

**DEVELOPMENT OFFICERS' PERCEPTIONS OF THE
CHARACTERISTICS OF AN EFFECTIVE PRIVATE
FUND-RAISING PROGRAM FOR
PROTESTANT COLLEGES**

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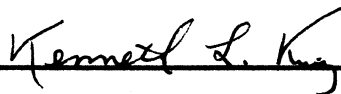
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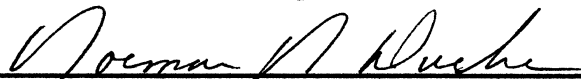


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TABLE OF CONTENTS

Chapter	Page
I. INTRODUCTION.	1
Need for Study	4
Statement of Problem	6
Significance of Study	7
Definition of Terms.	7
Annual Fund.	7
Capital Campaign.	8
Christian College Coalition.	8
Corporate and Foundation Gifts	8
Cultivation	8
Effective Private Fund-Raising Program	9
Endowment.	9
Fund-Raising Program.	9
Institutional Development Office.	10
Institutional Development Program.	10
Protestant College	10
Solicitation	11
Limitation and Assumptions of the Study.	11
II. REVIEW OF LITERATURE.	12
Institutional Advancement in Higher Education	12
Federal Government	14
State Government	16
Local Government and General Public	17
Alumni	18
Fund Raising.	21
Annual Fund.	22
Capital Campaigns	23
Corporate Gifts	23
Foundations.	24
Characteristics for Effective Private Fund-Raising for Colleges and Universities	26

Chapter	Page
Nine Principles of Fund-Raising	26
Steps in the Process	31
Characteristics of Effective Fund-Raising	32
Characteristics of Effective Fund-Raising for Protestant Colleges	37
III. METHODOLOGY.	42
Introduction.	42
Population	42
Sample.	42
Design and Procedure	43
Data Analysis.	45
Summary	45
IV. PRESENTATION AND ANALYSIS OF DATA	46
Introduction.	46
First Mailing.	46
Second Mailing	53
Third Mailing.	59
Summary.	59
V. SUMMARY, CONCLUSIONS, RECOMMENDATIONS, AND CONCLUDING THOUGHTS	61
Introduction.	61
Summary.	61
Conclusions	64
Recommendations	65
Concluding Thoughts.	67
BIBLIOGRAPHY.	68
APPENDIXES.	75
APPENDIX A - FIRST MAILING	76
APPENDIX B - SECOND MAILING	80
APPENDIX C - THIRD MAILING.	85

Chapter	Page
APPENDIX D - AGGREGATION OF ANSWERS	89
APPENDIX E - RESPONDENTS	92

LIST OF TABLES

Table		Page
I.	Responses to Questionnaire: Question One.	47
II.	Responses to Questionnaire: Question Two.	49
III.	Responses to Questionnaire: Question Three	50
IV.	Responses to Questionnaire: Question Four.	51
V.	Responses to Questionnaire: Question Five.	52
VI.	Responses to Questionnaire Two: Question One	54
VII.	Responses to Questionnaire Two: Question Two	56
VIII.	Responses to Questionnaire Two: Question Three.	57
IX.	Responses to Questionnaire Two: Question Four	58
X.	Responses to Questionnaire Two: Question Five	58

CHAPTER I

INTRODUCTION

The rise of church-related Protestant colleges reaches back to the birth of higher education in the United States of America. They were established to train clergymen and to prepare Christian gentlemen to assume cleric roles. The earliest institutions of higher education were church related. Harvard College, founded in 1636, was largely guided by Puritan ministers. William and Mary, founded in 1693, was the product of the Episcopal Church. Yale, founded in 1701, was affiliated with the Congregational Church. The College of New Jersey, founded in 1746 and later to be renamed Princeton University, came into being as a result of the "great awakening" revivalism of that period in history. It was founded by the New Light Presbyterian Church. Columbia University, named King's College at its founding in 1754, was non-denominational in spirit but was essentially Anglican (Episcopalian).. Brown University (1765) was started by a Baptist group. Queens College (1766), which is today Rutgers University, was given birth by the Dutch Reformed Church. Dartmouth, 1769, was created by the New Light Congregationalists. Simply stated, most of the nation's earliest colleges were church related Protestant schools. (Brubaker and Rudy, 1976; Rudolph, 1962; Benjamin, 1989; Ringenberg, 1984).

The only notable exception among the initial colonial colleges was the College of Philadelphia (1755), which is now the University of Pennsylvania. From the beginning it was primarily a secular institution .

Early on, however, moves toward secularization appeared. Eventually most colleges would come under public domain. Part of the reason for this is that while it is true that eight of the colonial colleges were church related Protestant schools, they were not altogether private institutions in the modern sense of the term. The clear distinction between public and private institutions known to us today, did not exist in the colonial period. While some of the colleges were created by the established church in the colony, they also had direct relationships to the state and served to train civic leaders as well as those who would enter Christian service (Ringenberg, 1984). In addition, differences over denominational doctrines and loyalties caused many people to give less support to the colleges controlled by the various denominations. (Luker, 1983).

After the American revolution many new colleges appeared as a result of the second 'great awakening' and the tendency of local communities to want their own college. Many of these were founded by the fast growing Baptist and Methodist churches. Even the growing number of state colleges and universities operated largely as Protestant institutions. Colleges sprang up quickly all through the frontier regions from 1780 until 1860. As the clouds of the Civil War began to loom over the nation, there were 49 Presbyterian, 34 Methodist, 25 Baptist, and 21 Congregationalist colleges. One reason for this rapid growth was that the Methodists and Baptists came to accept the idea that a trained mind might help rather than hinder a minister or lay person (Ringenberg, 1984).

After the Civil War, colleges were being established for groups outside of the Protestant mainstream. More and more institutions, following the lead of Harvard, began to allow students to elect courses from a broad range of course offerings. Specialization was beginning to take hold.

Intercollegiate athletics, particularly football, was becoming the dominant extracurricular activity. Colleges for blacks and for women were being founded. Some of these institutions were established by Protestant Christians, but many were not.

Over the last century the movement toward secularization has moved the majority of colleges and universities to a "post-Protestant" position (Ringenberg, 1984, p. 114). In other words, the majority of colleges and institutions, both public and private, are now secular.

The Morrill Acts established and supported Land Grant colleges quickly across the nation. They are public secular institutions. Higher education today is considerably more secular than is the populace in general (Hoge, 1974).

As might be expected, today's roster of Christian Protestant colleges is considerably different from the turn of the last century.

The modern Christian colleges include those affiliated with the smaller evangelical denominations, a number of independent evangelical colleges, most Southern Baptist and Lutheran institutions, some Presbyterian colleges, and a few colleges affiliated with other major denominations and traditions. There are perhaps 200 such continuing Christian liberal arts colleges plus the Bible colleges (Ringenberg, 1984, p. 189).

The Bible colleges accredited by the American Association of Bible Colleges require all students to major in Bible plus another major of their choice. The bachelors degree is offered and admissions' standards are similar to those of public colleges with regional accreditation. They numbered 85 in 1985 (COPA, 1988).

Protestant colleges do not receive financial support from public sources. These private institutions are caught in the same dilemma as many colleges and universities across the nation (Gellhorn, 1970).

Declining enrollments are reducing income and, at the same time, inflation is pushing operational costs higher and higher. If our colleges, universities, and independent elementary and secondary schools are to have any chance of maintaining academic quality and financial flexibility, they must increase their level of private support (Pray, 1981, p. xi).

As long ago as 1964, Myron F. Wicke, then Associate General Secretary of the Methodist Board of Education, warned that the financial situation of the church-related colleges was generally serious and expected to grow more serious. Even though tuition and fees were rising steadily, the church-related colleges were not holding their own financially (Wicke, 1964). The few exceptions to these are the fundamentalist Protestant colleges an example of which is Liberty Baptist University led by president Jerry Falwell (3,000 Futures, 1980).

In response to these circumstances it is becoming clear that Protestant colleges must discover characteristics of effective fund raising. Survival itself calls for more and better funding.

Need for the Study

All sectors of higher education in America face a serious need for financial strength. This is certainly true for the Protestant colleges of the nation, which do not receive appropriations or other funds from either federal or state governments. Protestant colleges generally rely heavily on tuition and fees for income. Very few of these institutions have any

endowment (Jencks and Riesman, 1968). In these days of lower enrollments and higher costs for education, these institutions have a pressing need to discover the skills and programs necessary to develop a better and broader base of funding.

Costs of education continue to climb and most of the Protestant colleges are small. Approximately one-tenth of the total student population in 1974 were in Protestant colleges (Pace, 1972). The general student population shift has been to larger institutions and the smaller institution has become endangered (3,000 Futures, 1980).

While modern Christian colleges have been able to develop the financial base to support good -- sometimes excellent-- undergraduate programs, they have not yet acquired the larger resources necessary to achieve financial independence or to develop graduate programs of sufficient quality and quantity, except in theology (Ringenberg, 1984, p. 198).

The Bible college wing of the Protestant colleges are generally in a more stressful financial position while they are trying to upgrade academic standards (Witmer, 1962).

One of the major reasons that Bible colleges have experienced such a struggle to improve their academic programs is that throughout much of their history they have operated with very limited financial resources. Typically, the schools have recruited their students from the lower to middle socioeconomic classes, and the students have been preparing for careers that offer more spiritual challenge than financial reward. Consequently, the schools charged minimum fees (Ringenberg, 1984, 171).

A fundamental and necessary starting point for the Protestant colleges must be the discovery of the characteristics of an effective fund raising program.

In addition to the clear and present financial stress faced by Protestant colleges is the fact that very little literature exists on the subject of private fund-raising for Protestant institutions. Do special advantages or disadvantages exist because of Protestant denominational affiliations? Parrot (1985) shared that institutional advancement officers seem to view denominational affiliation as a disadvantage, but he argues that it could be turned into an advantage. Protestant institutions of higher education are in a unique position because of their financial stress, denominational commitments, lack of endowments, small numbers in enrollment, and the absence of substantial studies regarding fund-raising that addresses these particular concerns.

Statement of the Problem

The purpose of this study will be to identify the characteristics of an effective Protestant college fund-raising program. The study will be constructed to provide answers to the following research questions:

1. What are the most important characteristics of an effective college fund-raising program?
2. What are the major obstacles to an effective college fund-raising program?
3. What are the most important ideas and/or strategies to an incoming administration in conducting an effective college fund-raising program?
4. What are the roles of the key people involved in conducting an effective Protestant college fund-raising program?
5. What, if anything, is unique about fund-raising for Protestant colleges?

Significance of the Study

It is believed that information derived from the study will make a useful contribution toward a better understanding of the characteristics of effective fund-raising programs for Protestant colleges. It is further anticipated that application of the results will be useful to those in the Protestant college fund-raising field.

Definition of Terms

The following terms have relevance and importance to achieving the purpose of this study. Many of these terms replicate definitions used in the 1988 McNamara study about fund raising in two-year colleges.

Annual Fund.

The annual fund is an effort of the college to raise private gifts for the current operation of activities and programs of the institution. The annual fund is conducted on a regular basis during the year and is repeated each year. It helps to establish the donors' habit of regular giving.

Annual giving is the production line of development, grinding away, year after year, enlisting the broad base of donors in support of the institution, selling its needs for on-going support with increasing urgency as costs continue to rise (Pray, 1981, p. 24).

Capital Campaign.

The capital campaign is an organized effort to obtain gift support for the institution's top priority projects.

A capital campaign is a concentrated effort (often a massive one) by an organization or institution to raise a specified sum of money to meet a specified goal within a specified period of time (Broce, 1979, p. 46).

A capital campaign is usually developed to raise substantial funds for building, equipment, endowment, or a combination of all three.

Christian College Coalition.

The primary interdenominational confederation of continuing Christian liberal arts colleges. Increasing numbers of colleges that wish to be recognized as continuing to be clearly Christian institutions are joining the coalition. Some have joined because of the hope that the explicit identification as an orthodox Protestant college will assist their admissions efforts in the shrinking student market (Ringenberg, 1984).

Corporate and Foundation Gifts.

Corporate and foundation gifts are private gifts received by the college from large and small corporations and foundations. Corporate and foundation gifts may be made to the college annual fund or the capital gifts. Often gifts from corporations and foundations are restricted for specific projects" (McNamara, 1988, 6-8).

Cultivation.

Cultivation is the process by which a prospective donor becomes acquainted with the institution's mission, goals, and objectives. Cultivation is an ongoing process whereby the development staff, president, and/or volunteers communicate information about the college to a donor or

prospective donor and receive comments, suggestions, and expressions of interest from him or her. Solicitation of gifts from a prospective donor usually occurs after cultivation.

Effective Private Fund-Raising Program.

Effectiveness is determined by the institutions which raised the largest dollar amounts in private gifts from the years 1986 through 1989 per full-time student, as disclosed by their reports to the publication Voluntary Support for Education, which is a joint venture of CASE, Council for Aid to Education, and the National Association of Independent Schools.

Endowment.

The basic concept of endowment refers to funds which have been set up so that the principal remains inviolate and in perpetuity and that only the income from the investment of the funds may be expended" (Gonser et al., 1985, p. 11). Endowment funds may be restricted for a specific purpose specified by the donor or the institution or may remain unrestricted as a general endowment to be used by the institution as important needs arise. It is an opportunity for an individual to perpetuate his or her interests forever.

Fund-Raising Program.

The fund-raising program is an organized effort of asking individuals (friends and alumni), corporations, and foundations for private funds to support a particular cause. Fund-raising is a sophisticated art. Reduced to

its simplest expression, it is the act of asking a person for a gift of money' (Broce, 1979., p. 27).

Institutional Development Office.

The Institutional Development Office, as a structure to support the institutional fund-raising program, describes the department in an institution that is generally responsible, in most cases, for public relations, alumni, fund raising, and public relations. Institutional Development Offices vary from institution to institution in specific role and functions.

For the purpose of this study, the term 'Institutional Development Program' is synonymous with the term 'Institutional Advancement Program' and will be treated in that manner throughout the text.

Institutional Development Program.

The Institutional Development Program includes all those activities of the institution that are involved in some manner in obtaining financial resources. In its broadest sense, the Institutional Development Program involves working with all of the related publics of an institution.

Protestant College.

Colleges established by major Protestant denominations and which retain a connection with the church, and colleges associated with the evangelical, fundamentalists, and interdenominational Christian churches (Pace, 1972). For the purposes of this text, they are also members of the Christian College Coalition.

Solicitation.

Solicitation is the process of asking a past donor or prospect for a gift to an annual giving program or capital campaign in support of the institution. Solicitation can be by personal contact, by telephone, or through a direct mail effort.

Limitations and Assumptions of the Study

While it is the researcher's intention to identify the major characteristics of an effective private Protestant college fund-raising program, it is not expected that every individual characteristic of an effective program will be identified. This study will be limited to the realm of the research questions which appear in the Statement of the Problem.

One assumption of the study is that the colleges who are members of the Christian College Coalition and who report their annual gift support to the Council for Aid to Education well represent the Protestant institutions of higher education in the United States of America.

A limitation of the study is that the fund-raising experts in the sample are operating from a basis of self-perception. While they listed characteristics for effective private fund-raising as accurately as possible, they are limited to their experience and perceptions.

CHAPTER II

REVIEW OF LITERATURE

Institutional Advancement in American Higher Education

The intent of this chapter is to review selected literature which serves as a background for the study. The literature review was organized into three major areas: [1] institutional advancement in higher education; [2] characteristics of effective private fund-raising for colleges and universities; and [3] characteristics of effective private fund-raising for Protestant colleges as discussed by writers in the field.

The function of institutional advancement in American higher education institutions is to enable each individual college or university to do well in a competitive environment and to assist the whole sector of higher education to compete effectively for available resources (Rowland, 1988, p.4).

Institutional advancement includes external and internal communications, government and public relations, alumni relations, and fund-raising.

Historically, institutional advancement has been expressed in terms such as development, planning and development, public affairs, executive relations, communication and development, university relations and development (Rowland, 1986).

Institutional advancement activities are distinctly American. Other nations have support personnel in addition to students and faculties, but they do not generally have employees whose task it is to do the functions of institutional advancement. Generally, foreign colleges and universities are agencies of their respective governments and are therefore funded and to varying degrees managed by the government (Muller, 1986).

In the United States, however, no article of the Constitution assigns responsibility for education to the federal government. Several historic roots help reveal the sources of founding, governance, and institutional advancement in the United States. First, many of our colleges and universities were established by religious denominations with an original intent to educate men for the clergy. This produced funding support from the various denominations (Ringenberg, 1984). Secondly, student fees and tuitions existed from the earliest days at Harvard and continue to the present hour (Brubacher and Rudy, 1976; Ringenberg, 1984). The commercial character of the United States has long viewed higher education as a valuable commodity and therefore the principle of tuition payments is viewed as purchasing one's education (Muller, 1986). Finally, private contributions have long been American in the sense that Americans tend to rely on private generosity to support public concerns. This tradition of private giving was reinforced as early as the colonial period in America when institutions of higher learning were attended primarily by the sons of the wealthy (Muller, 1986).

Private institutions came on the scene in America before public colleges and universities were established. Public institutions then followed many of the traditions and patterns of the private schools including institutional advancement. From earliest days competition for resources has

existed among both private and public institutions. Even public institutions in the various states which receive state appropriations compete with each other for larger portions of state resources. Primarily in the United States, then, employees are hired by the colleges and universities whose task is not concerned with academic quality, excellence, or performance. They are not involved in research, teaching, or service; these persons efforts are to advance the institution so that the needed resources will be forthcoming. Without their labor, the entire academic enterprise would be crippled (Muller, 1986).

Institutional advancement officers are responsible for representing the campus to the federal government, state governments, local governments, the general public, alumni of the institution, and to raise funds (Rowland, 1986).

Federal Government.

With regard to the federal government institutional advancement did not have a major responsibility until the mid 1900s. At that general time frame, however, there emerged a tremendous expansion of research on campuses sponsored by the federal government in the areas of the sciences, agriculture, and health. Federal funds poured directly into the major research universities, or in some cases surfaced because faculty members were able to secure grants. Some federal funding has also become available for the arts and humanities. In the 1960s and 1970s federal influence was felt on campuses because of the Reserve Officer Training Corps programs at many public institutions. Noteworthy also, are the huge programs of federal assistance to students through scholarships, loans, and work study grants

(Dresch, 1986). All of these factors have generated billions of dollars for institutions of higher education (Muller, 1986).

While the Constitution gives the federal government no direct control over higher education, it is nevertheless true that some universities have contracts with the federal government because of research grants. Federal regulations administer and determine who receives federally funded student loans and other kinds of student aid. Colleges and universities also receive federal tax exemptions and exercise federal tax policy for their employees. Federal funds are used for some facilities or equipment. In recent years, federal laws have much to say about the civil rights of citizens on campuses. Today's institutional advancement officers must deal as effectively as possible to see that relationships with the federal government are complementary (Muller, 1986).

No institution wants to lose federal funds as a result of non-compliance with federal regulations (Whalen, 1980). Institutional advancement personnel need to assess the extent of the impact of federal funds on their particular campus and then deploy the necessary institutional resources to enhance the most positive good and minimize any negative impact. Strategy for the political arena needs to be developed. Understanding that government relations is largely a communication's process is vital. Receptive listeners who respond to government messages in positive ways accomplish the most positive results. Another wise action that can be suggested if not carried out by institutional advancement personnel is to monitor the campus in order to be confident that federal regulations are being executed. Seldom is one institution favored over another by the federal government in its actions or decision regarding policy that affects higher education. Therefore associations that lobby congress to protect and

strengthen higher education have evolved. The advancement office would be wise to participate in one of the associations. Institutional advancement must deal with federal government relations because millions of dollars are at stake (Kennedy, 1986).

State Government.

Institutional advancement includes concerns about state-government relationships. State colleges rely heavily on their states for financial support. Institutional advancement in their situation must include liaison work with state legislators and/or other executives who deal with resources available to the state owned institutions. Before leaping into state government relations' programs, the advancement officer of any institution should have clearly defined goals and strategies for achieving those goals.

Characteristics of effective strategies include involving legislators with important programs on campus. The intent here is the increase legislator's awareness and appreciation of the institution. Another strategy is to sponsor a breakfast or lunch for legislators on campus. This provides relaxed opportunities to help legislators become more familiar with the institution's mission, goals, and the campus itself. Legislators are then enabled to leave with more adequate knowledge of how his or her constituents are served by the college. Arranging special events for legislators on the campus works well to give them exposure to the public eye. A concert for women legislators or an alumni dinner to honor legislators from the constituent district will be appreciated by the lawmakers. Certainly institutional advancement personnel should visit legislators periodically. Regular visits to the capitol help keep the college or university in the thought life of the

legislature. When communicating about an issue it is wise to be brief, clear, and careful not to wear out your welcome. This helps legislators develop a genuine interest in the institution. An apparent strategy of significant worth is simply to keep legislators informed. Lists of graduates from the legislator's district, news releases regarding the campus, and an occasional friendly note from a variety of faculty members could pay big dividends. Institutional advancement officers use these and other strategies to build rapport with those legislators, regents, or other executives who determine the dollars that flow from state resources to individual academic institutions (Katz, 1981).

Local Governments and General Public.

Institutional advancement is germane to producing good relations with local governments and the general public. This is particularly true for the two year colleges. In many cases support for these institutions is partly built on a local tax base and therefore, the task of the institutional advancement office is to encourage healthy relationships with the voters in the district where the institution is located (Kennedy, 1986).

In a more general sense, this is true for all institutions. City governments, county boards of supervisors, local zoning commissions, municipal utility systems, police and fire departments can all interplay with the well being of an academic institution (Kennedy, 1986).

A classic work by Harral (1942) enunciated well the goals of good public relations. He suggests that there must be an earnest sincere desire on the part of the administration to improve public relations. An evidence of that sincerity is to examine all past policies and procedures in the light of

their contribution toward increased good will and support and revise harmful policies. Causes of ill will and friction between the institution and the community must be removed. At the same time,, effort needs to be made to clear away dissention within the institution. Good morale on campus encourages good feelings within the community. Every staff member must be educated both to his or her responsibilities and limitations in the public relations effort.

If relationships in the community are less than wholesome, then support from the community in terms of students who enroll and contributions may well decline.

Alumni.

The intent of the administration of activities relating to alumni is distinctly twofold: to cultivate alumni to serve their institutions and to cultivate the institution to serve its alumni. (Ransdell, 1986, p. 373).

As early as 1643, alumni of Harvard College began returning to commencement ceremonies to visit with old friends and teachers (Ransdell, 1986). Each graduating class at Yale appointed an alumni secretary beginning in 1792 (Brubacher and Rudy, 1976). The purposes of those early alumni were similar to the alumni associations today. They sought to keep undergraduate memories alive, keep intellectual interests fresh, encourage students to attend their institutions, and solicit financial support for alma mater (Ransdell, 1986). Following the Civil War the postwar economic resurgence empowered alumni to support colleges and universities in great measure, even though they often took liberties to criticize the institutions they had attended (Rudolph, 1962). By the early 1900s, traditional alumni

mechanisms for communication were in place, and soon alumni were sponsoring annual fund drives, bequest plans, capital campaigns, and other ways to raise funds. Alumni gave their time and money generously, but also gave more loyalty to coaches and sports programs as the century continued. Many alumni find more interest in the football field than in the laboratory. Today many institutions also include an alumnus or alumna on the Board of Trustees or regents (Ransdell, 1986).

Today the institutional advancement program should certainly include a capable alumni director and possibly an alumni center. This center could provide office space, meeting rooms, entertainment facilities, or more, depending on the ability of the institution and alumni to manage such a facility (Heinlen, 1986).

Alumni leaders within the parameters of institutional advancement might adopt the twelve points of an effective program described by Barrett (1986). He suggests that good alumni programming should include:

1. Where it is possible, an alumni sponsored activity within a one-hour driving time for 80 percent of alumni each year.
2. At first expect 5 to 10 percent of all invited alumni to attend these functions. As the programs mature, the percentages should rise to 25 or 30 percent.
3. One opportunity should be provided annually on campus for alumni to attend.
4. The alumni association should try to involve the following groups in at least one activity per year:
 - a. prematriculated students and recruitment
 - b. current students on campus
 - c. young alumni (one to ten years out of school)
 - d. general alumni
 - e. emeritus alumni (Those out of school forty years or longer)

5. Parents of current students should be invited to participate in an alumni sponsored activity at least once each year.
6. All alumni and each parent should be given at least two opportunities each year to make a financial contribution to the institution .
7. A goal of 30 percent of alumni contributing to the school each year should be set.
8. At least one half to one percent of alumni should be involved as volunteers or in leadership capacities.
9. Some form of off-campus volunteer organizations should be created and should meet at least annually.
10. The alumni association should help provide some form of a lifelong education experience for alumni at least once each year.
11. An awards and recognition program should annually recognize:
 - a. distinguished alumni
 - b. service by alumni and non alumni to the institution.
 - c. donors to the institution
12. When appropriate, the alumni should network to influence legislatures in order to gain support for the college or university. (Barrett, 1986).

Alumni organizations can help produce major financial resources for colleges and universities. Duke University's "Dialing for Duke" phonathons have become a significant source of income. Mary Moss was employed by the institution advancement office in 1981 to conduct a phonathon of alumni and others calling alumni. In their first year of calling they raised approximately \$400,000 from 5,151 donors and 3,167 were new contributors to the annual fund (Moss, 1982).

The literature is clear that institutional advancement includes relationships with the federal government, state governments, local governments and the general public, and alumni.

Fund Raising.

The oldest of the advancement functions is fund raising, which began with the establishment of Harvard University. Since that time, it has, in various forms, been an indispensable element in the resource development program of every college and university (Rowland, 1986, p. 92).

Much of the work of fund raising emanates from the institutional development office. The function of the development office is simple -- to raise money. The functions of the office have three primary characteristics: identify donors, obtain gifts, and record and acknowledge gifts (Evans, 1986). Some colleges are overachievers in fund-raising in the sense that they exceed their expected potential. The characteristics of these colleges is that they spend more money and employ more staff in their institutional development offices than other institutions (Pickett, 1986).

Some institutions are auditing their institutional advancement/development office. A leading example is the University of California at Berkley. Elements of the audit include reviewing the institution's mission, personnel and organizational structure of the office, financial resources of the office, the development programs' plans, goals, solicitation objectives, evaluation methods, office communication flow, and overall program efficiency (Dove, 1985).

The primary work of the institutional advancement or development office is to assist in raising funds for the annual fund drive, capital

campaigns, endowment funds, corporate and foundation gifts, and particular fund-raising programs (Rowland, 1986).

Annual Fund.

The first Annual Fund Office began in 1890 at Yale. The nature of the annual fund has not changed in a century. Annual giving provides operating support for the institution. These funds are sought on a yearly basis and attempt to establish a pattern of giving annually. It is a formal program with clear guidelines for securing gifts of needed dollars. Strategies for success in the annual giving campaign include personal solicitation, telephone solicitation, and direct mail (Nichols, 1986).

The characteristics of the annual fund include the following:

- The fund comes in many small gifts, comparatively speaking.
- Potential annual fund donors include alumni, friends, parents; old, middle-aged, young; rich and poor; enthusiastic and grudging donors.

Donors usually repeat the gift they made in the previous year. However, if the donor receives no attention he or she may not repeat the gift. Mail is most helpful in explaining why gifts are necessary and how a college or university will spend the money. Perks also generate some kinds of annual fund support - football tickets, the opportunity to meet the president, or other perks (Fisher and Quehl, 1989).

Annual giving is indispensable for the advancement of academic institutions. Major gift donors are often found in an Annual Fund drive (Nichols, 1986).

Capital Campaigns.

A capital campaign is an organized fund-raising effort on the part of an institution to secure extraordinary gifts and pledges for a specific purpose or purposes during a specified period of time (Dove, 1986, p. 292).

Foremost in importance to any capital campaign is the commitment of the board, administration and volunteers. All key groups must be committed to the campaign. The board puts policy in place for the program. The college's or university's chief executive officer is the primary spokes person for the fund-raising program. The chief development officer educates, manages, researches, communicates, facilitates, leads, guides, and stimulates the board, chief executive and key volunteers in the campaign (Dove, 1986).

Corporation Gifts

Gifts from corporations began to flow into the coffers of institutions of higher education in the first twenty years of the 1900s. In 1935 gifts from corporations became a tax deduction and contributions began to increase significantly. Such contributions were found to be in the national interest. Corporations are motivated to give because of self-interest. They support nonprofit organizations that have impact on the corporation and/or its employees. A few corporations give just because their leadership cares (Withers, 1986).

Ten keys for securing gifts from corporations include:

1. Know why corporations give
2. Know to whom corporations give

3. Know what corporations give
4. Know how corporations give
5. Know yourself
6. Research the corporation
7. Develop creative tie-ins
8. Meet with the corporation
9. Write the winning proposal
10. Follow through

(Hillman, 1980)

Foundations

Murphy (1986) identifies three skills to secure money from foundations. Leadership is the first skill and means essentially finding the right person to make the request from the key person in the foundation. Craftsmanship is the second skill. This means simply to collect and evaluate research data on foundations and to carefully identify and match campus priorities with the programs of the foundation. Grantsmanship skills means to proactively set goals, develop records and tracking systems in order to raise the percentage of successful attempts to secure funds from foundations (Murphy, 1986).

Kurzig suggested that the characteristics of a foundation proposal should include eleven elements:

1. A cover letter on the institution's letterhead signed by its chief executive officer.
2. A table of contents
3. A one page summary of the proposal including the amount of money requested, the total project budget, the specific purpose of the grant, and the hoped for end result.
4. The qualifications of the staff who are carrying out the program

5. Statement of the need or problem addressed by the project.
6. Goals and objectives of the program.
7. Methods to be used to achieve the objectives and a time table for carrying out the specific steps.
8. How the program will be evaluated.
9. Budget
10. Future funding sources
11. An appendix showing evidence of tax-exempt status, supporting documents, references, etc.
(Kurzig, 1980)

In summary, the institutional advancement programs of colleges and universities cover many publics -- the federal government, state governments, local governments and the community, alumni, and deals with funding sources such as corporations and foundations. In reality all of those publics are related to raising funds. For both public and private institutions compliance with federal regulations is directly related to Pell grants and various student loans. State governments through legislators and/or regents appropriate millions of dollars to public colleges and universities. Local governments and communities are often the tax base for community colleges and are sources of gifts from individuals. Alumni are a major source of private donors and often seek donations from others for their alma mater. This is true for both public and private institutions.

Muller's classic definition of institutional advancement includes the statement "institutional advancement in American institutions of higher education is to enable each individual college or university to do well in a

competitive environment" (Muller, 1986, p.4). In other words institutional advancement with all its many faces is primarily for raising funds (Kennedy, 1986; Katz, 1981; Harral, 1942).

The need for effective fund-raising is vital to the interests and future of American colleges and universities. This is particularly true for private institutions and smaller colleges. The smaller institutions have become endangered. Less selective liberal arts colleges are also in peril (3,000 Futures, 1980).

Private fund-raising is vitally important to the future of American higher education and has been through the years (McAnear, 1962).

During the 1980s, fund raising has assumed an even more important role in colleges and universities, as all institutions face a financial crunch because of reduced enrollments, the state of the economy, demographic changes, competition for state funds, and a withdrawal of support by the federal government from many programs (Rowland, 1986, p. 92).

Characteristics of Effective Private Fund Raising for Colleges and Universities

Nine Principles of Fund Raising

1. Institutional Objectives Must Be Established First.

Before any successful fund-raising program can take place, the institution or organization seeking funds must determine, define, and articulate its purpose and objectives (Broce, 1979, p. 17).

A sense of mission, purpose, and a clear direction toward accomplishing goals is a fundamental characteristic of effective private fund-raising (Broce, 1979). Pollard asserts that the first principle of fund-raising

for any college or university is that it should have a sound educational program and a belief in the importance of what it is doing (Pollard, 1958). Often this sense of purpose is stated in a "case statement." A case statement expresses the mission and goals of the institution. It outlines the institution's programs and objectives and explains what it must do to sustain and improve its activities, and why the college or university is valuable to society. A clear case statement will also state the goals of the fund-raising program and how the achievement of those goals will strengthen the institution (Stuhr, 1985). When it is completed, the case statement should be like a poetic tribute which honors the institution's history and aspirations as well as recounting its needs (Fazio and Fazio, 1984). Paul Hardin, president of Drew University, stated it this way,

I really believe all that suff we say about excellence in higher education, about the beauty and the practicality of the liberal arts, and about the necessity of helping our students acquire global awareness, ethical sensitivity, and a lifelong desire to use knowledge in the service of humankind (Hardin, 1984, pp. 14-15).

2. Development Objectives. Donors give gifts to meet objectives. The institution must know precisely what it plans to do with the funds raised. It is an essential characteristic for the fund-raiser to know and be able to articulate clearly the objectives that will be met with the funds raised (Broce, 1979). Stated in the simplest form, "objectives should be in writing and known to the advancement officer" (Glennon, 1986, p. 18).

3. Kinds of Support Needed. Another principle for effective private fund-raising is realizing that the kinds of support needed determines the type of fund-raising program which should be initiated. Donors most likely

to support these programs become identifiable and then a development program can be launched (Broce, 1979).

4. Start With Natural Prospects. An institution cannot expect others to give until those closest to the center give. Trustees, administrators, faculty, and staff should be first among persons asked when a fund-raising program begins (Broce, 1979). People give to others who give and if trustees fail to give, any fund-raising effort is in trouble (Foote, 1986).

An apparent reason for the importance of those who ask others to become donors is that people give to people. The right person asking for money will be successful and it is important that the solicitor be able to attest that he or she has also given.

5. The Case for the Program Must Reflect the Importance of the Institution. The case or cause for the fund-raising effort must be of high enough value that the fund-raising staff are convinced that they are giving donors an opportunity to make a contribution to the fund-raising effort. If this enthusiasm is not shared by the fund-raising staff and volunteers, the program will not receive enthusiastic support of others (Broce, 1979). Believing in what you are doing, combined with a positive attitude, produces good results.

6. Involvement is Key to Leadership and Support. Not many people want to give to a college or university about which they know very little. The best solicitors are those who best know the institution and are involved with it. The same is true of contributors. Keeping people meaningfully involved with the institution is key (Broce, 1979; Pollard, 1958).

7. Prospect Research Must be Thorough and Realistic. Because a person has accumulated wealth does not mean he or she will grace your college or university with some of that wealth. Identifying prospects and evaluating why they give should be a continuous function of the institutional advancement team (Broce, 1979). Lawson suggests that 85 percent of all funds given annually come from individuals and your board of trustees often know many excellent prospects (Lawson, 1977). Prospects come from boards, committees, leadership, auxiliaries, clients, parents, relatives, alumni, staff and others (Mirkin, 1978). "Successful fund-raising is 90 percent research and 10 percent solicitation" (Buskey, 1981, p.115). Identifying major donors should always involve campus executives. Presidents have unique contacts and should use them to look for persons who can make significant gifts (Anderson, 1984).

8. Cultivation is Key to Successful Solicitation. Prospects often fall into three categories: (a) those ready for solicitation; (b) those who care about the institution, but are not meaningfully involved; and (c) those who have potential but have no relationship with the institution. Prospects in categories (b) and (c) are brought into category (a) by cultivation (Broce, 1979). It is extremely important for presidents to cultivate donors (McLaughlin, 1984). Preliminary cultivation is also the work of the board (Anderson, 1984). Once the college or university receives a donation, thank the donors immediately, and then establish a regular system of reporting to the donors on a quarterly basis. Occasionally include a personal note from a trustee. On occasions, lunch with donors and do not forget them (Lawson, 1977).

9. Solicitation Succeeds Only if the Preceding Eight Principles Have Been Followed. Solicitation is generally successful only if all the preceding principles have been followed. Some persons engaged in fund raising seem to think that they can secure money simply by asking rich persons for it, but fund-raising requires the steps outlined to be consistently fruitful (Broce, 1979).

Broce also declares that effective characteristics "includes three distinct but interdependent activities: (1) planning, (2) public relations, and (3) fund-raising" (Broce, 1979, p. 27). Fund-raising is the final consummating step in development, , but it must begin with planning. It is a major mistake for colleges or universities to have multiple fund-raisers attempting to raise money for their various causes without regard to one central institutional plan (Ryans and Shanklin, 1986). Feasibility studies, research, and surveys all assist institutions in determining goals, objectives, and a long range funding plan. Effective planning, which helps determine public relations and fund-raising approaches may call for questions like the following:

1. Will the program, for which we will raise funds, be consistent with present programs?
2. What areas will the programs serve that we are not now able to serve? Has a need for this been identified?
3. How much will new personnel be paid and what program costs should be expected?
4. Is any sister organization conducting a similar program? What can we learn from their program? Are we only duplicating someone else's program?

5. When gift support runs out, how will this program be funded?

(Broce, 1979)

Once purposes are clear and planning is in place, public relations can meaningfully publicize the effort and fund-raising has a good case in place.

Steps in the Process

Steps in the process of effective raising include determining the institution's goals. Here again planning congruently with institutional mission is essential. A second step is to determine the actual fund-raising goals. This step is the point where the board and/or president and/or institutional advancement office make a decision about the kind of fund-raising program to conduct and the amount of money to be sought. Often at this juncture surveys are conducted as part of feasibility studies to see how well the leaders and major prospects will accept the institution's goals and fund-raising objectives. This helps determine the level of support that can be achieved from major prospects. Broce suggests that a professional consultant from outside of the organization conduct such a survey. It is important to interview prominent board members, potential major donors, and corporate and community leaders who can reflect well on the institution. The survey itself also serves as cultivation of prospects (Broce, 1979).

A third step is that of prospect identification and evaluation. Prospect identification is best done by the institutional advancement staff. Prospect evaluation is best done by staff members and knowledgeable volunteers. At this point volunteers can be very helpful in identifying the

giving range of potential donors. In such sessions confidentiality and integrity are essential (Broce, 1979).

The fourth step is to involve prospects as leaders and supporters. This involving process must be continuous and honest. Realistic involvement might place prospects on advising committees, one-on-one relationships, associate organizations, and participation at special events (Broce, 1979).

Step five is production of the case statement, which is a selling document, but it should not oversell.

Step six is organizing the fund-raising effort according to the kind of program to be conducted. Step seven is scheduling a timetable for both staff and volunteer workers. Naturally the final step is soliciting the gifts (Broce, 1979).

Characteristics of Effective Fund-Raising

Broce (1979) suggested a successful program will have the following characteristics:

1. It will be professional and will be skillfully planned and organized.
2. The program will be systematic. Its structure is so clear that the staff can handle the details in a routine fashion.
3. The successful program is goal-oriented with clearly defined objectives.
4. The successful program is productive and will produce many times more than the investment in the operation.

(Broce, 1979)

A secondary and complementary list describes the successful fund-raiser. An effective fund-raiser:

1. Genuinely cares for the institution he or she serves.
2. Accepts responsibility and standards while keeping things going.
3. Understands people and can organize, motivate, and direct them.
4. Can handle long hours, hard work, and disappointments.
5. Can coordinate special events and use them to good advantage.
6. Communicates well and effectively the goals of the college or university and describes well the ways the goals will be met.
7. Is versatile and able to assist the chief executive officer and volunteers in multiplied duties.
8. Is skilled enough to provide the mechanical and professional support needed in the development process.
9. Is growing professionally.
10. Is a person of integrity who respects others.

(Broce, 1979)

Rowland asserts that,

Common elements in an effective development program include a strong case for support, coordination among all the areas of advancement, presidential leadership and participation, special recognition of major contributors, committed volunteers with appropriate staff support, and regular communication with potential and actual contributors, including expressions of appreciation to donors and reports of how their contributions are being used (Rowland, 1986, 93).

Mirkin offers the following characteristics as instruction to make fund-raising soliciting effective.

1. Solicitors should make their own generous contribution first.
2. See your prospect in person.
3. Aim high -- do not underestimate your prospect's generosity.
4. Present the case thoroughly. Do not assume the prospective donor
5. Stress the cause. It is easier to talk about the needs than simply ask for money.
6. Do not leave a pledge card to be sent in later. Plan to call back on the prospective donor.
7. Emphasize pledging now.
8. Be proud of the cause. Solicitors are not beggars.
9. Avoid prolonged discussions not related to the program and the potential gift (Mirkin, 1978).

Lawson presents a few characteristics for effective private fund-raising in these words:

Solicitation calls on individuals should be as personal as possible..... Above all, keep the business part of the visit short and to the point. Don't beat around the bush. Talk directly. You want this person to give you money. Ask. And state a dollar amount. A good rule is to ask for more than you will get (Lawson, 1977, pp. 12-13).

Speaking about effective characteristics for private fund-raising during capital campaigns, Atkinson shares laws for campaigning.

1. Research the prospect. Successful fund-raising is 90 percent research and 10 percent solicitations.

2. Secure pledges.
3. Go for the big gifts first. The rule is 10 percent of the people give 90 percent of the money.
4. Be quiet --- that is get the big gifts in before publicly announcing the campaign. Sharing how much has already been raised encourages others to give.
5. Do not compete with other elements of your organization in calling on the same prospects (Atkinson, 1981)

Broce gives characteristics for effective private fund-raising a practical turn by outlining twelve steps to follow during the actual process of solicitation done by a volunteer and a staff person working together.

1. The staff makes telephone arrangements for an appointment with the prospect and sends a letter to confirm the time and date of meeting.
2. The professional staff member meets with the volunteer before the appointment and reviews materials to be shared with the prospect.
3. Both callers arrive at the prospect's office on time.
4. The volunteer opens the conversation by expressing appreciation for this opportunity to talk about this gift.
5. The volunteer explains the case for the institution and further explains how the proposed gift will help in the program. The professional staff member may share supplemental information if it is needed.
6. The volunteer requests the specific money including the amount and again emphasizes how it will be used.
7. If it is is a major gift request, the volunteer should share the written proposal page by page. The staff person should be ready to assist.

8. The volunteer asks when he or she may call again to discuss the request again and receive the prospect's decision.
9. Both the volunteer and professional staff person should thank the prospect for receiving them, giving of his or her time and interest.
10. The staff member calls the volunteer to remind her or him of the return call date, etc.
11. The volunteer visits the prospect again to learn the decision. It is possible that more return visits may be necessary.
12. After a pledge or gift has been made the acknowledgment process begins. A thank you letter is sent, followed by regular reports on the ways the money is being used
(Broce, 1979).

In summing the characteristics of fund-raising programs revealed in the literature many characteristics appear. In abbreviated terms, the programs are professional, systematic, goal-oriented, and organized (Broce, 1979; Rowland, 1986; Lawson, 1977).

In summing the characteristics of effective private fund-raising personnel in the literature, the following appear: genuine concern for the institution, willingness to accept responsibility while keeping the program moving, an ability to understand people, able to handle long hours and hard work, coordinating skills for special occasions, good communication strengths, versatility in assisting the chief-executive officer and volunteers, skilled in providing mechanical and professional support needed in the development process, experiencing professional growth, having integrity,

being a contributor, eagerness to visit prospects, and an ability to be personable (Lawson, 1977; Mirkin, 1978; Rowland, 1986; Broce, 1979).

Summing the characteristics in actual acts of solicitation in the literature, produces the following: presidents should seek the major gifts, visit prospects personally, aim high--ask for a large gift, present the case clearly and thoroughly, stress the cause, emphasize pledging now, be proud of the cause, avoid prolonged discussions not related to the program, keep the visit brief, when possible a volunteer and staff person should make a prospect visit together, express appreciation to the prospect, ask for the gift including a dollar amount, ask when the volunteer can call again to receive a decision, when a gift is made send a thank you message followed by regular reports regarding how the gift is being used (Broce, 1979; Buskey, 1981; Mirkin, 1978; Rowland, 1986).

Characteristics of Effective Fund-Raisers for Protestant Colleges

Jencks and Riesman summed the demise of the great influence of America's Protestant denominations and Protestant colleges in these words:

A century ago this would have been Chapter I of any book on American colleges. But while the Protestant clergy dominated American higher education from the founding of Harvard to the end of the Civil War, their role has diminished steadily since then and is today hardly consequential for the system as a whole, though it remains important in some colleges
(Jencks and Riesman, 1968, p. 312).

The most serious challenge Protestant colleges face today is money. "Church colleges today are caught in a financial squeeze" (Jencks and Riesman, 1968, p. 328).

Only a small number of Protestant colleges and universities have a significant endowment or any hope of securing one. Only a few receive a significant amount of funding from their parent denomination. Most Protestant colleges rely almost completely on tuition to make ends meet. The rapid escalation of academic costs in recent years has forced Protestant institutions to push tuition up very quickly. Much of their clientele is from lower-middle class America and many students have not been able to pay the higher tuition fees. In addition, the gap between Protestant colleges' tuition and public institutions has widened. Many students who prefer a church-related college have had to settle for a public one instead. The typical Protestant college is poor and under-applied (Jencks and Riesman, 1968).

Jencks and Riesman predict that the Protestant colleges and universities will experience one of four probable fates:

1. become non-sectarian
2. sell themselves to the state
3. close
4. the majority will struggle on

(Jencks and Riesman, 1968)

Indeed the struggle does go on for these colleges, and effective private fund-raising becomes more important day by day. Income from the various Protestant denominations is not rising appreciably. Small private liberal arts colleges report receiving 6 percent of their income from churches and religious denominations (Coldren, 1982). A limitation of the Coldren report, however, is a failure to distinguish the religious affiliation, if any, of the colleges and universities which supplied the data.

Data provided by Patton in 1981 reveals that church-related colleges awarding only the baccalaureate or equivalent degree receive 48.6 percent of their income from tuition and fees but only 10.8 percent from private gifts (Patton, 1981). While this information is not limited only to Protestant church-related colleges and universities, it does reflect the reality that private gift levels need to be increased dramatically. As long ago as 1958, Pollard said,

On the whole, it is clear that although numerous Protestant denominational boards of education have a strong concern for colleges and universities related to them, the main burden of raising funds from the churches' members rests on the colleges.
(Pollard, 1958)

Church-affiliated colleges and universities find a good source for finding donors in church membership rosters (Broce, 1979).

Little information on the characteristics of effective private fundraising for Protestant colleges appears in the literature. However, an appeal to presidents of church-related colleges to see themselves as chief fundraisers does make the following assertions:

1. Presidents who do not provide for the institution's financial needs are failures.
2. It is critical for presidents to overcome any fear of fundraising.
3. Presidents should not see themselves as beggars -- but as persons who are fulfilling a great purpose.
4. Presidents who are raising funds are not intruders in the lives of others.

5. Presidents should not fear rejection. Many people say no to an appeal for legitimate reasons.
6. Presidents must produce a development team who can connect them with donors.
7. Recognize that about 85 percent of your gift income will come from about 10 percent of your donors.
8. Strive for a team that is loyal, cooperative, and supportive.
9. Train a cadre of volunteers which include trustees, alumni, and friends of the college.

(Schoenherr, 1984)

Another approach is introduced by Parrot who urges Protestant college and university presidents and institutional advancement officers to make their denominational affiliation an asset in securing gifts. Emphasis in the case for soliciting gifts can be in the following areas:

1. Protestant college trustees can design a mission which challenges students to strengthen community, church, and family.
2. These institutions encourage students to set higher goals, improve the quality of life for those around them, and devote themselves to service.
3. These colleges and universities have administrators who recognize that college must teach students how to live and how to integrate strong values into classes, chapel services, and student activities (Parrott, 1985).

After sharing the preceding three points in order to develop an advantageous case, Parrott goes on the outline three more steps to build up the institution's ability to raise funds.

1. Make a realistic approximation of what you can achieve. Do not measure success by wrong models or by expecting miracles. See what you can reasonably expect to raise.
2. Use the faithfulness of small donors as leverage to reach larger gifts. A Protestant institution has a unique opportunity to use such examples as a challenge to others to give generously.
3. Start concentrating on major gifts. Our alumni tend to be involved in service professions and our church-dominated boards seldom include community leaders. However, we can still reach persons who can make major gifts; wealthy people are often conservative and tend to find church-related colleges attractive. Build friendships with these people. Assure your board that these people will not change your institution. Once your first major gift is secured, use it to encourage others to make major gifts (Parrott, 1985).

Some Protestant institutions have gift clubs and effectively raise funds. An example is Wheaton College which has five major gift societies (Sweeney, 1982).

In summary, the reality is that almost no literature exists designed specifically to assist Protestant colleges in effective private fund-raising. The literature that does exist calls for a shift away from the idea that Protestant institutions cannot raise more money to a view toward using denominational affiliation as an advantage. Further, the literature reveals the great importance of presidential leadership in seeing funds and appeals for more Protestant colleges to create effective development offices and programs.

CHAPTER III

METHODOLOGY

Introduction

This study was designed to identify the characteristics of an effective Protestant college private fund-raising program. The method for gathering the data was the utilization of the Delphi technique, which was developed by Olaf Helmer and his colleagues at the Rand Corporation in the 1950s (Pfeiffer, 1968). Included in this chapter is a description of the population, sample, design of the questionnaire instrument, and the Delphi study procedure.

Population

The population consisted of chief development officers of Protestant colleges which are members of the Christian College Coalition and who report their private gift income to the Council for Aid to Education.

Sample

The sample for the study consisted of 25 expert chief development officers who raised the largest dollar amounts per full time students in private gift giving from the years 1986 through 1989.

To be included in the sample, these 25 development officers were most successful when compared to their peers in the Christian College Coalition. They met the following criteria:

- 1.. The institutions where each serves is a member of the Christian College Coalition.
2. The institution reports private gift income to the Council for Aid to Education in New York City, New York.
3. The institution's private gift income, as divided per full time student, is among the 25 receiving the largest dollar amounts of all the member institutions.

The rationale for the selected sample is that the chief development officers of the 25 institutions which received the largest dollar amounts in private gift income per full time student for a period of three years are the most expert at raising private gift income.

Design and Procedure

The Delphi study has utilized to ensure the best possible responses from the sample of experts in the field of private gift fund-raising for Protestant institutions in the Christian college Coalition. According to Pfeiffer (1968), the Delphi study approach provides opportunity to gather a consensus of agreement from experts through their participation in completing a series of questionnaires.

The Delphi technique is an intuitive methodology for the purposes of eliciting expert opinion in a systematic manner for useful results. It is built upon the strength of informed intuitive judgment and obtains expert opinion without bringing the experts together. It usually involves iterative questionnaires administered to individual experts in a manner

protecting the anonymity of their responses. Feedback of results accompanies each iteration of the questionnaire, which continues until convergence of opinion is reached. The end product is the consensus of experts, including their commentaries, on each of the questionnaire items (McNamara, 1988).

The instrument used in the study was a questionnaire which was mailed to each of the 25 fund-raising experts identified in the sample (Appendix A). Names and addresses were obtained from the president's office of the Christian College Coalition located in Washington, D. C.

On March 22, 1991, the questionnaire was mailed with a personalized cover letter to each of the 25 members of the sample group (Appendix A). Telephone calls were made to those who had not responded. Responses were received from 22 members of the sample. Of the respondents, two sent hand written notes stating that they were not able to participate. Ultimately, 20 persons participated.

The second mailing, with a personalized cover letter, to the 20 respondents took place April 27, 1991 and included those proposed characteristics where were identified by the participants in the original mailing (Appendix B). The participating members of the sample were invited to evaluate and analyze the proposed characteristics derived from responses to the five questions in the first questionnaire. Telephone calls were made as needed to follow-up those who had not responded.

The third mailing took place May 16, 1991. This mailing included the tabulation of the experts' responses to the questionnaire, and each person was asked to examine the list of characteristics accumulated in response to each question and to respond only if he or she believed that any of the characteristics listed should be removed and replaced with one not listed.

The participants were informed that if no changes were recommended, their participation in the study was complete (Appendix C).

Data Analysis

The data were gathered and analyzed following the return of each of the three mailings. The following research questions were used in analyzing both the review of literature and the data results of the questionnaire.

1. What are the most important characteristics of an effective college fund-raising program?
2. What are the major obstacles to an effective college fund-raising program?
3. What are the most important ideas and/or strategies to an incoming administration in conducting an effective college fund-raising program?
4. What are the roles of the key people involved in conducting an effective college fund-raising program?
5. What, if anything, is unique about fund-raising for Protestant colleges?

Summary

A review of the literature, combined with an analysis of responses from the 20 expert college fund-raisers, led to answers to the five research questions.

CHAPTER IV

PRESENTATION AND ANALYSIS OF DATA

Introduction

The purpose of this research effort was to determine the characteristics of an effective private fund-raising program for Protestant colleges. A review of the literature concerning private fund-raising for colleges, universities, and Protestant colleges, and the employment of the Delphi research study technique was utilized as the basic elements of this study.

This section of the research study presents the findings of data accumulated from the responses and evaluations given by the 20 fund-raising experts who participated in the Delphi study in regard to the five research questions.

First Mailing

For the purposes of this research only those responses received that were listed a minimum of three times were established as meeting the criteria for inclusion. All similar statements were combined (Klabenes, 1988). The first mailing consisted of the questionnaire of the Delphi study and requested responses to five questions. (See Appendix D for explanation and examples of aggregation of like answers.)

All 20 of the participants in the study responded to question number one. Nineteen of the participants listed the institution's understanding of its

mission and purpose as a characteristic of an effective college private fund-raising program. Presidential support and active involvement in fund-raising received mention from 18 participants and was followed very closely by a competent, trained, and stable staff as an important characteristic for

TABLE I
RESPONSES TO QUESTIONNAIRE: QUESTION ONE

Question One: List up to seven characteristics of an effective private fund-raising program. Please rank in order of importance.

Responses Received	No. Times Listed
The institution understands and articulates its mission and purpose.	19
President is actively involved in fund-raising and cultivation of donor base.	18
Staff is competent, trained, and stable (low turnover).	17
The institution has a reputation for academic integrity and for offering a quality product (educational programs).	15
Fund-raising program is well planned and organized.	14
Donor base is educated as to specific needs and opportunities for giving.	11
Personal relationships are developed and "face-to-face" solicitations are consistently pursued.	10
There is a well developed cadre of volunteers recruited from friends of the institution, alumni, and trustees.	9
Record keeping and monitoring of program for effectiveness, etc. is stressed.	8
Good communication of plans, objectives, and needs.	7
Chief development officer is motivated and well organized.	5
Strong support from board or trustees	5
Adequate funding to carry-out programs to completion.	4

Note: A total of 13 responses met the criteria for inclusion.

effective college private fund-raising. In addition, more than one-half of the respondents included the institution's reputation for academic integrity and quality, a well-planned fund-raising program, and a donor base that is well educated regarding the institution's needs. Exactly one-half of the respondents listed the development of personal relationships and face to face solicitations as an important characteristic (Table I).

The responses from the participants to question one agreed with the literature regarding the importance of institutional clarity of mission, presidential involvement and support, a competent and well trained staff, and an effectively educated donor base. These characteristics received focus in the literature from a consensus of writers. Broce (1979), Glennon (1986), McLaughlin (1984), and others agreed that a well understood institutional mission, a participating president, a competent and well trained staff, and a well educated donor base are important characteristics.

One difference appeared. Fifteen respondents listed the institution's reputation for integrity and for producing quality education as an important characteristic for effective private fund-raising. While the literature reflects the importance of the integrity of individual fund-raisers (Broce, 1979) it does not discuss the institution's reputation for integrity and for producing quality education.

All 20 participants in the study responded to the second question. The obstacle to an effective college fund-raising program which was listed most often was lack of presidential involvement and support. Additional obstacles mentioned by eight or more of the respondents included: lack of clear mission statement and well defined goals, lack of trustee support and involvement, and inadequate time for cultivation of major donors, and public perception that the college lacks quality. Poor institutional

commitment and support for fund-raising was listed six times, and an inadequate staff suffering from large personnel turnover was listed by four participants. Also receiving mention four times was weak planning and coordination of programmed giving.

Lack of presidential commitment to and support for fund-raising, which had the highest response rate, is consistent with the literature (Broce, 1979). Schoenherr (1984) went so far as to say that presidents who were

TABLE II
RESPONSES TO QUESTIONNAIRE: QUESTION TWO

Question Two: What do you see as major obstacles to an effective college private fund-raising program? Please list three or more in rank order of importance.

Responses Received	No. Times Listed
Lack of presidential involvement and support.	17
Lack of a clear mission statement and well defined goals.	15
Lack of Trustee involvement and support.	14
Inadequate time for cultivation of major donors.	10
Public perceives product (college) as lacking in quality.	8
Poor institutional (staff, faculty, administration) commitment and support for fund-raising.	6
Staff is inadequate or suffers from large turnover in personnel.	4
Planning and coordination of programmed giving is weak.	4

Note: Once like answers were combined, a total of 8 responses met the criteria of being listed 3 or more times.

not active in fund-raising were failures. Also consistent with the literature were the other obstacles listed. Broce (1979) raised concerns about the importance of clearly stated mission and goals, as did Stuhr (1989) and Hardin (1984).

All 20 participants responded to question three. The president as a well organized person, familiar with the institution's constituents and actively involved in fund-raising was the item listed by 19 persons as important for an incoming administration. Training the development staff to cultivate donors and developing a strong fund-raising plan were listed by more than one-half of the respondents. The responses agreed with the

TABLE III
RESPONSES TO QUESTIONNAIRE: QUESTION THREE

Question Three: What tips about how to conduct a successful private college fund-raising program would you suggest to an incoming administration.

Responses Received	No. Times Listed
The President must be well organized, familiar with constituents, and active in fund-raising programs.	19
Train development staff to cultivate donors before program is started or introduced.	16
Develop a strong plan and follow it through to the end.	14
Administration and board must see fund-raising as a priority.	7
Attend workshops on fund-raising, visit schools with successful programs, and read available materials on fund-raising.	6
Enlist a large corps of volunteers.	5
Annual fund should be handled with integrity.	4

Note: When like answers were combined, 7 responses met the criteria of being listed three or more times.

literature that presidential involvement and a trained development staff were necessary for effectiveness (Pollard, 1958; Broce, 1979; Rowland, 1986).

All 20 persons responded to question four. When asked regarding the roles of key people involved in effective fund-raising, 19 respondents included the president as an involved person in actual raising of funds and as the spokes person to articulate the institution's mission and needs. Interestingly then, 18 participants listed the chief development officer as a planner, creator, and motivator to enable the staff to do its part in fund-raising. Identifying key donors and familiarizing them with the program

TABLE IV
RESPONSES TO QUESTIONNAIRE: QUESTION FOUR

Question #4: What are the roles of the key people involved in conducting an effective fund-raising program? Please list three or more.

Responses Received	No. Times Listed
President should be involved in fund-raising, articulating the institution's mission and needs.	19
Chief development officer must plan, create, and motivate.	18
Key donors must be identified and familiarized with program.	14
Groups of alumni and volunteers must be enlisted and trained.	6
Policy development and development of key personnel.	5

Note: There were 5 responses which met the criteria of being listed three times or more when like answers were combined.

was also listed as key. Again, the key involvement of presidential leadership is congruent with the literature, and leadership must be exercised by the chief development officer and staff.

Nineteen participants responded to the fifth question. The item listed most often as unique for fund-raising in Protestant colleges was a clear correlation between giving, fund-raising, and Christian principles. Fourteen respondents stated that there was a close tie between the mission of the church and education as a resource. The uniqueness of the mission of Protestant colleges was listed by nine participants. The other two items listed were a locked-in clear donor base which needs specific cultivation and the difficulty of asking for money, which some would perceive to be a spiritual problem. The literature that does exist regarding the unique features of fund-raising for Protestant colleges agrees with items listed by the participants. The correlation between giving, fund-raising and

TABLE Y
RESPONSES TO QUESTIONNAIRE: QUESTION FIVE

Question Five: What, if anything, would you describe as unique about fund-raising for Protestant colleges? Please note these below.

Responses Received	No. Times Listed
There is a clear correlation between giving, fund-raising, and Christian principles.	17
There is a close tie between the church mission and the educational resource.	14
The mission of the institution is unique.	9
There is a locked-in donor base, the church, and this constituency needs to be specifically cultivated and well informed.	8

TABLE Y (Continued)

Responses Received	No. Times Listed
There is a difficulty in asking for money because of what some see as a "spiritual" admonition concerning giving.	3
Note: Five responses met the criteria of being listed a minimum of three times when like responses were combined.	

Christian principles is reflected by Parrott (1985) who believed that the Protestant institutions can use the faithfulness of small donors as an exemplary challenge to encourage others to give generously. Broce (1979) asserted that church-affiliated colleges have a good source for finding donors among church membership rosters, which agrees with the eight participants who listed the church as a donor base which needs specific cultivation. The close tie between the church's mission and the educational resource of the Protestant college is given focus by Parrott (1985).

Second Mailing

The second mailing of this Delphi study attempted to elicit from the participants an evaluation and analysis of the responses received from the original mailing of the questionnaire. Like statements were combined for the purpose of this study, and only responses listed a minimum of three times were established as meeting the criteria for inclusion.

All 20 responding experts evaluated question one in the second mailing. The six characteristics that were checked as the most important to an effective college private fund-raising program agreed with the literature with only one exception. Fifteen of the participants checked the institution's

reputation for integrity and for offering a quality education as an important characteristic, but this concern did not appear in the literature. The other items listed among the top six include: institutional understanding of its own mission, an actively involved and supportive president, a competent and well trained staff, a well planned and organized fund-raising program, and a donor base well educated regarding the institution's needs. All the preceding items are confirmed by the literature (Table VI).

TABLE VI
RESPONSES TO QUESTIONNAIRE TWO: QUESTION ONE

Original Question One: Please list up to seven characteristics of an effective college private fund-raising program. Please rank in order of importance.

Instructions: Please check the six characteristics that are the most important in establishing an effective fund-raising program among private Protestant colleges.

Responses Received	No. of Times Listed
A. The institution understands and articulates its mission and purpose.	19
B. President is actively involved in fund-raising and cultivation of donor base.	18
C. Staff is competent, trained, and stable (low turnover).	17
D. The institution has a reputation for integrity and for offering a quality product educational programs).	15
E. Fund-raising program is well planned and organized.	14
F. Donor base is educated as to specific needs and opportunities for giving.	11
G. Personal relationships are developed and "face-to-face" solicitations are consistently pursued.	10
H. There is a well developed cadre of volunteers recruited from friends of the institution, alumni, and trustees.	9
I. Record keeping and monitoring of program for effectiveness, etc. is stressed.	8
J. Good communication of plans, objectives, and needs.	7

TABLE VI (Continued)

Responses Received	No. of Times Listed
K. Chief development officer is motivated and well organized.	5
L. Adequate funding to carry-out programs to completion.	4

The findings also listed effective fund-raising characteristics to include well developed personal relationships leading to personal soliciting for gifts, a well developed cadre of volunteers, good record keeping, good communication of plans, a well motivated and organized chief development officer, and adequate funding for the development office. It is note worthy that these findings agree with the literature regarding the importance of human relationships and good planning as key ingredients for effectiveness (Broce, 1979; McLaughlin, 1984).

All 20 of the participants evaluated the second question in the second mailing. The three obstacles to an effective college private fund-raising program checked most often were: lack of presidential involvement and support, lack of a clear mission statement and well defined goals, and lack of trustee involvement and support (Table VII).

TABLE VII
RESPONSES TO QUESTIONNAIRE TWO: QUESTION TWO

Original Question #2: What do you see as major obstacles to an effective college private fund-raising program? Please list three or more in rank order of importance.

Instructions: From the following responses, please check the three major obstacles to an effective college private fund-raising program.

Responses Received:	No. Times Listed
A. Lack of presidential involvement and support.	17
B. Lack of a clear mission statement and well defined goals.	15
C. Lack of Trustee involvement and support.	14

The germane factor of these responses is that in question one, the institution's understanding of its mission and purpose and presidential involvement and support in fund-raising were listed as being critical to having an effective program, and then as obstacles in question two, both items again appear. The literature concurs that institutional mission and presidential involvement are critical factors. The third obstacle mentioned was lack of trustee involvement and that was also corroborated in the literature (Foote, 1986).

Question three in the second mailing also received response from all 20 participants. The responses included a well organized fund-raising president, a trained development staff, and a well developed fund-raising plan as the three most important tips for an incoming administration in developing a college private fund-raising program (Table VIII).

TABLE VIII
RESPONSES TO QUESTIONNAIRE TWO: QUESTION THREE

Original Question #3: What tips about how to conduct a successful private college fund-raising program would you suggest to an incoming administration.

Instructions: From the following responses, please check the three most important ideas and/or strategies to an incoming administration in conducting a private fund-raising program among Protestant colleges.

Responses Received	No. Times Listed
A. The President must be well organized, familiar with constituents, and active in fund-raising programs.	19
B. Train development staff to cultivate donors before program is started or introduced.	16
C. Develop a strong plan and follow it through to the end.	14

All 20 experts responded to question number four in the second mailing. Responses to the inquiry regarding the most important roles of the key people involved in conducting an effective fund-raising included the following: the president must be involved in fund-raising and articulate the institution's mission and needs; the chief development officer must plan, create, and motivate; and the key donors must be identified and familiarized with the program (Table IX). It is interesting to note that as the participants responded to the second mailing, the stronger their agreement that the president's and chief development officer's involvement were critical to effectiveness.

TABLE IX
RESPONSES TO QUESTIONNAIRE TWO: QUESTION FOUR

Original Question #4: What are the roles of the key people involved in conducting an effective fund-raising program? Please list three or more.

Instructions: Please check the three most important roles of the key people involved in conducting an effective fund-raising program.

Responses Received	No. Times Listed
A. President should be involved in fund-raising, articulating the institution's mission and needs.	19
B. Chief development officer must plan, create, and motivate.	18
C. Key donors must be identified and familiarized with program.	14

TABLE X
RESPONSES TO QUESTIONNAIRE TWO: QUESTION FIVE

Original Question #5: What, if anything, would you describe as unique about fund-raising for Protestant colleges? Please note these below.

Instructions: Please check the three characteristics which are most unique to fund-raising for Protestant colleges.

Responses Received	No. Times Listed
A. There is a clear correlation between giving, fund-raising, and Christian principles.	17
B. There is a close tie between the church mission and the educational resource.	14
C. The mission of the institution is unique.	9

Question five received responses from 18 participants. The responses regarding uniqueness about fund-raising for Protestant colleges listed as the most important characteristics a clear correlation between giving, fund-raising, and Christian principles. The other responses included a close tie between the church's mission and educational resources and the unique mission of Protestant colleges (Table X).

All three items listed were congruent with the literature on Protestant college private fund-raising.

Third Mailing

The third mailing of the Delphi study listed the results of the tabulations of the responses of the original five questions which were gathered from mailing number two. The experts were asked to review the results critically, and if they felt that any of the items should be dropped or replaced, they were invited to respond with their recommendations. If they decided to recommend no changes, they were notified that their participation in the research was completed. One of the 20 participants responded, but he only clarified an earlier response and did not call for any change..

Summary

The findings which appeared in this chapter included data assembled from the Delphi study research technique with 20 expert college development officers who served at Protestant colleges which were member institutions of the Christian College Coalition. The importance of the research

questions was evidenced by the rather high level of participation in the study by 20 experts in the field. Two others wrote to indicate they were unable to participate because of pressing concerns. The 20 experts participated in the full study, which indicated a high level of interest in the field on the part of these professional fund-raisers.

The findings demonstrated very close agreement among the respondents as indicated by the fact that the two characteristics of an effective private fund-raising program for Protestant colleges receiving the most mention in the final tabulation are also the two listed most often as obstacles if they are absent. Those two characteristics include a clear mission statement and goals and an active presidential involvement in fund-raising. These findings indicated a strong internal validity of the research instrument and methods.

CHAPTER V.
SUMMARY, CONCLUSIONS, RECOMMENDATIONS,
AND CONCLUDING THOUGHTS

Introduction

This study was conducted for the purpose of identifying the characteristics of an effective private fund-raising program for Protestant colleges. An extensive review of the literature regarding effective private, fund-raising programs for colleges and for Protestant colleges was conducted. The Delphi study method was utilized as the method for gathering data. Three questionnaires were mailed to 20 Protestant college fund-raising experts whose institutions were members of the Christian College Coalition in order to elicit their responses.

Summary

Analyses of the data and information gathered from the review of the literature and the Delphi study technique revealed that a clearly articulated and generally understood mission for the institution is vital to effective private gift fund-raising. The responses to the survey placed this as the number one characteristic that must be in place for effective private fund-raising. The absence of a clearly defined mission was viewed as a major obstacle to effectiveness. In response to the question, "What are the roles of the key people involved in conducting an effect fund-raising program?"

most experts felt that part of the president's role is to articulate the institution's mission to potential donors. When focusing on the uniqueness of fund-raising for a Protestant college most experts perceived the mission of the church and a Protestant college as closely tied together and/or that the mission of the Protestant college is unique. A clear mission and purpose is central to effective private fund-raising for these institutions and for those individuals who seek to solicit funds.

Analyses of the data, in addition to information obtained from reviewing the literature, revealed the most important persons and positions influencing the effectiveness of private gift fund-raising for Protestant colleges are the president, the chief development officer and staff, and the trustees of the institution.

The survey and the literature concurred that the president must have strong leadership, inspirational, and motivational strengths in fund-raising as well as be actively involved in actual solicitation of funds personally. The president of the college is the central figure in establishing the climate for the priority that is placed on the fund-raising effort of the institution. The level of active involvement of the president effected all other key people who have a responsibility for private fund-raising. Lack of presidential involvement and support is a major obstacle to an effective private fund-raising program. Securing a well organized president who is familiar with the institution's publics and active in fund-raising proved to be an important tip offered to any incoming administration.

The chief development officer and his or her staff needs to be competent, trained, and serve in their respective positions for long periods of time in order to enhance effectiveness. Before particular fund-raising programs are launched the development officer and staff need to be

specifically trained in the area of donor cultivation. The chief development officer who is a planner, exhibits creativity, and motivates his or her staff to perform is fulfilling his or her roles effectively.

Trustees are key to fund-raising as leading givers themselves. In addition, they have contacts with others who can be cultivated by them, by the chief development officer and/or staff, and by the president to become donors. The survey revealed that lack of support from the trustees is a major obstacle to an effective private fund-raising program. One of the characteristics which were revealed as assisting in making fund-raising programs effective, was a well developed cadre of volunteers which includes the trustees.

In addition, the literature and the survey revealed that an effective fund-raising program must be well planned and organized, which included informing and educating the donor base, face to face solicitation, training volunteers and friends of the institution to assist in fund-raising efforts and providing adequate funding to carry out these projects.

The survey also revealed that the institution needs to be a place where good educational quality and programming is in place.

The survey and the literature assert that there is a correlation between principles of Christian giving and fund-raising for Protestant colleges. In addition, the mission of these institutions is unique and is closely tied to the mission of the church. In the broader sense, the literature and survey revealed the great importance of a clearly articulated mission to effective private fund-raising. The mission of these colleges is clear and strong because of their unique ties to Protestant churches.

It is worthwhile to note that the two primary characteristics of effective private fund-raising: (1) institutional understanding and clear

articulation of its own mission and (2) a president who is actively involved and who actively supports fund-raising are also listed as the two major obstacles to effectiveness if they are absent from the program.

These findings further confirm the validity of the study.

Conclusions

The following conclusions were drawn from this study:

1. A clearly stated and well understood mission statement is central to an effective private fund-raising program. A sense of purpose, meaning, and direction appears to surface which inspires, or at least, encourages those who raise funds to work hard at the task. That same sense of mission is the base from which case statements can be written to serve as a tool in solicitation. A strength of these Protestant institutions is their clear unique mission and purpose.

2. The president is the visible figure around whom effective fund-raising revolves. He or she must be committed to the institution and its mission in order for effectiveness to be achieved in fund-raising. The president needs to actively articulate the mission and purpose of the institution to both the campus and to the public in general.

3. The president's fundamental tasks, in addition to declaring the institution's mission, should include providing direction for the entire development effort, supporting the chief development officer and staff, educating trustees as to their fund-raising responsibilities and potential, and soliciting funds. Commitment on his or her part to serve in these capacities must be present or the fund-raising effort of the institution will not reach its potential.

4. The chief development officer will be most effective who works closely with the president and who strives to train his or her staff to be competent in effective planning and in effective execution of the plans.

5. The reputation of the institution as an educational entity which produces educational quality needs to be encouraged and promoted.

6. Churches, which serve as a major donor base, and which share a mission similar to these institution's need to be better apprised of that similarity. Whatever correlation exists between fund-raising for Protestant colleges and principles of Christian giving should be clarified and emphasized.

7. The donor base, which is the church, needs to be apprised of the unique mission of these colleges which is similar to their own and be informed of the correlation of the principles of Christian giving and fund-raising for these institutions.

Recommendations

The following recommendations surfaced as the result of the study:

Further study and research should be conducted to determine the kind of staff development program needed for key people involved in private fund-raising for Protestant colleges. The significance of such a study is supported by the fact that this study has demonstrated the pivotal roles of the president, chief development officer and staff, and the board of trustees. In order to enhance their effectiveness, which is crucial to the success of fund-raising, appropriate training for these persons in key positions is important.

It is further recommended that research be conducted to find the most effective ways that institutional mission and purpose, inter-related to the uniqueness of those institutions and their relationships to Protestant church groups, can be clarified, strengthened, and publicized. This recommendation is suggested by the findings in this study which demonstrate that a well defined and well articulated mission is central to effective fund-raising and that there is a relatedness between Christian principles of giving and fund-raising for Protestant colleges. Additional study to find ways to capitalize on this feature may be helpful to administrators and fund-raising experts.

It is also suggested that research be conducted to explore more fully why fund-raising experts rate the academic integrity and ability to produce academic quality of these colleges as a high area of concern. This suggestion for research is the result of this study which demonstrated considerable concern for this area and which revealed that an institution's good academic reputation is an important characteristic for effective private fund-raising.

The Council for Aid to Education should be consulted and utilized as a resource for further studies in this area because of the Council's high level of interest and concern as evidenced by its annual publication of Voluntary Support for Education which delineates the various kinds of giving (including private donations) to colleges and universities.

Further, the Christian College Coalition should be consulted and utilized because of its particular concern for the Protestant colleges of the nation.

Concluding Thoughts

While not apparent in the review of the literature, 15 of the 20 respondents listed a concern for academic integrity and/or producing a good academic product. Since this concern is not apparent in the general fund-raising literature, one cannot help but wonder why it appears as a major concern among fund-raising experts at Protestant colleges.

While research would need to be conducted to discover the real source or sources of this concern, several probabilities emerge for consideration.

It is possible that these expert fund-raisers are finding themselves being asked about the academic quality of their institutions during face-to-face solicitations with potential donors.

Another possibility is that among donors who recognize the religious values and concerns of Protestant colleges, may think that academic quality is short-changed in favor of religious values.

Still another possibility is that the present national concern about accountability and integrity in politics and other arenas may be impacting in the area of higher education with some focus on academic quality.

Perhaps these Protestant institutions are having difficulty in job placement for graduates because of a reputation that they are not academically equipped. Is it also a possibility that graduate schools are finding graduates of Protestant colleges less equipped for graduate work?

Again , the answer or answers are not apparent, but it might be wise for these institutions to launch research efforts to discover why fund-raising experts list these as an area of concern.

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APPENDIXES

APPENDIX A

FIRST MAILING

March 22, 1991

Dear:

I am writing to ask your participation in a study on private fund-raising among Protestant colleges. You are being contacted because your institution is a member of the Christian College Coalition, and your institution's reporting to the Council for Aid to Education places you among the most effective twenty-five institutions in the Coalition for receiving voluntary support. This research is part of my doctoral study in Higher Education at Oklahoma State University. I believe this study will be valuable to all of us in private fund-raising in Protestant colleges and I would deeply appreciate your involvement.

The intent of this research is to identify the most important characteristics of an effective fund-raising program for Protestant colleges. You are one of 25 private fund-raising experts who has been selected as highly skilled and informed in the subject area.

As a participant in the study, would you please do the following things:

1. Respond to the enclosed questionnaire.
2. Evaluate on two separate occasions information gathered as part of the questionnaire response from all 25 participants.

As soon as the study has been completed, you will be the first to receive a copy of the final results.

Thank you very much for your consideration.

Sincerely,

Robert R. Lawrence

Encl.

cc: Dr. John J. Gardiner
Higher Education
Oklahoma State University

QUESTIONNAIRE

1. Please list up to seven characteristics of an effective college private fund-raising program. Please rank in order of importance.

A. _____
 B. _____
 C. _____
 D. _____
 E. _____
 F. _____
 G. _____

Other: _____

2. What do you see as major obstacles to an effective college private fund-raising program? Please list three or more in rank order of importance.

A. _____
 B. _____
 C. _____

Other: _____

3. What tips about how to conduct a successful private college fund-raising program would you suggest to an incoming administration.

A. _____
 B. _____
 C. _____

Other: _____

4. What are the roles of the key people involved in conducting an effective fund-raising program? Please list three or more.

A. _____
 B. _____
 C. _____

Other: _____

5. What, if anything, would you describe as unique about fund-raising for Protestant colleges?
Please note these below.

A. _____

B. _____

C. _____

Other: _____

APPENDIX B
SECOND MAILING

April 27, 1991

Dear:

Thank you for your response and participation in the Delphi study regarding private fund-raising among Protestant colleges. Enclosed is the second stage in this research.

To assist in identifying the characteristics of effective private fund-raising among Protestant colleges, I am requesting that you evaluate the responses I received to the five questions in the first stage. I have listed for your review, all the responses which appeared three or more times on the returned questionnaires. All like responses have been combined.

Please select criteria you feel is most important from the listed responses. By using this method, it is my desire to determine a consensus of opinion among development experts regarding specific characteristics for effective private fund-raising among Protestant colleges.

Please complete the attached form and send it in the enclosed, self-addressed, stamped envelope by May 10, 1991. Your participation in this study is greatly appreciated. If I can answer any questions, please call me at (405) 632-7519.

Thank you, again.

Robert R. Lawrence

Encl.

cc: Dr. John J. Gardiner
Higher Education
Oklahoma State University

Robert R. Lawrence
 Doctoral Study
 Oklahoma State University
 Delphi-Study
 Stage Two

You will find listed below the responses to the original five questions in stage one of my doctoral Delphi study.

All like statements have been combined and all statements receiving at least three responses are listed.

Original Question One: Please list up to seven characteristics of an effective college private fund-raising program. Please rank in order of importance.

Instructions: Please check the six characteristics that are the most important in establishing an effective fund-raising program among private Protestant colleges.

RESPONSES: (Not listed in any specific order of priority)

- ___ A. The institution understands and articulates its mission and purpose.
- ___ B. President is actively involved in fund-raising and cultivation of donor base.
- ___ C. Staff is competent, trained, and stable (low turnover).
- ___ D. The institution has a reputation for integrity and for offering a quality product (educational programs).
- ___ E. Fund-raising program is well planned and organized.
- ___ F. Donor base is educated as to specific needs and opportunities for giving.
- ___ G. Personal relationships are developed and "face-to-face" solicitations are consistently pursued.
- ___ H. There is a well developed cadre of volunteers recruited from friends of the institution, alumni, and trustees.
- ___ I. Record keeping and monitoring of program for effectiveness, etc. is stressed.
- ___ J. Good communication of plans, objectives, and needs.
- ___ K. Chief development officer is motivated and well organized.
- ___ L. Adequate funding to carry-out programs to completion.

Original Question #2: What do you see as major obstacles to an effective college private fund-raising program? Please list three or more in rank order of importance.

Instructions: From the following responses, please check the three major obstacles to an effective college private fund-raising program.

RESPONSES: (Not listed in any specific order of priority)

- A. Lack of presidential involvement and support.
- B. Lack of a clear mission statement and well defined goals.
- C. Lack of Trustee involvement and support.
- D. Inadequate time for cultivation of major donors.
- E. Public perceives product (college) as lacking in quality.
- F. Poor institutional (staff, faculty, administration) commitment and support for fund-raising.
- G. Staff is inadequate or suffers from large turnover in personnel.
- H. Planning and coordination of programmed giving is weak.

Original Question #3: What tips about how to conduct a successful private college fund-raising program would you suggest to an incoming administration.

Instructions: From the following responses, please check the three most important ideas and/or strategies to an incoming administration in conducting a private fund-raising program among Protestant colleges.

RESPONSES: (Not listed in any specific order of priority)

- A. The President must be well organized, familiar with constituents, and active in fund-raising programs.
- B. Train development staff to cultivate donors before program is started or introduced.
- C. Develop a strong plan and follow it through to the end.
- D. Administration and board must see fund-raising as a priority.
- E. Attend workshops on fund-raising, visit schools with successful programs, and read available materials on fund-raising.
- F. Enlist a large corps of volunteers.
- G. Annual fund should be handled with integrity.

Original Question #4: What are the roles of the key people involved in conducting an effective fund-raising program? Please list three or more.

Instructions: Please check the three most important roles of the key people involved in conducting an effective fund-raising program.

RESPONSES: (Not listed in any specific order of priority)

- A. President should be involved in fund-raising, articulating the institution's mission and needs.
- B. Chief development officer must plan, create, and motivate.
- C. Key donors must be identified and familiarized with program.
- D. Groups of alumni and volunteers must be enlisted and trained.
- E. Policy development and development of key personnel.

Original Question #5: What, if anything, would you describe as unique about fund-raising for Protestant colleges? Please note these below.

Instructions: Please check the three characteristics which are most unique to fund-raising for Protestant colleges.

RESPONSES: (Not listed in any specific order of priority)

- A. There is a clear correlation between giving, fund-raising, and Christian principles.
- B. There is a close tie between the church mission and the educational resource.
- C. The mission of the institution is unique.
- D. There is a locked-in donor base, the church, and this constituency needs to be specifically cultivated and well informed.
- E. There is a difficulty in asking for money because of what some see as a "spiritual" admonition concerning giving.

Are there any modifications you would recommend?

APPENDIX C
THIRD MAILING

May 16, 1991

Dear :

Thank you very much for your assistance and participation in stage two of the Delphi study regarding the characteristics of an effective private fundraising programs. Responses have been excellent.

In this third stage of the study, I have listed the tabulation of the responses received to the original five questions in stage two of the Delphi study as well as the instructions for review and participation in the third stage.

Thank you again for taking the time to provide your expertise in this doctoral Delphi study. The results of the study will be sent to you soon after completion.

Sincerely,

Robert R. Lawrence

Encl.

cc: Dr. John J. Gardiner
Higher Education
Oklahoma State University

Robert R. Lawrence
Doctoral Study
Oklahoma State University
Delphi-Study
Stage Three

Listed below are the results of the tabulations of the the responses to the original five questions received as a part of stage two of the Delphi Study being conducted for my doctoral work.

Please review these critically. If you feel that any one or more of the criteria listed should be left out or replaced with one not listed, please so indicate and return to me in the enclosed self-addressed envelope. If no changes are to be suggested, your participation in this survey is complete.

Question One: Please list up to seven characteristics of an effective college private fund-raising program.

Tabulation of Responses: (Not listed in any specific order of priority)

1. The institution understands and articulates its mission and purpose.
2. President is actively involved in fund-raising and cultivation of donor base.
3. Staff is competent, trained, and stable (low turnover).
4. The institution has a reputation for integrity and for offering a quality product (education programs).
5. Fund Raising program is well planned and organized.
6. Personal relationships are developed and "face-to-face" solicitations are consistently pursued.

Question Two: What do you see as major obstacles to an effective college private fund-raising program? Please list three or more.

Tabulation of Responses: (Not listed in any specific order of priority)

1. A lack of presidential involvement and support.
2. Lack of a clear mission statement and well defined goals.
3. Lack of Trustee involvement and support.

Question Three: What tips about how to conduct a successful private college fund-raising program would you suggest to an incoming administration? Please list three or more.

Tabulation of Responses: (Not listed in any specific order of priority)

1. The president must be well organized, familiar with constituents, and active in fund-raising programs.
2. Develop a strong plan and follow it through to the end.
3. Administration and board must see fund-raising as a priority.

Question Four: What are the roles of the key people involved in conducting an effective fund-raising program? Please list three or more.

Tabulation of Responses: (Not listed in any particular order of priority)

1. President should be involved in fund-raising, articulating the institution's mission and needs.
2. Chief executive officer must plan, create, and motivate.
3. Key donors must be identified and familiarized with program.

Question Five: What, if anything, would you describe as unique about fund-raising for Protestant colleges?

Tabulation of Responses: (Not listed in any specific order of priority)

1. There is a clear correlation between giving, fund-raising, and Christian principles.
2. There is a close tie between the church mission and the education resource.
3. The mission of the institution is unique.

APPENDIX D

AGGREGATION OF ANSWERS

AGGREGATION OF ANSWERS

Four criteria were considered when answers were appraised for aggregation and listing:

1. Were there exact words or phrases repeated in many responses?
2. Were there similar words or phrases used in the responses?
3. Were there phrases which reflected a similar meaning while not using exact wording?
4. Did the response appear three or more times?

The following three lists demonstrate examples of responses which were aggregated. These 18 collected items from responses to the first questionnaire became the base for the item in the second mailing which stated "President is actively involved in fund-raising and cultivation of donor base."

Examples of Responses Using The Word "President"

- "Presidential participation in fund-raising"
- "A President willing to participate in fund-raising"
- "President actively participates in fund-raising"
- "President must be a fund-raiser"
- "Presidential involvement in fund-raising"
- "President should spend 40% of his/her time in fund-raising"
- "Presidential support and involvement in fund-raising"
- "Presidential support and leadership in fund-raising"

"Active presidential support in fund-raising and in donor base development"

"President who can effectively raise money"

"Effective presidential leadership in fund-raising"

"Presidential commitment to development"

Examples of Responses of Similar Statements

"President must effectively nurture the major givers and donors"

"Chief executive officer must cultivate donors - re: relationship building"

"Chief executive officer needs to actively pursue and develop givers and donor audience"

Examples of Responses Which Carry Similar Meaning

"Chief administrator interested in fund-raising and cultivating of donor base"

"Fund-raising requires leadership and involvement by chief administrator"

"Capable leadership at highest levels"

The same four criteria were used in aggregating answers from all the respondents to all of the questions.

APPENDIX E
RESPONDENTS

RESPONDENTS

The respondents in the study consisted of 20 expert chief development officers who raised the largest dollar amounts per full-time students in private gift giving from the years 1986 through 1989. These experts met the following criteria:

- 1.. The institutions where each serves is a member of the Christian College Coalition.
2. The institution reports private gift income to the Council for Aid to Education in New York City, New York.
3. The institution's private gift income, as divided per full time student, is among the 25 receiving the largest dollar amounts of all the member institutions.

A sample of 25 experts was sought. The following twenty development experts participated in the Delphi survey:

Dr. Glenn Adams
Westmont College
955 La Paz Road
Santa Barbara, CA 93108

Mr. David Bixby
Azusa Pacific University
P.O. A.P.U.
Azusa, CA 91702

Mr. Judson Carlberg
Gordon College
255 Grapevine Road
Wenham, MA 01984

Mr. Robert Coffman
Anderson University
Anderson, IN 46012

Mr. Les Douma
Northwestern College
S. W. 8th Street
Orange City, IA 51041

Dr. Blair Dowden
Houghton College
Houghton, New York 14744

Mr. Barry Goodling
Wheaton College
501 College Avenue
Wheaton, IL 60187

Mr. Larry Greeno
Roberts Wesleyan College
2301 Westside Drive
Rochester, NY 14624

Mr. Lyle Gritters
Dordt College
498 Forest Avenue N. E.
Sioux Center, IA 51250-1606

Mr. Ron Gunden
Goshen College
1700 S. Main Street
Goshen, IN 46526

Mr. Pleais Hampton
Trevecca Nazarene College (Alumni Office)
333 Murpheesboro Road
Nashville, TN 37210

Mr. Alvin Hardy
Campbellsville College
200 W. College Street
Campbellsville, KY 42718

Mr. Wayne King
Central Wesleyan College
1 Wesleyan Drive
Central, SC 29630

Mr. Mark Krouholm
Bethel College
3900 Bethel Drive
St. Paul, MN 55112

Dr. David Lalka
Asbury College
201 N. Lexington Avenue
Wilmore, KY 40390

Mr. David Mitchell
Eastern College
10 Fairview Drive
St. Davids, PA 19087-3696

Mr. Charlie Phillips
Messiah College
Grantham, PA 17027

Dr. Ron Phillips
Mount Vernon Nazarene College
800 Martinsburg Road
Mount Vernon, OH 43050

Mr. Harry Scanlan
King College
1350 King College Road
Bristol, TN 37620-2699

Mr. Larry Voth
Bethel College
300 E. 27th
North Newton, KS 67117

VITA

Robert R. Lawrence

Candidate for the Degree of

Doctor of Education

Thesis: DEVELOPMENT OFFICERS' PERCEPTIONS OF THE CHARACTERISTICS OF AN EFFECTIVE PRIVATE FUND-RAISING PROGRAM FOR PROTESTANT COLLEGES

Major Field: Higher Education

Biographical:

Personal Data: Born in Sharon, West Virginia, August 19, 1944, the son of Amy Wallace and Frieda E. Gillespie. Married Linda Kathlene Baker on June 25, 1966, and is the father of two children, one daughter and one son.

Education: Graduated from South Charleston High School, South Charleston, West Virginia in June, 1962; received Bachelor of Arts degree in Education from Anderson University (known then as Anderson College) in 1966; received a Master of Divinity degree at Anderson College School of Theology in 1969; completed requirements for Doctor of Education degree at Oklahoma State University in July, 1991.

Professional Experience: Associate Pastor, Warsaw, Indiana, 1967-1969; pastored churches in Frankfort, Kentucky, Mason, Ohio, High Point, North Carolina, Pryor, Oklahoma from 1969-85, Bethany, Oklahoma, 1989 to present; State Coordinator for General Assembly of the Church of God in Oklahoma, 1985-88; Director of Recruitment, Mid-America Bible College, Oklahoma City, Oklahoma, 1988-1989; Adjunct Faculty, Mid-America Bible College, 1988-1991.