reasonable to suggest that a stream of smaller gifts is evidence of warmth and engagement, and that attention paid to the wealthy among this donor group is more likely to be successful than similar attention paid to those who have never become donors. Thus, as well as raising revenue, an annual giving programme acts as an identifier of potential major gift donors, but this data does not provide evidence of a modifying effect on the behaviour of those donors.

This is important for the UK, since many universities from the 1990s and later do not have a well developed cadre of alumni donors. If the assertion that it is somehow necessary for a donor to have made a stream of small gifts before they are likely to make a large one, this would be very bad news for institutions with only a short history of fundraising, or a lack of wealthy or well-disposed alumni. This assertion is lent some credence by the Ross-CASE editorial board, who in its 2010-11 report says that “features of a successful or high quality higher education development programme” will include:

- “A large proportion of donors will be alumni – often around 80 per cent by number, although the figures by value may differ;
- “Large and growing numbers (certainly thousands) of alumni will be donors and ideally participation (the percentage of alumni giving) will also be rising; and
- “It will have a successful Annual Fund Programme”.

All of these things are undoubtedly signs of successful programmes, but we are concerned that they might be regarded as essential for a programme to be successful or to be regarded as successful.

To test the assertion that many small gifts are necessary before large ones can be made, we asked participants in the annual More Partnership Regular Giving Benchmarking survey if they would be willing to let us have data on the major gifts, in order to test for the existence of smaller gifts prior to a large one. Results from a selection of pre-1960 universities were as follows:

Institution 1: with a patchy regular giving record

Lifetime Gifts or Pledges

Number of alumni donors of gifts in excess of £50,000	15
Number of these donors who had made a smaller gift first	1
Number of these donors who made subsequent smaller gifts	1
Proportion who had made small gifts first	7%
Time lapse from earliest gift to pledge	5 years

Institution 2: with highly consistent long-term regular giving activity

Lifetime Gifts or Pledges

Number of alumni donors of gifts in excess of £50,000	20
Number of these donors who had made a smaller gift first	13
Number of these donors who made subsequent smaller gifts	5
Proportion who had made small gifts first	65%
Time lapse from earliest gift to pledge	between 2 and 10 years

Institution 3: with consistent medium-term regular giving activity

Lifetime Gifts or Pledges

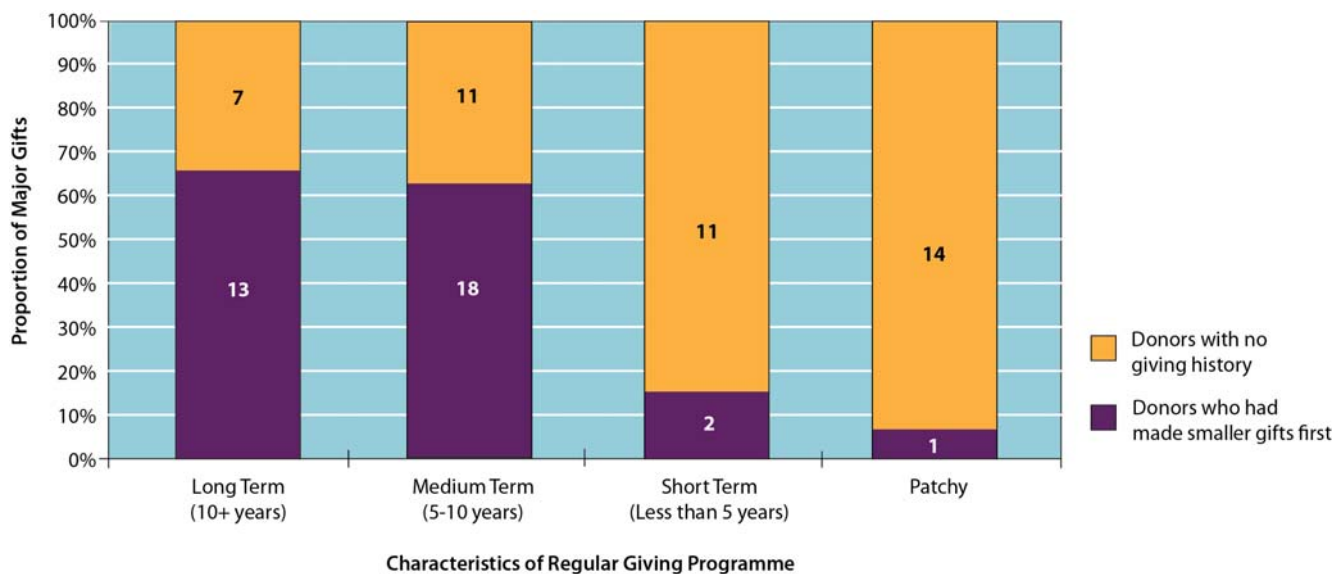
Number of alumni donors of gifts in excess of £50,000	29
Number of these donors who had made a smaller gift first	18
Number of these donors who made subsequent smaller gifts	8
Proportion who had made small gifts first	62%
Time lapse from earliest gift to pledge	between 6 years and 1 year

Institution 4: with consistent but only recent regular giving activity

Lifetime Gifts or Pledges

Number of alumni donors of gifts in excess of £50,000	13
Number of these donors who had made a smaller gift first	2
Number of these donors who made subsequent smaller gifts	1
Proportion who had made small gifts first	15%
Time lapse from earliest gift to pledge	between 5 years and 1 year

### Comparison of Giving History of Major Donors in 4 Broadly comparable Pre-1960 Universities



This analysis is presented in the chart above and shows that while there is no question that having a consistent regular giving programme helps to identify and cultivate major gift prospects, and that the more consistent that programme the higher the likelihood of identifying such prospects, it is by no means a pre-requisite for successful major gift fundraising from alumni.



---

## Appendix 12: Key aspects of productive development operations

The following present some very broad indicators of the ranges of work and indicators of scale and success for development (advancement) operations in different university groups. The categories we have used are explained in Appendix 2. They are not intended to be prescriptive and many institutions will deviate substantially from them.

### Pre-1960 and 1960s Universities

- Integration of advancement with a wide range of strategic and academic planning, and the Development Director a key and trusted part of that process with the confidence of senior management team and senior academics.
- Consideration being given to a comprehensive fundraising campaign in institutions that have well established advancement operations and that are not currently “in campaign.” If the institution has not mounted a comprehensive campaign before, then the target for philanthropic funds might be approximately ten times the annual amount being raised, excluding legacies. The campaign would have a clearly articulated Case for Support backed up by robust business planning for the campaign priority areas.
- If not “in campaign”, then there would exist clearly articulated Cases for Support backed up by robust business planning for particular projects for which philanthropic income is required.
- A small but growing cadre of “trusted friends” of the university who are donors and who are known to the vice-chancellor and other senior university leaders by name. These may or may not be alumni. This would be part of a broader engagement with senior volunteers.
- Dedicated staff for each of individual major gifts, trusts, regular giving, corporate fundraising, prospect research, stewardship, alumni relations and support services.
- A highly disciplined approach to the identification, qualification and allocation to fundraisers of potential major gift donors, together with careful management of progress with those potential donors.
- A highly disciplined approach to the analysis of fundraising performance and identification of areas for improvement.
- A high proportion of all alumni likely to be alive entered on the database (>90%), and a low proportion of them lost (below 20%).
- 20% of the total annual value of all philanthropic gifts below £1 million from legacies.
- A regular giving programme heading towards 5% alumni participation and beyond.
- Income from philanthropic sources heading towards 2% as a proportion of total turnover in institutions with less well established advancement operations, and 5% in more established ones.
- An effective alumni relations programme that uses volunteers to add value to the academic mission of the institution, as well as providing social and nostalgia-based opportunities for alumni.

- Some form of regular printed and electronic communication with alumni and other potential supporters.

## 1990s Universities

- A clearly articulated Case for Support backed up by robust business planning for particular projects for which philanthropic income is required. This will probably take the form of a tight focus on fundraising priorities for areas of particular excellence and/or need.
- A small but growing cadre of “trusted friends” of the university who are donors or supporters and who are known to the vice-chancellor and other senior university leaders by name. These may or may not be alumni. This would be the beginning of a broader engagement with senior volunteers.
- A Development Director appointed at a sufficiently senior level that they have credibility with, and the confidence of, key opinion formers in the institution.
- At least one other person on the staff with significant experience of major donor fundraising.
- A highly disciplined approach to the identification, qualification and allocation to the Development Director or other fundraisers of potential major gift donors, together with careful management of progress with those potential donors.
- A member of staff dealing with lower-level giving: this to be a mixture of lower-level face-to-face solicitation and direct marketing to highly segmented groups of alumni and others.
- Heading towards having all living alumni on the database, and work to improve address quality.
- An effective alumni relations programme that uses volunteers to add value to the academic mission of the institution, as well as providing social and nostalgia-based opportunities for alumni. Work in this area is likely to be centred around particular academic departments and courses.
- Effective support for the fundraising and alumni relations staff.

## 2000s Universities

- A clearly articulated Case for Support backed up by robust business planning for particular projects for which philanthropic income is required. This will probably take the form of a very tight focus on fundraising priorities for areas of particular excellence and / or need / opportunity.
- A small but growing cadre of “trusted friends” of the University who are donors or supporters and who are known to the Vice-Chancellor and other senior university leaders by name. These may or may not be alumni.
- A leader of Advancement appointed at a sufficiently senior level that they have credibility with, and the confidence of, key opinion formers in the institution. This

person may be full time or part time, but needs to be sufficiently present to be familiar with the institution and colleagues.

- A very tight focus on approach to the identification and qualification of a small number of potential major gift donors, together with careful management of progress with those potential donors.
- Some time of a member of staff dealing with lower level giving and legacy marketing.
- Plans to enter all living alumni on the database, and work to find these alumni and to engage with them.
- Plans to implement an effective alumni relations programme that uses volunteers to add value to the academic mission of the institution, as well as provide social and nostalgia-based opportunities for alumni. Work in this area is likely to be centred around particular academic departments and courses.

### Specialist institutions

The longevity of development operations and the mission of specialist institutions varies enormously and so it is very difficult to bracket them together usefully in this context. A mixture of indicators given in previous sections is likely to be useful, however. A feature of specialist institutions is often the much tighter focus on particular subject areas than is found in broader universities. This means that many of those connected with the institution will have strong affiliations to those subject areas, and these will by no means all be alumni. Where this is the case the following might be useful indicators:

- Integration of advancement with a range of strategic and academic planning, and the Development Director a key and trusted part of that process with the confidence of senior management team and senior academics.
- A clearly articulated Case for Support backed up by robust business planning for particular purposes for which philanthropic income is required.
- A growing cadre of “trusted friends” of the university who are donors or supporters and who are known to the vice-chancellor and other senior university leaders by name. These may or may not be alumni. This would be the beginning of a broader engagement with senior volunteers.
- A Development Director appointed at a sufficiently senior level that they have credibility with, and the confidence of, key opinion formers in the institution.
- A highly disciplined approach to the identification, qualification and allocation to the Development Director or other fundraisers of potential major gift donors, together with careful management of progress with those potential donors.
- A member of staff dealing with lower-level giving: this to be a mixture of lower-level face-to-face solicitation and direct marketing to highly segmented groups of alumni and others.
- Where the institution has a “friends” scheme that supports current operations or artistic endeavour, the organisation of the scheme should be tightly integrated with the rest of the advancement operation.

- A focused and effective programme of soliciting regular gifts from alumni and other supporters.
- A focused and effective programme of soliciting legacies from alumni and other supporters.
- Heading towards having all living alumni on the database, and work to improve address quality.
- An effective alumni and friends programme that uses volunteers to add value to the academic (and vocational in some cases) mission of the institution, as well as providing cultural, social and nostalgia-based opportunities for alumni and others.
- Effective support for the fundraising and alumni relations staff.