

THE FUNCTION OF UNIVERSITY PRESIDENTS AND CEO'S  
IN FUNDRAISING: A STUDY OF PUBLIC UNIVERSITIES  
WITH CAPITAL CAMPAIGNS LESS THAN \$100 MILLION

by

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## ABSTRACT

State and federal cuts in higher education financing are requiring colleges and universities to seek alternative sources of funding. Additionally, this decreased governmental funding is coupled with increased tuition and fees. Consequently, higher education institutions are becoming progressively more involved in fundraising to offset the shortfall in dollars for operations and capital expenditures. This increased dependence on private sources of funding emphasizes the need for more in-depth studies of higher education fundraising. Specifically, there is a significant need for additional information regarding the function of the president in the fundraising process. While the president has been studied from a number of different perspectives, the literature relating to presidential roles in fundraising is very limited and provides little to guide leaders in the fundraising process.

This study has two primary purposes. First, it examines the function of presidents in the fundraising process within higher education. Second, it compares these findings with the existing literature. As an extension of a previous study focusing on universities with campaigns greater than \$100 million, this study focuses on public four-year institutions with capital campaigns less than \$100 million. The president and the chief development officer are the primary subjects of study within these universities. The focus of the study will be on institutions located within the state of Texas.

The design used for this study is multiple case study. This design, as identified by the literature, allows the researcher to examine subjects in a real-life setting and,

consequently, to identify specific themes relating to a phenomenon. Presidents and chief development officers were studied to provide a level of validation through triangulation of responses.

Through this examination of presidential involvement in fundraising, specific themes emerged, providing greater understanding of the role that the president plays in the overall fundraising process. These themes related specifically to presidential behaviors within multiple different functions including: strategic planning, coordinating external stakeholders, building teams, coordinating internal stakeholders, directing the fundraising process, and allocating resources to achieve fundraising goals. The president ultimately is the primary player in the fundraising process, but can only be effective through close collaboration with the chief development officer and multiple fundraising teams.

The information within this study will provide opportunities for transferability to congruent situations; furthermore, it is expected that the reader will gain significant benefit from extrapolations resulting from the cross-case analysis and comparison to the extensive review of the literature.

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# CHAPTER I

## INTRODUCTION

### Introduction

Costs associated with the delivery of higher education have escalated over the years; however, the sources of funding have become increasingly limited and even stagnant in many situations (Beaird & Hayes, 1999; Kerr, 1980). Funding uncertainties have not just recently developed. Rather, they have existed within higher education for many years and have continued to grow, reaching critical levels. Consequently, universities are focusing on alternative sources of funding to meet the operational needs of the institution. Specifically, fundraising is becoming a critical component in funding the overall academic operation (Cook, 1994).

Fundraising has been an integral part of financing for higher education in America for many years (Richards & Sherratt, 1981). One of the earliest gifts of significant magnitude in America was a gift from John Harvard to a small university which would later bear his name (Rhodes, 1997; Richards & Sherratt, 1981). Andrew Carnegie and John D. Rockefeller followed this trend of giving major gifts to universities, establishing a solid higher education foundation in America (Fisher & Quehl, 1989).

Within fundraising efforts, there has been an increased dependence upon campaigns to support the mission of higher education institutions, primarily due to limited public financing (Beaird & Hayes, 1999; Cook, 1994; Hamlin, 1990; Harvey, Williams, Kirshtein, O'Malley, & Wellman, 1998; Hnetka, 1999; Kerr, 1980).

Oftentimes, fundraising is associated with universities with multi-billion dollar endowments or with private universities that have historically relied more heavily on fundraising than their public counterparts. However, with the identified shortfall in state and federal financing, public institutions are becoming more competitive for private sources of funding. Additionally, universities with smaller capital campaigns are equally interested in raising dollars to meet their educational mission. Rhodes (1997) defines a campaign as "the opportunity to consolidate and reinforce individual efforts to provide a rallying point for wider support" (p. xix). The Fidelity charitable gift website (Fidelity, 2003) further defines a campaign as, "An organized drive to raise substantial funds to finance major needs of an organization, including construction, renovations or endowment" (p. 1). The University of Texas (2003) makes an interesting addition to this typical definition stating that the campaign is a "major mobilization of our stakeholders to determine our future" (p. 1).

Colleges and universities are committing a significant amount of resources to emphasize fundraising. Not surprisingly, college and university presidents have become highly involved in the fundraising process and remain a key component in the success of the campaign (Kerr, 1993; Worth, 1993).

### Problem

Fundraising in higher education has become a critical component of the total financing for the institution. In fact, fundraising has been identified as a fundamental component of the overall mission of the university (Rhodes, 1997). With decreased

governmental funding, fundraising has become a necessity in public institutions to maintain operations and to maintain competitive tuition rates (Beaird & Hayes, 1999; Cook, 1994; Hamlin, 1990; Harvey et al., 1998; Hnetka, 1999; Kerr, 1980). Clearly, this issue expands across all levels of higher education. However, smaller master's and doctoral institutions will be highlighted in the focus of this study.

Wallace (1992) suggests that universities cannot continue to operate as they did in the 1950s, relying on state appropriations to fund the majority of educational costs. The last three decades have marked consistent decreases in state funding. Specifically, the 2002-2003 academic year showed more dramatic state cuts than any other year in the last decade, posting increases of only 1.2 percent in current dollars (Trombley, 2003). A report from the American Association of State Colleges and Universities (AASCU) ("American Association," 2003) shows that appropriated funds decreased from 38.2 percent to 31.1 percent of public four-year institutions' budgets from 1990 to 2000. Moreover, growth in state appropriations for fiscal year 2003 has dropped near zero, without consideration of inflation. The same report shows a coinciding increase in tuition as a component of funding sources for the same institutions from 45.3 percent to 51.2 percent also from 1990 to 2000. These figures should be viewed with the understanding that as of December 2002, state appropriations had increased by only 1 percent coupled with only a 2 percent increase in per capita income nationally and a 10 percent increase in tuition at four-year institutions over the last fiscal year reporting period ("National Center," 2003). Overall, state appropriations decreased by 7.7 percent from the year 1980 to 1996 after an adjustment for inflation for the same period ("Report says," 1997).

State and federal funding sources combined dropped by 12 percent from 1980 to 1995 ("Costs are rising," 2000). Most recently, a survey conducted by the Center for the Study of Education Policy at Illinois State University showed that states' budgets for fiscal year 2003-2004 showed larger cuts to public higher education than any other year in the history of the survey's 45-year old publication. This cut equaled 2.1 percent across the fifty states with some states acknowledging that more cuts had been implemented since the publication of the survey (Arnone, 2004).

Table 1.1 shows that Federal and State appropriations for baccalaureate institutions decreased from 51.8 percent of institutions' budgets in FY 1989 to 44.8 percent in FY 1998 (Cunningham, Wellman, Clinedinst, Merisotis, & Carroll, 2001, p. 38).

Table 1.1: College Revenues and Expenses

	1988-89	1989-90	1990-91	1991-92	1992-93	1993-94	1994-95	1995-96	1996-97	1997-98
Tuition	23.4	24.5	26.5	28.8	30.3	31.0	30.1	31.6	31.7	31.5
Federal appropriations	0.3	0.3	0.3	0.2	0.2	0.2	0.2	0.2	0.2	0.2
Sate appropriations	51.5	51.4	49.8	47.2	45.3	45.2	47.2	44.5	44.1	44.6
Local appropriations	2.0	1.7	1.1	0.7	0.6	0.5	0.2	0.2	0.2	0.2
Federal grants and contracts	13.4	13.4	13.2	13.8	13.8	13.0	12.5	12.3	12.8	12.2
State grants and contracts	3.2	2.7	2.8	2.8	3.1	3.5	3.4	3.8	3.7	3.7
Local grants and contracts	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.1	0.1	0.1
Private gifts, grants and contracts	1.7	1.9	2.3	2.5	2.4	2.5	2.5	3.0	2.8	3.0
Endowment income	0.5	0.5	0.4	0.4	0.5	0.5	0.4	0.4	0.4	0.4
Sales and services of educational activities	1.4	1.3	1.2	1.4	1.5	1.6	1.4	1.5	1.6	1.6
Other	2.5	2.1	2.3	2.1	2.0	1.9	2.2	2.3	2.5	2.5
E&G revenue	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0
Instruction	39.2	39.0	38.7	38.6	38.3	38.1	39.1	38.7	37.6	37.6
Research	1.3	1.2	1.2	1.1	1.2	1.3	1.3	1.4	1.2	1.2
Public service	3.0	3.0	3.1	3.0	3.4	3.6	3.6	3.6	3.8	3.9
Academic support	8.3	8.7	8.7	8.6	8.5	8.5	8.6	8.6	8.7	8.6
Student services	8.3	8.3	8.4	9.0	8.4	8.6	9.0	9.2	9.2	9.2
Institutional support	13.3	13.3	13.4	13.0	12.2	12.6	12.3	12.3	12.3	12.3
Plant operation/maintenance	11.2	10.8	10.2	10.1	9.8	9.8	9.4	9.8	9.6	9.8
Scholarships and fellowships	13.4	13.8	13.9	14.6	15.3	14.3	14.1	13.5	14.0	14.5
Mandatory transfers	1.2	1.1	1.2	1.2	1.6	1.8	1.7	2.0	2.0	2.1
Nonmandatory transfers	0.8	0.8	1.2	0.6	1.3	1.4	0.9	1.0	1.6	0.9
E&G expenditure	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

Adapted From: U.S. Department of Education, National Center for Educational Statistics.

Future projections for state support for higher education are extremely bleak. Hovey (1999) has explored fiscal support for higher education among all the states. He

concludes that given the poor economic performance of the states as well as the decreased ability for institutions of higher education to compete with other programs for state dollars, there would be significant funding shortfalls for public institutions over the following eight years. His assessment reflects an economic projection that more closely parallels "normal" growth. However, he notes that if economic growth is lower than "normal" there would be even more dire results. In addition to this dismal outlook, Hovey projects that funding for higher education would need to increase 6 percent annually to maintain current services in consideration of average enrollment increases. These funding requirements, however, are matched with a currently anticipated .5 percent shortfall in structural deficits in funding current fiscal requirements for states. Jones (2003) elaborates on Hovey's assertions and warns that the funding levels for higher education are decreasing at a more rapid rate than that of other state-funded agencies. Specifically, he notes that higher education is not successfully competing for the consideration of state appropriations.

Institutions have responded to the decreasing sources of state funding for operations by reverting to other sources of revenue. Cage (1990) notes that tuition rates in the United States increased three times faster than the rate of inflation in the 1980s. Wellman (1999) identifies a near five-fold increase in tuition rates over the last two decades. Another report shows that tuition increases exceeded the consumer price index increases by 5 percent in the years 1981 through 1993 (Hossler, Lund, & Ramin, 1997). This report also shows that costs of attending college increased by 22.8 percent, while median family incomes only increased by 6.4 percent for the years 1983 through 1992.

These actions, however, have not gone unnoticed. Increasing pressures from a discontented public, Congress, and even some state legislators defined the immediate need to limit tuition increases (Trombley, 2000). In fact, in an effort to control this rapid increase in tuition costs, many states have actually implemented policies to limit tuition increases (Mercer, 1993).

In addition to decreases in revenue to public colleges and universities, higher education institutions have seen a marked increase in operating costs. From 1980 to 1996 public post-secondary institutions increased expenditures nearly 126 billion dollars. In constant dollars, the increase for the same period amounts to over 60 billion dollars. These increases equal approximately 300 percent and 47 percent, respectively, over the 16-year period (U.S. Department, 2001). In the public university setting, the educational and general expenditures per student were \$19,700 annually in 1996, which was an increase from \$15,391 in 1980 (Johnstone, 2001). Interestingly, this near 28 percent increase is coupled with a slight decrease in instructional expenditures as a component of the overall universities' budgets for FY 1989 through FY 1998. Many of the increases have been related to activities in the categories of student services and scholarships (Cunningham et al., 2001). Increases have, in large part, been passed on to students in the form of tuition equaling nearly 190 percent growth from fiscal year 1984-1985 to fiscal year 1999-2000 (Johnstone, 2001). Johnston (2001) continues to examine the reasons for the increase in overall costs to students. He identifies several claims against universities including wastefulness, wrong priorities, unwillingness to improve inefficiencies, insensitivity to the consumers, and overselling the product. Each of these

items is defended by Johnston, and the focus on increases returns to a decrease in funding levels combined with educating a larger number of students.

The decreases in state and federal financial support for higher education as well as the increases in costs to deliver higher education are unfortunately compounded with the increasingly slowed rate of private funds received by universities within the U.S. Private sources and endowment income only accounted for 4.7 percent of revenues generated by public institutions in 1996 (U.S. Department, 2001). In 2001, giving to higher education was reported to be only a .5 percent increase over the previous year but showed an actual 2.3 percent decrease over the previous year with adjustments for inflation (Pulley, 2002). While charitable gifts hit a record high of \$28 billion in 2000, the 2.6 percent increase in gifts was the smallest in over 25 years ("Charitable gifts," 2001). Vance T. Patterson, president of the Council for Advancement and Support of Education notes that the Academic year 2001-2002 saw another drop in donations to universities by 1.2 percent and a decrease of 13.6 percent in alumni giving. He acknowledges that giving is at record highs in higher education but cautions that the indicators should be monitored carefully by university officials ("Council for Advancement," 2003).

It is evident that there is a very clear dilemma in the financing of higher education in America. Government resources are waning, costs associated with the delivery of education are increasing at a disproportionate rate to inflation, and private sources of giving are growing at discouragingly low rates. Institutions must work diligently to shift their reliance from the inevitably dropping state and federal funds and focus their energies on improving the amounts given to universities. Charitable giving is one of the

few sources of funding that universities can effectively impact. With economic shortfalls throughout the nation, institutions must maximize their revenues from private sources.

While fundraising has occurred in institutions of higher education for more than 350 years, it has become increasingly prominent at the level of public institutions of higher education only in recent years. The research in fund raising, however, has mostly been limited to characteristics of donors' behavior and specific attributes related to institutions, students, and alumni (Brittingham & Pezzullo, 1990). Institutions such as Queen's College in New York have resolved that fundraising is the most logical and most readily available source of funds in the face of increasingly waning appropriations from the once reliable state funding (Strosnider, 1997).

Increasingly, financial stability and public accountability are on the forefront of stakeholders' minds as legislation is developed and higher education spending is considered. Moreover, institutions are becoming more criticized for increased tuition rates to cover spending levels. Additionally, funding appropriations are declining as a result of increased public scrutiny. Consequently, there is a more diligent focus on cost containment and, perhaps more urgently, identifying other sources of funding. This alternative source of funding comes in the form of fundraising. These conclusions are outlined and reported in an ERIC critical issue bibliography (Maintaining, 2002). Unfortunately, the document fails to provide sufficient publications on fundraising; rather, the focus remains on cost containment and operational efficiencies.

Yudof (1992) highlighted the spiraling decline in state funding for universities and emphasized the increased reliance on external funding sources, specifically in the

form of private funds. Smith (1998) notes that this external focus has created a fierce competition for those dollars categorized as "scarce." However, she also explains that this increased reliance on outside funding has produces a distinct ethical dilemma that must be balanced with the overall mission of the university. She explains that funding shortfalls will force institutions to bend their traditional values and foci in order to gain private funds that are critical to the overall operations of the university. Yodof (1992) supports this conclusion, emphasizing that external funding is one of the few alternatives to skyrocketing tuition rates, but warning that an increased reliance on the private funds requires the institution to match the mission of the donor rather than that established by the institution.

Cunningham et al. (2001) reports that the percentage of revenue from private funds has increased by 76 percent from 1989 to 1998. Additionally, Macadam (1994) points out that institutions are becoming highly reliant on fundraising due to staggering decreases in state funding and an interest in limiting dependence on tuition increases. She reports that institutions received approximately 75 percent of their funding from the states in the 1970s, but now only receive about 30 percent of their funding from the states. She also emphasizes the incredible increases in tuition over the last ten years, resulting in tuition dollars accounting for about 20 percent of institutions' total budgets. Ianozzi (2000) also underscores the tremendous need for institutions to broaden their sources of revenue and rely more heavily on fundraising efforts to meet the operational needs of the university.

In 2000-2001, it was reported that sources of voluntary funding for higher education equaled approximately \$24.4 billion ("Sources," 2003). In fact, Pulley (2003) identifies that in 2002 at least seven different institutions announced capital campaigns of \$1 billion or more. As of April, 2003, the Chronicle of Higher Education (2003) showed that 323 institutions were involved with capital campaigns including 23 that had campaigns greater than \$1 billion (Bartlett, 2003). This is a stark contrast to the announcement in 1986 by Washington University that a record had been set with the successful completion of a \$503.5 million dollar campaign ("Good-bye," 1989). Even at that time, though, public universities were becoming much more aggressive in fundraising creating significant competition for the historically dominant private universities (McMillen, 1989).

### Conceptual Framework

There have been a limited number of studies developed to consider the role of the president in fundraising; consequently, no definite theory exists. It is concluded from the review of literature, though, that the president is definitely an integral component in the fundraising process. The design used in this study is a multiple-case study. Specifically, the case study design will be used to identify themes by the systematic analysis of the data collected. Creswell (1994) states that case studies are valuable when "...the researcher explores a single entity or phenomenon ('the case') bounded by time and activity..." (p. 12). Moreover, he notes that case studies, through the development of categories within the data collected, allow the researcher to identify specific patterns and

themes through the comparison of the data to the literature. DePoy and Gitlin (1998) also state that case studies are particularly helpful in situations where little defined information is known regarding a particular phenomenon. They also emphasize that the use of case study is ideal in identifying a more in-depth understanding of a complex phenomenon.

Yin (1994) cites one of the major advantages of case studies is that they allow the researcher to examine a particular phenomenon within a real-life context. Patton (2002) also emphasizes that case studies are context sensitive, acknowledging the fact that the results will provide real-life information regarding the specific case and environment of the participant. Denzin and Lincoln (1994) suggest that case studies are not ideal for theory generation or for generalization. Rather, they provide the ability of the reader to construct knowledge regarding a phenomenon within the parameters of the cases studied. Patton (2002), however, identifies the value of extrapolations which can be applied to different contexts. This transferability of findings is especially functional in the case study design.

Cook (1994) states that a specific theory does not exist regarding the function of the university president in the processes of fundraising. Consequently, Cook implemented this same type of research design to guide the emergence of themes relating to this particular phenomenon. Cook's (1994) data analysis is related to universities with capital campaigns greater than \$100 million while this study examines the president's function in universities with capital campaigns of less than \$100 million.

One of the primary purposes of case study research is to examine relationships, identifying themes that emerge beyond what is immediately apparent (DePoy & Gitlin, 1998). Clearly, the collection of information through case-study interviews and the analysis enabled this researcher to identify and more clearly define themes relating to the function of the president in higher education fundraising.

### Purpose

The operations of the university obviously cannot be fulfilled without adequate funding, whether the funding is in the form of governmental funding, tuition and fees collected, grants, or gifts received through various fundraising efforts (Kerr, 1980). Moreover, universities must focus more heavily on increasing the levels of funding from private sources, upon which they can have an immediate impact. The president/CEO of the university remains one of the most pivotal factors in securing funding through various fundraising campaigns. The role of the president has been studied in fundraising campaigns greater than \$100 million. Universities that have smaller capital campaigns, and typically fewer financial resources, must be ever-mindful of their financial situation and must build a safety net with which to operate in the face of declining federal and state funding. Another very unique aspect to the study of organizations with smaller campaigns is the fact that the president may be much less experienced at the art or science of fundraising. Furthermore, he/she may have very limited resources upon which to draw to accomplish the fundraising needs of the university. The need for fundraising, therefore, is not just substantiated due to the limited amount of dollars. The impact of the

president in institutions with smaller campaigns may be significantly different from those institutions with more experienced fundraisers at the presidency as well as a well-defined and well-trained staff that helps meet this goal. This study has two distinct purposes: first, it will examine the role of the president or university CEO in the fundraising process in campaigns less than \$100 million. Within this examination, it will explore the significance of the role of the president or CEO of the higher education institution in the fundraising process. Second, it will compare these findings to the literature related to the role of the university president in fundraising.

### Research Questions

This study is based upon one primary question, “What is the function of the president or CEO in fundraising?” One proposition guides this research: it is typical that institutions conducting capital campaigns of less than \$100 million will be less experienced in fundraising efforts. Therefore, it is anticipated that there are many answers to this question. It is critical within the study to clearly delineate the answers to this question and highlight the most important roles that the president plays. Other significant questions, however, will also be addressed.

- Is the success of the capital campaign more reliant on the president as an individual or his/her role as part of the fundraising team?
- Should the president/CEO be the primary player in the fundraising process?

- What factors influence the level of involvement of the president in the fundraising process?
- How clearly defined is the role of the president in a successful capital campaign?
- What personal behaviors are characteristic of a successful fundraiser?
- What are the critical steps in the fundraising process?

### Need for the Study

Higher education in America is undergoing a very critical time in history. Rising administrative, operational, and inflationary costs have presented colleges and universities with a difficult dilemma with which to function. Additionally, governmental funding continues to decrease (Beaird & Hayes, 1999; Kerr, 1980). This combination of increased costs and decreased funding can be fatal to higher education institutions if they do not respond appropriately. Consequently, institutions are increasingly turning to other sources of funding that provide supplemental income to tuition and fees charged as well as the limited governmental funding received.

The college or university endowment fund performs several functions. It provides operational dollars, it is leveraged to raise additional funds, it provides stimulation and security for long-term planning, and it provides dollars to attract faculty and students through funding opportunities and facilities ("Understanding," 2000). Moreover, in more difficult financial times, universities with larger endowments do not have to rely on increased tuitions to generate the dollars necessary to maintain general operations

(Pulley, 2001; Tartakovsky, 2000). These more endowed colleges can rely on revenues from investments to offset increasingly rising costs that they are experiencing (Basch, 1999). As funding for public universities becomes more scarce and competitive, the University of Texas is more able to sustain appropriation cuts with a current endowment of \$8.6 billion ("Nation," 2003) than Angelo State University which manages an endowment of \$68.7 million ("Angelo," 2003) or Midwestern State University which manages a \$6.1 million endowment ("Midwestern," 2003).

The president or CEO of the college/university is identified as one of the most significant positions within the university structure for seeking external funds for the institution. Therefore, with an ever-increasing need for external funding, the president must prepare quickly and appropriately to play an integral role in acquiring the needed funds. While some presidents have had developmental or fundraising experience in other capacities, many must rely on their intuitive expertise or others' experiences to establish successful fundraising campaigns. This study will identify the different success factors identified for the office of the president or CEO of the university. Additionally, it will focus on the individual characteristics that prove to be the most successful among those presidents surveyed. This study will result in a guide or resource for aspiring presidents to prepare them for the ever-present duty of raising funds for the university. It will also provide information to those who are already in office, allowing them to improve their institution's fundraising performance and perhaps develop a more successful team of key individuals to meet the ever-increasing need to raise additional revenues.

This study is an extension of another study focusing on universities that are pursuing campaigns greater than 100 million dollars. This study, however, will identify those factors that have proven successful for universities that are in campaigns of less than 100 million dollars and that have accumulated smaller endowments which provide supplemental funding in times of uncertain resources. Furthermore, it will highlight any distinct differences or similarities between the roles the president plays in the overall fundraising processes at these different levels of capital campaigns and endowments.

### Definitions

There are several terms used consistently within this study that may need more specific clarification. The following are definitions of identified terms:

- The Chief Executive Officer (CEO) and the president are the most common terms implemented to describe the functional leader of the university. More specifically, this is the person that immediately reports to the board of regents and to whom all others in the university are ultimately responsible.
- The Chief Development Officer (CDO) is the individual that is responsible for overseeing the institutional advancement office of the university. This position typically reports to the president.
- Institutional advancement, development, and fundraising are all expressions used to define the process of seeking out funds from private sources separate from the publicly funded sources such as state, federal, and local governments. These

processes are highly integrated and are systematically implemented to acquire different levels of support from a wide variety of stakeholders.

- Capital campaigns are campaigns designed to meet a specifically defined goal of the university which ultimately supports the mission as defined by the board of regents. A capital campaign will have a specific goal, focus, beginning date, and ending date. As such, the capital campaign is a finite process that is separate and distinct from the annual campaign.
- Public sources of funding represent state and federal dollars appropriated for uses by higher education institutions.

### Assumptions

There were a number of assumptions made in preparation for this study, including:

- Public sources of funding will continue to decrease and will become a less viable and sustainable source of operational funding for colleges and universities.
- Presidents and CEOs understand the value of effective fundraising skills and are becoming increasingly aware of the reliance on private sources as a supplement to public sources of revenue and tuition.
- Public universities are interested in providing an educational opportunity for students that is financially accessible and can be managed by those interested in pursuing postsecondary education.

- The president/CEO understands the importance of fundraising and the need to continually improve in this area.
- The president understands and has an appreciation for the collaborative efforts involved in the entire fundraising process.
- Private sources will represent a growing source of funding for public colleges and universities in order to maintain operational standards and educational accessibility.

### Delimitations

The focus of this study will be on presidents and CEOs that lead universities within the state of Texas. Higher education institutions in Texas are all facing similar dilemmas regarding the questionable public funding of university operations. Additionally, these colleges and universities are also situated in an area that is affected consistently by both national and regional economic trends. Therefore, the university presidents interviewed will likely have similar strategies to combat the waning financial support from traditional sources.

In addition to the similar funding issues that colleges and universities are facing in Texas, they are also dealing with the issue of tuition deregulation. September, 2003, marked the date of tuition deregulation after decades of legislative restrictions on tuition and fee charges (Potter, 2003). While this change gave some flexibility to colleges and universities, it cannot replace the need to identify other sources of funding. The ability to increase tuition was seen as a step to overcome dramatic state cuts, although costs related

to university operations continues to rise at alarming rates. Universities must be careful to avoid raising tuition to levels that would price them out of the market for students.

This study specifically focuses on public universities. Clearly, public universities face a very different set of funding issues than private universities. These issues are related tuition and fees; federal, state and local funding; foundation support; and any other source of funding representing an alternative to traditional funding. Public universities also have a number of legislative, legal, and spending constraints that are unique to institutions funded by public sources. Moreover, public universities are placed under a significant amount of public scrutiny due to the public funding and resulting control of the operations. This scrutiny also leads to issues such as accountability measures and performance expectations developed and implemented by legislative and other publicly driven entities.

Last, this study focuses on capital campaigns that are less than \$100 million. Unquestionably, universities that are either planning, involved in, or completing this size campaign are facing different overall operating and funding considerations than universities that are involved with larger campaigns. These differences are evident in the size of endowment and the anticipated potential for very large gifts to the institution. Consequently, these universities are potentially pursuing very different sources of giving than the larger campaign universities.

### Limitations

Because this study will focus on universities located in the state of Texas, the findings may not be generalized to all universities. Furthermore, the transferability will also be limited to universities that are similar in size and campaign goals. These limitations are especially emphasized due to the specific characteristics that Texas universities obtain or within which they are forced to operate. These include demographic limitations such as natural resources and the base of individuals who will likely contribute funds to the university. Additionally, the legislative processes, requirements, and constraints are somewhat unique to Texas, therefore requiring a distinctive focus and specific goals of fundraising campaigns.

Another distinct limitation to the study will be the experiences that the participating presidents and CEOs have had in fundraising. Additionally, the levels of training that each of these individuals possess will unquestionably affect individual experiences, outlooks, involvement, and ultimate successes in fundraising. In addition to fundraising experiences, presidents and CEOs are also significantly influenced by their managerial and leadership techniques that will impact the manner in which they direct fundraising employees and campaigns. Also factored into this equation is the ability of the president/CEO to work collaboratively with large donors, the members of the board of regents, and specific foundation leaders. Personality, therefore, will create a distinct limitation to the study in that personality may distinctly outweigh or even influence fundraising tactics and management.

Another factor limiting the study is the lack of specific proven methods for successful fundraising. The literature is somewhat limited in defining the function of the university president in the fundraising process. Consequently, many presidents and CEOs are required to establish their own methods to address fundraising. As a result, the outcomes may be somewhat variable, failing to identify specific characteristics and methods of the president/CEO that most effectively meet the fundraising needs of the university.

### Summary

Funding in public universities has become a very prominent concern within recent history. To address the issues of decreased state and federal funding, universities have turned to alternatives such as increased tuition and fundraising. Increasing tuition, however, has become ever more problematic for universities, raising the issues of affordability and accessibility among students from diverse economic backgrounds. Also, the costs associated with delivering education are particularly scrutinized as policy makers, public interest groups, parents, and students seek resources to pay for higher education. Consequently, higher education institutions are turning to private sources of revenue to offset the decreases suffered and to avoid monumental increases in tuition requirements. While fundraising has been a regular activity for private institutions for many years, public institutions are becoming more engaged in the fundraising arena, acknowledging that this is no longer a source of revenues for non-essential operations; rather it is becoming an issue of survival.

The fundraising process is largely a component of the president or CEO of the university. Clearly, the overall function is reliant on a number of different players; however, the direction, involvement, and resulting success are highly influenced by the president. Therefore, presidents must be increasingly aware and prepared to guide the university in fundraising efforts as well as play appropriate roles in securing gifts and pledges that will have significant impact on the institution. This study will analyze the function of the president/CEO in the overall fundraising process as well as identify the specific actions and operations by this office that affect the successful fundraising process.

The remainder of the dissertation will consist of four chapters. Chapter II will contain the literature review which will focus on the history of fundraising within higher education as well as outside the education arena, the principles of fundraising, the approaches used within higher education, and the specific functions that the president/CEO plays in this process. Chapter III will describe the methods that will be used to collect and analyze the data relating to the function of the president/CEO in fundraising. Additionally, it will identify the instruments used in this process. Chapter IV will describe the results of the data analysis. And Chapter V will contain the conclusions and discussion of the findings and analysis.

## CHAPTER II

### REVIEW OF LITERATURE

#### Introduction

There are a limited number of studies on fundraising in higher education identified in the present body of literature. Therefore, the literature review begins with an overview of fundraising in not-for-profit organizations and the relationship to institutions of higher education. The problems associated with funding in higher education are outlined, providing significant reasoning for the need to pursue fundraising in higher education. A brief overview of the history of fundraising in higher education is provided, leading to the current models of fundraising and, specifically, the role of the president in the fundraising process.

As funding is an integral component in any organization, fundraising has understandably been researched from a number of different aspects. In general, corporate and private giving to not-for-profit organizations has been one of the most heavily researched topics (Anderson-Gallagher, 2003; Balog & Connaughton, 2002; Burlingame & Hulse, 1991; Caccese, 1998; Clark, 2002; Dickerson & Gloyd, 1999; Dolan & Morency, 2003; Dolnick, 1987; Dove, 1991; Flanagan, 1991; Haley, 2002; Herman, 1994; Hyatt, 1992; Kim, 2002; Kniffel, 1995, 1998; Morrow, 1993; Melillo, 2002; Savino & Miss, 1998; Seymour, 1966; Stephens, Karnes, & Samel, 2000; Vanderkelen, 1997; Young, Wyman, & Swaigen, 2002). The literature focuses most heavily on specific non-profit organizations such as public schools and libraries and their reliance on

fundraising to sustain operations. Additionally, the focus appears to revolve around success stories and non-traditional methods to seek private sources of dollars for these institutions. Very little research, though, concentrates clearly on models identified for fundraising success and, more specifically, higher education. Surprisingly, there are a limited amount of studies identified devoted to political entities and religious institutions, two groups that typically rely heavily on private funds to operate.

Fundraising is in essence a derivative of philanthropy which focuses essentially on the basic principles of community and consideration for fellow man (Cook, 1994; Miller, Newman, & Seagran, 1994). Historically, professionals from other disciplines have discovered a specific need to understand fundraising and then trained themselves to function effectively within a discipline that has little specific definition. Moreover, as Payton (1990) emphasizes, fundraising is not a discipline in itself; therefore, it has not been fully developed nor has it been studied heavily. The literature discussing fundraising is mostly centered around the structure of fundraising programs, strategies for success, and donor cultivation.

The structure of fundraising programs is essential to the overall implementation and the resulting success of the program. The structure must obviously include professionals from within the organization as well as talented individuals who volunteer to help meet the fundraising objectives of the organization (Dolnick, 1987; Flanagan, 1991). Each of these groups plays a vital role from the establishment of the mission, vision, and goals of the organization to embracing these statements and focusing time and effort to their successful achievement (Dolnick, 1997). However, the literature is very

clear that the leadership of the organization is perhaps the most significant component in the overall success of any fundraising effort (Dove, 1988; Flanagan, 1991; Seymour, 1966). It is incumbent upon the leadership to establish value of the organization to potential donors, effectively plan how gifts should be solicited, and participate heavily in the process of asking (Herman, 1994). Moreover, Dove (1988) emphasizes that the chief executive officer of the organization must function to maintain the direction of the campaign and the appropriate pace in order to achieve the established objectives.

A successful campaign can be achieved through the implementation of a number of different strategies. The typical strategic themes, however, focus on clear organization and leadership, articulation of the mission, and effective planning for the campaign. Seymour (1966) notes that the fundraising process must start with a well-defined plan. He continues by explaining that the entire campaign process must be a complementary design comprised of effective internal leadership and committed volunteer fundraisers. Dove (1988) adds to these necessary organizational requirements the need for a strong institutional mission and vision, a strategic plan, and clearly articulated objectives. Flanagan (1991) completes the list of effective strategies with an emphasis on elaborate planning in order to prepare for and implement any successful campaign.

The process of donor cultivation is critical for success within any campaign. Flanagan (1991) suggests that organizations start looking at potential donors within or closely associated with the organization such as members, employees, volunteers, and board members. From there, she notes that organizations should look in a variety of places including magazines, newspapers, nonprofit sources, reference books, and publicly

held companies identifying viable sources for large donors. Seymour (1966) also focuses on studying the giving patterns of potential donors and identifying who potential donors are, when these donors are most likely to make large gifts, and how these donors are most effectively convinced to contribute to the organization. Dove (1988) emphasizes that over ninety percent of a campaign's revenue will be generated by fewer than ten percent of the donors. Therefore, this donor research process that Seymour identifies is essential to the overall success of the campaign regardless of the size. Dove continues, stating that donor research is critical in developing the overall strategy in the campaign and for soliciting individual gifts.

Fundraising in higher education is not dissimilar to fundraising for non-profit entities. Likewise, the literature addressing the history of fundraising in higher education is very limited (Miller, Newman, & Seagren, 1994). Furthermore, the literature relating to the role of the president in higher education is also extremely limited (Cook, 1994). Cook (1994), however, notes that donor characteristics, fundraising successes, and organizational structure are primarily identified in the literature related to educational fundraising. These issues, as well as other related issues, will be addressed in this review of literature.

### Fundraising Dissertations

A number of dissertations identified relate to fundraising in higher education. Among those dissertations written in the last twenty years, only one clearly examines the role of the president in fundraising in the public four-year institutions. Several others

identify the president and that position in the processes involved in fundraising; however, the focus in each varies slightly. For example one examines presidential attitudes and responsibilities related to entities other than the university, specifically as related to foundations. Considering all dissertations written in this time period, the studies can easily be divided into four categories: donor and alumni relations, fundraising processes, models and success factors, and university officers' involvement.

Among dissertation studies, the most prevalent focus revolves around the donors to the college or university. Within these studies, there is a heavy emphasis on alumni relations, alumni characteristics, and attitudes regarding giving to the college or university (Ashcraft, 1995; Bohna, 1997; Krzyminski, 2001; Curtis, 2000; Mehl, 1995; Meuth, 1992; Oglesby, 1991; Robinson, 1994; Teague, 2000). Other studies consider specific donor motives (Dittman, 1997), and effects of donor contribution (Parker, 1995).

Several dissertations discuss the processes involved in higher education campaigns. These manuscripts include a study of internet influences and uses within the fundraising process (Zimmer, 2001), evaluation of successful processes at large universities (Durham, 1999), an examination of shifting fundraising to more specific managerial levels within the institution (Anthony, 1999), and a focus on successes in historically black institutions (Rowland, 1997). Among these dissertations, the emphases once again largely remain on donor development and cultivation. However, they also consider processes involving environmental factors and shifting the development activities to the school and departmental levels.

These dissertations highlight models and success factors implemented at particular universities and the methods they use to successfully coordinate a capital campaign. Additionally, these concentrate on a myriad of topics related to using fundraising to save athletic programs (Frese, 1995), student participation models for fundraising success (Baker, 1996), and success stories (Hennes, 1993).

Last, the dissertations identified focus on specific involvement from different university officers. The majority of these concentrate on the involvement and characteristics of different university officers including development officers, deans, and student affairs officers (Kroll, 1991; Ebiana, 1993; Hawkins, 1995; Sanders, 1997). Those dissertations which specifically highlight presidential involvement in fundraising identify several definite characteristics to study. Colson (1997) studies the leadership in church-related institutions, while Shoemaker (1997) focuses on the marketing in private Midwestern institutions and the president's relationship to this and the resulting impact on fundraising. Eldredge (1999) also examines the president's operations but specifically in relation to a private university foundation. These dissertations primarily recognize leadership styles that most effectively promote the fundraising process and instill the appropriate characteristics of successful fundraising. Specifically, the researchers conclude that strong leadership skills with the ability to establish a well-defined vision for the university coupled with effective planning and consensus building result in a more effective fundraising president (Colson, 1997). Eldredge (1999) expands upon some of these same issues, identifying the transformational role of leaders as a highly effective strategy for successful fundraising processes.

### Primary Literature Base

Weaver Bruce Cook has independently studied and co-authored the most significant amount of works related to the president and fundraising in university settings. In his dissertation Courting Philanthropy: The Role of University Presidents and Chancellors, Cook performs an extensive search of the literature related to the fundraising within higher education. For the implementation of his study, he developed a questionnaire and surveyed presidents from twenty universities as well as a panel of experts to conclude the role of the president in the fundraising process. He identifies 100 themes from the extensive interviews with the presidents as well as panel experts. Furthermore, he proposes that the fundraising is a continuous process in which university needs are never fully satisfied and which requires consistent and effective donor management and relationship building in order to achieve desired levels of success. Moreover, he notes that this process must be strategically defined in order to employ appropriate strategies for fundraising success. Overall, Cook identifies five primary conclusions from his study:

...1) fund raising is a team effort, 2) an institution's president is typically the central player on the fund-raising team, 3) presidents should focus their effort and attention in fund raising on major gifts and administrative leadership, 4) academic quality and institutional prestige are of critical importance in higher education fund raising, and 5) fund raising is institution- or context-specific. (1994, p. 493)

Cook notes that the president is both the most integral component of the fundraising process as well as the overall conductor of the process. The president must integrate his/her efforts into the overall strategic plan and the related philosophies of fundraising as expressed by the chief development officer and the most significant and

influential donors to the university. Clearly, however, the president must establish the guiding philosophy of the fundraising process to ensure consistency and effectiveness of the process. Cook draws a number of other secondary conclusions; however, these conclusions unmistakably point to the president as the key fundraising and directing component in the fundraising process, requiring exceptional degrees of talent, commitment, and coordination.

Cook and Lasher (1996) follow the original study performed by Cook. This subsequent study attempts to accomplish two primary purposes: first, the study seeks to provide an overview of the fundraising process in higher education; second, the study focuses on the presidential role in fundraising. The study is qualitative in nature and implements the grounded theory approach to arrive at emerging themes within the data collected. For this study, the authors interviewed a panel of twenty individuals including presidents, chief development officers, and fundraising consultants. The study concludes that the fundraising process in higher education is defined by the social exchange process between institutions and their representatives and chief donors. This relationship revolves around the ability of donors to impact the organization while the institution strives to meet the interests and uses of the donors. An important point noted within this exchange process is the fact that there is significant competition for relatively scarce resources among college and universities of different types and other charitable organizations.

The other primary theme of the study is the function of the president in the fundraising process. Once again, the fundraising process is shown to be most successful

when addressed from a team approach. The central players within this team approach are the president, volunteers, deans, and the fundraising staff. All of these players, and specifically the president, are influenced by four different forces. These forces include personal, institutional, role senders, and environmental forces. Clearly, the president arrives at the position with distinct personal attributes determined to contribute to the overall effectiveness of the position. However, these personal attributes are affected by institutional forces including tradition, culture, and organizational norms. Role senders both inside and outside the organization affect the operations of the president to achieve defined goals of the sender. For example, the board of directors specifically influence the role played by the president in his/her operations as well as his/her approach to fundraising. Decidedly, there are a number of other role senders with varying agendas that have significant influence on the president. Finally, the president must operate within environmental factors such as philanthropic tradition, economic factors, and constituent relations. These forces all have varying influence on the president and his/her function in fundraising, but they must all be carefully weighed in the defined approach to the fundraising process.

Cook and Lasher determine that the president is undoubtedly the central player in the fundraising process in higher education. Second, they emphasize that the fundraising effort must be addressed from a team approach and simply cannot be achieved by any single individual. Third, while technical aspects of fundraising can be transferred from institution to institution, fundraising is situation-specific and must be designed specifically in consideration of the four influences noted previously in light of the social

exchange process. Last, fundraising should be measured by fundraising effectiveness and fundraising success. Fundraising success clearly is easier to measure in that it is defined by the accomplishment of specific goals. Effectiveness, however, is based on the long-term stability and maturity of the institution's fundraising efforts. The effectiveness has a fundamental impact on the overall operations of the institution.

Cook (1997) followed once again with another study outlining the college presidency in fundraising in an era of uncertainty. The era of uncertainty identified is defined as the twenty years prior to the study. Cook states that during this period institutions, particularly public institutions, have become increasingly reliant on fundraising to meet the revenue needs of the university. Based on past studies and the literature studied, Cook identifies a number of themes that have transformed in consideration of this more prevalent time of funding uncertainty in higher education. Once again, Cook accentuates the fact that fundraising must be addressed from the team approach with the president acting as both the primary actor as well as the overall coordinator of the fundraising process in consideration of the other operations of the university. One theme in particular that Cook emphasizes relates to the factors surrounding the selection of the president. Fundraising effectiveness has increasingly become a distinct factor in the selection of the president and the resulting success of the position of the president.

The president in particular must be highly focused and proficient in fiscal affairs. This is critical for the overall effectiveness of the president in these more uncertain financial times. Other conclusions related to the institutional president include the fact

that fundraising is perhaps the most high-profile of the various duties of the president. Additionally, presidents are placing an increased emphasis on the function of fundraising and are acknowledging the incredible need for successful fundraising and financial skills in the successful operations of the presidency.

Cook closes the study noting that there are two constants in higher education. First, he states that there always has been and there always will be a need for strong leadership in higher education institutions. Second, there will always be a near insatiable need for resources in higher education. It is imperative that the president be able to assess these needs within an institution and effectively apply his/her time, talents, and energy to accomplish these two invariable needs of the institution.

### Need

Just as academic institutions have evolved over the centuries, so have fundraising emphases and techniques (Cook & Lasher, 1996). Since the first private funding efforts in America occurred at Harvard, the art of fundraising has grown to include the majority of all higher education institutions in the country (Cook & Lasher, 1996). This growth in fund raising efforts results from the continual decrease in governmental funding for higher education and the excessive reliance upon tuition dollars (Hnetka, 1999).

From 1980 to 1996, post-secondary institutions have increased expenditures by 125 billion dollars. In constant dollars, the increase for the same period amounted to over 60 billion dollars. These increases equal to approximately 300 percent and 47 percent respectively. On-budget federal funding for post-secondary institutions, however,

increased by only 6.5 billion dollars. Public funding in constant dollars for the same period showed a decrease in funding of 5.5 billion dollars (U.S. Department, 2001). Unquestionably, the need for other sources of funding for higher education is becoming exceedingly imperative. While available governmental aid is being spread over a significantly larger pool of students, the funds that are awarded to individual students are more limited and result in slimmer returns to the respective universities which those students attend (Goodchild, Lovell, Hines, & Gill, 1997).

While state and federal financial support for higher education institutions has decreased, tuition rates in higher education have increased at startling rates over the past twenty-five years (Mercer, 1993; "A Growing Reliance," 2000). More specifically, one source identifies a 234 percent increase in the rate of tuition between the years of 1981 and 1995 (Doyle & Conklin, 1997). Another source reports an increase in tuition and fees of over 300 percent from 1980 to 1996 (U.S. Department, 2001). While tuition rates were rising at an alarming rate, the decade of the 1980s created an atmosphere of apprehension and anxiety regarding the future financing of our American higher education system. Cage (1990) points out that tuition rates in the United States increased three times faster than the rate of inflation in the 1980s. In this same timeframe, the median household income only rose 82 percent (Doyle & Conklin, 1997). In 1975, public four-year universities were relying on tuition dollars to provide 15.7 percent of their total revenues. This number increased to 24.6 percent by 1995 ("A Growing Reliance," 2000). Other reports identify a near five-fold increase in tuition rates over the last two decades (Wellman, 1999). Furthermore, Texas, the state upon which this study

is focused, removed tuition caps, thereby allowing public universities to more easily close the gap between operating costs and depleting state funding (Potter, 2003). Undoubtedly, this will allow universities to focus more on revenue generation rather than cost control. Clearly, the inability of the universities and states to control tuition costs was becoming a critical national issue.

### Tuition Problem

In order to adequately assess the problem, many analysts began researching the exact cause of the enormous increase in tuition costs. It must first be considered that the three decades prior to the 1980s saw a dramatic increase in enrollments. These very unexpected increases in enrollments can be highly attributed to the return of servicemen after World War II. One of the greatest contributors to the growth in college enrollments was the GI Bill of Rights, which provided financial support for veterans. The bill was primarily adopted to avoid a significant number of unemployed veterans after WWII. The success of this bill was overwhelming and very unexpected by the government or by the universities. Bonner (1986) notes that by 1946 over 1 million veterans had enrolled in college, and over 2.2 million took advantage of the WWII GI Bill. Second, the baby-boomers generation created another abundance of students for American universities. By 1970, the baby boomers had caused college enrollments to increase by 200-300 percent. Last, increased federal support for the sciences provided even more students to an already burgeoning educational system (Bonner, 1986). Needless to say, universities and state systems were unprepared to accommodate such a large number of students in a relatively

short time period. With a dramatic increase in the number of students in higher education, the costs of faculty, facilities, and student services increased. This growth spurred a drive and desire for the states to maintain their higher education provisions (Wallace, 1992).

Another significant contributor to the steady increase in enrollments was the demands of the job market for employees to be highly educated. These higher expectations, together with an increase in the supply of highly educated applicants, created a more competitive educational demand ("A Growing Reliance," 2000; Levine, 1993).

While these contributors have significantly impacted enrollments, and the resulting costs of higher education, Harvey et al. (1998) claim that steady tuition increases can also be directly linked to five additional factors: financial aid, people (students, faculty, and administrators), facilities, regulations, and expectations. Increased financial aid correlates to the increase in tuition prices. Many institutions rely on financial aid to compensate for their increases in tuition. This financial aid can come in many forms including grants, loans, and scholarships. If the institution can increase tuition rates without excessive burden on the students, they will implement this type of policy to cover rising operational costs (Harvey et al., 1998). However, today a very mature higher-education system is in danger due to the unwillingness of state and federal governments to provide the needed funding (Wallace, 1992).

Students, faculty, and administrators, related policies toward these groups, and the composition of these groups have also caused hikes in tuition. Students' expectations of

higher education and the resources that it provides have grown. As a result of these increasing expectations, universities have invested a tremendous amount of dollars to provide highly competitive student services. These services range from medical to recreational. These investments, however, must be supplemented with some type of additional revenue to the university. This increased revenue is oftentimes in the form of inflated tuition rates. University officials note that these increased expectations also include highly technological resources and instruction. Informational technology advances have had a dramatic effect on the rising cost of higher education in recent years (Brownstein, 2000). The expectations arising from students, governing agencies, and societies for facilities, programs, and faculty have caused an institutional response in increased tuition. This issue is difficult to qualify, but neglect to these mounting expectations will result in decreasing enrollments and quality faculty within an institution (Harvey et al., 1998).

Additionally, faculty have become more highly educated and more specialized in their fields of study. With this expanded level of professionalism, the salaries have become more competitive. Furthermore, institutions are seeking faculty members that can bolster their research and prestige within the higher education community. Higher education has also become increasingly complex to manage. More talented and skilled administrators are demanding higher salaries. Once again, these increased salaries must be balanced with higher revenues in fixed or even decreasing state-appropriated budgets (Harvey et al., 1998; Levine, 1993).

Because of increased numbers of students, institutions have responded by building new buildings. Consequently, tuition prices have risen to cover the expenses of building buildings. Additionally, the growing number of regulations on universities has resulted in higher tuition dollars to accommodate the regulations (Harvey et al., 1998).

Unquestionably, boosts in tuition provide competitive opportunities for universities for the highest quality students. However, higher education institutions must find ways to combat or offset the increasing student obligations. Funding external to the organization will provide the means to provide greater financial assistance to students in need or to those who prove to be very scholarly. Additionally, this funding can be used to decrease the overall burden placed on students by offsetting operational costs and the need for capital improvements on the campus.

There remain very few alternatives to the predicament that higher education has found itself in regarding the traditional principle players: students, taxpayers, and states. Simply put, the states can require institutions to control costs (Immerwahr, 1998), they can allow tuition to increase to cover expected costs (Griswold & Marine, 1996), or they can simply raise state appropriations. Therefore, it is imperative that states and institutions identify more creative sources of revenue to limit the responsibilities placed on the traditional sources of higher education funding.

Wellman (1999) suggests institutions should reexamine their budgeting methodologies. Currently, many universities identify their needs and then increase tuition accordingly to meet those needs. Institutions should act more responsibly by

setting tuition rates prior to formulating their own budgets. Their budgets should then be supplemented by other less conventional sources of funding.

Other actions that universities are taking to control costs are to compare institutional financial practices with one another. This not only enables them to identify discrepancies and outliers in their practices, it also gives them a better understanding on how to educate the public on their tuition and budgetary policies. Still, it is critical that universities begin investing in student financial aid. It is most likely that our states will suffer further economic downturns after the highly aggressive market that has been enjoyed over the last decade. Without this added source of income, states and universities will once again rely on the tuition increases as the supplementary source of revenues (Trombley, 2000).

While facing distinct financial problems due to the limited governmental funding as well as the crisis created by problematic tuition increases, universities began to focus on external sources of funds. Specifically, fundraising and the capital campaign became an alternative source of budgetary needs for the university (Cook, 1997).

Fundraising will continue to play a significant role in the overall financing of higher education in light of the funding dilemma at which our nation has arrived. Different types of educational philanthropy have existed for many years, dating to the Academy of Socrates and Plato (Cook & Lasher, 1996). In recent years, however, fundraising has been identified as a fundamental component of the overall mission of the university (Rhodes, 1997). With decreased governmental funding, fundraising has become a necessity in public institutions to maintain operations and to keep tuition rates

competitive (Beaird & Hayes, 1999; Kerr, 1980). Recent years have seen a tremendous increase in fundraising, providing the additional revenue stream which states and institutions are seeking to limit other unwelcome increases (Leslie & Rhoades, 1995).

### Fundraising in Higher Education

History records instances of educational philanthropy as early as 400 B.C. Major contributions to the Academy of Socrates and Plato were made by Cimon and Plato, including a land endowment that generated income for the Academy for over 900 years (Cook & Lasher, 1996). Giving in America began in 1635 with a grant from the General Court of Massachusetts Bay Colony, forming what would later be known as Harvard College (Rhodes, 1997). In the mid-seventeenth century John Harvard also contributed to the newly formed college near Boston. Harvard's gift consisted of books and money, allowing the university to send other men to England to gain additional financial support. Similarly, early eighteenth century gifts from Elihu Yale, the Brown family, and the Penn family formed the basis for establishing prestigious universities known today as Yale, Brown University, and the University of Pennsylvania (Fisher & Quehl, 1989). Miller et al. (1994) suggests that the Colonial Period of higher education comprised the formative years of philanthropy in higher education with many institutions relying heavily, if not solely, on the giving of parishioners and alumni. The nineteenth century saw a distinct divergence between publicly funded universities established through the Morrill act of 1862 and private universities that were established and funded by wealthy benefactors and other sources of private funding (Pocock, 1989; Rhodes, 1997). During this same

time period, the competition for external dollars intensified as higher education institutions and other non-profit organizations became more adept at the processes and strategies involved with fundraising (Miller et al., 1994). During the twentieth century, colleges and universities experienced unprecedented growth and, consequently, became more heavily reliant on funding sources, specifically those from the federal government, to meet the exceptional increases in costs related to this sudden growth (Lucas, 1994). Pocock (1989) reports that private giving to universities increased tenfold in the years 1910 through 1950. Lucas (1994) notes, however, that while growth in universities increased, federal funding did not. As a result colleges and universities became exceedingly reliant on corporate support with professors focusing on grantsmanship to fund the operational functions of the university and the necessary research components. This reliance on sources of dollars external to state, local, and federal governments has grown exceptionally, requiring a special focus on the fundraising component of the institution. Interestingly, Levine (1993) also notes that the growing diversification in funding for higher education institutions has in effect contributed to the overall diversity within the institutions themselves.

Raising funds for non-profit organizations, specifically universities, requires a great deal of work. Kerr (1991) states that the higher education system in the United States is the most competitive system in the world. Consequently, the competition for financial resources to fund these different universities is very intense. Furthermore, he notes that the ability to raise funds serves as one of the greatest competitive advantages that a university can have. One of the primary keys identified in fundraising is to

encourage donors to move from one level of giving to the next. This is difficult to do, and with such a competitive environment in which to operate, universities have to place significant effort on encouraging greater and larger gifts from their donors. The differentiating factor at times is the role that the president plays in the fundraising process (Cook & Lasher, 1996).

### Principles of Fundraising

There are four essential principles that remain consistent in fundraising campaigns. The first principle is that “the leadership of the college and its potential donors must believe that the need for which funds are to be sought is crucial and that the college’s plan to meet that need is correct and compelling” (Essex & Ansbach, 1993, p. 3). Undoubtedly, this is a very critical point in the overall campaign development at any university. To dissect this statement even further, it is critical to clarify the two separate groups identified. The first group is the leadership of the university. Oftentimes, the first image of leadership is strictly that of administration. Actually, this could not be further from the truth. Administration typically remains the ultimate decision-making body of the university (Fisher, 1984). However, the decision-making process must be one of involvement and collegiality. It is imperative that the faculty and staff have equal buy-in of any decision or focus of the university operations in order for them to be effectively implemented (Weingartner, 1996). The second group identified within this fund-raising principle is the donor. This is perhaps the more critical of the two groups. While the university must have a clear vision, plan, and united front, it cannot actually raise funds

without the ever-important donors. This point seems rather elementary, but the ability to convince donors of the identified need of the institution and then their selective gifts to fund the identified need is very difficult to fulfill. If the donor is not approached in the appropriate manner, he/she/it may be less inclined to give to the need. Furthermore, the specific interests of the donor are very important to identify. Cook and Lasher (1996) note that there are a number of factors that may influence the donor. These range from the perceived quality of the university, the appeal of the need of the university to the donor, the importance of higher education to the related society, the strength of the relationship between the donor and the institution, the prestige of the soliciting team, and the sales ability of the person courting the donor. Certainly, this list is not all-encompassing, but it clearly describes the difficulty involved in convincing the donor of the need of the university.

The second basic principle for fundraising is that “the potential donors must have the capability to give the size and number of gifts needed to reach the specified fundraising goal” (Essex & Ansbach, 1993, p. 3). Donations for any campaign are going to come from a number of different sources. These include alumni, corporate donors, or other benevolent givers. Alumni are very critical donors to the university. Targeting the alumni who are most likely to become large or consistent donors to the university requires substantial research and training. There are a number of factors that define a more desirable donor to the institution. These factors include demographic identifiers, socio-economic variables, and psychographic issues. These can be dissected into a number of different subsections identifying the individuals’ age, race, marital status,

employment status, household composition, and personal values. Each of these specific issues must be carefully identified, as well as the effects of each one considered, among potential alumni donors in order to successfully target a positive donor. Overall a successful model must be established to more accurately and effectively categorize alumni who will be most benevolent or consistent in their giving to the alma mater (Okunade, 1996). Specific categories that arguably are the most beneficial to court are the recent alumni who have achieved high-paying positions and those that serve in leadership capacities in their respective communities. Focusing on these categories may be limiting, but it will provide the most cost-effective approach to alumni solicitation (Monaghan, 1999). In consideration of donor relations and their decided participation, it is perhaps said best in that, “To solicit funds is not to go, cap-in-hand, begging support for some marginal activity. It is, instead, to invite a friend to share in the privilege of the greatest partnership of all – the quest for knowledge, on which our present existence and our future well-being depend” (Rhodes, 1997, p. xxiv). Since alumni consideration remains a very important emphasis in fundraising, many successful fundraisers measure their overall success by their ability to solicit gifts from the select few rather than the masses (Willmer, 1993). Other universities employ less traditional methods of fundraising such as partnering with credit card companies, insurance companies, or long-distance plans. The university receives a portion of the dollars spent in each of these categories to help bolster its fundraising efforts. Other universities have additionally focused on telemarketing to raise funds for the university. These methods are becoming

more popular within university fundraising efforts in addition to the traditional alumni and corporate sponsorships (Hnetka, 1999).

The third basic principle in fundraising is that “there must be a dedicated group of capable volunteers who are able and willing to lead, as well as solicit contributions at the levels required” (Essex & Ansbach, 1993, p. 3). This principle can be mirrored by any other organization seeking benevolent funds for any reason. To be successful in any fundraising campaign, the organization cannot forge ahead alone. It is entirely unreasonable to imagine an organization attempting to raise millions (if not billions) of dollars relying on the scarce number of personnel and the limited amount of talent that any college or university can employ at any given time. This is by no means an attempt to disparage the level of expertise that college and university fundraisers have; rather, it is an acceptance of the reality that human and talent resources are always sparse, and these resources cannot match up to the awesome task that universities are facing in their respective fundraising efforts (Levine, 1993). Cook (1994) notes that a successful gift of over \$100,000 requires seven to nine visits, on the average, over a two-year period. It would be impossible to make this incredible number of visits with paid staff and administration alone.

Another distinct advantage of having a broad and varied support group is the resulting diversity in the fundraising efforts. While a limited number of employed personnel at the university would focus on a narrow set of potential donors, a dedicated group of volunteers from an assorted background could discover and identify with potential donors from a very broad pool. Unquestionably, the resulting product is

exponentially more effective and beneficial than that which could be gained by employed personnel only. Levine (1993) believes a tremendous amount of financial distress to many universities in the 1970s could be directly attributed to the shrinkage of volunteer support.

The last basic principle of fundraising is that “there should be a clear campaign plan with goals, timetable and an organizational structure managed by competent staff to assure the best possibility of success” (Essex & Ansbach, 1993, p. 3). Clearly, the administrative structure must place a significant amount of time and effort in this component of the fundraising campaign. If it does not, the entire campaign will be misguided and will take little direction. This clear establishment of priorities is perhaps the most critical component of any fundraising campaign. The administration, board of regents, deans, and volunteer groups must establish broad priorities and plans for the university that clearly guide the operations and are interesting to potential donors. The priorities, however, should not be so specific that they do not allow the university to have some flexibility within the overall plan. As noted above, this planning process is very much a team-based approach (Cook & Lasher, 1996; Rhodes, 1997).

### Team Approach

The planning process, as well as the overall fundraising progression, is very much a team approach. In order for the institution to gain true success, a number of different individuals must be involved. The literature emphasizes that the fundraising campaign

should be a team effort consisting of the president, provosts, deans, faculty, development officers, volunteers, and trustees (Rhodes, 1997; Miller, 1991).

It is important to understand that the university must make significant investments into the related fundraising teams to have successful campaigns. While highly-involved volunteer groups remain crucial to the overall success of the campaign, the role of the paid staff and administration cannot be ignored and must be considered in any successful campaign. The literature notes that paid personnel are typically called upon to secure the larger gifts in a campaign. Furthermore, in smaller institutions with limited volunteer groups, the paid personnel are truly the crux of the entire fundraising effort (Cook, 1994).

Furthermore, the fundraising process must remain dynamic, allowing changes when needed and seeking new ideas throughout (Rhodes, 1997; Miller et al., 1994). The fundraising process, therefore, is consistently being analyzed and compared to the planning and analytical inputs from the various team members (Rhodes, 1997). Moreover, Rhodes (1997) notes that the campaign is a carefully designed plan by the entire fundraising team to meet the mission of the university and the corresponding goals of the team members involved.

Most importantly, fundraising should have substantial social exchanges that are easily identified in the efforts of the fundraising team. This can be considered internally, allowing faculty and staff to meet their needs in planning and benefits, as well as externally with donor expectations and gratification. Donors should feel a very significant amount of self gratification in the gift in addition to the benefits gained by receiving institution (Cook & Lasher, 1996).

## Models of Fundraising

Smith (1986) simplifies the critical steps in any fundraising campaign. First, the institution must identify the sources of major financial gifts. Second, the institution must match its needs with the dollars available and then make the request for the money. Last, the institution must record the gift given and maintain accurate accounts of all gifts. These steps seem very obvious and oversimplified, but they are each comprised of detailed and meticulous efforts without which they would be entirely unfruitful.

Furthermore, Smith (1986) identifies two basic models by which these three critical steps can be accomplished. The first model is the staff model. The basic premise of this model is that the president resides as the key player in the fundraising process. The president then utilizes his/her staff to carry out the overall fundraising activities, which all revolve around the president's implemented policy for the institution.

The second model identified is the line model. This model implements four specific college functions including academic affairs, administrative services, student services, and the office of advancement. These four lines then operate to meet the three basic steps in fundraising. This model involves the office of the president to a lesser degree, but it emphasizes the function of fundraising or advancement as a critical overall goal of the college or university. Included within this line model would be the different schools or colleges of the university (Smith, 1986).

It is important to remember that fundraising is not limited strictly to the university as a whole. Different schools within the university may have very dedicated alumni that are interested in the development of their school. Furthermore, they may also become

donors to the university as well as the individual school. The key is that fundraising is not a single-sum game, meaning that a single gift to an individual school does not necessarily replace another gift to the overall university (Weingartner, 1996).

While these specific models are identified as representing successful fundraising campaigns, one must remember that each university must tailor the fundraising efforts to meet its specific needs. Furthermore, the individual strengths and weaknesses of the university must be carefully evaluated to engineer a campaign that will generate the greatest amount of success. Clearly, a number of factors can have a critical impact on the overall campaign. These factors can include the history of the institution, its prestige, and its academic quality. Last, and perhaps most important, the university must closely assess its leadership. These figures will be instrumental in the overall fundraising effort. Furthermore, the commitment and dedication to the overall fundraising effort of this leadership team will have a tremendous impact on the institution's success (Cook & Lasher, 1996).

### Roles of the President/CEO

As fundraising efforts continue to grow, universities also face the issue of being creative with their hard work and pursuing every avenue available to meet their financial goals. There are a number of different factors that influence the success of a fundraising campaign including alumni, board of regents, development officers, and corporate donors (Hnetka, 1999; Rhodes, 1997; Smith, 1986). The most significant factor in successful fund-raising campaigns is the president or CEO of the university (Worth, 1993). In fact,

it has been noted that the attraction of major financial resources is the most important role that the current president of a university has (Kerr, 1993).

Throughout history the financing responsibility of the educational institution resided within the office of the president or the academic head. In fact, throughout history, the president of the institution has continually been highly involved in the process of raising funds for the institution (Cook & Lasher, 1996). This position of the president or CEO of the institution continues to have the greatest impact on the success of any higher education fund raising campaign. More specifically, the person filling the role of the president or CEO makes just as significant an impact. The distinction between the position itself and the one who fills that position is critical in that successful campaigns are defined by the specific characteristics and behaviors of the individual and his or her function in the capacity of president or CEO.

This individual must be assertive in the role of president. One who has held the position of president for a time period or in another institution is most desirable (Durham, 1999). One of the primary reasons for acquiring a president who has experience is to apply his or her knowledge and skills as a fundraiser. The ability to run a fundraising campaign successfully is becoming a more critical criterion for a presidential position. Since fundraising is the apparent goal of most presidents, it is appropriate for institutions and regents to identify those individuals who have proven success in this capacity as candidates for the presidential position. Another advantage that a president with a proven record brings to the role of president is his/her past relationships with large donors, foundations, and corporations. Certainly any presidential candidate must have other

characteristics of success, but the experienced fundraiser gains a distinct competitive advantage while vying for the position in the current market of emphasized educational giving (McMillen, 1991).

The president must also be highly involved with any fundraising campaign to ensure its success (Schuyler, 1997). This involvement, however, is not limited to a minimal number of appearances, speeches, or hosted functions. The president must maintain a level of availability to prospective donors. Donors have a stronger sense of dedication to a campaign if they see a heavy presidential involvement and have significant access to the president. The president's involvement should not be driven by obligation or duty. His or her active involvement should be determined by a genuine and sincere desire to raise funds to better the university. If the president cannot authentically devote the time and energy to guide a successful campaign, then the success of the campaign is significantly compromised (Smith, 1986).

Presidents play a very positive role in representing the university and cultivating successful relationships with potential donors. Furthermore, the president should always be a key player in actually making the request for funds from larger donors (Essex & Ansbach, 1993). The president typically spends 60 percent of his time meeting with outsiders and constituents. This indicates that the president's influence upon the university primarily revolves around external contributions, including legislative activity and capital campaigns. The president should bring focus to any fund-raising effort. Moreover, "as the essence of the institution, the president inspires donor confidence and creates the climate in which fund raising takes place" (Fisher, 1984, p. 165).

The president, to be successful in his/her fundraising efforts, must maintain a very effective relationship with the alumni population. In fact, fundraising is the most immediate matter that requires interaction between the president and the alumni (Weingartner, 1996). In certain situations, giving has been identified as the most effective way alumni can support their alma mater (Rhodes, 1997). It is incumbent upon the university and president to convince successful alumni that their accomplishments can be attributed to the education and preparation that the university provided them as students. If the university and president are successful in this endeavor, they typically will be rewarded by gifts of varying sizes (Hnetka, 1999).

It is important to separate the successful fundraising tactics of the president from the simple requests for funding from benevolent individuals or corporations. Rather, the fundraising process should be clearly cohesive to the overall mission of any college or university: education. The president should be able to link giving to an opportunity to partake in the overall educational process. This not only establishes the most noble motives for giving to the university, it confirms the product of a gift in the mind of the giver (Rhodes, 1997). The ability to effectively blend the educational process with fundraising is dependent upon the president's ability to identify a medium in which he/she can be effective and feel comfortable with his/her fundraising efforts.

Additionally, fundraising should be viewed by the president as a single component in fulfilling the overall funding mission of the university (Slinker, 1988).

One of the most critical abilities of the president will be to effectively market the university. This can be done by identifying and promoting effective community, state,

and national foci, for example featuring high-profile research, prominent faculty and students, and outstanding activities within the university. Additionally, special events are usually in abundance during any active capital campaign. The president and the support offices must strategically plan and organize these special events to promote the university and its mission most effectively (Willmer, 1993).

In addition to the above, the position of the president must perform several very critical activities to supplement the efforts of other staff, administrators, trustees, and volunteers. Clearly, the president, as the head of the university, should provide the overall guidance for the university and its campaigns (Weingartner, 1996, Essex & Ansbach, 1993). This would seem very obvious for any presidential figure, but without this vital direction and guidance, the university cannot effectively maintain a fundraising campaign. More importantly, if the president is not fulfilling this role, the university more than likely has some other very significant problems that it should address. Kerr (1993) notes that attracting financial resources, allocating the resources, and formulating the vision for the university are among the most significant roles of the college president. The president must also identify within the university the most significant financing needs for which private funds should be sought (Essex & Ansbach, 1993). This process should be closely aligned with the planning of the university. The president should have a detailed strategic plan outlining the direction that the university will take. The plan, however, should not exceed the realistic expectations of what can be funded through institutional advancement. The president should temper his/her ideas and goals to match the overall potential of the university and the available resources (Willmer, 1993).

The ultimate function of the president and his/her role in fundraising, therefore, is the salesman. Historically, more successful presidents have delegated their internal roles of administration and academic leadership and have focused on the promotional activities of the university (Hamlin, 1990). Surveys indicate that presidents consistently consider themselves political leaders, entrepreneurs, and finally administrators (Cohen & March, 1986). This modified position of the president will require a great deal of change by many who already occupy the seat of the president, but it is necessary to meet the overall goals and missions of universities today in light of the changing and complicated funding limitations.

### Conclusion

Higher education institutions have reached a very critical time in their histories. Sources of revenues are becoming more limited from every direction. Federal and state funding for institutions across the nation continue to drop. Tuition rates have increased to a point that students, legislators, and the public are beginning to criticize the academy and its inability to budget in a financially limiting environment. Additionally, many universities have positioned themselves in a situation where they are pricing themselves out of competition. Furthermore, many university enrollments continue to grow, requiring the institution to continue to build facilities, increase services, and hire additional faculty. Another problem complicating the matter is the increasingly competitive prices that high-quality professors are demanding to maintain their research, which in turn increases the prestige and related revenue to the university.

With these dramatic changes at bay, universities are forced to turn to alternative sources of funding to meet the increasingly demanding and complicated budgets. The primary source of additional funding is that from private institutions, foundations, corporations, and individuals. Fundraising efforts have increased considerably in recent years. The increased revenue from fundraising efforts, in turn, is allowing universities to meet the challenges of a changing environment.

There are very strategic methods for fundraising that have been tested in many universities and other non-profit organizations. There are also many consulting groups that have formed to aid universities in this ever-growing task. It is evident, however, that the key member of any fundraising endeavor is the president or CEO of the university. Undoubtedly, the fundraising campaign must be approached through a team effort. While the president plays perhaps the most significant role, he/she must rely on a number of other players to fulfill the goals of the university. Other team players who are instrumental in the process include development or advancement officers, staff members, faculty, and other top-ranking administrators. The group that must not be forgotten, though, is the volunteer group. This group plays such an integral role in the overall fundraising process and oftentimes represents one of the most critical factors in the overall success of the program.

The literature has relatively limited exploration of the function of the president/CEO and his/her overall impact on the capital campaign. Furthermore, the institutional effectiveness cannot be clearly related to the level of involvement of the

president alone except in limited circumstances. Undoubtedly, though, the presidential position is highly complementary to the overall fundraising processes.

Fundraising is critical to meeting the missions and goals of the academy. With the appropriate planning, implementation, and teamwork, however, it can be one of the greatest competitive advantages in the academic environment for many years to come.

## CHAPTER III

### METHODOLOGY

#### Introduction

This study sought to examine the functions of the president/CEO of a university in the fundraising process. This study builds on a previous one with a more defined focus on institutions with smaller fundraising campaigns. More specifically, this study builds upon Cook's (1994) dissertation Courting Philanthropy: The Role of University Presidents and Chancellors in Fund Raising with an emphasis on universities whose campaigns are less than \$100 million. Through a detailed analysis, the goal is to identify specific themes and patterns that contribute to the understanding of fundraising and, more specifically, highlight the contribution that the president makes in the fundraising process. This chapter provides a description of how the study was developed, elaborating on the methodology of the study. The primary elements that are addressed include: research design; the role of the researcher; data collection processes including the setting, actors, and events; and data analysis and reporting.

#### Review of the Problem and Guiding Research Question

Financing higher education is becoming increasingly difficult in an environment of decreased federal and state funding support (Cook, 1994). As a result, universities are becoming more cognizant of and reliant upon private sources of funding to maintain competitive tuition rates while preserving operational standards (Beaird & Hayes, 1999;

Cook, 1994; Hamlin, 1990; Harvey et al., 1998; Hnetka, 1999; Kerr, 1980) . In consideration of this problem, the primary question in this study is “What is the function of the president or CEO in fundraising?”

In consideration of the problem of limited funding for higher education, colleges and universities of all sizes need to become increasingly involved in fundraising to meet the overall educational goals of the institution. The findings of this study provide a guideline for current and future presidents and institutions in identifying the role of the president in fundraising. Additionally, this study provides information that will give direction to the overall fundraising process.

### Research Design

The research design of this study is qualitative. The qualitative paradigm has a number of intrinsic assumptions which make it more appropriate for certain studies. Creswell (1994) states that qualitative studies focus primarily on processes and meaning rather than any specific identifiable products. Strauss and Corbin (1998) also note that the focus of a qualitative study must always remain on the emerging themes, categories, or theory related to the process and the meaning. In summary, a qualitative study seeks to provide information and evaluation regarding a phenomenon and to induct themes, hypotheses, or theories (Creswell, 1994; Patton, 2002).

Other assumptions deal with the method of gathering data and the role of the researcher. Creswell (1994) explains that in qualitative studies the instrument for data collection and analysis is the researcher. He also notes that the researcher must actively

participate in the data collection process by going to “...the people, setting, site, or institution to observe or record behavior in its natural setting” (p. 145). Moreover, Denzin and Lincoln (1994) explain that qualitative researchers focus on the meaning of a phenomenon derived from the study of things in their natural setting. Placing him/herself amidst the things being studied allows the researcher to understand more fully the impact of the phenomenon being studied as well as more effectively interpret the data gathered to provide empirical information for others to understand (Denzin & Lincoln, 1998; Patton, 2002).

This type of research requires an extensive amount of description to effectively portray the complexity and the wealth of data within the study (Creswell, 1994; Glesne & Peshkin, 1992). Strauss and Corbin (1998) also note that description is essential to the study. They state that description supplies the needed information to express ideas, create a vivid depiction, and to develop an accurate reporting of an occurrence. Description, therefore, remains one of the fundamental assumptions of any qualitative study to present the amount of material needed for the reader to conceptualize the phenomenon. Best and Kahn (1998) suggest that this qualitative data, in conjunction with context sensitivity and inductive analysis, are the characteristics that make qualitative research the most effective.

Creswell (1994) identifies several characteristics that are distinctive of qualitative research. These characteristics, in general, revolve around the subjective nature of the study, the researcher’s intimate role in the study, language used to define the research, and the inductive logic pattern. Clearly, these characteristics allow the researcher to

extend beyond the limiting confines of a quantitative study, but they also provide some unique challenges to the research. Vierra, Pollock, and Golez (1998) state that one of the greatest difficulties in qualitative research is establishing objectivity. However, if performed properly, qualitative research is invaluable for exploring and obtaining deeper understanding of a particular phenomenon (Best & Kahn, 1998).

The specific qualitative design used in this study is the multiple case study. Case studies, as discussed by Gall, Borg, and Gall (1996), are done to explore a particular phenomenon from the perspective of those subjects involved. Clearly, the phenomenon that is considered in this study is the role of the president in the fundraising process. The multiple-case study is the same approach that was implemented in Cook's dissertation Courting Philanthropy: The Role of University Presidents and Chancellors in Fund Raising. While Cook considered universities with capital campaigns of over \$100 million, this study focuses on public institutions with capital campaigns of less than \$100 million. Best and Kahn (1993) emphasize the value of replicating a study in that the replication provides validation or greater confidence in the results derived in the original study. This is most effectively done if the results from a different population and a different time are compared to the literature to deduce its relevance. Following the suggestion of Gall et al. (1996), this study is not an exact replication of the previous study presented by Cook (1994); rather, it is an extension of the study, validating the literature findings across a different population.

The qualitative approach allowed this researcher to focus on the processes in a specific situation, rather than placing emphasis on the outcomes or the products

(Merriam, 1988). This examination of the detailed information allowed the researcher to facilitate the emergence of themes and patterns in response to the data collection and analysis of the data (Creswell, 1994; Creswell, 1998; Gall et al., 1996). Gall et al. (1996) explain that one of the primary focuses of case study research is to identify themes that explain the phenomenon being studied. Gall et al. (1996) suggest that the case study in qualitative research allows the researcher to provide a detailed explanation of a phenomenon. Yin (1984) provides the following definition of case studies: “A case study is an empirical inquiry that:

- investigates a contemporary phenomenon within its real-life context; when
- the boundaries between phenomenon and context are not clearly evident; and in which
- multiple sources of evidence are used” (p. 23).

Case studies are especially beneficial in developing relationships among variables (Best & Kahn, 1998). Once again, the variables focused upon in this study are primarily the president, and secondarily, fundraising processes and the chief development officer. Recognizing that the literature places a significant emphasis on the fundraising process, this study highlights the role of the president, providing a greater understanding of the function that the president fills in the entire fundraising process.

DePoy and Gitlin (1998) suggest that the multiple-case study is most effective when more than one case is studied to explore a single phenomenon. Additionally, they state that several units of analysis can be used to provide relevant information regarding the phenomenon. The primary unit of analysis of this study is the president. However,

other subparts include the chief development officer and fundraising processes. Yin (1984) also suggests that considering more than one unit of analysis can provide clarification and greater focus to the primary unit of analysis. He warns, however, that emphasis must remain on the primary unit of analysis. Otherwise, the study will become more descriptive of the subunits and deviate from the original focus of the study.

Yin (1984) stresses the need to differentiate the multiple-case study approach from sampling across a representative population. Sampling implies that the results from the study will be applicable to a larger population that could not be sampled due to limited resources. A multiple-case study approach, however, identifies different cases and compares and contrasts the responses within these cases. It is acknowledged that the themes identified in this research cannot be applied across a larger population of university presidents. Rather, within the scope of the cases studied, the results will provide themes and a model upon which other studies can focus.

Within the multiple-case study approach, a cross-case analysis is performed on the data gathered from each of the specific cases. Patton (2002) explains that cross-case analysis is most beneficial when the researcher is grouping answers from different people to the same question. He adds that this is most easily performed when the researcher provides a standard set of interview questions in different case settings and then analyzes and compares the responses from the different participants. The use of cross-case analysis allowed this researcher to identify specific themes that were emphasized and confirmed through similar responses among those interviewed. Moreover, this process of triangulation more effectively allowed the researcher to draw significant meaning from

the responses provided. The involvement of the president or CEO in higher education fundraising is explored through this methodology.

### Limitations

The case study design has some very basic disadvantages, one being that themes and conclusions drawn from the interviews will not be highly given to generalizations. Denzin and Lincoln (1998) focus on this issue. They note that information gained from case studies will largely be limited to the individual cases within their own worlds. Yin (1984) suggests that any generalization should be directed toward theoretical propositions rather than to larger populations. He also observes that case studies are highly susceptible to biases and interpretation misdirecting the findings and conclusions of the research. Although he acknowledges this potential problem, he also suggests that this is not unique only to case studies; rather, biases can impact a number of different research designs and must be dealt with carefully by any researcher. Patton (2002) reconciles this inability to generalize, however, and suggests a more applicable method of transferability. He notes that transferability allows themes to be applied across similar contexts rather than focusing on larger populations. Last, Creswell (1998) focuses on the issue of identifying boundaries within a case study. He suggests that the boundaries of time, events, and processes must be clearly identified in order for the case study to be effective.

While these disadvantages must be carefully considered and addressed within a case study design, there remain a number of distinct advantages. First, it allows the

researcher to look at multiple situations or cases and identify emerging themes surrounding the phenomenon being studied (Gall et al., 1996). As Creswell (1994) points out, this is particularly valuable when there is a limited amount of information available on a particular topic and the theory base is unable to guide a different type of study. DePoy and Gitlin (1998) explain that case studies are excellent methods for ultimately generating theories related to a phenomenon for future studies. While identifying themes is the primary purpose of this study, these themes could be utilized to develop a theory for future research.

Finally, case studies allow researchers to study a phenomenon within the context of real-life circumstances (Yin, 1984). Gall et al. (1996) explain that case studies provide thick description of particular phenomena and allow researchers to arrive at more meaningful conclusions that explain the phenomenon being studied. Moreover, these conclusions will allow readers to understand the cases within their own situations. The reader can then draw conclusions of his/her own related to the cases and their respective situations (Denzin & Lincoln, 1994). This, in essence, will provide a better understanding of the social reality of a particular phenomenon (Best & Kahn, 1993). Additionally, the transferability of data to congruent situations is identified as a significant result of the qualitative findings. The resulting extrapolations of the results allow the reader to apply themes to similar situations and conditions (Patton, 2002).

## Role of the Researcher

There are a number of different characteristics of a successful case study researcher. First, the person should be able to communicate effectively the questions to the participant as well as accurately interpret the responses (Yin, 1984). Creswell (1994) says that qualitative studies should include open-ended questions. As a result, the ability of the researcher to interpret precisely the responses is critical to the overall integrity of the study.

Next, Yin (1984) emphasizes that the researcher should be a good listener, avoiding preconceptions and personal ideologies. Yin continues, stating that this effective listening includes applying contextual information to the respondents' comments as well as inferring information from the interview. Best and Kahn (1993) also place considerable emphasis on avoiding preconceived perceptions by the researcher. They conclude that it is very important not to disclose information that may bias the responses and, therefore, influence responses to the questions asked. Yin (1984) also focuses on the importance of the interviewer's remaining unbiased in the interview process.

Yin (1984) explains that researchers must be flexible to adapt the study as needed, but he also emphasizes that this potential for change can be limited if the researcher remains focused on the original purpose of the study and well entrenched in the issues related to the study. Patton (2002) reminds the researcher that qualitative research requires making sense from very large amounts of data. And Yin (1984) describes the tendency of researchers to lose focus of the study or even allow the study to shift within

units of analysis or to a different topic. If the researcher is not confident with the case and the objectives of the study, he/she can easily be distracted and shift the focus of the study. Consequently, it is imperative that the researcher maintain a very focused agenda to complete the study.

Last, the researcher must minimize bias during the research process. This tendency is emphasized as one of the most significant disadvantages of case studies. Yin (1984) explains that overall the researcher must remain open to findings that may vary from the original expectations. Clearly, the researcher must be very familiar with the literature, but he/she cannot allow the literature to influence the responses of the respondent. Patton (2002) also suggests that the researcher should avoid developing goals for the data. This will prevent him/her from directing the interview to meet the anticipated goals of the study. Glesne (1999) acknowledges that while it is important to establish rapport with those being interviewed, the researcher must not become too close with the participant, in which case he/she may modify questions to avoid conflict or uneasy situations. Best and Kahn (1993) remind the researcher to avoid making any position statements and to create a climate in which the interviewee understands that there are no preconceived ideas or notions regarding the outcome of the study. Glesne (1999) addresses the issue of bias very effectively, communicating that researchers should remain attune to subjectivities in the study and focus on tempering and controlling these as they emerge.

## Setting

Three institutions were identified as subjects for this study. Each of these institutions is located in the state of Texas. The average enrollment at these universities is approximately 9,000 (Texas Higher Education Coordinating Board, 2004). All of the universities fall within the defined parameters of having completed a capital campaign or are involved in a capital campaign less than \$100 million. As defined by the Carnegie Foundation, one of the universities is Master's University I and two of the universities are Doctoral/Research Universities-Intensive (The Carnegie Foundation, 2003). The president of each of these universities was contacted by telephone to ensure his/her willingness for the institution to participate in the study and to establish a date for the interview process. After the initial contact, a copy of the abstract as well as the interview questions were forwarded to the president and the chief development officer in preparation of the interview. At each interview session the president and CDO were given a consent form (Appendix C) identifying the purpose of the study and their respective contribution to the study. The consent form also stated the respondent's rights in the study.

The three institutions represent three different categories of universities, including teaching institutions, historically woman's institutions, and system institutions. Due to the size and history of the three institutions, none has a significant history of raising substantial gifts. While each has gone through some type of capital campaign in the past, the universities' increased reliance on private funding emphasizes the need to improve fundraising efforts.

The first institution (MTU—Master's Teaching University) is a regional comprehensive university that is over 100 years old, having emerged from its original status as a two-year institution. MTU has an approximate enrollment of 8,800 (Texas Higher Education Coordinating Board, 2004) and a current endowment of approximately \$15 million. The university has a Carnegie classification of Master's University I, focusing primarily on the mission of teaching excellence and emphasizes a secure foundation in the liberal arts. This emphasis is evidenced by the mission statement, the statement of philosophy of the University, as well as the core values identified by the Institution. The University is part of a system, but maintains a very clear focus on the students it serves rather than system initiatives. The institution is vibrant in its operations with consistent growth in enrollment and a focus on improvement and growth among the campus infrastructure. One of the primary goals identified by the University is institutional advancement that will aid in meeting the educational needs and goals.

The next university studied (DWU—Doctoral Women's University) has a dual mission of providing a liberal education as well as specifically focusing on the academic preparation of women. DWU has an approximate enrollment of 9,700 (Texas Higher Education Coordinating Board, 2004) and a current endowment of approximately \$8 million. The university is over 100 years old, having transitioned from a small college to a major university. It has a Carnegie classification of a Doctoral/Research University-Intensive. The University focuses on excellence in undergraduate and graduate education in liberal arts, health education, and professional studies. Additionally, the University serves as a primary resource and depository for women's contributions to the history and

progress of the state. Not only has this university seen consistent growth in enrollment and infrastructure development, it also is steeped in a heritage of diversity among cultures and genders and emphasizes a commitment to research and education.

The last institution involved in the study (DSU–Doctoral System University) is part of a university system and provides undergraduate, graduate, and professional educational opportunities for students within a defined geographic region. The University is also more than 100 years old and has grown from its original mission of providing teacher education to a Doctoral/Research University-Intensive as defined by the Carnegie Foundation. DSU has an approximate enrollment of 8,400 (Texas Higher Education Coordinating Board, 2004) and a current endowment of approximately \$10 million. One of the identified goals of the University is to increase and strengthen the graduate-level education of the university while pursuing a significant level of research to support this graduate-level focus. The University also emphasizes a strategy of external fundraising to support the educational and research focus.

Yin (1984) explains that the number of cases involved in a multiple-case design is clearly up to the discretion of the researcher. He explains that the number is a judgment made by the researcher to provide a satisfactory level of certainty related to the conclusions drawn. Denzin and Lincoln (1994) also address the importance of choosing the cases to be studied. They state that understanding the phenomenon to be studied is critical in the selection process, suggesting that cases be selected in consideration of the population being studied and the opportunity to learn. They state that it is important for the researcher to understand that a case study is not designed to provide a significant

level of generalization to the population, so a balance of institutions is of greater importance.

Institutions within the state of Texas were specifically identified to provide the greatest level of consistency among environmental and legislative factors under which the institutions are operating. This prevented other unrelated factors from influencing the responses of the participants. Furthermore, the geography of the institutions as well as the number of participants were considered so the study could be completed in a timely fashion.

### Actors

Presidents or CEOs of institutions of higher education who are currently involved or who have been involved in the last five years with campaigns less than \$100 million were interviewed. Additionally, chief development officers (CDOs) at the same academic institutions were interviewed to provide a comparison of data or even an elaboration of the data received from the presidents. In the original study, Cook (1994) specifically identified universities that were highly prestigious in fundraising and were in or had completed campaigns of greater than \$100 million. The universities in this study were identified by making personal contacts to determine which schools fell in the category of having a fundraising campaign of less than \$100 million. Three universities were identified through this process and were contacted to confirm participation. Patton (2002) discusses purposeful sampling within case studies, noting that smaller homogeneous samples can be very beneficial in developing a case study.

## Events

The focus of the interviews was the fundraising process and the president's role in this process. The guiding question for this study focused on the function of the president/CEO in the fundraising process. Consequently, it was assumed that the president would provide the most relevant information regarding his/her role and its relation to the overall fundraising process.

Best and Kahn (1998) suggest that within a case study data can be collected by a number of different methods including observations, interviews, questionnaires, or recorded documents. Interviews were employed within this study and supplemented with archival data to provide the most relevant information for the analysis.

## Interviews

Interviews are specifically performed to gain information that cannot be acquired through observation (Patton, 2002). Patton (2002) notes that interviewing allows researchers to find out what is in another individual's mind. Moreover, an interview provides a clearer understanding of the individual's perspective related to a particular phenomenon. In this study, data collection primarily was accomplished through focused interviews with the identified sample of presidents and chief development officers of public universities. Yin (1994) describes focused interviews as having qualities of open-ended questions but are based upon a pre-determined set of questions prepared to address specifically identified research questions. This interview type allowed the researcher to

guide the interview in a relatively short period while allowing the participants to respond in a manner that was conducive to conversational responses and detailed explanation.

The questions used in the interviews are identified in Appendix A. These are based on the questions used by Cook (1994). The questions used in Cook's study were developed from an extensive review of the literature followed by an in-depth pilot study of college presidents. The original questions were modified to better meet the needs of this study and were piloted among presidents and chief development officers from universities not included within this case study. The presidents and chief development officers were contacted to review the interview questions for relevance to the research questions being addressed, appropriateness in wording, and to ensure their validity from the perspective of a professional within the field. Yin (1994) stresses the need to pilot the questions to be asked in a case study to ensure appropriate direction and relevance.

Sproull (1995) also acknowledges one of the distinct benefits of a pilot is to ensure that the research questions are appropriate. A complete replication of the case study was not implemented in the pilot. As Sproull (1995) suggests, the pilot is not necessary if the instrument used is standardized and the research techniques are familiar. Due to minor changes in the questions, however, it was concluded that the questions should be piloted among a select group of experienced professionals.

A pilot study packet was mailed to presidents and CDOs of major universities in Texas and the adjacent states. The pilot included an explanation of the study, the proposed interview questions, as well as the seven research questions forming the core of this study. As intended, the pilot served to refine the focus of the interview questions,

ensuring that each would substantiate the guiding research questions. Consistently, the respondents were very supportive of the study and indicated that the questions were well designed and thorough. The suggestions applicable to the study were integrated within the interview questions where appropriate. For example, as a result of a suggestion from one responding university president, emphasis was placed upon presidential strategies as well as philosophies of fundraising in interview question one (Appendix A). Another respondent suggested targeting the president's familiarity with donor identification and development. Questions eight, ten, and eleven reflect that focus (Appendix A). Another distinct change, based upon the suggestion of a responding CDO, included relating the role of the president to the CDO in fundraising and is reflected in interview question four (Appendix B). Other suggestions focused on the success of the campaign, utilization of consultants, and the president's level of involvement. At the completion of the pilot study, the interview questions were clearly established and were implemented as the primary interview guide throughout the interview processes.

Several measures were taken to ensure the validity of the interview process. Those interviewed had the opportunity to review professionally prepared transcriptions of the interview to ensure accuracy of the dialogue. Additionally, the data collected from the interviews remained anonymous to protect the interests of the participants. Furthermore, all participants had the opportunity to withdraw from the study at any time.

## Archival Data

In addition to the interview process, archival data were also used to arrive at themes as well as provide triangulation for the information provided. Yin (1994) states that archival data can be very helpful in case studies; however, he also cautions the researcher in the application of the data. He expresses that the contexts within which archival data were developed and disseminated must be considered. Furthermore, he notes that oftentimes archival data can be used more passively in the research analytical process. Patton (2002) also communicates the value of archival data in providing the researcher with information that cannot be observed, backgrounds related to specific scenarios, and goals and decisions that may not otherwise be available to the researcher.

Archival data were primarily utilized to guide the interview process. Specifically, archival data highlighted campaign focuses, identified changes in personnel, and they defined campaign goals and success within these goals. As a result of this data, specific questions could be asked to gain more information and conclude how this information related to the campaign and the president's function within the campaign. This protocol provided the opportunity for the interviewee to elaborate on points that had been identified through a thorough search of brochures, case statements, university strategic plans, news articles, and other related information. Moreover, it provided a mechanism to maintain consistency between the interview process and the issues being discussed.

## Data Analysis Procedures

Patton (2002) outlines several critical steps in analyzing and interpreting data within a case study. First, he notes that each case must be identified and discussed separately. Next, the researcher should code the data and determine the substantive significance of themes and categories that emerge through the analytical process. The researcher must then provide an interpretation of the themes considered within the analysis. Finally, the findings must be reported in a manner that is appropriately succinct and meaningful in nature.

As a result of the interview process, a significant amount of data was collected. DePoy and Gitlin (1998) suggest that the actors interviewed in a study have distinct environments with meanings that may be difficult to grasp. The processes involved in categorizing this immense amount of data, in consideration of the different settings, must be very organized. Bogdan and Biklen (2003) explain that developing a coding system is the best way of sorting through the data and deriving any meaningful categories or themes.

There are several steps involved in developing a coding system in a qualitative study. Creswell (1994) states that the researcher must first read through the transcriptions of the interviews to familiarize him/herself with the cases. Next, he notes the researcher should begin identifying specific topics related to several of the cases in order to develop the coding system. These topics can be noted in the text of the transcriptions, identifying when and where the topics arise. Patton (2002) also suggests that these codes be

carefully managed within a meaningful coding scheme in order to maintain consistency throughout the analysis of the data.

Bogdan and Biklen (2003) suggest that the next step of developing categories from these defined topics is one of the most critical steps in the analysis of data. Creswell (1994) explains that key descriptive words related to the topics should be used to create accurate categories of data within the transcriptions. He also suggests that categories should be derived from the literature surrounding the study. Glesne (1999) states that this process of developing categories is not as simple as it initially appears. She notes that the researcher must focus on making connections throughout the data and reflecting on the meaning of the data. DePoy and Gitlin (1998) also emphasize the importance of this step, noting that the researcher must allow categories to emerge from the data. Patton (2002) also focuses on the development of categories. He suggests that converging the data into similar findings and translating these findings into meaningful categories is critical in the overall analysis.

Creswell (1994) suggests that the data should then be assembled by category in preparation of analyzing the data for existing themes and patterns. Patton (2002) also notes that the categories should be prioritized to identify the more relevant categories and patterns resulting from the data. At this point, the data are broken into coherent and well-defined groups upon which the researcher can perform an analysis.

Patton (2002) discusses cross-case analysis as an effective mechanism for analyzing large amounts of data collected from different cases. He suggests that inductive analysis across central issues and questions is highly effective to arrive at

reasonable conclusions from the data. Denzin and Lincoln (1998) state that inductive analysis requires insight and the ability to link the data across the different cases effectively. Patton (2002) reminds the researcher that this inductive analysis must be based on extensive interaction with the data and a comprehension of contextual information. Consequently, the data in this study were analyzed across the different research questions identified as a result of the extensive review of the literature.

### Verification

“Validity is that quality of a data-gathering instrument or procedure that enables it to measure what it is supposed to measure” (Best & Kahn, 1993, p. 208). In order to address the validity of findings in a qualitative study, it is important that the researcher address issues of internal and external validity (Creswell, 1994). Creswell (1994) says that internal validity can be accomplished by triangulation as well as member checking. Triangulation has particular value in this study considering that the subject clearly has intrinsic ambiguities, particularly in a context in which the success of the president is oftentimes measured by the success of their fundraising efforts (McMillen, 1991).

Denzin and Lincoln (1998) emphasize the value of triangulation in a case study method. They note that redundancy of data collection from more than one source provides greater clarity and validity to the issues. Furthermore, it allows the researcher to avoid misunderstandings of the points made and limits error in interpretation. It is important for the validity of the study to provide a level of triangulation that validates the statements and responses made by the presidents. This triangulation was accomplished

by interviewing chief development officers in addition to institution presidents. This level of triangulation provided a greater level of validity to the statements made by the presidents.

Other methods of triangulation are outlined by Yin (1998). He writes that, within the evaluation of data, triangulation can occur through different sources of data as well as different evaluators. Both of these methods were implemented to ensure a substantial balance of methodological analysis. As noted before, archival data were also used to supplement the interview process. This information not only guided the interviews, it provided verification and explanation for the responses received during the interviews. In addition to the archival data, another reviewer was used to ensure the consistency of the coding of the data. This fellow researcher was trained by reviewing the same coding methodologies that were used during the analysis. Furthermore, the verifying researcher was provided all of the data to ensure appropriateness.

Creswell (1994) also suggests member checking to ensure the validity of the findings. Gall et al. (1996) define member checking as the process of returning the findings of the interviews to the informants to ensure consistency of meaning and accuracy of responses. Glesne (1999) states that member checking should not only include an analysis of the researcher's findings, it should also include a review of the transcription developed from the interview process. During the interviews, the researcher asked the informants if they would be willing to provide member checking to ensure the validity of the study. The transcripts and the resulting identified themes, therefore, were

sent to those respondents, all of whom expressed a willingness to provide member checking.

Glesne (1999) focuses on peer review and external audit to maintain the validity of the analytical process. It is suggested that an outside individual provide feedback on the processes implemented as well as the themes identified to ensure accuracy and effectiveness. After the initial coding and analytical processes, the coding mechanisms, the results of the coding process, and the conclusions were sent to a fellow researcher to systematically review the processes and reflect on the conclusions. His notations were implemented into the study and included in the conclusions.

In addition to internal and external validity, Creswell (1994) emphasizes the need to recognize the limited generalizability of the findings. This lack of generalization is not unique to qualitative studies, but it is important to recognize within the study. The conclusions, therefore, of this study focus on transferability of themes rather than global generalizations. Consequently, to achieve some level of external validation, the results were compiled and then systematically compared to the literature reviewed and the factors that have been identified as being critical in successful fundraising campaigns. The findings were held apart from any predisposed theories and were examined for consistency with findings from the literature review.

### Reporting the Findings

A narrative is provided for each case examined in this study, identifying the overlying themes and conclusions from each particular case. The responses to the

individual questions are analyzed, identifying the most consistent responses and predominant themes related to the specific research question. Yin (1984) identifies this cross-case analysis by each question as a major advantage of a multi-case study. He states that this also enables the reader to identify specific questions and conclude the themes related to that question as determined by the researcher. Patton (2002) also emphasizes the effectiveness of cross-case analysis by comparing responses related to the research questions or central issues across the different cases studied. He suggests that it is fairly easy to perform a cross-case analysis in this manner. He warns, however, that the most significant data may not be found in identical questions across the cases. As a result, the researcher must carefully analyze the data within each case for specific points of interest.

The data received from the interviews is graphically portrayed in charts that provide better understanding of the presidential behaviors within a specific context. Creswell (1994) explains that the visual demonstration of demographic variables, categories, and other pertinent information surrounding the participants provides significant strength to a qualitative study. From these charts, this researcher provides description of the information within the context of the case, explaining how similar themes emerge across separate scenarios.

### Chapter Summary

The multiple-case study design implemented in this study provided the greatest opportunity for the development of themes relating to presidential involvement in the

fundraising process. Clearly, this type of qualitative design is ideal in a study where limited information and theory exists. Moreover, this type of study allowed the researcher to conclude the specific emphases that presidents are placing on the fundraising process and their resulting roles.

This researcher was particularly careful in the interview process to maintain the appropriate levels of validity and limit bias in the process. Triangulation of information gained from different players as well as member checking allowed this researcher to minimize any premeditated or incidental biases. Furthermore, the triangulation reduced misinterpretation of the data gathered. These actions most effectively overcame many of the inherent disadvantages of case studies in scholarly research.

The conclusion of the development of this study allowed the researcher to begin the data collection process, wherein the data questions were addressed and analyzed for concluding themes. Chapter IV consists of this data analysis, including the narrative description of the interviews and cross-case analysis of specific responses. Last, Chapter V addresses the conclusions from the analysis of the data as well as recommendations for future research.

## CHAPTER IV

### DATA ANALYSIS

#### Introduction

Data related to the research questions were collected through a variety of sources from three different universities within the state of Texas. These sources included interview sessions with presidents and chief development officers, archival data, and personal observation. The interviews were professionally transcribed and compiled in preparation for analysis. As described in Chapter III, the data were then coded, categorized, and analyzed through inductive processes to arrive at themes that consistently arose throughout the research process. Archival data were also compiled from information obtained from university representatives, official institutional websites, and materials gathered during the interview processes. Consideration was given to interviewee's verbal cues, body language, and specific emphases during the interviews. The themes identified were then verified and supported through the evaluation of the archival data. Last, these themes were considered in light of the existing literature.

This chapter will consist of three specific sections. First, the cases will be briefly summarized to give context to the interviewees' responses. Patton (2002) suggests that this is essential to provide sufficient attention to the cases separate from the inductive cross-case analysis. Next, the specific themes that emerged from the coding and analytical processes will be outlined. Last, the data will be described in specific detail as they relate to different research questions posed within the study. Patton (2002)

recommends several methods for cross-case analysis. He notes that analyzing the interview responses in relation to common questions and central issues is very effective to import significance and structure to an otherwise complicated volume of uncategorized and unmanageable data.

### Cases Summary Section

The universities involved in the case studies are each in various stages of capital campaigns. Master's Teaching University (MTU) has successfully completed a campaign within the last several years. This campaign was truly a comprehensive capital campaign focusing on a variety of different goals, each contributing toward stated visionary aims of the university. The capital campaign was held in conjunction with the centennial celebration of the university and had an announced goal of \$40 million. At the conclusion of the campaign, nearly \$43 million had been raised, marking an overall remarkable success of the capital campaign.

Doctoral Women's University (DWU) is currently involved in or has completed several highly focused capital campaigns. The campaign goals range from \$180,000 to \$1 million in value. The campaigns are designed in connection with highly specific projects with identifiable dollar requirements. While the university is preparing to launch a larger, more comprehensive capital campaign, it has found that alumni and donor groups are highly responsive to projects that are both specific and well defined. Additionally, the needs of the university were more pressing in nature and were addressed in a much more expedient manner with project-oriented capital campaigns.

The last university, Doctoral System University (DSU), is in the midst of a comprehensive capital campaign. The announced goal of the campaign is \$50 million, which will address a number of specified campus-wide initiatives. After the first several years the campaign stalled due to internal difficulties and personnel conflicts. The president, however, has recently reorganized the institutional fundraising infrastructure and has established a renewed thrust for the campaign. With new leadership in key positions and more focused missions, the institution is positioned for success.

As noted in Chapter III, the presidents/CEOs and chief development officers of the universities were interviewed to identify those factors inherently related to the function of the president/CEO in the fundraising process as well as to provide relevant information relating to the other research questions noted in this study. Additionally, archival data were gathered to provide verification and supplementary information to present the most meaningful explanations of the president's role in fundraising. The institutions and positions of the presidents and chief development officers will each be summarized within this section.

### Institutions

There are several operations within the institutions that are important to discuss to understand better the behaviors of the presidents, including campaign preparation and development processes. Each of the institutions had very limited experience in capital campaigns. In fact, DWU had never before undertaken a significant capital campaign. The president of MTU noted that although the institution had previously completed one

capital campaign, that campaign was only "loosely coupled" at best. The DSU president stated that DSU had undertaken only very small capital campaigns in its history. The MTU president noted that limited fundraising history is not unusual given that few public universities that have pursued capital campaigns of less than \$100 million.

MTUP: For public universities less than 10,000 (enrollment), formal campaigns are not that common.

In fact, in preparation for this study, this researcher determined that fewer than ten public universities in the state of Texas had either completed or were involved in a capital campaign less than \$100 million within recent history.

This was not unexpected in light of the history of public higher education financing in Texas. Historically, funding within the state of Texas has primarily been comprised of state dollars supplemented by federal, local, research, and other sources of funding. Consequently, there was little need to focus aggressively on private fundraising efforts to meet the operational needs of the institutions. The need for external financing sources for public universities in Texas has only manifested itself to critical levels within recent history.

As a result of the limited background in external fundraising, each of the universities had to make significant changes within their organizational structure to develop an effective institutional advancement foundation. This restructuring process, however, was not limited to organizational framework. Other stakeholders such as alumni and political bodies had to be approached differently to prepare for a functional campaign strategy.

The needs of the institutions were widespread and included issues such as scholarships, facility infrastructure, general operational dollars, bolstering endowments, and other specialized projects. Some of these needs were approached with more comprehensive capital campaigns while others were addressed with the development of highly-focused smaller campaigns. In general, however, the campaigns were very need-based and were implemented in response to waning sources of traditional funding. The institutions essentially recognized the needs of the students and structured campaign goals around efforts to improve the educational experiences of the students.

Consultants were identified by the universities as serving multiple and very different purposes. MTUC stated that within MTU consultants were used specifically for data collection, but they were not highly successful.

MTUC: So, the first thing I did, I asked them to look at my data bank. And they messed up. They didn't do anything.

Consequently, MTU had very little interaction with consultants.

DSU, on the other hand, utilized consultants more heavily. The consultants' primary focus was to take the stalled capital campaign and restructure it.

DSUC: We've also asked our consultants to take a look at internal structure for fund raising in the advancement department to make sure we are well positioned to re-launch the campaign, in terms of staffing and the right people in the right places.

DSUP also noted that consultants were used to educate key personnel and team members on how to make a successful request from a donor.

DSUP: ...they brought some professional fundraisers who did workshops for the board members and upper administrators...[on] how you make an ask.

The DSU interviewees suggested that the consultants had contributed significantly to the overall redesign of the capital campaign as well as education to key individuals.

DWU had not retained the services of a consultant to date, but the CDO emphasized the benefits of a consultant, identifying the values that they brought to a university developing a comprehensive campaign. Specifically, he noted that the consultant had the freedom to communicate unfortunate news. He/she could be much more candid with key leaders in the institution.

DWUC: And you have to figure out how to deliver the bad news... And the beauty of being a consultant, of course, is you also get to leave town Additionally, DWUC felt that consultants could bring specific talents to a university and campaign that would be very beneficial. DWUC added, though, that consultants are very expensive and should be utilized carefully.

### Presidents

The presidents interviewed in the study were all very dynamic and focused individuals. Their educational backgrounds were steeped in the traditional academic disciplines. They all acknowledged, however, that highly-developed managerial skills, financial understanding, and operational strengths were necessary to provide the leadership in fundraising efforts.

MTU President (MTUP) was a very dynamic leader who had been employed by the institution for fifteen years and had served as president for twelve years. Due to his extensive time with the university and his strong vision, MTUP has personally defined

the vision and direction of the university. He is a strong team builder and focuses on educating and energizing key leaders to achieve collectively the mission of the university. The \$40 million campaign implemented by MTU was the first within MTUP's presidency. Therefore, while he has been involved in fundraising throughout his presidency, he has not previously embarked on a campaign of this magnitude. The president approached the campaign very confidently but stated that it took a tremendous amount of work to build the right development team.

The DWU chancellor and president (DWUP) has been a successful leader in a number of different arenas. She has owned two very successful businesses, worked heavily with different legislatures, worked in consulting, and has risen through the ranks in academia. She has been the president of DWU for four years. DWUP stated that the university was preparing for a large comprehensive campaign, but she noted that historically the university had been involved in smaller project-driven capital campaigns. She has extensive fundraising experience among her different businesses and understands the complexity of working with many different external stakeholders. She felt that her varied background was very advantageous in fundraising efforts.

The DSU president (DSUP) is a traditional academician who earned his position by rising through the university ranks. He has been affiliated with DSU for thirty-five years in a number of different capacities. He has served as president for five years. DSUP has identified a number of different needs for the university and has successfully shifted the direction of the university to provide for future generations of students. DSUP has never led a large capital campaign but has worked in several positions as the

university developed several small capital campaigns. DSUP is aggressively pursuing a capital campaign that will provide the necessary funds to achieve a renewed vision for the university.

Each president noted that educational background was not the only factor in to successful fundraising leadership; rather, skills attained through a combination of education and experience have proven most beneficial in successful campaign implementation. Specifically those skills mentioned by the president related to business operations, legislative interaction, team-building, and leadership.

There was consensus among the presidents that fundraising had become a much greater component of the university presidency and that presidents had to adapt to an expanding and more complex role in comparison to the position's historical role. Each of the presidents noted that fundraising is clearly not a separate and isolated function of the presidency. Instead, it is a highly integrated component of the overall position. It requires constant attention that consumes varied amounts of the president's time depending upon the intensity of the campaign and at what particular point within the continuum of the entire campaign the university is.

DWUP: ... one month it may take 40 percent of your time. The next month, perhaps it's only 20 because something else has become the priority. It's not something that you occasionally do.

DSUP: I would think in terms of 20 to 25 percent of my time should be spent there.

MTUP: I don't think the president's role is in and out, on and off. It's constant through that time.

Additionally, the daily tasks involved in fundraising cross over to a number of different managerial duties of the presidency. These include strategic planning, organizational development, and resource allocation. Undoubtedly, the fundraising component of the presidential duties cannot be held apart from the other demanding requirements of the position. Those interviewed also stressed that those presidential duties not related to fundraising must be approached with consideration of how they will affect fundraising. In other words, fundraising is not only a primary functional component of the presidency, but it is an ever-present consideration for most other operations and decisions within the presidency.

The presidents all focused on the increasing need for institutional fundraising in response to decreasing state and federal funding. The significant cuts in traditional funding have pushed the need for fundraising to a critical point. It was suggested that state funding has decreased to a point that these institutions cannot rely on financial support as typical state agencies do.

MTUP: Then we were, you know, somewhere between state supported and then...state assisted. Now, I think we're just state located.

DWUP: And with state funding the way that it is, you have to look at all your resources.

Consequently, the need to pursue external fundraising opportunities has shifted from a luxury to an absolute necessity to meet the operational expectations of the university. Additionally, it has tremendous implications for strategic planning functions. The presidents' increased reliance on implementing successful fundraising campaigns has a profound impact on the overall success of the position of the president.

The presidents discussed the definition of success within a capital campaign. Not surprisingly, the predominant definition of success was achieving the campaign goal.

DWUP: And if you don't raise the money, then you have not succeeded...But the bottom line for success is that you raise money.

MTUP: Well, I think once you go public and once you announce the size of your campaign, you've got yourself locked in... judgments about your success will be tied to the announced amount.

However, they explained that campaign success includes a number of other aspects that are not easily quantifiable. Institutional momentum was identified as a distinct measure of success.

MTUP: If you can get some momentum going, you keep it rolling. And so you continue to work your potential donors...

Establishing key relationships, building a giving pattern to the university, and developing effective fundraising strategies marked key success factors for the universities.

DSUP: But also, I had hoped to use this as a means to put together a good fund raising mechanism or organization in the university that could not only address this one..., but then have a good ongoing program of professionals out there doing that long term development that is so essential.

Additionally, identifying the fundraising potential of the university inspires a considerable amount of enthusiasm for all stakeholders involved in institutional advancement. The presidents noted that the university will not always achieve its goals in every category of a comprehensive campaign, but the overall campaign goal remained the primary mark of success.

## Chief Development Officers

The chief development officers interviewed each had a significant amount of talent and experience that characterized their success in fundraising. The backgrounds of the CDOs included extensive university fundraising experience, fundraising consulting, and various private-sector fundraising activities. Each of these individuals was sought out as a result of his/her past successes and his/her contributions to successful fundraising efforts.

The CDO at MTU (MTUC) has an exceptional amount of successful experience in fundraising within higher education. With a doctoral degree in higher education, he has a wealth of understanding regarding the operations of higher education. Furthermore, he has directed a number of capital campaigns that have provided a significant amount of knowledge and understanding of the fundraising process. Because of his talents and successes in higher education fundraising, MTUC was sought out by the president at MTU. He approaches fundraising in a very strategic manner.

The CDO at DWU (DWUC) has over twenty years of fundraising experience. While having been associated with DWU for a short time period, he brings substantial knowledge in the fundraising arena. DWUC has experience in consulting, higher education fundraising, and higher education administration. He was brought to DWU to develop further the fundraising efforts at the university and help prepare the university for a larger strategic fundraising campaign.

The CDO at DSU (DSUC) also brings valuable fundraising experience to her institution. DSUC has fundraising experience at the university level in addition to

consulting and strategic planning experience within academia and the corporate workplace. Her primary focus is rebuilding an institutional advancement team that will help boost a stalled comprehensive campaign.

The CDOs were all very focused individuals. They acknowledged that their primary function within the organization was to develop a strategic and successful campaign in response to the needs identified by the presidents.

MTUC: In a sense, I was brought here for the sole purpose of a capital campaign and helping to raise money.

MTUC: I think he [MTUP] had a need. A need to go beyond just what the state was able to allocate to us.

Notably, their drive and resulting success revolves around successfully achieving campaign goals.

They also recognized the growing importance of external fundraising for public universities to meet basic operational and infrastructure needs. Accordingly, they focused on the impact of the success or failure of a capital campaign and the need for the institution and president to allocate the appropriate resources to achieve the maximum results of fundraising efforts.

The CDOs consistently emphasized the prevailing need to plan carefully and prepare before effectively launching a campaign.

DSUC: So there were some processes and systems that needed to be put into place that weren't there...

DWUC: [Fundraising] is recognizing what the opportunity is, figuring out what the strategy is to make it work.

They noted that before any meaningful goals could be established, the institution must measure the opportunities for giving. This analysis includes studying alumni capacity,

industrial interest, and environmental factors such as the economy. In addition to measuring the opportunities, significant time and effort must be invested in developing the groundwork for a campaign. One of the necessary steps includes building a talented and effective institutional advancement team. After this, the advancement team must identify individuals and groups with which the institution, president, and CDO should establish relationships to prepare a carefully designed plan for campaign implementation.

The CDOs highlighted the need to work carefully with the president to manage the entire fundraising effort. In each of the university settings, the president provided direction for the fundraising effort in consideration of institutional mission, vision, and operational issues, and the CDO became the functionary guide in implementing the overall fundraising processes.

MTUC: Some [presidents] have a very clear view, a vision, if you will, in what they are wanting to try to do. Some have a view that they can't express, but your job is to sort that through.

DWUC: ...you [president] give me your goals. You give me your objectives. You give me, you know, what your wish list -- what you want to do. Let me design the strategy and the approach to meet those.

This function is achieved through implementation of strategies, development of the donor base, and constant evaluation of progress.

Chief development officers also discussed their perspectives of the factors that characterized success in a capital campaign. They echoed most of the ideas identified by the presidents, primarily that the ultimate measure of success is the achievement of the established campaign goal. However, the CDOs suggested that institutional momentum,

donor relationships, and alumni development are also significant success factors in the fundraising process.

The CDOs discussed the involvement of consultants to achieve the fundraising goals of the university. There are clearly a number of different ways that consultants can be utilized. They can provide an unbiased approach to fundraising while maintaining an objective outlook on the success of the goals. Consultants can also provide expert strategies to presidents and CDOs alike. All of the CDOs interviewed, however, noted that the consultant should be used as a resource for the fundraising process rather than a primary guide. The greatest knowledge and understanding of the fundraising potential and donor base lies with the CDO and his/her advancement teams. The CDO and the president must cooperatively manage these donors to achieve maximum success within the capital campaign.

### Themes Section

A number of themes emerged from the coding and inductive analysis of the interview data in light of the archival data and observational data, that seemed to describe most effectively the function of the university president in the fundraising process. Three primary and three secondary behaviors surfaced as the most prominent functions of the presidency in this regard. The primary behaviors include: (1) strategic planning and developing a vision for the university, (2) coordinating and interacting with key external stakeholders, and (3) building effective operational teams. The secondary behaviors include: (1) coordinating and interacting with key internal stakeholders, (2) directing the

fundraising process, and (3) allocating appropriate resources to enable fundraising success. These themes represent issues that were consistently identified and/or emphasized by the presidents as well as the chief development officers through the interview sessions. The themes are also recurrent within archival data. Figure 4.1 outlines the specific occurrences of each of these themes throughout the interview process.

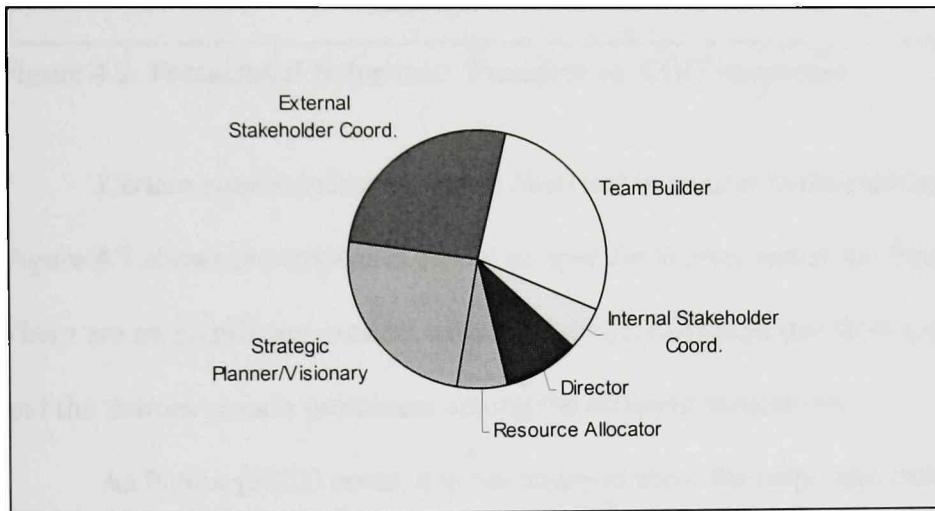


Figure 4.1: Presidential Behaviors

The themes identified were mostly consistent among the responses from the presidents and the chief development officers. There was very little variance in the perception of the roles that the president plays in the process. Figure 4.2 shows responses related to the themes from the perspective of the president and the CDO. Clearly, both groups focused on the same central issues and noted the importance in fulfilling each of these roles.

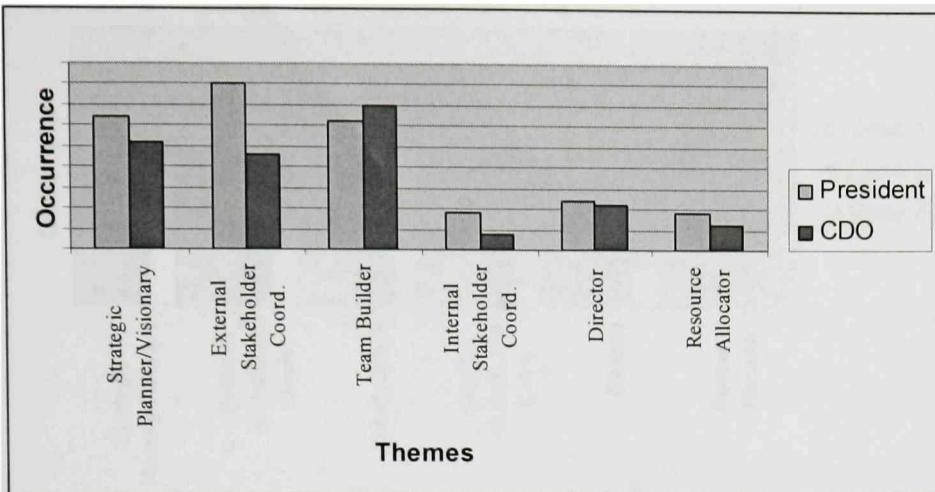


Figure 4.2: Presidential Behaviors: President vs. CDO Responses

Certain consistencies were also observed in respect to the classes of respondents.

Figure 4.3 shows the emphases placed on specific themes across the three different cases. There are no significant outliers within the number of responses from each of the cases, and the themes remain prominent among the different institutions.

As Patton (2002) notes, it is necessary to show the responses from the individual cases so there is clarity on how the particular cases responded. Interestingly, despite the different phases of the campaign progress as well as the different historical and organizational backgrounds, the respondents identified and emphasized themes consistently.

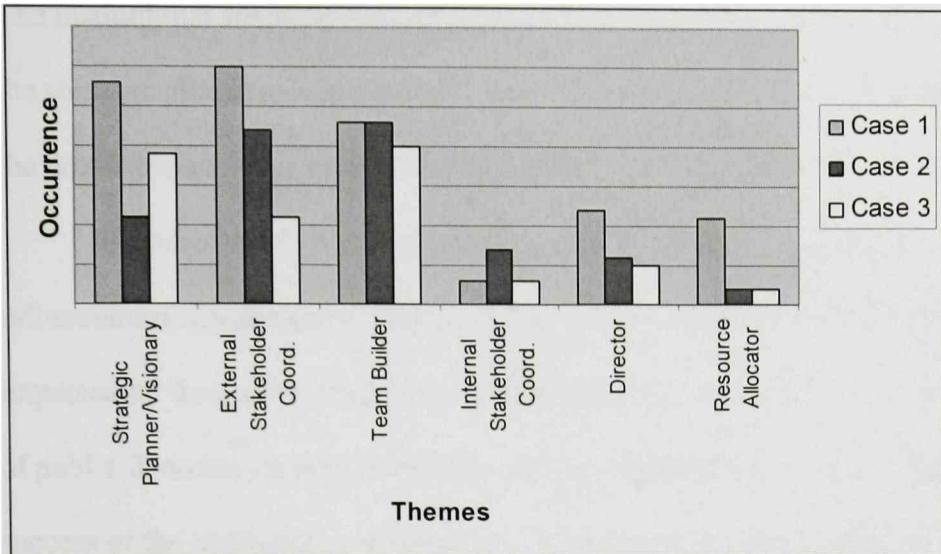


Figure 4.3: Presidential Behaviors: Case by Case Responses

#### Strategic Planner/Visionary

Fundraising relies very heavily on this established plan and vision, and the president must be the primary individual in establishing a strategic plan and vision for the university. There are a number of reasons for this function. Most important, it is essential that all operations within the university stem from the institutional mission and the associated strategic plan.

MTUP: I have seven goals that I established for the university... I've got a university-wide planning counsel. Their job is to take those seven goals and rub 'em and scrub 'em every year. About every three years we go through a strategic planning process.

MTUC: What do you [president] want the university to look like in ten years? That's the basic view. What do you want it to look like? Do you want it to be more academic? Do you want it to be more athletic? You know, do you want it to be more community oriented? ... So, those are different views that are inherently linked to the vision that the university president has that nobody else has.

The institutional advancement office, therefore, should be structured to achieve the strategic plan most effectively. Additionally, the vision must be considered in the development of the fundraising process.

The vision and goals for the university, including student enrollment, infrastructure development, financial stability, and other operational issues are all impacted by the fundraising efforts of the university. In consideration of limited sources of public financial support, achievement of any strategic initiative is largely reliant on the success of the institutional development. Consequently, opportunity for fundraising success must be carefully measured as the president and his/her team develop strategic plans and institutional visions.

While funding mechanisms must be considered in the strategic planning process, the goals of the fundraising process must be consistent with the goals of the strategic plan and the institutional vision. All activities of the fundraising process must reflect the needs of the institution and the objectives outlined in the strategic plan. The establishment of the strategic plan and vision, therefore, is monumentally important in the overall development of the institutional advancement plan and daily operations. Furthermore, the success of the strategic plan should be consistent with how well it helps meet the needs outlined in the strategic plan. Because of the extensive impact of the strategic plan and vision on the fundraising efforts, the president's role in the planning process and his/her vision remain critical components of the overall position.

In addition to developing the strategic plan and formulating a vision, the president must be able to communicate this plan effectively to a number of different internal and external stakeholders.

DSUC: And you do that in a broad sense, to all faculty, in general faculty meetings, you say it to the foundation board, the alumni board, just every place you get an opportunity to say, "We have to move in this direction."

MTUP: I think the real job is related to providing a vision, establishing and stating where we want to go, and helping people keep focused on that.

This communication is crucial for a number of different reasons. First, it provides a direction for the CDO and his/her advancement team. Next, it develops an understanding among faculty, staff, and other internal stakeholders how the development process will help achieve the strategic goals and vision. Perhaps the greatest need for effective presidential communication of the strategic plan and institutional vision is to engage key donors and supporting stakeholders in the fundraising process.

#### Coordinator for External Stakeholders

There are a number of ways that the president works with external stakeholders to achieve fundraising goals of the university. He/she must be highly attuned to influential sources that may provide direction, contacts, or personal gifts toward the effort.

MTUP: I don't think the president's role is in and out, on and off. It's constant through that time. But there is still making the offer for them to get involved, letting them think about what the vision is, the need is, the desire is for the university. And once that commitment is made, then to go close the deal. And then that's a matter of closing the door or shutting the door and getting on with the program.

Each university president must carefully scan and analyze the external horizon to determine which stakeholders are most significant in accomplishing the established goals.

DSUP: Because at this point, the president truly understands and believes, and he always did, that his role is to shift and bring those groups together.

He/she, through coordination with key team members, must then carefully cultivate each of these stakeholders to maximize the fundraising benefit to the institution.

Alumni remain one of the most influential groups among all external stakeholders to the university. Accordingly, the president must place a special emphasis on organizing, focusing, and challenging this group to represent and fulfill the needs of the university best. Within universities that are implementing smaller capital campaigns, the development of the alumni is absolutely imperative. The university must first organize this group to ascertain the potential for giving and support. With oftentimes poorly developed alumni databases, this task can be very time consuming and quite challenging. Nonetheless, if the university is unable to identify the appropriate level of alumni participation and support, it will be difficult to launch a comprehensive capital campaign.

In addition to overseeing the accurate identification of alumni and information, the president must utilize distinguished alumni in positions of influence and planning in the campaign process.

DWUP: ...obviously...key alumnus have been very, very significant in fund raising projects.

This is important to help identify those issues that are more significant to alumni groups as well as to establish an understanding of specific issues that the alumni will welcome. Recognizing these key alumni and strategically placing them in appropriately influential

positions is paramount in establishing an organized alumni support base for an effective fundraising campaign.

In addition to organizing the alumni groups, the president and key team members must approach key alumni to help focus the fundraising effort. The president is key in articulating the strategic vision of the university and in gaining substantial support for the goals of the university. The president must rally the alumni, as well as other external stakeholders, in order to develop the momentum needed to achieve a significant campaign goal. Furthermore, the president must work throughout the campaign to maintain this focus on overall success. This focus cannot be strictly on the vision and goals of the president; rather, it is important that the president include key alumni representatives to help establish fundraising goals and projects that will help achieve overall university goals and projected visions.

Once the alumni groups are identified, organized, and focused, they must be effectively challenged to meet the campaign goals of the university. This challenge must go out to specifically identified donors who have significant giving potential as well as to other groups through whom other key contacts can be made and from which consistent gifts can be achieved. The president is oftentimes the key individual to present challenges to the alumni. Once again, if the president has not identified university goals and visions that the alumni will adopt as meaningful, the alumni will not be a strong contributor to campaign success. Therefore, it is imperative that the president carefully analyze and select goals and challenges that will be embraced by this essential group.

Political groups and figureheads are also key external stakeholders to the university.

DWUP: When we talk about the legislature, we talk about accountability or we talk about fund raising and you can see that...the legislature is so important that former senators or representatives are appointed [as president].

The president must maintain constant communication with these groups who influence the institution from a number of different capacities, including legislation passed and established funding levels for ongoing operations. Presidents identified a significant amount of their time in relation to fundraising involved dealing with key state and local political groups.

Presidents must also work very carefully with institutional foundations that oftentimes are integral in the fundraising efforts of the university. The president must purposefully organize this group's efforts and carefully navigate university relations with this organization.

DSUC: And the president's role...is mediator...bridge builder... relationship builder between the foundation and the alumnus association and the university... And I think that what will make this work is that each group clearly understands that we all have the same mission at heart and that is to provide for our students.

Foundations can be organized in a number of different ways that are oftentimes unique to each university. However, they are instrumental in the planning, implementation, and overall success of the capital campaign. It is the president's responsibility to match the goals of the foundation with those of the university, not unlike those of influential alumni groups. The president must then carefully foster the relationships with the foundation in order to promote the most appropriate fundraising leaders and establish the most

reasonable fundraising goals. Because foundations are typically separate operating entities from the university, the president must meticulously coordinate with the foundation leaders how best to organize the foundation to meet its goals and those of the university. This is best achieved if the president can determine how the goals of the two institutions can be consistently matched to accomplish overall institutional needs.

The president must also implement the above efforts with individual and corporate donors who may exist independently of alumni or foundation groups. One of the fundamental success factors identified by the presidents and development officers alike is establishing long-term relationships and giving patterns with key donors. Oftentimes, the president is highly instrumental in this process. In addition to establishing and maintaining valuable relationships, the president must also make an appearance.

DWUP: ...talking about...individuals, corporations, and foundations; ...if you're looking for the large gift, you certainly need to involve the president or the chancellor.

A personal relationship between the president and key donors can be the basis upon which to build future fundraising networking. It is very important for the president to meet personally with key donors. The attention from the president as well as the reciprocal influence that the donor makes on the president is essential to solidify many fundraising efforts as well as develop opportunities for future giving relationships. The president needs to be willing to dedicate the time and effort to make these strategic engagements. It is clear that the development team is typically very active in cultivating

these relationships and formulating the ultimate contribution, but the president must make tactical appearances throughout the development process.

Last, the president must be willing to retain consultants when needed. The consulting team is largely responsive to the CDO and his/her development team, but the president should take the initiative to engage the consultant in order to task them appropriately as well as take appropriate guidance in turn. While many universities with smaller campaigns are experiencing a learning curve in the fundraising process, consultants can, at times, provide meaningful direction and success strategies for presidential involvement. Mostly, each president and CDO must individually measure the positive impact that a consultant may have on them as individuals as well as the institution in strategy formulation.

The president has vast responsibilities in identifying and interfacing appropriately with numerous external stakeholders. The above stakeholders are consistently active in fundraising efforts, but many others may emerge as no less integral to the overall process. Their potential impact cannot be overlooked or minimized in achieving fundraising success. Consequently, a president must place considerable effort in managing the external stakeholder base of the university.

### Team Builder

The president/CEO simply cannot accomplish all of the tasks unilaterally. Therefore, building teams, both within the institution as well as external to the institution, becomes a major component in the successful implementation of a fundraising campaign.

MTUP: So, if you [the president] have good people and you have focus and you are frugal with, in our case, with our resources...then you can have some success.

DSUP: You need to get someone to head the program that knows what they're doing.

DWUC: ...it's a partnership between the development person and the president and using the other vice presidents and beginning to work with the faculty, and the deans and the department heads and all those folks to come up with people that might be willing to help us.

Simply put, while the president is an integral player in the fundraising process, other key individuals and teams provide an even more significant function in the entire process. Consequently, the team that the president builds in preparation for the fundraising process is substantial component in the overall success of the campaign.

The development of a valuable fundraising team is often centered around identifying a talented chief development officer. Presidents identify this position as monumental in the institutional advancement process.

DSUP: I don't think I have the time or the expertise to try to tell your fundraising people what I should do. In other words, my responsibility, I think, is to get the people that know how to do that and carry us out and then they tell me.

DWUP: I think the vice president [the CDO] is the leader and the president comes in at the appropriate time when he or she is needed.

The president must work closely with this person to identify strategic goals and to determine how to reach institutional and presidential visions. In smaller campaigns it is sometimes necessary for the president to reorganize or even create an institutional advancement office.

MTUP: And to help, number one: Establish a structure--an organizational structure...So we were able then to get a structure, administration, and of course, the key is the right people in those offices.

Overall the CDO and the institutional advancement team are vital members of the fundraising team, and the partnership between the CDO position and the president is critical to identify and meet appropriate goals.

In addition to securing a proficient CDO and developing an institutional advancement team, the president must also establish numerous other teams in order to achieve the institutional goals in fundraising. The president must involve key academic and staff leaders throughout the institution to play significant roles. Academic deans, key faculty members, vice-presidents, and other staff members must all work on functional teams to meet particular goals.

DSUC: [Balancing presidential responsibilities takes] a tremendous amount of commitment and a provost that can take on some of the day-to-day management of the university. And I think that probably the key to all of that is the president has deans and a provost that he can delegate some of those things to...then it's much easier for him to do that. If he doesn't have that, let me just say it's next to impossible.

DWUC: ...you just can't know it all. And if you put a good team together and you all work together and you understand what the mission is and what the direction is, ...a lot of bright people work in that way and it's a lot better than just one or two [people].

The president, then, is instrumental in working collaboratively with all of these different teams to provide direction, gain feedback, and to maintain responsiveness to the synergy created through multiple highly-talented teams working together toward a common goal.

DSUP: I think they [the president] have to be that constant cheerleader. But I think they have to make sure that they have that professional staff in place and think these things out and lay the plans.

The ability of the president to work well with these teams is not only essential to the accomplishment of the fundraising objectives, it is crucial in aiding the president in meeting the other multiple presidential tasks on the periphery of the fundraising effort. Clearly, the president is not always the leader of every team; therefore, it is imperative that he/she can easily interface with the multiple teams and understand the role to be played within those teams.

As noted before, the president's development of and integration within the multiple organizational teams are vital to the overall success of the president. This point is emphasized in the complexity of the position of the president and his/her reliance on effectual teams to achieve multiple presidential and institutional tasks. The fact that the individual success of the president is reliant upon overall fundraising achievement, therefore, accentuates the necessity of the team building and development function of the president.

In addition to building functional internal teams, the president must also carefully develop purposeful teams outside the institution. These teams are helpful in identifying potential donors, guiding the president and his/her cabinet through fundraising efforts, and in holding the institution accountable for achieving goals.

MTUP: ...part of it was establishing a group of people that were my advisors. All these people were either potential donors I knew of, or had a role to play in running the capital campaign and we met twice a year or so and I'd give them updates. That's a big term of accountability.

As noted before, alumni groups, regents, and other key external stakeholders are well represented in these external teams. The ability, then, of the president to assemble these

teams, work collaboratively with them, and energize them to succeed is a necessary function of the president throughout the fundraising effort.

#### Coordinator for Internal Stakeholders

The team-building process also dictates that the president works closely with key internal stakeholders including faculty, staff, vice-presidents, deans, and other key personnel. The process extends beyond the mere development and utilization of instrumental teams. The president must also perform an internal SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis in preparation for any strategic fundraising effort. Presidents and CDOs alike identify the need for tactical preparation techniques prior to the implementation of a fundraising effort. Such an analysis involves identifying those internal stakeholders who will be supportive or non-supportive and determining how these individuals can be utilized in the institutional fundraising efforts. All individuals and groups must be educated and managed by the president in order to achieve success.

DSUP: And I think I've done that, you know, with faculty meetings...for the last several years, I've stressed the importance of: We're going to have to do a better job of getting money from external sources.

This includes the president's meeting with groups to identify key institutional goals and visions. Additionally, the president must show internal groups how the fundraising effort will help meet the overall needs of the organization despite the necessary investment to initiate the process.

MTUP: ...we had meetings to discuss how to approach and how to move forward, and if there was a role to be played by a dean, he or she would

come over and we'd have a conversation. We would collaborate. We would come up with a comfortable plan to move forward.

As noted before, the fundraising process is a very team-driven initiative, and it must be supported throughout the institution to accomplish success.

The president must on occasion overcome other institutional barriers. These may include organizational structures, historical resistance, or limited experience among internal players. The preparatory phases of fundraising are necessary prerequisites to build the framework for a fundraising thrust; without them, institutional advancement infrastructure will be built with little foundational support. This is particularly evident in institutions that have little fundraising history. The mechanisms and momentum needed to implement the process are oftentimes underdeveloped or are completely absent. The president, therefore, must work carefully to guide the institution through a very important phase of preparing for a campaign through education, reorganization, and strategic planning.

#### Resource Allocator

There are a number of different tasks and operations that must be implemented to develop a successful fundraising campaign. These cannot be accomplished without a sufficient level of human and financial resources. The right number of qualified individuals must be employed to perform all of the necessary functions of the campaign. Additionally, and just as important, the president must dedicate the financial resources required to implement the most effective fundraising strategies.

MTUP: So it took us a while to get the lay of the land. He [the CDO] had to test. He had to go out and meet people. He had to make some judgments. I had to be able to provide the resources for him to do this.

These needs could range from hiring consultants to developing and purchasing fundraising supplies.

The president must, however, carefully manage the allocation of financial resources. He/she must ensure that the fundraising process complements, rather than supplants, the primary function of the institution. If not managed appropriately, the fundraising process can take on a life of its own.

MTUP: So, if you have good people and you have focus and you are frugal with, in our case, with our resources and try to keep money pointed toward and consistent with what your goals are, then you can have some success.

The president, therefore, must carefully monitor the operations to ensure consistency with pre-established missions, goals, and specific timeframes. If valuable resources are not efficiently utilized, the integrity of the campaign rapidly digresses and may fail to parallel or support the overall university mission.

#### Director

Once the institution has been prepared for the fundraising process and teams and other personnel infrastructure have been developed, the president must essentially direct the different players to achieve the desired goals of the campaign.

DSUP: Well, I think it's clear that if this is going to work, the president has to be the leader and make clear to everyone that it is a priority.

MTUP: But in all cases, I called the meeting, gave the general direction, or had a strong hand in it...But if it was going down a path that I didn't see it was going to be productive, then I [would] insert myself.

DWUC: ...primarily it is the chief executive's job to drive the ship.

MTUC: Captain of the team, without a doubt.

The president has a distinct vantage point, enabling him/her to see all of the different players and environments with which the institution is dealing. As a result, he/she has the responsibility of providing sage guidance and direction for all of the different teams and players in consideration of the overall fundraising situation.

The analogy was made that the president/CEO is like the catcher on a baseball team (MTUC, personal interview, January 20, 2004). The catcher has to scan the horizon continually, anticipating situations that may be problematic or advantageous to his/her team. He/she must also call plays, or provide direction, in consideration of all of the situations that only he/she is able to see from his/her vantage. Of course, the president must have all of the players in each of their positions just as the catcher relies on the different players to cover their designated positions on the field. It is important to understand that the president (catcher) also makes decisions and identifies opportunities not only for his/her fellow team members, but also in consideration of the role that he/she plays in the entire process.

The president, therefore, must be ever-present and attentive to the fundraising process lest potential problems or opportunities for success are not addressed effectively. This is not to imply that the teams are not exceptionally talented within their own situations; rather, the president has the advantage of the institutional vision, team

operations across a very broad playing field, and the influence from key internal and external stakeholders that may provide key strategies for implementing a successful campaign.

### Research Questions Section

Creswell (1994) discusses the analysis of the data within a case study. He notes that the utilization of data to provide explanations as well as comparing the results to the literature are specific purposes of the case study method. Yin (1994) states that the most desirable form of case analysis is through pattern matching. This process allows the researcher to identify consistent patterns within the cases for explanation purposes and for comparison to the themes predicted from the literature. The research questions identified within this study, therefore, will be addressed through the application of the case-study data.

Creswell (1994) suggests that the researcher identify only one or two primary research questions in a qualitative study. Having formulated the questions, the researcher can then construct a manageable number of subordinate questions that help support and answer the initial overarching question. The primary question in this study is, “What is the function of the president or CEO in fundraising?” This question, along with the other related questions, will be discussed in this section, relating specific responses within the case study.

Research Question 1:  
What is the function of the president or CEO in fundraising?

The function of the university president/CEO in the fundraising process is categorically multidimensional. First, and foremost, the president must operate as the system and organizational leader. He/she must engage him/herself in the systematic development and careful implementation of the institutional vision. This vision, while it may be related to different time frames, must be specifically consistent with the mission of the university. These two fundamental foci of the university should guide the development of the fundraising efforts of the university.

As the leader of the university, the president must pilot the strategic planning processes as well. The strategic plan and vision are highly recognized as key components in the overall fundraising process. Presidents and CDOs alike are keenly aware of the strategic planning effects on campaign directions.

MTUP: ...I think the real job is related to providing a vision, establishing and stating where we want to go, and helping people keep focused on that

DSUP: ...I feel the president has to be the instigator and the one that continually says it's important. And you do that in a broad sense, to all faculty, in general faculty meetings; you say it to the foundation board, the alumni board, just every place you get an opportunity to say, "We have to move in this direction."

Furthermore, the needs identified through the strategic planning process are essentially the guiding stimulation for institutional advancement. The president, therefore, must focus on the strategic planning and identification of needs for the university in order to develop the fundraising construct of the university.

The president must also function as a team builder and director for the fundraising process. The effective development of highly functional teams is critical for success. As outlined before, these teams exist internal and external to the organization but are essential nevertheless to the campaign.

DSUP: [Universities] that [were] successful had a...fairly strong staff.

DWUC: ...but more and more, every job description that you read for president anywhere is the ability to build teamwork and the ability to raise money.

This guidance and direction, however, cannot be effectively implemented without the president's acting in the role of resource allocator.

DSUP: I saw what other schools did, and I just came to the conclusion if this is going to [be] successful...I'm going to have to put some money into it, some personnel. So, we're going to have to move forward.

As noted, the ability of the fundraising mechanisms to be successfully implemented is often associated with the appropriate levels of funding allocated to the different units. The units must be sufficiently funded, whether they be the institutional advancement staffing, campaign paraphernalia, fundraising events, or other items.

Internal and external coordination of stakeholders is highly significant in describing the function of the president in the fundraising process. Preparing the faculty for the tremendous efforts involved in the campaign; carefully cultivating and managing potential donors; and organizing volunteers, consultants, and alumni are all necessary for a successful campaign. The president must be integrally involved and must direct the process of implementing these steps.

Research Question 2: Should the president/CEO be the primary player in the fundraising process?

This question is difficult to answer, and it must be individually considered within each different institution. The CDO is essentially the primary player in the fundraising process. However, the CDO and the president must work in such close tandem that the president has continual influence on the fundraising process.

DWUC: ...it's a partnership between the development person and the president and using the other vice presidents and beginning to work with the faculty, and the deans and the department heads and all those folks to come up with people that might be willing to help us.

DWUP: [The University must have] the ability to do homework, to know how you're going...to mold the message that you're going to present that shows that this makes sense for you and it makes sense for the university... But the staff needs to do the homework, prepare the president.

The president also has a different, perhaps even more defined, insight regarding certain situations in which he/she must guide the CDOs operations to meet the campaign goals.

The CDO, though, remains the most engaged player within the fundraising process.

DWUP: ...the leadership to initiate the idea of a campaign [and] the readiness to do it has to start with the chancellor.

DWUP: So, the president can decide if that is something he or she wishes to do... But...the work of the...campaign belongs to the vice president.

It is important that while the president provides guidance for the fundraising efforts and operations, he/she takes direction from the CDO and the institutional advancement team to achieve the goals outlined for the campaign.

DWUC: And I'll only put you [president] in positions where I feel like your influence and your presence are those things that are necessary to -- to the success of what we're trying to do

Specifically, the CDO must identify those fundraising opportunities that have potential for success and need the president's intervention. Then, he/she must provide the president with well-researched information so the president can make the ask or be involved in the process.

**Research Question 3: What factors influence the level of involvement of the president in the fundraising process?**

There are several factors that directly influence the level of involvement of the president. First, and foremost, the president should carefully analyze the fundraising operations of the university and should then determine his/her appropriate level of involvement within the process. Factors influencing this decision include the history of fundraising at the institution, the capabilities of the institutional advancement team, personal strategies of the president, and donor preference.

Universities that are working with smaller campaigns oftentimes have a very limited fundraising history. Consequently, the president might determine that his/her involvement should be more prominent to cultivate the teams needed to achieve the desired results. The president may also have to be more involved in donor cultivation if the university has done limited things in the past to engage donors in regular giving patterns.

DWUC: ...and the answer is different for every place...The presidents have different personalities -- and see...their involvement in different ways.

MTUP: I think the president's role is to open a door and to close a door or to close the deal...I don't think the president's role is in and out, on and off. It's constant through that time.

The president must also work to promote alumni support and inspire them to join the university fundraising effort.

MTUP: One of the things is getting to know your donors, getting to know your alums. And if you know that a person: A. is interested [in] athletics, then it doesn't make a lot of sense to go talk to him or her about the library expansion, okay? So what you end up doing is getting to know our alums, it's true. And let me just simply say that that is -- a lot of that is...knowing [your] clientele -- alums, donors.

The institutional advancement team and the talents of the members within that team also significantly influence the president's involvement in fundraising. A highly capable CDO and team will enable the president to use greater discretion in his/her involvement. The CDO can then identify the situations that more urgently require the president's involvement. Due to his/her immense influence on the overall success of the campaign, the CDO is a significant determinant of presidential involvement.

DWUC: I've worked in institutions where the president, pretty much, allowed the development office and the advancement office do what they needed to do and didn't get involved in that. And we chose, in those offices, when to get the president involved, if we had a key ask; if we had somebody who really wanted to meet the president or the chancellor; and those kinds of things in order to stand a better chance of being successful.

DWUP: I think the vice president is the leader and the president comes in at the appropriate time when he or she is needed.

DSUP: You have that professional staff that basically just says to the president, "We need you, in the next month, to make these four calls on these potential big givers." Or, "Do this at this time." I don't think I have the time or the expertise to try to tell your fundraising people what I should do. In other words, my responsibility, I think, is to get the people that know how to do that and carry us out and then they tell me. Now, when they tell me, I have to find the time for those big gifts, but they need to have some respect for my time.

DSUC: He [president] needs to rely on an advancement staff that can provide direction for him so that he can be there to make the ask...To be

there to thank people. To be there to do that without having to worry about whether or not that direction is right.

The president should rely upon the CDO to lead the fundraising effort while he/she lends direction and support to that end. This position, therefore, is extremely influential in the amount of time and effort necessary for the president to invest and the resulting benefit of the presidential involvement.

The individual presidential strategies, regardless of the talents of the CDO and the institutional advancement team, will also influence his/her involvement. Presidents have many different styles of fundraising. Some like to be more in touch with the different donors while others may only want to meet the very large donors. Some may have the talent to close a deal easily while others may rely more heavily on the CDO to close a deal. This style, therefore, will significantly influence his/her involvement. Regardless of his/her style, though, the president must be extremely sensitive and responsive to institutional needs for his/her involvement. The president cannot allow his/her personal styles of addressing fundraising to interfere with the success of the campaign. If carefully guided by the CDO and the fundraising team, however, the president will be one of the leading factors in the success of the campaign.

Last, the president must be responsive to donor interests and preference. Oftentimes, the donor wants recognition from the CEO of the university as well as access to this individual.

MTUC: ...you're not an effective fundraiser, in my judgment, if you don't have [the president] there. I want him to be there... It's a situation where your chief donor -- your donor is wanting to have access.

Mostly, the president must be sensitive to the individual needs of the donors. Some donors may not have the need or interest in personally meeting with the president. Others, however, will require the presence of the president in order to make the large gift. Whatever the desire or need of the donor, the president must be respectful of and responsive to the expectations of the donors.

Research Question 4: Is the success of the capital campaign more reliant on the president as an individual or his/her role as part of the fundraising team?

The capital campaign must be addressed as an entire university venture. While the president must act in a number of leadership and administrative capacities, the success of the fundraising process is perhaps more determined by the function of the team and key team leaders.

DSUC: [The president] doesn't have time to say, "Okay I need this done and this done and this done and I want you to contact that donor." He needs to rely on an advancement staff that can provide direction for him so that he can be there.

DWUC: ...it's a partnership between the development person and the president and using the other vice presidents and beginning to work with the faculty, and the deans and the department heads and all those folks to come up with people that might be willing to help us.

The president must be ever-present during the campaign, and he/she must make strategic public and private appearances; however, the development of the campaign processes and the daily success is a function of a team effort. It must be clear that the president is definitely one of the players on the team, but he/she is not always the leader of every

team. Rather, he/she provides influence on the team to ensure consistency with campaign goals, institutional mission, and defined vision.

The president's influence on the team is described through the different presidential behaviors of strategic planner, director, resource allocator, internal/external stakeholder coordinator, and team builder. The team builder component must be handled very skillfully and delicately. The campaign absolutely cannot be successful without an effectively orchestrated team effort. The president, then, must be sensitive to the situations in which he/she needs to be the team leader and the times when he/she simply needs to be responsive to the teams' needs. The president cannot be all things in all situations. He/she must be attuned to the activities within the university and specifically within the campaign. Through constant communication with key institutional and campaign leaders, specifically the chief development officer, the president must allow the teams to function in concert with the overall campaign.

Research Question 5: How clearly defined is the role of the president in a successful capital campaign?

The president must influence the capital campaign in a number of different ways. Although the president's role in successful campaigns is very important, the specific behaviors of the president are not clearly and succinctly identified within the cases. Strong leadership is essentially the prevailing factor in achieving the campaign success from the president's perspective. The functions of the president can be achieved through a multitude of different avenues and by implementing a number of different personal

strategies; however, the ability to lead the institution into a highly involved and challenging capital campaign requires very strong leadership skills.

The definition of the president's role, then, is not specifically laid out. The literature describes many different behaviors that influence campaign success, but there is no clear-cut model of the successful president's role. The themes identified through this study, however, clearly address the role of the president in the fundraising process. Based on the findings of this study, the president's role must involve, in varying degrees, active participation in planning, coordinating, and directing people and resources involved in the fundraising endeavor. The fact is that the president must be a strong leader and visionary who can build highly capable teams and direct those teams toward a common goal. The extent to which a president can function as such remains one of the most defining factors for success. He/she must be cognizant enough to determine the most important methods of interjecting him/herself to achieve the desired levels of success.

The cases did not provide specific information related to the appropriate levels of involvement for the president. It became clear that the level of involvement fluctuated throughout the campaign as well as across institutions. Most important, the functions of the president must be successfully implemented to ensure success of the campaign.

Research Question 6: What personal behaviors are characteristic of a successful fundraiser?

Within the case study, no consistent behaviors of the president were clearly identified that would define a successful fundraiser. Throughout the case study, though,

it was abundantly apparent that the president must be a superlative communicator. This skill is imperative for communication with and responding to multiple stakeholders. He/she needs to be able to communicate strategies, goals, missions, and ideas to a number of different internal and external groups.

DSUC: [The president's] role is as a collaborator and open communication from him and his office...is something that he's been focusing on.

DSUP: I think it's clear that if this is going to work, the president has to be the leader and make clear to everyone that it is a priority.

MTUP: If you have people, dedicated professionals, then I think the real job is related to providing a vision, establishing and stating where we want to go, and helping people keep focused on that.

He/she must also be able to stimulate discussion within groups and among key personnel to gain the most important information and ideas for campaign operations. The president should also be able to analyze and compare this information to arrive at the most reasonable plans and related courses of action. The president must be a capable communicator who can lead groups in the manner necessary to achieve the desired goals.

The president needs to have the ability to present and sell the needs of the organization and the rewards of giving to the university. As with any major sale, this requires a certain level of charisma and energy to stimulate the desired response. He/she must also be able to work within various internal and external groups or teams to challenge and motivate the members to excel. One could even compare the president's role to that of a cheerleader to rally support for the presented needs.

DSUP: I think they [presidents] have to be that constant cheerleader. But I think they have to make sure that they have that professional staff in place and think these things out and lay the plans.

Last, the cases identified the need for the president to be personally responsive to varying needs of the organization. The interviewees stressed that it is imperative that the president respond to the CDOs direction, cultivate appropriate relations, and communicate positively with key donors. The president must often respond quickly to solidify the progress that has been made through extensive work by multiple team efforts.

**Research Question 7: What are the critical steps in the fundraising process?**

As noted by Smith (1986), the basic steps in the fundraising campaign are: identifying donors, matching needs with donor expectations, and attaining and recording gifts effectively. The cases addressed these issues very closely.

DSUC: I think [the president's] role [is] as mediator and...as bridge builder, as relationship builder between the foundation and the alumnus association and the university...And I think that what will make this work is that each group clearly understands that we all have the same mission at heart and that is to provide for our students.

DWUP: ...if you're looking for large dollars, there's such competition for those dollars, in the first place, that you want to be able to communicate to the -- to the person that you're talking with that if you invest these dollars in this university or in this program or whatever the investment is; that there is a compatibility with -- whatever the person or corporation or foundation. And, of course, that requires good homework....So, the ability to do homework, to know how you're going to...mold the message that you're going to present that shows that this makes sense for you and it makes sense for the university.

Donor identification and matching the needs of the university to identified donors were prominent within all of the cases. The importance of this process and the time commitment involved were clearly articulated by each of the respondents.

Another key step, though, emphasized by the respondents was the organizational and preparatory stages of the fundraising process. The cases all acknowledged the distinct need to prepare the institution and key stakeholders adequately for the fundraising process.

DSUP: And so, when you don't have a heritage of fund raising, you have to acclimate your campus to the fact that this is going to take some time.

MTUP: It's not always easily articulated and understood by those across campus.

This process included educating key groups and restructuring the organization as needed. Because the universities targeted for this study had very limited fundraising histories, the need for the fundraising effort had to be aggressively identified and sold to internal and external groups that had significant potential influence on the process. As the fundraising effort relies on significant support mechanisms, the members of the groups related to these mechanisms must be educated and convinced of the defined need for a fundraising campaign.

In addition to the need to educate and encourage groups and individuals to support the fundraising initiative, presidents also have to structure the organizational configuration carefully to support most positively the campaign development and implementation. This was identified as a significant, yet very time-consuming, stage in the preparation process. Once again, due to the limited history of fundraising by the

participating institutions, very little infrastructure existed to implement a capital campaign. Consequently, the presidents at times developed the institutional advancement teams from distinctly limited beginnings.

### Conclusion

The cases studied each provide a different perspective on the processes and stages of fundraising. However, they each had very similar issues that they addressed, including limited fundraising histories and a distinct need for fundraising to meet operational demands. Unquestionably, universities of all sizes struggle with limited funding from state and federal sources; and they are searching for other funding alternatives. As a result, the universities studied within the cases identified the absolute need to raise dollars to continue to meet their educational missions. The presidents and CDOs alike focused on “need” as being a primary driver behind the fundraising efforts. This is not surprising given the consistent decreases in public funding for universities. Public institutions have reached a point where alternatives to state funding are required to meet operational needs, whereas in past years fundraising was merely a supplemental form of support.

In examining the fundraising processes at these particular universities, distinct and consistent themes emerged regarding the function of the presidents. Strategic planning, team building, and external stakeholder management surfaced as the fundamental and most pressing roles that the president plays in the process. However, the roles of resource allocator, internal stakeholder coordinator, and director were also emphasized as critical roles upon which the president should focus. These themes were

by and large consistent with the literature relating to university presidents and fundraising in general among universities with much larger capital campaigns. The differences revolved around the needs of the universities and the experiences of the presidents in comparison to their counterparts in larger universities heavily steeped in fundraising tradition. These differences, though, did not present a significantly different presidential focus, nor did they alter the fundraising strategies significantly.

The president, therefore, plays a multifaceted role in his/her operational and academic capacities as well as within his/her role in the fundraising process. The fundraising process, while it has many specific and intrinsic components, cannot be separated from the fundamental roles and responsibilities of the president. The president, therefore, must be highly talented in order to meet all of the demands of the complex fundraising campaign in coordination with those traditional duties of the president. The need for these talents and abilities continues to surface within the position of the president and will only increase in importance as the university environment and funding sources evolve.

## CHAPTER V

### CONCLUSIONS AND RECOMMENDATIONS FOR FURTHER RESEARCH AND ACTION

#### Introduction

The purpose of this study was to examine the functions of the university president in fundraising within universities with capital campaigns of less than \$100 million. This purpose guided the research questions identified and provided direction for the processes involved in the study. While this study is based on a case study methodology, the transferability of the findings is key in providing a guide for presidents embarking on similar capital campaigns.

State and federal cuts in funding for higher education are requiring colleges and universities to seek other sources of funding. Higher education institutions are becoming increasingly involved in fundraising to provide the needed dollars for operations and capital expenditures. This increased dependence on private sources of funding emphasizes the need for more in depth studies of higher education fundraising. Specifically, there is a significant need for additional information regarding the function of the president in the fundraising process. While the president has been studied from a number of different aspects, the literature relating to presidential roles in fundraising is very limited and provides little to guide leaders in the fundraising process.

This study is an extension of Cook's (1994) study, examining the function of the university president from a different perspective, focusing on universities with capital campaigns less than \$100 million. The literature available primarily focuses on larger

capital campaigns and provides little information regarding the role of the president in a small capital campaign. A corollary purpose within this study, therefore, was to examine the results in light of those literature findings.

A number of conclusions are drawn within this study to provide direction for presidents involved in smaller capital campaigns. These conclusions are divided into several different sections to describe them in detail as well as best articulate their implications. This chapter includes a conclusion of the cases studied, a comparison of the themes used to answer the research questions to the literature, recommendations for future practice, inferences, and recommendations for future research.

### Conclusion of Cases

As identified in Chapter IV, each of the universities identified specific reasons or needs for the implementation of a capital campaign. This section will provide greater information regarding the conclusion of the campaigns as well as how success was or is being determined within each campaign.

Master's Teaching University has completed the most extensive and comprehensive campaign among the cases studied. The campaign was divided among four different categories equaling a total of \$40 million. These categories included scholarship and endowment needs, academic program enrichment needs, new facility and renovation needs, and general institutional support. While the campaign exceeded the original \$40 million goal, it did not exceed the specific goals for each of the identified categories. The campaign, however, was deemed a tremendous success for the

university. The president and CDO both acknowledged that the campaign fell short within the sub-goals of the campaign, but they emphasized that accomplishing the overall goal resulted in a successful campaign. Funds raised for each of the goals provided improved educational opportunities for the MTU students. Additionally, the distinct focus on new and renovated facilities and student scholarships, and academic enrichment had direct implications on the educational opportunities. Other factors such as donor identification, improved donor relations, and institutional momentum were also related to the success of the campaign, enabling the university to pursue ongoing fundraising efforts.

Doctoral System University is in the midst of a highly comprehensive campaign. While the individual goals have not been yet met, immediate benefits are already being recognized due to initial funds raised. Specifically, a new science building has been constructed which correlates to immediate student benefit. Individual goal achievement cannot be measured to date, but establishing a strong giving record and building institutional momentum were identified as key success factors.

Doctoral Women's University is working on smaller capital campaigns. These include recreational facilities, library resources, and facility renovation projects. The one completed recently involved restoration and renovation of an historic facility located on the campus. While this project provided little direct educational benefit, it improved the overall campus infrastructure. More important, however, it was one of several campaigns that effectively organized and focused university alumni. The president and CDO both alluded to preparation for a larger, more comprehensive capital campaign. The suggested

success factors associated with the smaller campaigns mainly focused on the achievement of the overall identified goal. The focus on smaller campaigns is not a long-term strategy for this university, but it provided solutions for very distinct and clearly identified needs of the university.

All of the presidents and CDOs were very clear that the number one measurement of success was the goal of the campaign. All agreed, however, that the track record established by the campaign was also a distinct reflection of success. These universities have all taken significant steps in higher education fundraising. The fundraising accomplishments, therefore, represent a vital movement toward more sophisticated and long-term giving patterns to the universities.

### Comparison to the Literature

The themes identified within this study clearly support findings within the literature. These themes help define the function of the president of public universities in campaigns less than \$100 million. These themes include: (1) strategic planning and developing a vision for the university, (2) coordinating and interacting with key external stakeholders, (3) building effective operational teams, (4) coordinating and interacting with key internal stakeholders, (5) directing the fundraising process, and (6) allocating appropriate resources to enable fundraising success.

Yin (1994) notes that consistency with the literature as well as across cases provides meaningful relevance and internal validity to the responses and identified

themes. Therefore, these themes will be compared to the existing literature to identify their significance as well as provide validity to the study.

### Strategic Planner/Visionary

Strategic planning and the ability to establish an appropriate vision for the university remain integral components to the presidency. The literature is very consistent with the related findings regarding the role of the president in strategic planning and development of an institutional vision. The fundraising process should be focused around the strategic plan and should be consistently analyzed for uniformity with the plan (Rhodes, 1997). The president should also be highly involved in the fundraising process to ensure the fulfillment of the overall institutional mission (Slinker, 1988). He/she should implement the strategic plan and carefully analyze the appropriate fundraising mechanisms that will accomplish the stated goals within the plan (Essex & Ansbach, 1993; Willmer, 1993).

This strategic planning process, however, cannot be implemented independently of the fundraising potential of the university. In other words, the president and his/her leadership team cannot identify strategic thrusts that are unattainable due to lack of potential funding from the university from a variety of sources, including private fundraising opportunities. Willmer (1993) supports this distinction, noting that strategic plans should not exceed attainable resources for implementation. Therefore, the planning process and the fundraising process should reflect many similarities.

## Coordinator for External Stakeholders

There are a number of external stakeholders that influence the success of the capital campaign. Perhaps the most significant external stakeholder to the fundraising process is the university alumni. Other highly influential groups, however, include prominent donors and state and federal legislators. The literature discusses the importance in working effectively and coordinating the efforts of multiple external stakeholders. Smith (1986) suggests that the presidential involvement will be reflected in the dedication of donors and volunteers alike. McMillen (1991) also notes that the successful president will bring an added value to the presidency through established relationships with a number of external stakeholders who will ultimately be essential in a campaign.

Weingartner (1996) stresses the need for presidents to engage the alumni in the giving needs of the university. Additionally, he/she must be highly responsive to the alumni population, cultivating relationships that will help achieve desired objectives. Hnetka (1999) also explains the tremendous benefit of the president effectively engaging the alumni group. Consequently, the president should recognize that his/her involvement is necessary to stimulate this ever-important group. It is also imperative that the president be able to communicate the mission and the projected vision for the university. Overall, the president must do whatever it takes to energize the alumni members and ensure their support of the fundraising campaign.

As Schuyler (1997) notes, the president must also be available to donors in order to ensure their dedication to the fundraising effort. Essex and Ansbach (1993) discuss the

need for presidents to maintain involvement and responsiveness to donors. Not only do presidents need to interact regularly with key external stakeholders, the authors also note the importance of the president's being there to make the large ask from donors. Presidents, therefore, must place specific emphasis on engaging him/herself in the fundraising process, including managing external stakeholders and being involved in the actual requests for funds when needed. The ability to inspire donor confidence and develop an environment of giving to the university is critical to the role of the president (Fisher, 1984).

### Team Builder

Perhaps one of the most important functions of the president within fundraising is the ability to build highly functional teams and work effectively within these teams. Cook (1994) clearly states that the team impact on the success of the fundraising effort is immense. The fundraising process is entirely dependent upon many different teams working collaboratively to meet the fundraising goal and ultimately the mission and vision of the university. Without these highly functional teams, the fundraising efforts would be comprised of multiple groups and individuals working disparately without any unified focus and effort.

Cook (1994) notes that teams of qualified employees are essential in the fundraising process, particularly in smaller institutions with more limited volunteer support. Rhodes (1997) also suggests that teams must work collaboratively to meet the mission of the university and corresponding fundraising plans. Weingartner (1996) and

Essex and Ansbach (1993) emphasize the fact that the president is integral in providing the overall direction and guidance for these teams and the related campaign.

The focus on the development of effective teams was highlighted in all of the case studies. The presidents and the chief development officers concurred that the president was essential to the fundraising process; however, he/she must rely on a network of teams to achieve the goals of the university. This conclusion is supported throughout the literature as a primary component in successful fundraising. Additionally, the ability to lead these highly talented yet complex teams is emphasized. Weingartner (1996) focuses on the necessity of a strong leader to provide guidance for the fundraising campaign. This strong leadership characteristic, and the resulting ability to influence individual behavior and inspire widespread support, is highly complex. However, the successful implementation of this function is critical to a successful campaign.

#### Coordinator for Internal Stakeholders

A function of effective team building is the ability to coordinate stakeholders internal to the university. The ability to integrate the appropriate personnel is significant in accomplishing the fundraising goals. Cook (1994) notes that among smaller institutions, the employees within the university are the heart of the fundraising campaign. The fundraising effort, therefore, should be a carefully orchestrated endeavor with the president, the CDO, deans, faculty, staff, and other key employees (Rhodes, 1997; Miller, 1991).

It is also very important to educate the university personnel of the value of the fundraising effort. Rhodes (1997) notes that the fundraising campaign should be developed by a functional team to ensure consistency with the mission as well as goals that are influenced by the multiple team players. The coordination of the internal team, therefore, is also dependent upon careful design and articulation of the vision in conjunction with the established mission of the university.

The employees of the university must take ownership of the mission of the university. The president, then, must be able to show the faculty and staff how the fundraising effort will enable the university to meet this mission more effectively.

Rhodes (1997) and Miller et al. (1994) note that this dynamic exchange of information is essential as new ideas are continually assessed and implemented within the campaign process. Rhodes (1997) continues by emphasizing the need for the entire team to design and implement fundraising plans. This process is most effectively accomplished by a successful communicator. Hnetka (1999) adds that it is important for the president to convince significant groups that their efforts will be distinctly related to meeting the educational and operational goals of the university.

#### Director/Resource Allocator

The president must function as the overall director of the fundraising campaign. Cook (1994) described this role in detail, noting that the president must assess all available players and direct their activities appropriately. Cook and Lasher (1996) also emphasize the need to evaluate carefully the leadership components of the fundraising

effort in order to maximize the opportunity for success. The cases in this study revealed that the president must also involve him/herself appropriately in the fundraising process. While he/she provides overall direction for the capital campaign, the president must be responsive to cues from the CDO and others in order to determine the most effective opportunities for his/her own involvement.

In addition to providing overall direction for the campaign, the president must apportion resources needed to implement the campaign successfully. Kerr (1993) notes that one of the most significant responsibilities of the president is appropriately and effectively allocating resources to achieve the mission of the university. Public universities, however, often work in a zero-sum environment. This means that resources allocated to one endeavor oftentimes reduce those available for other activities. There is very little opportunity for additional revenue generation. Consequently, the president must be very judicious in the appropriation of funds.

### Variations from the Literature

The findings in this study largely support the conclusions of the literature. However, there are two meaningful areas that vary from existing studies. Specifically, the president's role in preparing a university that has very limited fundraising history for a capital campaign has not been effectively addressed. Second, the limited continuation of the fundraising effort within universities with smaller campaign potential is not discussed within the literature.

The level of experience that a university has in fundraising directly impacts the amount of preparation needed for a capital campaign. Universities with limited fundraising experience must invest a tremendous amount of time and effort in the preparatory and development stages of the capital campaign. The functions of director and resource allocator are addressed within the literature; however, the literature is more limited regarding these functions in preparation for a capital campaign. Universities with limited campaign experience must place specific emphasis on the organization and preparation processes in order to develop a fundraising team and achieve organizational preparedness successfully. A tremendous amount of planning, energy, and education are needed for the president to develop an effective institutional advancement thrust. Therefore, the ability to direct the operations and identify the resources needed for a new operation is very important.

In larger institutions with extensive fundraising experience, fundraising seems to be a more continuous effort, but this is not found with universities with smaller campaigns. Larger universities often have the mechanisms in place and the resources available to maintain continuous capital campaign efforts, shifting directly from the completion of one campaign into the silent phase of the next campaign. Presidents of universities with smaller campaigns, on the other hand, have to invest such tremendous amounts of very limited resources to prepare for a successful campaign they are dissuaded from making this immediate transition. The interviewees discussed intense preparation and restructuring in preparation for the initial capital campaign with limited resources. The universities within this study are all in different phases of capital

campaigns; however, when interviewed, none of the presidents or CDOs discussed ongoing efforts to prepare for the next large capital campaign. This researcher concluded, therefore, that these universities were not immediately preparing for the next large campaign at the conclusion of the current campaigns. While many of the characteristics of the campaign efforts mirrored larger capital campaigns, several distinct differences exist in the overall university fundraising philosophies or capabilities.

### Inferences

Inferences are premises drawn from the data gathered that cannot be explicitly proven. Consideration of suppositions is important to identify those characteristics or conclusions that provide greater meaning to the study or insight into the researcher's perceptions. Several inferences were drawn within this study relating to presidential perceptions, organizational relationships, and campaign progression.

The most prevalent inference identified through this study relates to the president and his/her approach to the fundraising process. The presidents interviewed consistently seemed to have a sense of absolute responsibility for the university and any and all related operations, including fundraising. The presidents each had highly capable CDOs and had worked to establish the appropriate teams to achieve fundraising success. However, the presidents took complete ownership of the successes and failures of the fundraising efforts, regardless of the size of the campaign. This deep sense of ownership is perhaps even greater than in presidents of larger universities due to limited infrastructure and the president's distinct influence on the established campaign goal. An

intensely possessive attitude of the fundraising activities is very appropriate in a certain respect. However, due to this zealous attitude, the presidents seemed to be taking the entire weight of the fundraising responsibilities on his/her shoulders.

There are several possible explanations for this exceedingly intense ownership of the fundraising process. First, within each of the cases, the presidents had only moderate fundraising experience. As a result, they were each highly sensitive to success or failure in an area in which they were not exceptionally trained or highly experienced. Next, each of the presidents had been successful in his/her respective academic and business careers. The tremendous focus required for a successful campaign and the constant scrutiny of its success weighs heavily on the president. Specifically, each of the presidents identified him/herself as being the primary instigator of the fundraising campaign. This researcher concluded that since the presidents moved the entire university in this fundraising direction, he/she now felt personally responsible to ensure that the university experienced success. Last, the president is typically identified as being one of the primary contributors to the overall success or failure of a capital campaign. The literature confirms that presidents are often measured by their ability to succeed in fundraising efforts. Consequently, the president feels a distinct need to succeed to be recognized as a successful president.

All of these aspects are very realistic, but the fundraising success hinges on multiple factors, all of which the president cannot control. Despite this understanding, the presidents took on a very personal ownership of the entire fundraising process for the university.

The literature is very clear that presidential communication with foundations and alumni groups is essential for the success of any major fundraising endeavor. These groups are extremely influential and can provide a number of benefits to the fundraising campaign. However, among these groups there is the distinct potential for conflicting interests and personalities that can complicate the fundraising process just as significantly as it can help the process. As noted, it would be difficult, if not impossible, for the university to be successful in a campaign without the support of these groups. The groups, therefore, must be managed very carefully to maximize the benefit of their contributions.

To deal with this potential for conflicting foci, the president must work diligently to communicate the university's intentions and explain the motives for the fundraising campaign. Furthermore, foundations and alumni organizations need to remember the purpose for which they are organized and provide the appropriate levels of support despite personal agendas or missions.

Last, this researcher inferred that smaller campaigns may provide the needed momentum to prepare a university to pursue a larger, more comprehensive campaign. The size of the campaigns was discussed in all of the cases; however, the determination of the campaign size seemed somewhat ambiguous in all circumstances. Additionally, all of the presidents and CDOs expressed some sense of hesitancy whether the university would actually achieve the campaign goals. With this situation in mind, it would be more beneficial for a university that is preparing for its first large comprehensive campaign to begin with smaller, highly-focused pilot campaigns. A smaller campaign clearly requires

many of the same infrastructure and preparation as a larger campaign. Implementing a pilot, therefore, would allow the university to progress through the planning, structuring, and reporting phases that are necessary for a more comprehensive campaign.

Additionally, this would engage the donor base and prepare the institution for a much greater investment of energy and resources. It would also provide the president with more accurate information regarding the fundraising potential and the related campaign goal that is most realistic for the university.

### Recommendations for Future Practice

Based on the review of the literature base, gathering of data, and analysis of the data, there are several recommendations for future practice. These recommendations are directed toward institutions, presidents, and chief development officers, respectively.

#### Institutions

The infrastructure of the institution is discussed in detail within Chapter IV. Additionally, this issue was addressed in relation to a variation from the literature. The institution, through the efforts of the president, board of regents, foundation boards, and other key players must ensure that there is adequate infrastructure to enter into a significant fundraising endeavor.

First, the chief development officer and a sufficient advancement team should be put in place to begin the process. The team should reflect the magnitude of the capital campaign and should be resourced appropriately. These commitments will not have

immediate returns in that the campaign requires several years to be developed effectively. However, if the initial infrastructure is not well developed, the potential success of the campaign is significantly compromised.

Second, key personnel throughout the organization need to be prepared for the capital campaign. A comprehensive campaign requires the commitment of faculty and staff from all levels within the organization. Everyone involved should understand the financial, time, and energy obligations necessary to achieve success. Furthermore, all employees should be well versed in how the capital campaign will meet the overall mission of the university through specific goals within the campaign. This preparatory process is also largely dependent on a highly effective president, but should include significant buy-in from the entire organization.

Last, the institution should be in concert with its fundamental supporting agencies. Specifically, the institution should gain complete support from any related university foundations and the alumni organization prior to embarking on a major fundraising project. The foundation is generally designed to provide direct fundraising support for the university. However, if the university and the foundation do not have the same goals or similar philosophies on accomplishing those goals, it will be difficult for the university to implement a successful campaign. Similarly, the alumni organization should be consulted to achieve consensus on the desired goals of the campaign. The alumni represent a vital component in the overall success of the campaign. If there is not documented support from the alumni organization, it will be difficult for the university to address the alumni as a whole to raise the needed dollars.

As a result the institution, through the efforts of key administrative personnel, needs to place specific emphases on the infrastructure of the fundraising effort in order to achieve success. If the appropriate personnel and institutional support mechanisms are not in place, it will be difficult to execute a capital campaign. On the other hand, if these mechanisms are carefully prepared in advance, the institution will be positioned well for the campaign process.

### President

The president is the primary driving force behind a successful capital campaign. However, he /she must do several things to increase the potential success of any fundraising effort. First, he/she must establish a solid strategic plan and related vision for the university. The effort cannot be limited to the planning process, though. He/she must also be able to effectively communicate this plan and gain support for the financial and personnel commitments necessary to achieve the goal. This effort requires a tremendous amount of charisma and highly developed leadership skills to encourage multiple groups to achieve beyond their expectations.

The overwhelming emphasis within the case studies, as well as within the literature, is for the president to have the ability to develop and manage highly effective teams within the fundraising process. It is clear that the president cannot single-handedly meet all of the demands placed on the position. Furthermore, it is evident that fundraising is a large component of the job requirements of the presidency. Consequently, the president must have multiple highly talented teams to help him/her

meet the challenges that the leader of the university faces each day. Within fundraising, there are many internal and external teams that are instrumental for any campaign success. The development of these teams and the management of their efforts, therefore, are critical for the president.

The president must also be an exceptional communicator and motivator to convey the needs and intricacies of the fundraising effort to multiple highly complex internal and external stakeholders. The president, in careful coordination with his/her established fundraising specialists and teams, must address a number of different constituents and effectively convince them to support the efforts of the university. The president's ability to communicate will reflect directly on his/her success as a president as well as any success in significant fundraising operations.

There are very few formal educational opportunities for presidents to adequately prepare them for the challenges of implementing a capital campaign. The president, therefore, must hone specific skills that enable him/her to succeed. These skills include understanding the operational and financial functions within the university, communication skills, motivational skills, and the ability to establish and develop meaningful relationships with key donors. This list is certainly not all-inclusive, but it highlights those skills and behaviors that were most prevalent in the literature as well as in the cases studied.

## Chief Development Officer

While the president acts as the overall leader of the university, including the fundraising component, the CDO is the functional leader of institutional fundraising. The distinction between these two is that the CDO performs the majority of the work and provides the greatest amount of direction for the fundraising process. The president serves as the supervisor to the CDO and provides institutional direction for the fundraising process in consideration of all the other activities and operations within the university. The CDO, however, is the constant, day-to-day driving force behind the fundraising campaign.

The CDO must work in absolute tandem with the university president. If he/she is unable or unwilling to operate in this fashion, the integrity of the entire capital campaign is at risk. The CDO must also be willing to commit the time, effort, and available resources to achieve the goals that he/she and the president have cooperatively developed. While the CDO provides direction for the capital campaign, it must be with the approval of the president, and it must remain consistent with the mission of the university. This also requires exceptional communication skills to work with the president as well as provide direction for the institutional development team.

The CDO must also have exceptional communication abilities and leadership skills to coordinate multiple groups to achieve the overall fundraising goals. He/she must have the ability to discern when and where the president is needed to close a deal. This requires the CDO to be highly in tune with the donor base and other key external stakeholders.

### Recommendations for Future Research

This researcher recommends three specific areas for future research. These areas relate to the stages of the university fundraising effort, the chief development officer, and presidential leadership styles within the campaign process. First, while the function of the president has now been studied within differing university populations, another study should address the multiple steps within a fundraising process and the president's role within each of these steps. The steps required to prepare a campaign, implement the campaign, and manage the campaign should be studied more extensively. Future research should focus specifically upon the processes involved in these phases and the roles of the different key fundraising team members within these phases. Another study should focus on the processes involved in initiating a capital campaign and how donors are matched with defined university needs. Within these studies, it is recommended that university foundation presidents should also be interviewed to provide a different perspective and more extensive analysis of the function of the president.

Next, it is apparent that the chief development officer is the constant driving force behind university fundraising. This individual, however, is not often recognized for the talents and energy required to achieve fundraising success. Additional studies should address the significance of the CDO to the overall success of the fundraising campaign. Specifically, what is the function of the university CDO in capital campaigns? This study should investigate functions such as strategic planning, donor identification, and donor development.

The last recommendation for future research deals with the study of particular leadership styles of university presidents in highly successful campaigns. Undoubtedly, the university president must exhibit a number of different behaviors and actions that most consistently effect campaign success. However, a study focusing on the precise leadership style of presidents within successful campaigns would provide universities information to help them recruit an effective university fundraiser. Fundraising is becoming a more significant component of the president's position, and specifically identified leadership types may have a greater propensity for overall fundraising success. Key leadership types should be identified and compared to potential in fundraising efforts. Additionally, what university infrastructure and personality styles would complement each of these leadership types?

### Conclusion

The university president in higher education fundraising can be related to an architect in many ways. First the architect must carefully analyze the needs of the customer and determine exactly what type of construction will best meet all of the individual or institutional requirements. This process is very detailed and provides the basis for the entire project from the development of the blueprint to the completion of the punch list. The architect places special emphasis on looking at all aspects of the operations as well as discussing the project with multiple members of the organization. Likewise the university president must strategically analyze the needs of the university and determine how the campaign will help satisfy the needs of the institution.

Next, the architect works meticulously to develop a set of blueprints including multiple elevations, specifications, and directions for construction. Additionally, the architect focuses on specific time frames, project costs, and particular requirements to complete the construction successfully. The president applies very similar tactics to prepare a plan and implement a capital campaign.

Throughout the construction process, the architect is constantly directing the overall construction progress. It is important to note that the architect, though, is not the primary orchestrator of the actual construction. This function is carried out by the project foreman, who is aggressively ensuring deadlines, managing subcontractors, and maintaining quality construction consistent with the plans and standards developed by the architect. Once again, the president operates in a similar fashion, providing the overall guidance and direction while maintaining consistency with the mission of the university and the goals of the different campaign areas. The CDO, like the construction foreman, is ultimately engaged in the fundraising project and essentially maintains the goals and directions established by the president.

Fundraising remains one of most significant duties the president will face in the ever-dynamic environment of university funding. The president is ultimately responsible for establishing a strong foundation for effective fundraising, contributing to greater financial stability for the university.

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## APPENDIX A

### INTERVIEW GUIDE FOR PRESIDENTS IN THE STUDY

1. What philosophy and/or strategy guides presidential fundraising? (Describe yours).
  - a. Do you find this strategy highly successful?
  - b. In future campaigns will you modify your strategy?
2. How do you define “success” in a capital campaign?
3. What is the president/chancellor’s role in preparing for a capital campaign?
4. How is the fundraising role integrated with other presidential roles? (i.e., do you see fundraising as a separate and isolated function or activity, or as intertwined and connected with other areas of presidential responsibility?)
5. How do university presidents determine their proper role and the extent of their involvement in fundraising? (i.e. self-selection, governing board mandate, etc.)
6. How much time do presidents spend on fundraising activities?
  - a. Does more time equate to greater success?
7. How do presidents interact with other key players in the fundraising process? (i.e., describe your involvement with fundraising staff, volunteers, and consultants at your university.)
  - a. Does this translate into the most successful campaign results?
  - b. How could this be modified to provide more successful results?
8. What appeals do presidents emphasize to motivate donors?
9. What is the size of gifts presidents cultivate and solicit?
  - a. How is this determined?
10. What are some specific ways in which you seek to involve donors in meaningful ways with your university and to help create a sense of ownership?
  - a. Do you find this strategy highly successful?
  - b. In future campaigns will you modify your strategy?
11. How did you acquire your fund-raising knowledge and training? Does the academic field in which a president was trained influence presidential fund raising?

12. Is there an anecdote or brief story about fund raising at your institution that you can share?

## APPENDIX B

### INTERVIEW GUIDE FOR CHIEF DEVELOPMENT OFFICERS

1. What approach, style, and philosophy of fundraising does the president have?
  - a. Is/was this successful?
  - b. How could he/she be more successful?
2. How do you define “success” in a capital campaign?
3. In your opinion, what are the top presidential variables or prerequisites that determine fundraising potential or success?
4. Describe and contrast duties and responsibilities of the CEO/CDO in fundraising as well as ideal qualities or attributes for each.
  - a. Is the CDO primarily a manager? Is the CEO the chief fund raiser?
  - b. Who is/should be responsible for soliciting the major gifts?
5. What percentage of the total private gift support for your institution would you estimate that the president had a major part in obtaining during the last fiscal year ('02-'03)? The last five years?
6. Is it really necessary that presidents be involved in major gift cultivation and/or solicitation? Do million-dollar donors really want to see the CEO?
7. Is it possible for presidents to meet both the internal (i.e. operational) and external (i.e. fundraising, political) demands of the position?
  - a. How are these best balanced?
  - b. Did the president have the appropriate balance in the last/current campaign?
8. Should a consultant/campaign manager be hired in a major capital campaign?
  - a. How is the role of this person/group balanced with the roles of the CDO?
9. Can you share an anecdote or brief story that illustrates or provides insight on fundraising at your current or former institution?

## APPENDIX C

### CONSENT FORM

We are asking you to be a subject in a research project called "The function of university presidents and CEOs in fundraising: A study of public universities with capital campaigns less than \$100 million." Dr. Brent D. Cejda of the College of Education at Texas Tech University is in charge of the study. His phone number is (806)742-1997. Robin Satterwhite, a doctoral student, will conduct the study. He can be contacted at (432)550-4124.

The purpose of this project is to identify the role that university presidents/CEOs play in the fundraising process. If you agree to be a subject, you will be asked to respond to a number of interview questions. The questions relate to the position of the president and are designed to provide information that will help identify the role that this position plays in the fundraising process. If there is a question that you do not want to answer, please notify the interviewer, and he will skip to the next question. The interview will last approximately 30 – 60 minutes; however, the researcher may contact you for additional information.

The interview will be recorded and will be professionally transcribed. After the interview is transcribed, a copy of the transcription will be sent to you, providing the opportunity to make any corrections, additions, or changes that would more effectively address the question. Your responses will be addressed in the study, but the study will not identify you or your institution by name.

If at any time you wish to withdraw from the study, you may contact Dr. Cejda to discuss your desires or to ask for modifications to the interview questions.

Dr. Cejda will answer any questions you have about the study. For questions about your rights as a subject, contact the Texas Tech University Institutional Review Board for the Protection of Human Subjects, Office of Research Services, Texas Tech University, Lubbock, Texas 79409. Or you can call (806)742-3884.

If you sign this sheet, it means that you read this form and that all of your questions were answered.

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Signature of Subject

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Date

This consent form is not valid after December 16, 2004.