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By

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A DESCRIPTION OF SUCCESSFUL FUNDRAISING PROGRAMS IN STUDENT AFFAIRS DIVISIONS

A Dissertation APPROVED FOR THE
DEPARTMENT OF EDUCATIONAL LEADERSHIP AND POLICY STUDES

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DEDICATION

This dissertation is dedicated to my wife, Elisabeth Schoenecke, and my children, Daniel, Andrew, and Jessica who have sacrificed and endured this program of study with me.

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ABSTRACT

A DESCRIPTION OF SUCCESSFUL FUNDRAISING PROGRAMS IN STUDENT AFFAIRS DIVISIONS

Over the past quarter century, tuition costs at higher education institutions have increased faster than the rate of inflation. At the same time, state funding for public institutions has decreased or stayed the same in real dollars. The demands for unfunded mandates and services in non-academic areas have pressured many institutions to increase student affairs programs and services without proper funding. Consequently, higher education institutions have been forced to do more with less or develop additional sources of income.

Many institutions have turned to raising funds through private gifts and research grants. While this is not new, in recent years development offices have become more sophisticated and more professional. As development practices on college campuses have evolved, many areas of specialization have formed. On many campuses, fundraising has permeated every area including student affairs divisions, which traditionally have not been actively involved in fundraising.

This study will examine the fundraising efforts within student affairs programs. The focus of the study will be qualitative case studies of

development practices within student affairs at specific institutions. The case study will discover the development practices among student affairs divisions that currently have a student affairs development officer. At this stage, development practices will be defined as events and practices that help raise funds for the student affairs division.

Determining the development practices of student affairs will be critical in the future as higher education institutions are expected to raise more of their own funds and become less dependent upon state funding for programs. As student affairs divisions expand and implement new programs, it will be vital for them to be able to raise their own support if additional funding is not available. Identifying the best practices within student affairs development is crucial for institutions that want to advance their programs.

CHAPTER I

INTRODUCTION

Context of the Problem

Over the past quarter century, appropriations for public higher education has transformed to meet the needs of growing institutions. More students than ever are enrolled in colleges and universities, and enrollments have reached an all time high (Chronicle of Higher Education Almanac, 2004). The percentage of individuals over 25 years old with a college degree increased from just over 20 percent to just over 25 percent between the years of 1986 and1996 (Richardson, Bracco, Callan, and Finney, 1998). However, while more students are attending higher education institutions, state funding for public institutions has decreased or stayed the same as a percentage of these institutions' budgets. Between 1981 and 2001, states averaged a 17.7 percent decrease in funding for higher education per disposable personal income. Only seven states increased their funding in the 20 year period (American Association of State Colleges and Universities, 2002). While more students are attending college than ever before, higher education institutions are expected to do more with less funding or develop additional

sources of income (National Commission on the Cost of Higher Education, 1998).

Over the past 20 years, the price of tuition has increased faster than the rate of inflation providing institutions with some additional funding. From 1977 to 1997, tuition has nearly doubled when adjusting for the cost of inflation, while family income has only increased an average of 41 percent over the same period when adjusting for inflation (Institute for Higher Education Policy, 1999).

The increase in tuition is not strictly caused by the decrease in state funding. In the past 25 years, private institutions began tuition discounting as a popular method of increasing aid to some students. Increasingly, public institutions are turning to tuition discounting as well. Institutions use a portion of tuition dollars to provide scholarships for needy students or to who the institution is recruiting based on merit. The net effect is higher tuition for those who can afford to pay full cost, but institutional scholarships and grants for those who need assistance. The cost of attending college in large part has shifted from the state to the student (Institute for Higher Education Policy, 1999).

In addition to tuition increases, public institutions have attempted to offset decreases in state funding by increasing the amount of federal grants and contracts. This support from the federal government has become more

competitive in recent years as public and private institutions have started seeking more and more federal grants and contracts (Worth, 1993).

In order to offset the decrease in funding by the state legislatures, public institutional leaders have begun to pursue other forms of revenue for the institution. To supplement the three traditional revenue streams of state funding, tuition, and federal grants and contracts, increasingly institutions are pursuing a fourth revenue stream, private donations. In recent years, private institutions have become more dependent on public grants for research; and public institutions have grown increasingly dependent on private gifts (Rhodes, 1997). Public institutions have turned to raising funds through private gifts and research grants to "replace—not augment—an eroding base of state financial support" (Duderstadt, 1997, p. 24). For example, due to decreased public support and increased private donations in 2003-2004, the University of Virginia became the first public institution to use more private gifts than public moneys (NACUBO, 2003). Additionally, the University of Michigan has a goal that by 2010, income generated from interest on endowed gifts will be more than money received from state appropriations (Duderstadt, 1997). As more income is generated from private gifts and funding decreases from state appropriations, public institutions will become more "state-affiliated" or "state-located" rather than "state-supported" or "state-assisted" (Rhodes, 1997, p. xviii).

At colleges and universities raising private gifts is the responsibility of the institutional advancement or development unit. However, institutional advancement and development practices go beyond fundraising. The major areas within an institutional advancement or development division include internal and external communications, government and public relations, educational fundraising, and alumni relations (Terrell and Gold, 1993). Institutional advancement includes the activities and programs "undertaken to develop understanding and support from constituencies to help achieve its goals in securing resources such as students, faculty, and dollars" (Rowland, 1986, p. xiii). As development at public institutions has increased, development offices at public institutions have become more sophisticated and more professional. Shay (1993) discusses that there is a blurring of lines between public and private institutions, and that development practices between public and private institutions are virtually identical. Private institutions are competing for federal grant money that traditionally had been for public institutions, and public institutions are seeking private donations that have historically been used by private institutions. As development practices on college campuses have evolved, many areas of specialization have formed. Within the fundraising unit of a development department, it is common to have individuals specializing in major gifts, annual giving, corporate, and deferred giving (Worth, 1993).

Within an institution, the fundraising or development division is either centralized or decentralized. Typically, smaller institutions have a fundraising unit that is centralized and does all the development functions for the entire institution. Development officers work through a central development office and work on institution wide priorities toward a common goal. All prospective donors are in the same pool of donors and there is no distinction between donors regarding the school or college from which a donor graduated.

Larger institutions typically have decentralized departments that hire a development officer(s) for each specific college within the university. The development officer reports to the dean or administrative head of the unit. Alumni are divided by their academic major, and development officers are often responsible for coordinating the fundraising efforts among the graduates from a specific area. This allows specific areas within the institution to address their specific needs and to control their own fundraising success (Evans, 1993; Grace, 1993). As the development officer raises funds, unless otherwise specified, all the funds will go toward the officer's specific area to meet the goals and needs of the unit (Shay, 1993).

The decentralized model works well for the areas of the institution that fall cleanly within the scope of the development officers; however, there are some inherent problems in a decentralized system. In many cases, there are areas that are not represented by a development officer, which are consequently ignored. Not only having clearly established goals and

priorities, but also communicating those goals and priorities are vital in a decentralized system. When dealing with donors who give major gifts, there must be a procedure in place to determine when the president and other university fundraisers become involved. In a decentralized system, the issue of which academic unit has rights to a donor must be addressed. If a donor has a bachelor's degree from the College of Arts and Sciences and a master's degree from the College of Education, internal guidelines must be established to determine which college is responsible for the donor. Or in the case of a married couple, which development officer is permitted to ask the couple for support if they both graduated from the same university but from two different colleges within the university (Evans, 1993)? Finally, how are needs addressed in areas that cut across all areas of the institution, or are centralized within the university such as athletics, the library, or student affairs? This study will focus on student affairs research at large public research institutions as they function within decentralized systems of development.

Statement of the Problem

In recent years, student affairs divisions have started their own fundraising efforts to help address their goals and needs within the divisions. A 1997 survey of 150 members of the National Association of Student Personnel Administrators indicated that 85% of those responding to the

survey were involved in fundraising on their campuses (Penney and Rose, 2001). While each institution organizes student affairs differently, Barr, Desler and Associates (2000) lists the major components of student affairs as academic advising, career planning and placement, college unions, counseling, fraternities and sororities, housing and residential life, judicial affairs, minority student programs, recreational sports, and student activities. Within a decentralized approach to development within student affairs, these areas need to be represented so they might receive the proper support that is needed for their programs.

Many times, institutional-wide offices and services that impact all students like student affairs divisions are overlooked by decentralized development units because they do not have a natural pool of alumni from whom to solicit money. Programs or facilities in student affairs divisions that impact all students can fall through the cracks with regards to fundraising because they typically do not have a development officer to help raise funds for the area. As a result, when budget cuts occur, programs may be eliminated, and facilities can fall into disrepair. In recent years, a new trend has emerged with student affairs divisions employing their own development officers to raise funds for their own programs and facilities (Gordon, Strode, and Brady, 1993).

Purpose of the Study

This study examined the development practices among student affairs divisions that currently have a full-time student affairs development officer in decentralized development divisions at public research institutions. The study sought to explore and explain the complications and successes of the decentralized development function, experienced by these individuals as they attempt to seek funds for student affairs divisions.

Statement of the Research Questions

This study examined the fundraising efforts within student affairs programs at large doctoral granting public research institutions. The research identified the best practices that exist in decentralized development divisions and focused on the following research questions:

- For student affairs development programs, what factors are associated with best practices in fundraising?
- How do the institutions' development practices influence fundraising in student affairs?
- At institutions with a student affairs development program, what kinds of projects are supported by student affairs fundraising?
- Based on the identified factors for best practices, what types of programs and strategies can be implemented to increase opportunities in fundraising?

Significance of the Problem

Within development and institutional advancement, much research has been conducted surrounding potential donors including how much they are worth, what causes they are likely to support, and what connection they have with the institution (Pezzullo and Brittingham, 1993). However, there is little research regarding theories of development or effective institutional advancement programs. Kelly (1997) observed that full-time teacher scholars and part-time student-practitioners conducting "one-shot dissertation studies" (Kelly, 1997, p. 139) perform most of the critical research in the fundraising area. Schervish (1997) concurs that extensive literature exists regarding volunteerism and giving, but less on fundraising. Additionally, there are newsletter articles written regarding fundraising success at a specific institution; however, these articles lack objectivity, as the author is usually affiliated with the institution. These articles deal with the best practices, but have little theoretical basis for the practices. Most articles are testimonial in nature written by a development expert detailing his/her experiences of getting the large gift. Grace (1993) wrote about the need to have critical research conducted in the field of development.

Pertaining to development practices in student affairs, there have been two books, a dissertation, and a chapter in a textbook written specifically regarding the subject. Terrell and Gold (1993) wrote a book relating to student affairs fundraising to make the case for student affairs fundraising to

student affairs professionals. Penney and Rose (2001) wrote an instructional book outlining how to go about raising funds for student affairs. Barr, Desler and Associates (2000) added a chapter about fundraising and development in their text on student affairs administration. Kroll (1991) researched the Midwestern liberal arts colleges and identified which colleges were participating in student affairs fundraising.

This study began where the previous studies ended and examined the best practices for raising money in student affairs through development office techniques. The results of this study will benefit institutions in identifying strategies that have been effective in student affairs fundraising utilizing an established development office.

Limitations

The research reveals that development officers in student affairs divisions exist in a decentralized organizational approach to fundraising (Penney and Rose, 2001). This research focused on the decentralized model for fundraising; however, research needs to be conducted to examine the effective practices of student affairs fundraising in a centralized approach to fundraising. In a decentralized approach, each divisions or unit of the institution has an individual responsible for fundraising; while in a centralized approach, there is a single unit responsible for fundraising for the entire institution.

This study focused on public institutions. More research will need to be conducted to determine if the findings are the same in private institutions. Private institutions are non-profit organizations that have an official 501(c) 3 designation by the Internal Revenue Service. On the other hand, public institutions are state entities and are only able to utilize non-profit 501(c) 3 foundations as the fundraising arm of the institution (Worth, 1993). There may be differences between the fundraising practices among public and private institutions. Public institutions may face resistance from donors who believe that the state should provide adequate funding without having to raise private support.

This study focused on large research institutions that are doctoral-granting institutions. More research needs to be conducted on institutions that are different sizes and are not doctoral granting. Large research institutions often are more visible and have a larger alumni base of support than smaller institutions. Additional research regarding fundraising in student affairs at different size institutions needs to be done in the future.

Definitions

Annual Giving – Gifts made on a yearly basis from donors to support the current operational needs of the institution (Worth, 1993).

Centralized Development Unit – An organizational structure in which all development officers and programs are organized under a central development office (Evans, 1993).

Chief/Senior Student Affairs Officer – The individual responsible for leading the operations of student services and development in an institution (Barr, Desler, and Associates 2000).

Chief Institutional Advancement Officer - The lead person in matters pertaining to internal and external communications, government and public relations, educational fundraising, and alumni relations (Terrell and Gold, 1993).

Corporate Giving – A monetary gift given to an institution of higher education by a business or corporation. These gifts may or may not be given through the corporate foundation the company has established (Worth, 1993).

Decentralized Development Unit – An organizational structure in which development efforts are divided by schools, colleges, or other units within the institution, with the development officers reporting to deans or other program directors (Evans, 1993).

Development Officer – The person responsible for the advancement efforts within a defined area (Patton, 1993).

Fundraising – The solicitation of gifts from private sources consisting of four activities: annual giving, capital giving, deferred giving, and major gifts cultivation (Terrell and Gold, 1993).

Development practices - Events and strategies that help raise funds for the student affairs divisions (Patton, 1993).

Institutional Advancement – Activities and programs undertaken to develop understanding and support from constituencies to help achieve its goals in securing resources such as students, faculty, and dollars (Rowland, 1986).

Major Gift – A gift larger than an annual gift often paid in installments over a period of years and usually designated for a capital or endowment purpose. The dollar level at which a gift is considered "major" depends upon the needs and fundraising history of the institution (Worth, 1993).

Student Affairs – All areas pertaining to student services at an institution of higher education such as student activities, registrar, health services, and residence life (Barr, Desler, and Associates 2000).

Ultimate Gift – The largest gift a donor is capable of giving. These gifts are often given through a planned gift such as a bequest or trust (Dunlop, 1993).

Assumptions

Several assumptions served as a foundation for this study. First, this study assumed that those who were interviewed were the most knowledgeable and understood the issues surrounding fundraising in student affairs at each respective institution. A second assumption is that those

interviewed responded to the questions truthfully and as completely as they could without breeching their confidentiality relating to specific donors.

Conceptual Framework of the Study

The purpose of this study was to examine the fundraising programs within student affairs divisions. This study utilized organizational theory in order to help understand the phenomena of student affairs fundraising. According to Narayanan and Nath (1993), organizational theory helps explain organizational phenomena and aid in understanding how and why an organization works. For the purposes of this study, the higher education institution was the organization being examined. Within the institution, the student affairs division was the unit being analyzed. The phenomenon was the fundraising that is being conducted within the student affairs division.

One of the main purposes of organizational theory is to help provide understanding of phenomena (Narayanan and Nath, 1993). For this study organizational theory was used to help understand the culture, structure, environment, and experience of the organization as they relate to the phenomena. This study examined fundraising in student affairs, as it related to the various aspects of organizational theory. While the structure of the organization will vary from institution to institution, the policies, procedures, and functions that exist must help the unit to work to the fullest potential. In order to maximize the department's abilities, an appropriate work environment

must exist. Experience can be a great teacher, and individuals working in fundraising should learn from prior experiences in order to help move the development program forward.

Examining the structure, environment, and experience of the student affairs development program help provide a framework for the culture that exists. Understanding the culture of the fundraising unit helps provide insight into the management and performance of the unit.

Summary

Across the nation, higher education has had a decrease in the percentage of funding given to institutions, while enrollment in higher education nationwide is at an all-time high. The results of decreased funding and increased enrollment have impacted the programs and quality at institutions. Student affairs divisions at some institutions have started looking to private gifts and support to help increase funding. The purpose of this study was two-fold. First, due to the lack of critical literature related to fundraising in student affairs, this research adds to the body of knowledge that exists in this area. Second, the strategies and practices used to aid fundraising in student affairs help provide insight into best practices. Understanding the role of student affairs fundraising within the greater organization also helps provide a context for those looking to implement similar programs.

CHAPTER II

REVIEW OF RELATED LITERATURE

Introduction

The purpose of this study was to examine the fundraising efforts within student affairs programs at large doctoral granting public research institutions. The research identified the best practices that exist in decentralized development divisions and focused on the following research questions:

- For student affairs development programs, what factors are associated with best practices in fundraising?
- How do the institutions' development practices influence fundraising in student affairs?
- At institutions with a student affairs development program, what kinds of projects are supported by student affairs fundraising?
- Based on the identified factors for best practices, what types of programs and strategies can be implemented to increase opportunities in fundraising?

In order to help answer the questions, existing literature was reviewed. This literature review begins with a brief historical overview of fundraising in

student affairs. Reviewing the history of fundraising will help determine if there have been previous attempts in student affairs fundraising. Then relevant literature is reviewed regarding donor motivation theories. Examining donor motivation theories will help understand why donors give to institutions. Following donor motivation theories, literature related to organizational theory will be examined. This review of literature utilizes organizational theory to help describe the organization, the organizational relationship that exists between the institution and the student affairs development office and the phenomena of fundraising. Finally, fundraising practices and theories are examined to help identify best practices in fundraising. This is the practical part of the literature review identifying the best ways to incorporate theory into practice.

Historical Overview of Fundraising

Fundraising in higher education in the United States is not a new phenomenon. The spirit of giving in the United States actually dates back to colonial days, before the United States was a country, when families shared with other families the excesses of the good harvest (Rosso, 1991, Wagner, 1997). The oldest higher education institution in the United States, Harvard College, was started with a gift of money and books from the Reverend John Harvard in 1634 (Worth, 1993). In 1641, the Massachusetts Bay Colony sent three clergymen Hugh Peter, Thomas Weld, and William Hibbens, to England

to solicit money for the college to help educate the Native Americans (Cutlip, 1990).

In 1745, the only colleges in the colonies were Harvard, William and Mary, and Yale. Fundraising during the colonial times took on "glorified begging" status and resulted in less than substantial funding. Most college presidents in the colonial era would solicit funding in order to assure the institution's survival. The support came in many different forms including cash gifts, estate gifts, and gifts generated from nature such as natural resources and crops raised on the land. In 1775, Harvard used a lottery to raise funds to build Stoughton Hall. Tickets were sold to the community for prizes. This proved to be an inefficient method of raising funds as Harvard only received 2.3 percent of the money that was generated by the lottery while the rest went for prizes and administrative costs (Cutlip, 1990).

Benjamin Franklin developed an early fundraising formula that proved to be the most successful method at the time. When asking for support, he would ask those whom he knew would give money to the cause. Then he would ask those whom he was uncertain would give money to the cause. While he was talking with the undecided individuals, he would show them a list of those who had already given. Finally, he would approach those whom he knew would decline to give, but still showed them the list. Some of these would ultimately end up giving money (Cutlip, 1990).

Successful fundraisers in the early nineteenth century were often evangelists turned fundraisers like George Whitefield and Matthew Carey. They raised funds for social and humane charities which were lumped together for fundraising purposes; and the funds were then divided in a collective support concept. These efforts were not very successful at raising funds, but they did bring awareness to the problems of the day (Cutlip, 1990).

The period between the Civil War and World War I were years of great growth and expansion in higher education. The federal land grant acts in 1862 and 1890 allowed for many public institutions to be funded by the states. At the same time private organizations were being started, many of which were affiliated with religious organizations (Cutlip, 1990). After the Civil War, the Industrial Revolution was in full steam, and the industrial and economic growth created some very wealthy individuals. Some of these were significant benefactors to higher education. Presidents of new and existing institutions sought out these wealthy businessmen to gain support for the institution. Cornelius Vanderbilt, John Hopkins, John D. Rockefeller, and Leland Stanford are some of the businessmen who gave their support to institutions. In return for their support, institutions renamed themselves after the generous benefactor. This support by the donor gave the institution stability and allowed them to develop new programs and become premier institutions (Ryan, 1997).

Another example of philanthropic efforts of successful business people can be drawn from the leadership of the Stanford's in the creation of the institution which bears their name. After becoming a wealthy railroad tycoon, Mr. and Mrs. Leland Stanford gave an initial $5 million to establish Stanford University in honor of their deceased son. This gift enabled Stanford University to open its doors in 1891; and, by the time of Mrs. Stanford's death in 1905 more than $20 million was given to assist in thedevelopment and initial growth of this outstanding institution in Northern California (Sears, 1990).

In 1886, the University of Chicago closed its doors due to a lack of funding. William Rainey Harper sought the support of John D. Rockefeller; and because of Rockefeller's support, the institution reopened and has become a premier institution. His gift of $600,000 was conditional upon the raising of $400,000 by the Middle Western Baptist Convention and Chicago businessmen in order to show that they were supportive of the institution. After this initial gift, Rockefeller gave millions more to the institution to show his continued support (Ryan, 1997).

Also during this time, the wealthy elite did not focus solely on specific institutions. Educational foundations were established that helped make education broaden in scope and availability. The Peabody Education Fund promoted popular education in the Southern and Southwestern areas of the United States working with state and local officials. Established by George

Peabody in 1867, with three million dollars, the foundation helped train school teachers, promote education of the masses, and establish the George Peabody School for Teachers in Nashville. The true significance was that the foundation set the precedent for future foundations. Once a foundation was established, they served as a way to continue to give money away even after the benefactor had died (Sears, 1990).

Andrew Carnegie established many notable philanthropic endeavors. One of which was the Carnegie Foundation for the Advancement of Teaching. Most higher education institutions were private and depended upon donors for support. During difficult economic times, many professors taught for little pay and many times without benefits. Carnegie addressed this need by having his foundation focus on salaries, insurance, and retirement for college professors. As a result of Carnegie's foundation, he helped bring stability to an insecure profession (Sears, 1990).

In addition to his support for the University of Chicago, John D. Rockefeller established the General Education Board (GEB) in 1901, and by 1909, he had given the Board $53 million. The GEB foundation attempted to follow up on the success which the Peabody Foundation had by working to improve education in the United States. They sought to work at the local, state, and university levels to develop educational opportunities for all people, including women and minorities (Sears, 1990).

Prior to 1900, fundraising in higher education focusedon findi ng a wealthy benefactor in whom to rename the institution and develop a firm financial foundation for the institution. Other fundraising efforts were small scale attempts to help individual churches, colleges, and the poor. Fundraisers during this time were paid on a percentage basis leading to high administrative costs, abuse, and fraud. The first modern fundraising campaign is widely credited to the efforts of Lyman L. Pierce and Charles Summer Ward. They raised money for a new Young Men's Christian Association (YMCA) building in Washington D.C. In 1902, Pierce set out to raise $300,000, and within two years had raised $270,000. Ward joined in the effort to raise the remaining money by careful organization, hand-picked committees, a large gift to be matched by public donations, regular update reports, and a deadline for the drive (Cutlip, 1990).

Pierce and Ward continued to refine their fundraising methods and had great success raising money for the YMCA during the early twentieth century. During World War I, the Red Cross International, YMCA, and other organizations banded together to raise $114 million in eight days to help with the war relief effort known as the United War Fund. After World War I, fundraising became big business and higher education benefited as a result. Pierce and Ward left the YMCA in 1919 to start their own business of Ward, Hill, Pierce and Wells, Counselors in Financial Organizations and Publicity (Cutlip, 1990).

During the 1920s, philanthropy shifted from being a way for extremely wealthy entrepreneurs to make lasting charitable gifts, to being a popular means of helping societal problems. The forerunner of today's United Way program was the federated or community chest concept. The community chest program became well established during the 1920's, allowing individuals and businesses that were not wealthy the ability to pool their small donations to help worthwhile causes in the community. After World War I, colleges also benefited greatly from the spirit of generosity which was present in the United States. Many were eager to give, with this generosity reaching a high point in the fiscal year 1929-1930 before the economic realities of the Great Depression were felt (Cutlip, 1990).

During the Great Depression and World War II, fundraising in higher education became difficult. As easily as the money had been raised in the 1920's, philanthropy in higher education became extremely difficult in the 1930's. Much of the wealth that had been created in the years leading up to the Great Depression was lost, and any extra money went to poverty relief and later to the war efforts during World War II. The annual amount of money given to higher education in 1929-1930 would not be surpassed until 20 years later in 1949-1950 (Cutlip, 1990).

According to Worth (1993) after World War II there was a tremendous movement in fundraising, with three major trends that evolved after the war. A professionalization movement helped expand the role of development

officers within higher education. In 1958, a landmark meeting was held at the Greenbrier Hotel in West Virginia. Representatives of the American Alumni Council (AAC), which focused on alumni programs, and their rival organization American College Public Relations Association (ACPRA), which focused on the publications and public relations aspect of development, met for the first time. The "Greenbrier Report" was the result of this meeting, giving rise to the contemporary definition and the concept of institutional advancement. These two organizations continued to work together and eventually merged in 1974 creating the Council for Advancement and Support of Education (CASE). CASE now serves all professionals in all areas of higher education institutional advancement (Worth 1993).

The second trend in fundraising after World War II that Worth (1993) discussed was the proliferation of formal development programs into most institutions of higher education. While private institutions had been required to raise private funds from the outset, some state institutions had not been as dependent upon private gifts. The extent to which public institutions had raised private funds was a relatively new practice. Shay (1993) discussed the blurring of lines between public and private institutions. Private institutions were increasingly securing public grants and contracts, and public institutions were working to secure private gifts. Because of the growth of higher education in the 1950's and 1960's and the development of new academic programs, institutions needed to find a new ways to fund these programs.

Then as university budgets grew and state funding decreased, the need for private support became a necessity. In the early 1980's, only 67 percent of state colleges had established private foundations for fundraising purposes. By 1987, the percentage had grown to 86 percent of state colleges with a private foundation (Worth, 1993).

According to Worth (1993), the third trend in fundraising since World War II was the increasing size of fundraising goals. Tracking Harvard's fundraising goals through the twentieth century illustrates the growth of fundraising in higher education. Harvard's campaign for $2.5 million for faculty salaries in 1904 was considered a lofty goal. By 1919-1920, Harvard had raised more than $14 million for endowment purposes; and by 1965 that amount increased to more than $82 million. During the 1990's, when billion dollar campaigns were being planned at a few institutions, Harvard announced a two-billion dollar campaign. Million dollar gifts are being overshadowed by multi-million dollar gifts such as the Walton Family Charitable Support Foundation which gave the University of Arkansas a $300 million gift to support undergraduate honors college and student scholarships (Schwinn, 2002).

The American Association of Fund-Raising Counsel, an association that tracks non-profit organizations, estimates that $240.72 billion were given to charitable organizations in 2003 (AAFRC, 2004). This compares to an estimated $143.8 billion that was given to charitable organizations in 1993

(AAFRC, 1996, in Kelly, 1997). The Independent Sector (2003), another association that tracks all non-profit organizations, identified 654,000 charities (registered as 501(c) 3 organizations), 140,000 social welfare organizations (registered as 501(c) 4 organizations), and 341,000 religious organizations for a total of 1.14 million independent organizations, which gave to charitable organizations in 2001. It has been estimated that 73 percent of all American households gave to at least one charity each year (Independent Sector, 1994 in Kelly, 1997).

Historically, charitable giving to all non-profit organizations has remained static at two percent of the gross domestic product even though tax incentives have been put in place to encourage greater giving. While tax reforms and capital gains tax repeals have been found to help increase the amount of money given to charitable causes, the overall percentage has not increased (Kelly, 1997). Since 1975, the amount of money given to charitable causes has increased steadily as the United States gross domestic product has increased. Since 1998, the percentage given has been above two percent of the gross domestic product after hovering just below two percent for the 20 years prior (AAFRC 2004). In relative terms, the percentage of the gross domestic product given to philanthropic causes has remained constant at two percent over the past thirty years. This is consistent with the percentages given through corporate pretax dollars, household income, and national income. Foundations are the only variations to this two percent

giving rule of thumb, which annually give five percent of their foundation assets (Kelly, 1997, AAFRC 2004).

Donor Motivation Theories

Kelly (1997) distinguished between philanthropy and fundraising. Philanthropy in its most basic form is the giving of money whereas fundraising is viewed as the getting of money. There is significant literature regarding donor behavior, but not much has been written regarding those whose job it is to ask and obtain the money for charitable causes. Kelly (1997) observed that full-time scholars and part-time student-practitioners conducting "one-shot dissertation studies" (Kelly, 1997, p. 139) perform most of the critical research in the fundraising area. Schervish (1997) concurs that extensive literature exists regarding volunteerism and giving but less on fundraising. There are articles written regarding fundraising success at specific institutions. However, these articles lack objectivity, as the author is usually affiliated with the institution. These articles deal with the best practices, but have little theoretical basis for the practices.

The United States was established upon the principle that "all men were created equal." However, when it comes to giving, everyone is not created equal. The 80/20 rule of giving holds that "80 percent of the gift total will come from about 20 percent of the donors" (Broce, 1986, p. 51). In recent years, this percentage has increased in that 90-95 percent of funds raised in

successful campaigns come from 5-10 percent of donors (Worth, 1993; Adams, 1993; Rhodes and Reichenbach, 1997). When it comes to an individual's ability to give, a great inequity exists; and donors who have the means to give are treated much differently than those who are of lesser means (Worth 1993).

Giving patterns across socio-economic status indicates a "U-shaped curve" (Pezzullo and Brittingham, 1993, p. 32.). Individuals with the least and most amount of money give the most as a percentage of their income while middle income individuals give less as a percentage. Successful fundraisers are able to persuade donors to give as a voluntary exchange of support, not by using coercion or intimidation. Successful fundraising campaigns typically have many repeat donors; therefore, gifts must be a voluntary exchange of the donor's willingness to support the cause or the donor may not contribute in the future. Additionally, donors want to give to causes for which they can take pride, not out of pity or apology. Fundraisers should not make donors feel burdened or guilty about needing to give to a particular cause. This takes the pride out of giving to a cause and reduces the fundraiser to a paid beggar (Rosso 1991).

There are many different explanations that have been examined for giving to higher education. The reasons individuals give to higher education are numerous, and their motivations for giving vary widely. There are a number of reasons donors give money. Some choose to help needy

organizations for charitable reasons. Other reasons for giving include the desire to buy friendship, or the opportunity to repay for an advantage received (such as college alumni giving back to their institutions); and some give out of egotism. Some donors give because of a possible advantage they will gain by giving, such as increased business as a result of giving or the avoidance of paying taxes (Pezzullo and Brittingham, 1993).

Schervish (1997) developed a conceptual model to help understand why people give. He conducted intensive interviews with millionaires and identified eight variables to help understand giving. The eight variables Schervish identified as having a significant motivation to giving were: 1) communities of participation, 2) frameworks of consciousness, 3) direct requests, 4) discretionary resources, 5) models and experiences from one's youth, 6) urgency and effectiveness, 7) demographic characteristics, and 8) intrinsic and extrinsic rewards. Schervish found that these variables facilitate giving and increase one's commitment level.

With roots in the field of sociology, the exchange theory (Ekeh 1974) found that some donors give in exchange for some benefit. These individuals give in exchange for a service, information, status, or other benefit that the institution can provide. In some cases, the exchange does not even have to be real but rather is a perceived exchange. This may occur when individuals give for a perceived change in status that occurs as a result of the gift (Ekeh, 1974.)

Similarly, this is consistent with Schervish's (1997) variable relating to communities of participation. Individuals who give are seeking to benefit as a result of their participation in the community or organization. Galaskiewicz (1985) theorized that donors give in exchange for the ability to exhibit power over an organization. This exchange comes about because the donor seeks to stockpile favors for a later time when the donor needs political favors or the appearance of goodwill as a result of the gift. These donors want to win friendship, respect, or prestige. As long as the gift is perceived as being without a direct benefit to the donors, most view the donor as being very generous.

At the community level, Prince and File (1994) labels these individuals as communitarians because they give to charity because it will help the community prosper, and in turn, help their businesses as well. Communitarians believe that it makes good sense to support your local community, and they look for a win-win relationship as a result of the gift to the organization. The organization will receive support from an individual, and the individual in turn, will receive recognition and the expectation that the organization will look out for the individual's needs. Ryan (1997) found that the most significant motivation for donors was "I value higher education." Ryan concluded that donors are "more likely to see a direct link between education and self-improvement. Communitarians view their donations as a means to improve their local community" (Ryan, p. 89).

Blum (2002) wrote about some of the negative effects regarding donors stipulating demands in exchange for a gift. Donors are increasingly using lengthy contracts and placing conditions on the use of the gift. Placement on governing boards, approval of architectural plans, and having input regarding the hiring process for an endowed chair are becoming more common as donors give. In exchange for the gift, the organization must be willing to do all that the donor expects as a result of the gift (Blum 2002).

Similar to the exchange theory, the marketing theory addresses donors who are giving as a direct result of the institutions marketing themselves to donors. Brakely (1980) addressed the need for institutions to use marketing strategies to help in the fundraising process. This includes using market research to help identify ptential markets, and develop a sales strategy. The institution and the fund raising goals need to be viewed as a product to be sold. As a result, institutions need to market themselves toward the market audience that could possibly provide support. Marketing is essential to the fundraising process. Effective development units have many repeat donors, and they encourage donors to make "rational" decisions about donating rather than using high-pressure sales tactics to get the one-time sale (Brakely 1980).

Prince and File (1994) characterized the "devout" donor as those who give to religious organizations out of moral or religious reasons. The devout donate due to feelings of moral responsibility and have a sense of obligation

because of their religious or moral worldview. They give because they believe there is symmetry between the gifts they have received from God and the gifts they can give to others. They attribute their wealth to God and choose to give towards what the donor believes is "God's work."

Like the devout donor, Prince and File (1994) characterized the "altruist" as an individual who gives out of a sense of moral responsibility, and they choose to embody the truly selfless donor. The altruist motivation for giving is for the "good feeling" that is received by doing a truly selfless act. The difference between the altruist and the devout giver is that the altruist is more commonly associated with the human potential or secular humanism movements, whereas the devout giver gives due to religious teachings. These donors are more likely to choose to remain anonymous than others who give because of the exchange that might take place. Because of their pure giving attitude, altruists view themselves as the only true philanthropists. This is consistent with Schervish's (1997) variables for motivating donors. Giving for internal or external reasons was one of the significant motivating variables that Schervish researched.

Some donors give because they have benefited from the institution and give back out of a feeling of obligation or gratitude. Prince and File (1994) labels these donors as "repayers." Schervish (1997) listed it as one of his motivating variables as, "models and experiences from one's youth" (Schervish 1997). Because donors have experienced firsthand the services

of the organization, they often become some of the most loyal donors the organization has and give in order to help the organization further their services to others. While donors who give for other reasons may utilize professional advisors, repayers often do not consider the tax, or exchange implications of their gift, but make the decision to give by themselves. These donors are more likely to give out of appreciation rather than guilt. Institutions which make donors feel compelled to give as a result of guilt or coercion often do long-term damage in the future. If guilt is the motivating factor for the gift, Panas (1984) determined that the average gift was not as large and the loyalty was lacking.

Some individuals give because of the economic implications that may result from of the gift. These donors give in order to help the organization but also to help their own tax or estate situation. Wealthy individuals often use non-profit organizations as tax shelters. Morgan (1977) examined the impact that taxes had on individuals whose income exceeded $50,000. The study showed that donors are less likely to give if there is no tax advantage for the donor. Pezzullo and Brittingham (1993) researched tax implications and economic conditions and have shown that greater tax incentives will encourage giving, but economic downturns do not have a significant effect on the impact of individuals giving.

One of Schervish's (1997) variables for giving is the ability to have discretionary resources. Individuals are more likely to give during good

economic times when they have the extra resources to give. However, giving is more limited when discretionary resources to give are more limited.

Prince and File (1994) found that these individuals believe that the money they give to non-profit organizations would have otherwise been paid to the government in the form of taxes. For "investors" avoiding taxes is a powerful motivator to give to organizations they choose to support. Donors who give for tax reasons, may not be the most loyal donors to the organization, but they would much rather give to an organization of their choice rather than to the government. When giving to an organization, donors plan their gift very methodically to make the most of their gift, in order to maximize the "return" they receive on their gift.

This motivation for giving has been developed into the equity theory (Homans 1961). It occurs when the reception of outcomes is proportional to inputs. The benefits received (outcomes) may be tangible and/or intangible. Donors give to the organization in order to receive an award or tax advantage that is tangible, and they also receive recognition that is intangible. Walster (1975) and Homans (1961) determined that there should be a balance between what the donor receives and what the recipient receives.

Andrews (1953) wrote that the motivation for some donors to give is for social reasons. These individuals are looking to gain social acceptance, status or approval as a result of their gift. For individuals motivated to give for social reasons, the amount of the gift is based upon social pressures placed

upon them by one or more of the groups to which these donors belong. These "socialites" according to Prince and File (1994) look for creative ways to give and raise money for non-profit organizations. They look for ways to give that involve entertaining themselves, and at the same time, raise funds for the organization. Socialites recognize that they are stereotyped and are defensive about the social benefits they receive from charitable efforts. Socialites refute such criticism and point to all the good that is done as a result of their efforts. Socialites tend to support organizations that have a good reputation and have visible and positive results. Donors who are motivated for the social aspect of giving expect to receive individual attention and formal recognition from the organization (Prince and File 1994).

Schervish (1997) found that the one motivation for giving is for demographic reasons. He found that individuals will give in order to belong to a certain demographic group. These might be individuals who give to belong to an important club or to on a particular list of those who gave a certain amount. Like the socialite, these individuals give because of external motivation to belong (Schervish 1997).

Contrasted with the socialite, the "dynast" gives not because of the social recognition, but rather because they have been taught since childhood the importance of giving to nonprofits. While some dynasts do give because of the social aspects, many give because it is a family tradition, and they have been taught that it is important to give. Many dynasts have inherited their

wealth and with it an expectation for continued giving. The socialite is more closely affiliated with the "new rich" whereas the dynast is associated with the "old rich" (Prince and File, 1994).

Dynasts are less likely to choose an organization because of its popularity; rather they more often support organizations that are aimed at helping the economically disadvantaged. They believe that nonprofit organizations are more effective than government programs and look for organizations that "make a difference." Dynasts examine the mission and motivation of nonprofits and expect the organization to stay focused on their mission (Prince and File, 1994). This is consistent with Schervish's (1997) donor motivational theory of "urgency and effectiveness." Individuals who give want to make sure their gift will be used effectively and appropriately.

A donor's motivation for giving can be related to Maslow's hierarchy of needs, where basic needs have to be satisfied before the next level of needs can be achieved (Brakely 1980). Brakely (1980) examined Maslow's theory and addressed this need-based abilty to give and found that donor behavior is based upon a number of psychological, social, and economic conditions. Conditions which help increase the likelihood of a gift include: 1) financial capacity to donate, 2) the appropriate individual requesting the gift, 3) a desire to help others, 4) identification with an admired organization, 5) satisfaction brought about through recognition, 6) desire to support an

organization, 7) social benefits from giving, 8) tax and estate benefits, 9) religious or moral belief to contribute.

The resource theory for donor motivation examines the exchange theory in a different way. While the exchange theory focuses on the transaction that takes place when a donor gives a gift, the resource theory focuses on the influence of resources in the exchange. Foa and Foa (1974) examined the objects of exchange that were received as a result of the gift. If a small donation is received from a donor, then a small gift is given in return from the University; whereas, a large donation from a donor might result in a college or a building being named after the donor. The resource that is given in return for the donation needs to be appropriate, otherwise the institution may risk losing future donations from the donor or others who may be considering donating to the institution.

The expectancy theory deals with the donors' desire to have certain consequences occur as a result of their donation. While the resource theory focuses on what the institution gives in response to a donation, the expectancy theory focuses on the donor. Donors who expect a certain response or consequence as a result of their gift were found to be more likely to give. As an industrial psychologist, Vroom (1973) presented two models that tried to predict the valence of outcomes and one that predicted movement toward action. The greater the achievement to the donor, the

more likely the donation will occur. The attitude of the donor was found to play a significant role in the donor's intention to give (Bagozzi 1981.)

As the literature reveals, there are many reasons why donors give to an institution. Development specialists in higher education institutions should attempt to identify the interests of donors of major gifts and match their interests to the needs of the institution. When there is a match between the donor interests and the institutional needs, true "philanthropic giving" occurs (Pezzullo and Brittingham, 1993, p. 31). Donors who give because they believe their gift can make a significant difference contribute additional major gifts more than those who fell compelled to give because the institution needs the gift for survival (Pezzullo and Brittingham, 1993).

Organization Theory

The purpose of this study was to examine the fundraising strategies and programs of successful development practices among student affairs departments that currently have a full-time student affairs development officer in decentralized development units at public institutions. Just as the number of reasons donors give are numerous, so are the ways in which support is sought by institutions of higher education. Before fundraising can begin on a large scale, the institution must internally organize their needs and priorities (Broce, 1986; Lindahl, 1992). The ways in which institutions are organized are numerous, and a set organizational structure that works best for all

organizations does not exist. Each institution has a unique culture, structure, and mission that will determine how the institution is organized (Scott, 2001.) This study utilized organizational theory to identify factors that make up student affairs development practices.

Understanding an organization's culture can help provide insight into an organization's management and performance. Tierney (1988) stresses the importance of organizational culture within higher education. The culture impacts how the institution is run and the overall performance of the institution. The organizational culture affects decisions, communication, and actions (Tierney, 1988).

Tierney (1988, p.61) developed the "Framework of Organizational Culture" and identified six key elements that make an organization's culture. These are environment, mission, socialization, information, strategy, and leadership (Tierney, 1988). The framework depicted in figure one, lists the element of the organizational culture, and the second column lists general questions that are to be considered when examining the elements. The six elements are defined as:

- Environment – internal and external circumstances, surroundings, conditions, etc.
- Mission – the goal of the organization or unit of analysis
- Socialization – patterns of interaction
- Information – communication and dissemination of knowledge

- Strategy – plan of action
- Leadership – primary guide for the organization or unit of analysis

Scott (2001) states "culture is a tool for understanding organizational settings." The main areas relating to organizational culture within higher education identified by Rhoads and Tierney (1990) are theories, organizational symbolism, defining disciplinary cultures, and the culture in American colleges.

Element	**Questions**
Environment	How does the organization define its environment? What is the attitude toward the environment?
Mission	What is the mission? How is the mission defined? How is the mission articulated? Is the mission used for a basis of decisions?
Socialization	How are new members socialized? How is it articulated? What do members need to know to survive/excel in the organization?
Information	What constitutes information? Who has it? How is the information disseminated?
Strategy	How are decisions arrived at? Which strategy is used? Who makes decisions? What are the repercussions for bad decisions?
Leadership	What does the organization expect from its leaders? Who are the leaders? Are there formal and informal leaders?

Figure One. A Framework of Organizational Culture (Tierney, 1988)

Fjortoft and Smart (1994) examined culture type, the level of mission agreement, and the effect on organizational effectiveness of four-year institutions. The researchers surveyed administrators, department heads, and trustees, examining their perception of the level of mission agreement, dimensions of organizational effectiveness, and dominant organizational culture. The study indicates that it is important to have both mission agreement and organizational culture that are compatible in order to have effective operation of four-year institutions of higher education.

Environment refers both to the internal relationships dealing with authority and communication and the external factors influencing the performance of the organization (Narayanan and Nath, 1993). Environments that are external to the organization but impact the organization greatly include task environment, industry/competitive environment, and macroenvironment. Task environments are the stakeholder entities directly related to the organization such as customers, suppliers, and competitors. Industry/competitive environment refers to the organization and its competitors. This includes the task environments but goes beyond it. Macroenvironment is the broadest type of environment and includes task and industry/competitive environments. Figure two demonstrates Narayanan and Nath's (1993) levels of environment. Italic emphasis has been added for the purpose of this study.

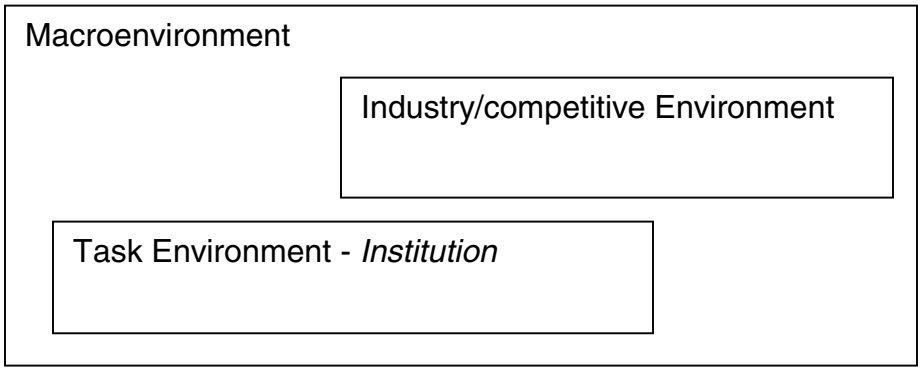

Figure Two. Levels of Environment (Narayanan and Nath, 1993).

Kast and Rosenzweig (1985) wrote about the importance of understanding the environment because principles and practices evolve as a result of the environment. Many organizations evolve and change in structure to become more efficient or effective. Kast and Rosenzweig (1985) described two types of organizational structures. The stable-mechanistic structure is more rigid, while adaptive-organic structure has more permeable boundaries. Similar characteristics within opposing structures will yield different results and are more appropriate for different organizational settings. Figure three lists Kast and Rosenzweig's (1985, p. 265) Organizational characteristics and structure. Forexample, within a university the organization structure for the law school may have a clear definition of tasks and roles, centralized decision-making processes, and formal activities due to the relatively fixed nature of the college. On the other hand, the development department may define tasks and roles based upon circumstances, share in decision making, and have less formal activities based upon the circumstances.

Organizational Characteristic	***Types of Structures***	
	Stable-Mechanistic	*Adaptive-Organic*
Openness to environmental influences	Relatively closed. Attempts to select and minimize environmental influences and reduce uncertainty	Relatively Open. Designed to adapt to environmental influences and cope with uncertainty
Formalization of activities	More formality, based on structure	Less formality based on structure
Differentiation and specialization of activities	Specific, mutually exclusive functions and departments	General, sometimes overlapping activities
Coordination	Primarily through the hierarchy and well-defined administrative procedures	Multiple means and interpersonal interaction
Authority Structure	Concentrated, hierarchical	Dispersed, multiple
Source of authority	Position or hierarchical	Knowledge and/or expertise
Responsibility	Attached to specific positions and/or roles	Shared by many participants
Tasks, roles, and functions	Clearly defined and specified in organizational charts, positions, descriptions, and so on	Loosely defined and determined by circumstances, mutual expectation, and so on
Interaction-influence patterns	Superior-Subordinate, hierarchical	Superior-subordinate, horizontal and diagonal
Procedures and rules	Many and specific, usually written and formal	Few and general, often unwritten and informal
Stratification (in terms of power, status, and compensation)	More difference between levels	Less difference between levels
Decision making	Centralized, concentrated toward the top	Decentralized, shared throughout the organization
Permanency of structural form	Tends to be relatively stable and permanent	Continually adapting to new situations

Figure Three. Organizational characteristics and structure (Kast and Rosenzweig, 1985, p. 265)

Over time most organizations change in structure. As these changes transpire, congruence between the structure of the organization and the environment needs to occur. In some organizations, interaction and communication maybe enhanced by a horizontal and diagonal structure rather than a vertical hierarchical structure with a centralized, concentrated authority structure. Examining the structure of the organization may help with this study to determine if one type of structure is more effective in student affairs fundraising than others (Scott, 2001).

The final issue concerning organizations is to understand the role experience plays in the effectiveness of a program. Defined as "the knowledge or feeling obtained through direct impressions (New Lexicon Webster's Dictionary, 1987). The cliché "experience is the best teacher," is often the case regarding an organization's programs and strategies. It is important to understand what experiences have occurred and how these experiences have shaped the organization. Assessing current programs and practices that are successful can lead to the development of additional programs in other areas that are also successful (Scott, 2001).

Bolger (1994) found that past experience is vital regarding funding sources. The study focused on the relationship of a university researcher and funding sources, including dependency on funding and past experience. By looking at the total number of funding organizations, frequency of solicitation, and the average annual support needed to sustain activities, the study

indicated that past experience strongly impacted one's preference in all cases, regardless of the level of dependency on external support. Experience is crucial within the organization as well as when dealing with the external environment.

Fundraising practices

Lindahl (1992) recommends using an organized strategic planning process to establish the direction, priorities, and needs of the university. Once these priorities and needs have been established, the university can begin to organize a strategy for raising the funds. While some institutions raise funds for specific projects as the need becomes apparent, most institutions utilize campaigns to focus the effort for raising funds within a specific amount of time (McGoldrick, 1993).

The most common process used in fundraising is a four-step cycle described in Worth (1993) and Penney and Rose (2001). The first step in development activities is to identify potential donors to the institution. This involves discovering those individuals, corporations, or foundations that may want to give to the institution. This process starts with the obvious. "Natural prospects" (Broce, 1986, p. 21) or constituencies already affiliated with the university are the best sources of future gifts. Everyone who has a current link to the institution including trustees, faculty, staff, and corporations working with the institution should be identified as potential donors. Next, previous

donors, alumni, and former students with connection or past link to the institution should be identified. Finally, those with an interest in the well-being of the institution including those in close proximity to the institution, season ticket holders, and those who have been helped by the university in one way or another should be identified. Many of those identified will not support the institution; however, the idea is to identify as many individuals as possible, and then cast them out during the next phase (Broce, 1986, Worth, 1993).

The second step is to cultivate the prospect into a potential donor. This involves narrowing down the massive list while matching the interest of potential donors with the needs of the institution, and then educating the potential donor of the need (Penney and Rose, 2001). "The Smith Fundraising Cycle" (Dunlop, 1993) divides this step into information and interest creating a five-step process that is similar to the four-step cycle in Worth (1993) and Penney and Rose (2001). During this step the institution must learn about the donors, and equally important, the donor must learn about the institution. Educating donors and developing their interest in the needs and priorities of the university is crucial in an effective campaign.

The third step is to solicit or ask for the gift. According to Shay (1993), the most difficult task in fundraising often takes the least amount of time. Cultivating a prospect can take a significant amount of time, but is not as difficult as asking for the gift. This is the time that is most difficult for most fundraisers. Developing the courage and skills necessary to ask an individual

for a gift is critical for success in the fundraising arena (Adams, 1993). Adams (1993) identifies six critical elements in a solicitation. According to Adams, the first element is to call and set an appointment with the donor, which can be the most difficult when trying to arrange schedules. During the arranged meeting, the second element is to share the vision for the gift, detailing how this goal will help the institution fulfill its need. The third and fourth steps are usually combined but both are necessary steps. The fundraiser is now ready to officially ask for a commitment from the donor (the third element), and then the fundraiser should ask for a specific amount of money (the fourth element). The fifth element is to thank the donor for their time and their commitment to the institution. Often the donor will want some time to think over the request or to consult with their spouse, accountant or other individuals important to the donor. The last step is to follow up about a week later to solidify the decision to give or not to give the gift (Adams, 1993).

The final step in the development process is stewardship. Anytime a gift is received some sort of thank you should be given back to the donor. Stewardship will vary depending on the donor, the size of the gift, and the institution. Stewardship can be as simple as a written thank you;or for a major gift, stewardship can be something permanent such as naming a building in honor of the individual. The critical point is to have an appropriate personalized form of thanking the donor for their gift. Whatever size the gift,

appropriate stewardship is critical for development practices (Penney and Rose, 2001).

There are many ways to organize fundraising and development efforts at a university. Most development or institutional advancement offices are multifaceted with fundraising being only one part of their operations. Other areas that might be found in a development program include public or external relations, alumni relations, and public information. These areas help accentuate the fundraising effort at an institution (Shay, 1993).

Fundraising departments may be divided by type of gifts given by donors. Greenfield's (1994, p. 12) "Pyramid of Giving" and Worth's (1993, p. 11), "Fundraising Pyramid" are similar models of donor giving. The base of the pyramid represents the number of donors giving to the institution. The height of the pyramid represents the amount of the gift given to the institution. The pyramid has a broad base of donors that give to the institution, but the amount of the gift per donor is small. These gifts are usually given to the institution's annual fund (Worth, 1993, Greenfield, 1994) in order to help the institution's annual budget needs. There are a variety of programs and methods used to raise these funds. The middle section in the fundraising pyramid is the major gift section. For some institutions a "major gift" is an amount over $10,000. Other institutions defined a "major gift" as one over $25,000. The term "major gift" is defined differently by each institution (Dunlop, 1993). The top section of the pyramid is for "ultimate gifts" (Worth,

1993) or “estate or planned giving” (Greenfield, 1994). The ultimate gift is “the largest gift that the person is ultimately capable of giving” (Dunlop, 1993, p. 98). Major gifts or ultimate gifts come from 10-20 percent of the donors, but represent 80-90 percent of the money given to a campaign (Worth 1993).

In addition to dividing the fundraising department by the size of gift from a donor, within an institution the development department is either centralized or decentralized. Typically, smaller institutions have a fundraising unit that is centralized and does all the development functions for the institution. Larger institutions often have decentralized departments that hire a development officer for a specific college within the university. The development officer reports to the dean or administrative head of the unit. The alumni are divided by their academic major and development officers are often responsible for coordinating the fundraising efforts among the graduates from a specific area. This allows specific areas within the institution to address their specific needs and to control their own fundraising success (Evans, 1993; Grace, 1993). As the development officer raises funds, unless otherwise specified, all the funds will go toward the officer’s specific area (Shay, 1993).

The decentralized model works well for the areas of the institutions that fall cleanly within the scope of the development officers; however there are some inherit problems in a decentralized system. In many cases, the areas that are not represented by a development officer can be ignored. Having

clearly established goals and priorities and communicating them are vital in a decentralized system. When dealing with donors who will give a major gift, there must be a procedure in place to determine when the president and other university fundraisers become involved. In a decentralized system, the issue of who has rights to a donor must be addressed. If donors are divided by major, which development officer is responsible for donors who have two degrees from the institution? Which development officer is responsible for a couple who both graduated from the same university but from two different colleges within the university (Evans, 1993)? Finally, how are needs addressed in areas that cut across all areas of the institution or are centralized within the university such as athletics, the library, or student affairs?

In recent years, student affairs divisions have started their own fundraising efforts to help address their goals and needs within the divisions. A 1997 survey of 150 members of the National Association of Student Personnel Administrators indicated that 85% of those surveyed are involved in fundraising on their campuses (Penney and Rose, 2001). While each institution organizes student affairs differently, Barr, Desler and Associates (2000) lists the major components of student affairs as: academic advising, career planning and placement, college unions, counseling, fraternities and sororities, housing and residential life, judicial affairs, minority student programs, recreational sports, and student activities. Within a decentralized

approach to development, these areas need to be represented in order to receive the proper support that is needed for their programs.

When fundraising for student affairs, it is not clear whether it is different than raising funds for a specific college within the institution. The literature regarding fundraising in student affairs is very limited revealing only two books written specifically on the subject, one chapter which was added to a textbook regarding the subject and one doctoral dissertation was written relating to the subject. Terrell and Gold (1993) and Penney and Rose (2001) help student affairs professionals become fundraisers. Terrell and Gold (1993) makes the case for student affairs fundraising while Penney and Rose (2001) wrote an outline of how to go about raising funds for student affairs. Barr, Desler and Associates (2000) have included a chapter about fundraising and development in the text on student affairs administration. Kroll (1991) researched the Midwestern liberal arts colleges and identified which colleges were participating in student affairs fundraising.

Conclusion

Historically, fundraising has been vital to an institution's survival and success. Fundraising has been a part of higher education since the founding of the first institution in colonial days. The reasons donors give to an institution are broad and complex. Fundraisers have to understand these reasons and understand the reasons why each donor gives to the institution.

As fundraising has evolved, institutions have developed complex development units to raise support. It is important to understand the organization's design, culture, and the environment involved in a development unit. In recent years, student affairs units have started raising support for needs within the unit. Because there is little written research regarding fundraising in student affairs, additional research needed to be conducted that would help understand the role of student affairs fundraising.

Research needed to be done regarding the fundraising efforts within student affairs programs in relation to the unit's design, culture, and environment. Research was needed to discover successful development practices at institutions that have a full-time development officer within the student affairs divisions, and this research should be compared to fundraising practices in other areas of higher education.

CHAPTER III

RESEARCH DESIGN AND METHODOLOGY

Introduction

The purpose of this study was to examine the fundraising strategies and programs of development practices among student affairs divisions that currently have a full-time student affairs development officer in decentralized development units at large public research institutions. This chapter will provide the framework for conducting this study including sections on research design.

Research Design

The research focused on answering the following research questions:

- For student affairs development programs, what factors are associated with best practices in fundraising?
- How do the institutions' development practices influence fundraising in student affairs?
- At institutions with a student affairs development program, what kinds of projects are supported by student affairs fundraising?

- Based on the identified factors for best practices, what types of programs and strategies can be implemented to increase opportunities in fundraising?

When fundraising for student affairs, it is not clear whether development practices are different for student affairs than raising funds for a specific college within the institution. The literature regarding fundraising in student affairs is very limited revealing only two books written specifically on the subject while a chapter has been added to a textbook regarding the subject and one doctoral dissertation was written relating to fundraising in student affairs. Terrell and Gold (1993) and Penney and Rose (2001) help student affairs professionals become fundraisers. Terrell and Gold (1993) wrote a book that makes the case and establishes the need for student affairs fundraising. Penney and Rose (2001) wrote an instructional workbook that outlines the proper protocol for raising funds relating to student affairs needs. Barr, Desler and Associates (2000) wrote a textbook used in student affairs administration classes. They added a chapter about fundraising and development in their second edition of their text on student affairs administration. Kroll (1991) researched the Midwestern liberal arts colleges and identified which colleges were participating in student affairs fundraising. Kroll's research consisted of surveying select liberal arts colleges to determine if they were involved in fundraising. The focus of this research

centered on development practices at institutions that have a full-time development officer within the student affairs divisions.

Case Study Research

Due to the void in research relating to student affairs fundraising, this study utilized qualitative research to identify the practices and principles utilizing case study methodology. Case studies are a qualitative research method that is used to conduct research studies. According to Lee (1999), there are four qualities that appear in qualitative studies. The first quality is that studies are conducted in a natural setting. Second, empirical data comes as a result of participation by the researcher. Third, the research design allows for flexibility based upon the study. Finally, instruments, observation methods, and modes of analysis are not standardized (Lee, 1999). The case study method examines the commonalities and the uniqueness of a person or a program. The goal is to fully understand the program (Stake, 1995). Creswell (1998) defnes the case study as "the exploration of a bounded system or a case (or multiple cases) over time through detailed, in-depth data collection involving multiple sources of information rich in context" Creswell (1998, p. 61).

Basic case study techniques included observing and participation, using interviews, document gathering and analysis, and using multiple means

of audiovisual data. Once data were gathered, the data were sorted, indexed, and organized (Lee, 1999).

Case studies have been used in higher education research studies through the years. Tierney (1991) used case studies to examine how higher education institutions construct and conceive knowledge. Tierney used multiple sources of evidence to examine a broad range of issues. A case study database was created to catalog and organize the data and was available for review by other researchers. Finally, Tierney maintained a chain of evidence tracing the research from question to conclusion (Tierney, 1991).

Methodologically, Scott (2001) conducted a study investigating development practices at historically black colleges and universities. The author examined three of the most successful fundraising programs in historically black colleges using the case study method. Scott (2001) observed the institutions and conducted interviews with key participants in the program. Using the interviews and written materials, Scott was able to identify successful fundraising practices at historically black colleges and universities (Scott, 2001).

Just as Scott (2001) examined fundraising practices at historically black colleges and universities, this study focused the development practices among student affairs divisions that currently have a student affairs development officer. Development practices are defined as events and practices that help raise funds for the student affairs division. The major

variables that were examined included the amount of money donated, the causes for which the money was donated, and best practices for raising money. The qualitative study involved the researcher conducting in-depth interviews at three successful student affairs development programs identified through the literature.

The researcher used the review of the literature and worked with the National Association for Student Personnel Administrators (NASPA) to identify institutions that have a full-time development officer. Through the identification process, the researcher worked with NASPA's national headquarters to identify five institutions that are recognized as leaders in student affairs fundraising. The NASPA headquarters verified that these institutions are leaders in the phenomena. Of the five institutions, three were initially identified for participation, and the other two were selected as alternates.

Data Collection Techniques

Stake (1995) wrote that the case study is a bound phenomenon that does not claim a specific method for data collection and analysis. Additionally, observation methods, instruments, and methods for analysis are not standardized in case study research. The techniques used in case studies must accurately reflect and provide understanding of the phenomenon being examined (Stake, 1995).

Prior to starting the research, permission was sought and gained from the institution's Institutional Review Board (IRB) to conduct the research. All research for this study was conducted within the parameters outlined by the IRB.

Once the institutions to be examined were identified, initial contact was made by phone with the development directors to be interviewed. A packet of information including a cover letter, abstract of the study, and a consent form was sent to the institution for their permission to interview and visit the campus. Once permission was received from the participating institution, the researcher visited each institution and conducted interviews with the key participants, including the development officer and the chief student affairs officer in the student affairs division. Once permission was received from both campuses, a follow-up letter was sent to identify those who needed to be interviewed and to request pre-visit materials to become familiar with the program.

During the visit, data collection included interviews, document analysis, and observation. Investigative visits to each of the institutions by the researcher were conducted. In-depth interviews were conducted with the chief student affairs officer and the development officer in the department. Additional interviews were conducted with other staff members involved in the fundraising process in order to triangulate the obtained data. Signed consent forms were obtained from each individual interviewed. Confidentiality for

each individual and the institution was maintained. Each interview was recorded and transcribed by the researcher.

In addition to interviews, observation was used to obtain data for the study. This allowed the researcher to examine the phenomenon in a natural setting (Stake, 1995). The physical setting, interpersonal interactions, conversations, activities and other subtle factors were observed.

Written materials dealing with development goals and strategies were used to help triangulate the interviews. All documents obtained for the purpose of this study were examined for authenticity and accuracy of sources. Documents were coded and indexed accordingly. Follow up visits helped provide feedback to the institution and to help clarify any questions and additional information that was needed. Follow-up after the visit utilized email and phone communication. A copy of the executive summary has been provided to the institutions that participated in this study.

Data Analysis Techniques

The analysis of data collected included ethnographic, constant comparative methods, and content analysis. Ethnographic analysis allows for a rich description of the organization and the culture that exists. Common themes during the data collection process were identified and examined following the visits. The constant comparative method will allow the researcher to benchmark and constantly compare categories of data that is

collected. Data from interviews, field notes, and written documents were compared to identify categories within the institution. Content analysis helped identify themes, recurring patterns, and techniques. Using the chosen methods allowed the data gathered to be analyzed in a rational, orderly, and coherent fashion. As recurring themes and categories were formed, findings and conclusions were analyzed to help answer the research questions.

Limitations

There were several limitations to this study. Because the researcher was the primary instrument for data collection, there were concerns regarding ability and ethics (Creswell, 1998). Case study investigators must rely upon instinct and remain unbiased while collecting data. The researcher must stay focused on answering the research questions and remain within the conceptual framework of the study. This study focused on major research doctoral granting institutions. Additional studies of different sizes and classifications of institutions might identify different strategies that were not identified at research doctoral granting institutions.

Validity, Reliability, and Generalizations

Internal validity was addressed in a number of ways. Triangulation, member checking, and peer examination were used to increase validity and reliability. Triangulation occurs when multiple sources identify data

consistently the same. Examination of the written materials helped determine accuracy through triangulated data that was discussed during an interview. Additionally, interviewing more than the development officer helped insure accuracy of the data. Member checking was conducted with those interviewed to check the accuracy of the data. By discussing tentative conclusions with those interviewed, the accuracy of the data was ensured (Stake, 1995; Creswell, 1998).

Reliability is the extent to which a study can be duplicated. Qualitative research is difficult to have consistent reliability. Stake (1995) identifies techniques the researcher can use to help strengthen reliability. By using multiple means of data collection, the accuracy of data is increased. Keeping accurate records help authenticate the findings of the researcher. Detailed records of how data is collected, analyzed, and conclusions are reached increase the accuracy of records (Stake, 1995).

Generalizations and comparisons can be made if descriptions are made that allow similar institutions to use the data at their institution. Being able to ensure validity, reliability, and generalizations is crucial for qualitative research. By adhering to the techniques listed above this study has the necessary validity and reliability.

Plan of Action

This study was carried out utilizing the detailed plan of action listed below.

1) Applied and received permission from the researcher's institutional review board (IRB) to conduct the proposed study.
2) Institutions were identified that have a full-time development officer conducting fundraising for the student affairs division.
3) Based upon written research and contact with NASPA headquarters, five institutions were identified to study. Three institutions were contacted and the other two were selected as alternates.
4) The development officer at the institution was identified and contacted by phone and explained the research study.
5) The proposed plan for the study was sent to the development officer. The packet of information included a cover letter, abstract of the study, and consent form. Follow-up calls were conducted approximately two weeks later with institutions that had not sent a permission letter or returned the consent forms.
6) After gaining permission from the institution to participate in the study, a letter was sent to request materials for the researcher to review before visiting the institution.

7) The researcher conducted campus visits to the institution and examined the fundraising strategies and programs in the student affairs division. Each visit consisted of conducting interviews, collection of materials, and observation of the unit.

8) The data were analyzed using ethnographic, constant comparative methods, and content analysis. Categories were developed to organize and identify data.

9) Follow-up communication by email and phone was used as needed to clarify and confirm original research.

10) The data were analyzed for conclusion development.

Conclusion

Because there has been little research done on student affairs fundraising, there was a void in the research. Determining the best development practices of student affairs is critical in the future as higher education institutions are expected to raise more of their own funds and become less dependent upon state funding for programs. This study adds to the literature regarding student affairs research by examining three institutions utilizing case study research in order to understand the student affairs development phenomena. As student affairs departments expand and implement new programs, it is vital for them to know where to look for support and be able to raise their own support if funding is not available.

CHAPTER IV

FINDINGS

Introduction

The purpose of this study was to examine the fundraising strategies and programs of development practices among student affairs divisions that currently have a full-time student affairs development officer in decentralized development units at large public research institutions. This chapter outlines the findings of the study.

The study was conducted in an attempt to answer the following research questions:

- For student affairs development programs, what factors are associated with best practices in fundraising?
- How do the institutions' development practices influence fundraising in student affairs?
- At institutions with a student affairs development program, what kinds of projects are supported by student affairs fundraising?

- Based on the identified factors for best practices, what types of programs and strategies can be implemented to increase opportunities in fundraising?

This study was conducted utilizing the case study methodology. The limited research identified institutions that had fundraising programs in student affairs. Additional institutions were identified through the National Association of Student Personnel Administrators (NASPA). NASPA headquarters confirmed that the institutions identified in the literature are leaders in the phenomena. Data for this study was collected through interviews, document analysis, and observation in order to provide a holistic description and explanation of the organization—the student affairs fundraising unit as the main unit of analysis—and the phenomenon —fundraising.

When examining institutions for this study a case study format was utilized. The fundraising units were examined using organizational theory in order to help provide a theoretical framework in which to examine each institution. The culture type and strength were examined throughout the study because of the impact on the organization and its effectiveness.

The first construct examined was to understand the culture of the organization. Culture can be used as a tool to help understand organizational settings and is the first area to be examined. According to Tierney's (1988) "Framework for Organizational Culture", the specific elements of an

organization's culture are the environment, mission, socialization, information, decision-making strategy, and leadership styles. Within the framework of this study, the six areas of focus were:

- Mission – the goal of the organization/unit of analysis, how is this mission defined and articulated to others.
- Socialization – patterns of interaction, how members get along, etc.
- Information – how knowledge is communicated and disseminated within and outside of the unit.
- Strategy – plan of action relating to helping the unit meet their goals.
- Leadership – the primary guide for the unit and techniques/skills used to direct the unit.
- Environment – surroundings, conditions, internal and external circumstances.

The second construct examined was the structure of the fundraising efforts in the development unit. When examining a unit, it is important to understand the structure of the unit and the dynamics which impact the unit, the division, the institution and the community. As part of this, it is also important to understand the members of the unit, the mission of the division and institution, the socialization process, the strategies that are implemented to disseminate information, and the leadership style for leading the unit.

These are all vital to understanding fundraising in student affairs. This section will outline the constructs of the study as explained in the conceptual framework.

The researcher examined the structure using organizational characteristics based upon whether they were stable-mechanistic or adaptive organic. Kast and Rosenzweig (1985) and Scott (2001) describe the stable-mechanistic structure as more rigid, whereas adaptive-organic structure permits a more open structure with boundaries that are more flexible. Each characteristic within the opposing structure will have different results based upon the organizational setting and the factors influencing them.

The third construct the researcher examined regarding this study was the role experience plays in the organizations. Positive and negative experiences can have a dramatic impact, or they can have a subtle influence on how the organizational unit works. Learning is a process that is developmental in nature; and individuals must learn from oneself, others, and experience. Organizations must learn, as well, from their histories and examine successful and non-successful strategies to help the organization have meaningful programs in the future. Organizational knowledge can be gained through successes and failures, and the lessons learned can impact the short-term and/or long-term performance. As organizations change and grow, it is important to understand the goals and ensure the learning that has occurred through experiences are applied to best attain the goals.

The final construct examined for this study is environment. It is vital that an appropriate environment exists in order for an organization to be successful. The correct environmental linkages have to be established, and developing new opportunities for growth are vital to having an appropriate environment. Figure 2 identifies Narayanan and Nath's (1993) "Levels of Environment." The task environment deals with the factors dealing directly with the organization. The next level is the industry/competitive environment and refers to the organization and its competitors. The macroenvironment is the broad environment that envelops the task environment and the industry/competitive environment. This construct addresses the levels of environment and the linkages that have been established at each of the institutions included in this study.

Three institutions were included in this study. For reasons of confidentiality, pseudonyms for the institutions are used. This chapter includes a general profile of each institution; a narrative of the visits, a description of the organization, and an examination of the data collected and analyzed using the researcher's conceptual framework. This chapter will address the findings of the research questions and the next chapter will synthesize the results and conclusions of the findings.

Eastern University

State, City, and Community Profiles

Eastern University is located in the rural section of a state in the eastern part of the United States. Eastern University is located in a small town which has rolling hills, green forests, and several lakes and rivers located nearby for recreational purposes. According to the 2000 census statistics, the city is relatively small with 12,000 residents. Census statistics indicate that the population is 85.8% white, 11.9% African American, 0.7% Asian American, 0.2% Native American, and 1.5% have a Hispanic or Latino origin. The largest sector of the labor force is higher education, followed by retail and service industries (United States Census Bureau 2000).

Institutional Profile

Eastern University serves as the flagship land-grant institution for this state. This institution was founded in 1889 as a technical and scientific institution and opened its doors to 446 students in 1893. The institution was an all male institution until 1954 when women were admitted as regular students for the first time, but they had to reside in their parent's home. In 1963, women were allowed to live on campus and take classes. Since Eastern University's founding in 1889, there have been 16 presidents. The current president is in his sixth year as the head of the institution.

Eastern University is a public, land-grant institution. The institution is classified by the Carnegie Foundation as a Doctoral/Research University-Extensive. The institution is located on 1,400 acres and an additional 17,000 acres of University farms and woodlands for the institution's research in forestry, agriculture, and agricultural engineering programs. The institution offers 80 undergraduate, 65 masters' degree fields, and 37 doctoral degrees. For the fall 2003, Eastern University had 17,016 total students. Of these, 13,813 were undergraduate students, and 3,203 were graduate students.

The mission for Eastern University, as listed in the institution's catalog and their website reads:

> To fulfill the covenant between its founder and the people of [Eastern State] to establish a 'high seminary of learning' through its historical land-grant responsibilities of teaching, research and extended public service.
>
> [Eastern University] is a selective, public, land-grant university in a college-town setting along a dynamic [Eastern] corridor. The University is committed to world-class teaching, research and public service in the context of general education, student development and continuing education. [Eastern University's] desire is to attract a capable, dedicated and diverse student body of approximately 12,000 to 14,000 undergraduate and 4,000 to 5,000 graduate students, with priority to students from [eastern state].

> [Eastern University] offers a wide array of high-quality baccalaureate programs built around a distinctive core curriculum. Graduate and continuing education offerings respond to the professions, while doctoral and research programs contribute to the economic future of the state, nation and world. The University emphasizes agriculture, architecture, business, education, engineering, natural resources, science and technology. The University also promotes excellence in education and scholarship in selected areas of the creative arts, health, human development, the humanities and social sciences. In all areas, the goal is to develop students' communication and critical-thinking skills, ethical judgment, global awareness, and scientific and technological knowledge. Students remain the primary focus of the University.
>
> Just as [Eastern University] values its students, the University also values its faculty and staff who have committed their talents and careers to advance its mission. [Eastern University] pledges to support their work, to encourage their professional development, to evaluate their professional performance and to compensate them at nationally competitive levels.

In addition to the mission statement, the vision statement for Eastern University as listed in the catalog and website is simply, “[Eastern University] will be one of the nation's top-twenty public universities.”

Student Affairs Division Profile

The specific unit that is examined in this study is the fundraising unit in the student affairs division. At Eastern University, the vice president for student affairs serves as the chief student affairs officer for the student affairs division. The division includes the following areas: campus recreation, university career services, counseling and psychological services, fire and emergency medical services, university housing, information technology services, multicultural affairs, judicial services, municipal court, parking services, law enforcement and safety, student health services, and the community services department.

The mission statement, vision statement, values, and guiding principles for the student affairs division for Eastern University are listed on the institution's website and informational materials.

> The mission for [Eastern University's] Division of Student Affairs is dedicated to creating and maintaining a safe, supportive campus community where every student is empowered to learn and succeed. Through programs, services and activities provided both on-campus and in the local community, Student Affairs seeks to meet the unique needs of each student while encouraging all students to develop into responsible adults and productive members of society.

Additionally, the vision statement for the student affairs division at Eastern University is:

> [Eastern University's] Division of Student Affairs will be a leader among land-grant universities in identifying and addressing the needs of an academically talented, diverse student body and the safety and security needs of the University community. Our programs, services and activities will exceed our community's expectations, increase student leadership and service, promote student academic achievement and alumni career success, and enhance student personal development.

The guiding principles and values for the student affairs division at Eastern University are listed as:

> Our primary role is the development of students and the protection of lives and property in the University community. We value student learning, individual rights and freedoms, self- responsibility and an orderly educational society. We believe that high-quality programs, integrated services, advanced technologies and attractive facilities are critical to the success of our University. We believe that intensive academic, employment and extracurricular experiences produce well-prepared graduates of our institution.

Profiles of Student Affairs Fundraisers

While Eastern University has a full-time development officer that works to raise support for the student affairs division, the development officer is not the only fundraiser within student affairs. The vice president for student

affairs and other student affairs professionals have key roles when raising support for student affairs. This section identifies the student affairs employees that have a significant role in fundraising.

Vice President for Student Affairs – The vice president for student affairs has served at Eastern University for the duration of the vice president's career. The vice president has worked up through the ranks of student affairs working in residence life, serving as the dean of students, and other areas of student affairs. The vice president earned a bachelor's and master's degree from Eastern University and has served as the vice president for more than eight years.

Director of Development for Student Affairs – The director of development for student affairs came to Eastern University as a graduate student to work on a master's degree. After earning a master's degree, the director worked for Eastern University for two years prior to leaving. The director returned to Eastern University to serve as the director for development for student affairs.

Director of the Career Center – The director of the career center at Eastern University is a career employee and has served in the career center for more than 20 years. Through the years, the director has developed relationships with business leaders and potential donors, and was at the forefront of fundraising in student affairs through the career center before a formal fundraising program was established in student affairs.

History of Fundraising in Student Affairs

Eastern University started fundraising in student affairs through the institution's student union. In the early 1990's, the long-time director of the student union stayed with the institution following his retirement. He worked with the vice president for student affairs to begin fundraisingfor a new student union building that was on the institution's long-range master plan. As a result, the first fundraising efforts focused on raising funds towards the new student union. After about six months, the retired student union director decided that fundraising was not his talent, and he chose to retire for good from the institution.

While this first effort did not work out, it did help establish the need for a full-time fundraiser for student affairs. The next development officer was a professional from the residence life office. This development officer worked with the long-time career center director who had established relationships with businesses that interviewed on campus. For a gift, the career center started naming interview rooms after businessesthat supported the center. Since that time, the career center has systematically given businesses the opportunity for naming the interview rooms, the conference room, and the center itself. Five years ago, the career center was renamed for the corporation that gave a major gift.

This fundraiser stayed for four years before leaving the institution. The next development officer for student affairs had a development background instead of a student affairs background. This officer stayed for three years

before transitioning to a different area in development at Eastern University. The fourth development officer for student affairs came from another institution in the region to work as the development officer. Like his predecessor, this officer had a fundraising background. He stayed four years before returning to his alma mater. The current development officer for student affairs has been in this position for less than a year. The director has a master's degree from Eastern University and worked in student affairs as a graduate student. Following graduation, the development officer started working in fundraising at a different institution before returning to Eastern University to work in student affairs fundraising.

Inclusion into the Study and Pre-Visit Information

When determining which institutions to include in the study, Eastern University was recommended for study by the NASPA headquarters. Because Eastern was not included in the written literature, the researcher inquired why the institution was recommended. The representatives at NASPA believed the development work in student affairs that was being conducted at Eastern had been overlooked, and the work was innovative and needed to be examined. Initially, the researcher dismissed this and did not want to include the institution in the study. However, during the visit to Southern University, which was selected for and is a part of this study, the vice president for student affairs also recommended Eastern be examined due to the creative ideas and programs that were being done in student

affairs fundraising. The researcher reconsidered Eastern University based upon the joint recommendation of NASPA and the vice president forstudent affairs at Southern University.

The student affairs development director at Eastern University was extremely helpful and excited to have the researcher come and examine their development program. The director viewed this as an opportunity for constructive feedback and improvement of their program. During the course of the visit, the director asked the researcher a number of questions regarding what other campuses were doing, and how Eastern was doing in relation to the other institutions. Everyone at Eastern University was very receptive to the researcher and answered the questions openly and fully.

Upon arriving on campus, the researcher learned that the student affairs development work at Eastern University is spread across campus. The office of the vice president is located in the main administration building. The office for the student affairs development director is located in the institution's foundation building. Additionally, the career center director also plays an instrumental role in fundraising for support of programs. The director is located in the student union building. However, while the key players for the student affairs fundraising programs are spread across campus, everyone involved works together well to advance the fundraising efforts.

Culture

The first construct examined for this study was the impact the institution's culture had on fundraising. Tierney's (1988) model will be utilized in defining this institution's culture. The specific elements of Tierney's model of organization's culture are the environment, mission, socialization, information, decision-making strategy, and leadership styles.

Mission. The student affairs division at Eastern University works to accomplish the mission of the institution by providing opportunities for fulfillment at the institution. The institution and the student affairs division place a heavy emphasis on student development within the mission statement. According to the mission statement, the institution is "committed to . . . student development and continuing education. To this end, Eastern University has established numerous programs and services to meet the needs of students in the student affairs area. The student development center, the career center, and the intercultural services departments are all examples of the institution attempting to meet the needs of students.

Eastern University is working to make the institution more diverse. The mission statement addresses this by stating: "[Eastern University's] desire is to attract a capable, dedicated, and diverse student body." The intercultural services department within student affairs helps to meet the needs of students from different cultures.

Eastern University is dedicated to public service. The student affairs division works closely with the local municipal police, fire, and judicial services

to help meet the needs of the institution and the local community. Additionally, the institution has a community service department within student affairs that helps students identify service learning and community development opportunities that are available in the local area. The community service department is actively workingwith professors to identify opportunities that will allow for service learning through the classroom.

Socialization. The socialization process at Eastern University begins with developing loyalty to the institution. Many of the employees who work in student affairs are either graduates of the institution or have been at the institution for a long period of time enabling them to develop a deep loyalty for Eastern University. The vice president has been at the institution for over 25 years working up through the ranks within student affairs. The institution has become family and there are many deep relationships that have been developed as a result.

Eastern University works to develop a strong sense of history and tradition with undergraduate students. The new student orientation helps to develop loyalty with students. The traditions that have been developed surrounding the campus programming, the athletic program, and the local community events help students connect with the institution. Given the institution is in a rural area, the institution provides many campus activities for students. There is a large following for the athletic teams, especially the

football team, and numerous opportunities for student involvement surrounding the football team.

Information. The student affairs development officer at Eastern University serves as a liaison between the student affairs staff and the foundation staff regarding student affairs fundraising information. The development officer works with the student affairs staff to identify the needs in student affairs, and then works with the public relations department in the foundation office to develop the information pieces to give to prospective donors. The majority of the information that prospective donors receive is in the form of direct mail targeted to the prospective donors.

The student affairs fundraising efforts at Eastern University includes using volunteer advisory boards to identify and ask potential donors for support. The development officer in student affairs provides information to the members of the advisory boards so they will have the information and materials needed for additional fundraising support. In some cases, the development officer will draft sample fundraising letters for the board members to adapt for sending out personalized fundraising letters or provide talking points for the board members to use when meeting with prospective donors. In other cases, the development officer will provide brochures and promotional data for the board members to give to target audiences.

The development officer for student affairs also works with the other members in the student affairs division to provide support for their fundraising

efforts. The career center has been raising funds for the center prior to the hiring of a full-time development officer. As a result, the development officer provides more of a supporting role for the director of the career center by providing information and prospective donor data.

Strategy. The fundraising strategy in the student affairs division at Eastern University has focused on the career center, parents, and unique requests. The earliest efforts in fundraising in the division were with in the career center, soliciting companies that were interviewing students on campus. Through the years, it grew and the need for a full-time development officer was explored.

Initially, the vice president for student affairs at Eastern University had to convince the foundation office and the administration that there was a need for fundraising in student affairs. The vice president commented that she had to convince everyone to “make a place at the development table for student affairs." The first development officer spent considerable time building the case for student affairs fundraising. Once the foundation office accepted that there was a legitimate need for a development officer in student affairs, student affairs had to address the issues involved with developing a prospect pool for student affairs.

One of the key issues to be addressed when fundraising in student affairs is the area of donor prospect management. At large institutions with a decentralized development approach, alumni are often divided by major in

order to determine which development officer can solicit alumni of the institution. If another development officer in a different area would like to solicit alumni, then permission has to be given from the initial development officer. Since the student affairs division does not have a dedicated prospect pool from which to draw, they have to have good relationships with the other development officers in order to develop a prospect pool of alumni.

At Eastern University, the student affairs office has identified another pool of prospective donors from which to draw. In addition to the alumni who have been supportive of student affairs, fundraising in student affairs also focuses on parents of current students. Eastern University has a strong parent's association that represents the families of more than 3,000 students. Parents pay an annual association fee to join and get newsletters and other communication from the institution. The parent's development board then solicits the members to help with development projects within student affairs. The development director commented that the volunteer board that works with the parents does a lot to raise support for the parents association. The parents' development board members write letters, make phone calls, and visit prospects with the development director as needed. The success of this program has led to parents continuing to support student affairs projects even after their student has left Eastern University. In addition to monetary support, parents have also contributed in other ways such as hosting recruitment events in their homes in states away from Eastern University.

Eastern University has been able to carve a unique niche in their fundraising efforts by working with parents.

The vice president for student affairs looks for creative ways to meet needs for support. Just as the vice president utilized parents to help raise funds to help meet the needs in student affairs, the vice president looks for opportunities to meet needs utilizing creative means. In one instance, the vice president worked with a donor to use his extravagant resort home in the local area as a guest house for performing artists on campus. In another instance, Eastern University worked with the local department store to market their residence hall furnishings to students. The vice president looks for ways to be creative in fundraising rather than merely asking for money.

Leadership. The vice president for student affairs at Eastern University provides the leadership for the fundraising efforts in student affairs. Officially, the development director for student affairs co-reports to thev ice president for advancement and the vice president forstudent affairs. However, the vice president for student affairs is the supervisor that provides the majority of the oversight. Initially, the vice president had to convince the advancement office and the administration that there was a need for a full-time development officer in student affairs.

The vice president takes a hands-on approach to fundraising and meets with the development officer a couple times a week to address the fundraising issues. By dedicating so much time to fundraising, the vice

president is not micromanaging the area as much as spending time dealing with an area that she enjoys. The vice president enjoys developing relationships with prospective donors and is very active in meeting donors. The vice president views fundraising in student affairs as one way to help provide support for the division. When a staff member wants to start a program that is a good idea but does not have any budget money for the program, the vice president will often try to get the program started in part by finding a donor to help with the program.

Structure

The second construct that was examined was the structure of the fundraising efforts in the development unit. This section will outline the constructs of the study utilizing the characteristics established by Kast and Rosenzweig (1985). The researcher examined the organizational characteristics at Eastern University based upon whether they were stable-mechanistic or adaptive organic in nature.

Openness to environmental influences. The student affairs development office at Eastern University has a stable-mechanistic structure regarding openness to environmental influences. The fundraising efforts at Eastern University impacts many departments, therefore it must be as stable and consistent as possible. Any significant increases and especially decreases in support need to be communicated with those in the division that would be impacted the most. By reducing or controlling environmental

influences, the fundraising program can provide stability and reduce uncertainty within the division.

Formalization, differentiation, and specialization of activities. The development program in student affairs at Eastern University has an adaptive-organic structure when examining the formalization, differentiation, and specialization of activities. The development director has specific responsibilities and is held accountable for them; however, the vice president for student affairs plays an active role in working with donors. Additionally, the director is a hands-on person and has support personnel to help with mail outs and projects; however, the director also helps with menial tasks and does donor research if needed. The development director will do whatever it takes to get a job accomplished including doing the mundane jobs if it will help accomplish the task at hand to move the program forward.

Coordination. The coordination between the development office and the student affairs office is adaptive-organic in structure. While there are established protocols at Eastern University for fundraising through the institution's foundation, they are not as formalized as at other institutions in this study regarding prospect management and donor research. In particular, the athletic department keeps a separate database regarding their donors. There have been times, when identifying prospects for student affairs, the development director has been able to find out additional information regarding donors by talking with the development officers in the athletic

department Also, there are times when the development director will coordinate with other development officers regarding prospect management rather than going through the prospect management office. The development director conceded that there were times when the coordination of alumni donors could be confusing and difficult.

Authority structure/Source of authority. At Eastern University, the fundraising program in student affairs has an adaptive-organic structure relating to the authority structure and source of authority. While the vice president and the development director are the principal fundraisers for the department, other individuals help with the development efforts as well. One of the key players in the student affairs fundraising efforts is the director of the career center. The career center was the initial focus of the first fundraising efforts, soliciting businesses that interviewed students on campus. Through the years, the career center has maintained the fundraising effort. As a result, the career center director has a good relationship with many of the decision makers at businesses interviewing on campus. The development director and the vice president for student affairs have used the career center director to help with developing additional prospects in industry that work with the institution and help others as needed.

Responsibility. The student affairs division at Eastern University has a stable-mechanistic structure when it comes to fundraising. The director of development for student affairs carries the responsibility for ensuring that the

support for student affairs programs is successful. The vice president is very supportive of the fundraising efforts and takes an active role in the process, but the vice president acknowledged that the director has to be proactive in letting the vice president know which prospects to contact or solicit. The director has a strong sense of ownership and responsibility over the unit. While the director has support staff to help with clerical needs, the director also helps as needed with clerical help as well because he likes to ensure the accuracy and timeliness of the work being done.

Tasks, roles, and functions. One of the leadership characteristics of the vice president for student affairs at Eastern University is that employees are encouraged to explore areas of interest that will help improve student affairs overall. This encouragement to be innovative into new areas is what led to the first fundraising efforts in student affairs. The result of the initial curiosity into fundraising is now a development program in student affairs. The vice president for student affairs has tried to balance the tasks, roles, and functions between a stable-mechanistic and adaptive-organic structure. While the vice president encourages innovation into new areas of student affairs, there is also a clear understanding that current responsibilities cannot be impacted by new opportunities or ventures.

The development work that was started in the career center has allowed the services to become enhanced and expanded as a result of the fundraising efforts. Working with parents was only a small part of student

affairs prior to fundraising in student affairs. Now fundraising efforts with parents are a vital role for the student affairs development officer. Involving parents has helped provide additional services and improved the communication between the institution and the parents. Future development efforts with the parents will be to increase the amount of money given to the institution, increasing the number of parents taking an active role in volunteering their time and effort for Eastern University, and maintaining support from parents whose students have graduated or are no longer students attending Eastern.

Interaction-influence patterns. The development director for student affairs at Eastern University primarily reports to the vice president for student affairs and to the vice president fora dvancement. At each of the institutions included in this research the development director had some form of dual reporting assignment. While the director reports to two vicepresidents, both supervisors would be considered a vertical hierarchy structure for the director. However, the director reports primarily to the vice president for student affairs. The structure for interaction and influence patterns would be stable-mechanistic in nature. At Eastern University, the development director meets with the vice president forstudent affairs on a regular basis to discuss fundraising needs and issues. While the development director meets with the student affairs vice president more often than the advancement vice president, the development director's office is located in the institution's

foundation office where the advancement vice president's office is located. This provides the development director with many informal opportunities to discuss issues with the advancement vice president on a regular basis. However, other than an occasional meeting with the advancement vice president, most of the supervision by the advancement vice president is through formal reports and monthly reports.

Procedures and rules. The development department for student affairs at Eastern University has procedures and rules in place regarding development work and would be considered stable-mechanistic in structure. There is a policy manual in place, and strict accounting and monetary guidelines are in place regarding fundraising. These guidelines originate in the advancement division and apply to all development officers across campus as well as the central advancement staff. There are other guidelines in place regarding dress code and ethical issues that advancement employees are to follow.

Stratification. At Eastern University, there are more than20 development directors that work to raise money for the institution. In the decentralized development approach, they work with specific units at Eastern University to raise support for the unit for which they are responsible. Overall there is a stable-mechanistic structure for the stratification in the development area. There is a set range of pay for development officers depending upon their experience and area of responsibility. The development director had

prior experience as a development director, and his compensation is within the pay range given his experience and responsibility. The only disparity with the development directors is regarding responsibility. The development directors who work with areas where alumni earn more money are able to raise more money as a result and are expected to have higher fundraising goals and expectations.

Decision-making. Within the student affairs development program, the key players have a lot of freedom within the unit to make decisions. This decision-making freedom is an adaptive-organic characteristic. The development director works closely with the vice president to make the appropriate decisions. However, the director has made development decisions prior to discussing them with the vice president and not had any problems. The director added that as long as the decision can be justified to the vice president then there is not a problem. The vice president also feels autonomy to address development issues without significant input from advancement or the president of Eastern University. The vice president keeps the president and advancement vice president informed on the progress of events but these are in the form of memorandums or reports with meetings on an infrequent basis.

Permanency of structural form. The permanency of structural form would be characterized as stable-mechanistic in nature. The vice president commented that, initially, a lot of work took place to convince the

advancement office that student affairs had a “place at the table” regarding fundraising. Since the first full-time development officer was a retired student affairs employee, the attitude was if the venture into fundraising worked out, then great; if it did not work out, then the development officer would go back into retirement not to be replaced. The efforts paid off, and the development program was established. As a result, the development department in student affairs has grown and has become firmly established.

Experience

The third construct the researcher examined regarding this study was the role experience plays in the organizations. Positive and negative experiences can have a dramatic impact, or they can have a subtle influence on how the organizational unit works. Learning is a process that is developmental in nature; and individuals must learn from oneself, others, and experience. This section focuses on how experiences have influenced the fundraising efforts.

According to the vice president for student affairs at Eastern University, the development program in student affairs has been a trial and error effort from the beginning. Initially, the student affairs vice president had to make the case for having a development officer. The advancement department did not realize the need for fundraising relating to student affairs, much less having a full-time professional devoted to development work in student affairs. The student affairs vice president convinced the president and the

advancement vice president to hire a development officer to see if there truly was a need. The first development officer was a retired student affairs employee, and if the experiment did not work then the officer would go ahead and retire for good. The experience paid-off and the first efforts convinced the president and advancement vice president to keep the position.

Once the justification had been made to keep the position, the first major hurdle for the development office was to develop a donor pool that had an affiliation with student affairs. Because alumni are initially assigned to development officers by major, the student affairs development officer had to start by identifying specific individuals that were involved in a student affairs area as a student. The development director then submitted the names to the advancement office to gain permission to approach them for support in student affairs. The major hurdle with developing the prospect pool was that every name had to be cleared through the development office. For development officers within the colleges, their pool of donor prospects grows naturally as students graduate from the college and become alumni of Eastern University.

One of the major lessons the vice president learned was that student affairs needed a pool of donor prospects that was unique to student affairs like the colleges within the institution have. At Eastern University, this issue was settled by allowing student affairs the access to all parents of current students. As a result, the development program now has a targeted pool of

prospects that grows each year with each new freshman class. The development efforts have included developing the Parents Association, the Parents Association Council, and most recently the Parents Development Board. Each of these boards evolved as the vice president and the development officers worked with parents. One of the current issues the development office is starting to address is keeping parents of former students active in their support of the institution. Many parents are very active in the Parents Association while their student is in college and then once the student graduates, the Parents Association no longer asks for support from them. The development director is working on forming a parents association for alumni. Virtually all of the work that Eastern University has learned regarding parents has been through experience.

Learning through experience has also taken place in the development work regarding the career center. The career center has been successful in soliciting businesses and corporations to support the center. Five years ago, a corporation agreed to give a specific amount of money each year for five years to have the career center named after the corporation. At the time of the agreement, the vice president and the former president agreed that the naming rights for the career center was for five years, at which time the corporation would have to give an additional gift to keep the naming rights for the career center. Three years ago, a new president started at Eastern University and has said that the corporation does not need to pay additional

money for the naming rights. In reviewing the gift agreement, the naming rights issue was left out, and the vice president commented that the mistake would not happen again.

Environment

The final construct for this study is environment. This section addresses the internal and external environment of the development unit. Narayanan and Nath's (1993) Levels of Environment identifies the different environments that exist at Eastern University.

Task Environment. The vice president for student affairs at Eastern University is a progressive leader and looks for ways to improve the departments in student affairs. The vice president encourages creativity and innovation to help provide a healthy working environment. The first development efforts started in the career center and expanded from there. The current development officer has a lot of new ideas he wants to apply and is encouraged that the vice president is open to ideas. One example of raising support by being creative includes soliciting parents of current students. The concert series at Eastern University is another example of meeting needs by being creative. The concert series needed support to increase the quality of artists that perform at Eastern. In order to meet the demands of the high-profile artists, additional needs relating to housing and hosting performers beyond the local hotel facilities were identified. The vice president identified a donor who enjoys music and has a residence including

a guest house that is used for entertaining. The donor not only gave money for the concert series but also donated the use of his guest house and property for the artists' use when performing at Eastern University. By using creativity to address the need, the development director and vice president were able to fund the concert series and meet the artists' lodging needs with one donor.

One of the major hurdles the student affairs vice president had to overcome was convincing the advancement vice president and the president of the need for a development officer in student affairs. Having a development officer in student affairs was a temporary experiment using a retired staff member. The experiment paid off and the position was permanently established.

There is a strong sense of loyalty among the staff members in student affairs at Eastern University. Many members of the student affairs staff have worked with each other for a number of years, and there is a good camaraderie between the staff members. The development director has worked with department heads in student affairs on needs in student affairs. Every year the Parents Development Board works with student affairs to identify specific projects for which the board can help raise money and meet the needs in student affairs. The vice president and the development director work with the other department heads in student affairs to identify the projects to take to the board.

Industry/Competitive Environment. The industry/competitive environment refers to the environment based upon external relationships outside the department and the institution. The student affairs development officer works with parents through the parents association and solicits support from them to help address the needs within student affairs at Eastern University. The majority of parents that give to Eastern University are not alumni from the institution, so the development officer in student affairs has to convince parents to support Eastern University considering the normal tuition and fees associated with their student. In addition, some of the parents are donors at their own alma maters.

Another challenge in the competitive environment comes from within the institution. Because money is involved, development work is territorial outside the institution. Institutions are careful not to divulge any gifts that may be forthcoming but have not been committed to the institution. Tremendous confidentiality is extremely important when working with donors, and development offices go to great lengths to protect information regarding donors and their giving history. Gifts are made public only with the permission of the donors. Donors that give major gifts are often treated individually and develop relationships with specific development officers or other administrators. The size of the gift impacts the treatment that the donor receives.

According to the vice president for student affairs, the territorial nature of development officers can overflow within the institution. At Eastern University, there have been occasions when the development officers do not want to share donors with other departments. According to the vice president, some donors want to give money to student affairs, but were first approached by development officers representing other areas at Eastern University. The development officers tried to convince donors to give to the department they represent rather than give to student affairs where the donor wanted to give. The vice president discussed how all money given to Eastern University supports the entire institution and development officers should not be so territorial regarding their specific area. The development officers lose sight of the overall picture which is to help the institution and not necessarily a specific department. The vice president encourages the development officers to work with each other and encourage donors to give to the institution where they choose rather than to a specific area that may not be their first priority.

Macroenvironment. The vision for Eastern University is to become one of the top twenty public institutions in the United States. Eastern University has undertaken a major initiative to develop a major regional industrial research park that will impact not only the state but also the regional area outside the state. The advancement office is working with some of the corporations that had previously helped the career center and other areas in student affairs. These corporations are now giving larger gifts to Eastern

University towards the development of the research park. The vice president for student affairs commented that while student affairs has lost some major corporate donors, the corporate donors are actually investing more money in Eastern University for research and development which will have a long-term impact on the institution which will ultimately impact student affairs. The vice president cited this as a good example of looking out for the overall good of the institution rather than just the student affairs division. This has caused them to look for additional corporate help in other industries to replace the corporations that had been supporting student affairs.

Summary

The vice president for student affairs at Eastern University has worked over many years to establish the student affairs development program. Initially, the vice president had to convince some staff in student affairs and others outside student affairs of the need for a development program. Once established the development program has become an effective support program for the student affairs division. The student affairs development program looks for creative and unique ways to raise support. At Eastern University, there has been a focus on raising support from parents and corporations. The vice president has worked to create an environment within the division and the institution that is receptive to the development efforts. Overall, the support that has been raised has enabled the division to become more effective and enhanced in the services it offers.

Southern University

State, City, and Community Profiles

Southern University is located in a rural area of this southern state. Located in a small city, Southern University is located approximately halfway in between two major cities. The rolling hills and trees surrounding the campus give the campus and local community an isolated rural feel to the area. According to census statistics there are approximately 133,000 residents in this city. Census statistics indicate that the population is 72.7% white, 11.4% African American, 4.5% Asian American 0.4% Native American, and 18.8% have a Hispanic or Latino origin. (According to census definitions, person with Hispanic or Latino origins can indicate that they are white, explaining the greater than one hundred percent total.) The major industries are higher education followed by research and technology based industries as a result of the higher education (United States Census Bureau, 2000).

Institutional Profile

Southern University serves as the flagship land-grant institution for this southern state. The institution was founded as an all-male institution in 1876 with 442 students. In 1963, women were allowed to enroll as regular students and work towards earning a degree. There have been 22 presidents and the current president is in his third year of service.

Southern University is a public, land-grant institution. The institution is classified by the Carnegie Foundation as a Doctoral/Research University-

Extensive. The institution has over 100 buildings residing on over 5,200 acres, including agriculture and research farms. The institution offers 101 Bachelor's degree fields, 121 Master's degree fields, 80 Doctoral degree fields, and one professional degree. For the fall 2003, Southern University had 44,813 total students. Of these 36,066 were undergraduate students, 8,192 were graduate students and 504 professional degree students.

The mission for Southern University is listed in the institution's catalog and their website. It reads:

> [Southern University] is dedicated to the discovery, development, communication, and application of knowledge in a wide range of academic and professional fields. Its mission of providing the highest quality undergraduate and graduate programs is inseparable from its mission of developing new understandings through research and creativity. It prepares students to assume roles of leadership, responsibility, and service to society. [Southern University] assumes as its historic trust the maintenance of freedom of inquiry and an intellectual environment nurturing the human mind and spirit. It welcomes and seeks to serve persons of all racial, ethnic, and geographic groups, women and men alike, as it addresses the needs of an increasingly diverse population and a global economy. In the twenty-first century, [Southern University] seeks to assume a place of

preeminence among public universities while respecting its history and traditions.

The Statement of Vision and Values for Southern University are described as follows:

> People are [Southern University's] most valuable asset. The University strives to maintain an environment which encourages all employees to achieve their personal and professional goals and aspirations as we work toward achieving the University's mission. In this environment, each person's individuality and contributions are respected.
>
> [Southern University] recognizes that all people have rights at work, including the right to be treated with respect and dignity, the right to be recognized and rewarded fairly for performance, and the right to a work environment free from discrimination and harassment. The University is committed to these rights. All people at [Southern University] are expected to treat each other in accordance with these rights.
>
> [Southern University] recognizes that people have needs at work. We need adequate facilities, equipment and resources to perform our jobs. We need training and development to allow us to make effective decisions, and to grow personally and professionally. We need understanding with regard to our family-related

responsibilities. The University is committed to strive for a work environment where these needs are met.

> [Southern University] recognizes the importance of communication, and is committed to an environment which stresses open sharing of information and ideas, and values input from all people. [Southern University] will strive for a work environment in which all people accept responsibility to contribute to the success of the University, and are empowered to do so. Finally, for this vision to become reality and endure, it must be continually communicated, supported and upheld.

Student Affairs Division Profile

The specific unit that is examined in this study is the fundraising unit in the student affairs division. At Southern University the vice president for student affairs serves as the chief student affairs officer for the Student Affairs division. The division includes the following areas: multicultural services, recreational sports, residencel ife, student activities, student counseling services, student health services, student life, student life studies, memorial student center, university art collections and exhibitions, emergency medical services, and the military science program.

The mission statement, vision statement, values, and guiding principles for the Student Affairs Division for Southern University are listed on the institution's website and informational materials. The mission for student

affairs is: "Our mission is to facilitate student learning both in and out of the classroom by providing continuously improving, high quality services and developmental opportunities while fostering an inclusive campus community in support of the educational mission of [Southern University]."

Additionally, the student affairs division for Southern University lists their vision statement as:

> The Division of Student Affairs' vision is that students will graduate from [Southern University] as individuals of character, competence, integrity, tolerance, and vision; committed to a life of service and leadership; capable of making ethical decisions; and prepared to function successfully within a diverse, multicultural, and international world.

The core values for student affairs at Southern University are identified as caring, diversity, respect, integrity, excellence, and service.

Profiles of Student Affairs Fundraisers

The development officers for student affairs at Southern University have the primary responsibility for raising support for student affairs. However, the vice president for student affairs and other student affairs professionals that are not in the development department that have a vital role for raising support. This section identifies the student affairs employees that have a significant role in fundraising.

Vice President for Student Affairs – The vice president for student affairs is in his first year as vice president at Southern University. The vice president served in a similar position at another institution before coming to Southern University. The vice president has been in student affairs work for over 20 years, at several institutions across the nation. The vice president has a doctorate in higher education.

Associate Vice President for Student Affairs – The associate vice president for student affairs graduated from Southern University more than 15 years ago and has worked at Southern University for more than 12 years. The associate vice president has a doctorate from Southern University. The associate vice president has development experience and serves as the liaison for the development offices for student affairs.

Director of Development for Student Affairs – The director of development for student affairs graduated from Southern University more than ten years ago and has served at Southern University for the past five years. The development director worked for the institution's foundation prior to becoming the development director.

Director of Development for the [Military Science Program] – The director of development for the [military science program] graduated from Southern University in 1960. The director worked for the government for 30 years prior to retirement. Following retirement, the director worked as an

investment advisor before coming to work for Southern University in 2000 to work as the development director.

History of Fundraising in Student Affairs

Southern University has been actively raising funds for student affairs for more than 20 years. The vice president for student affairs began raising funds in order to help stabilize programs in student affairs that were being affected by institutional budget cuts. The first fundraising efforts focused on the institution's military science program which reports to the vice president for student affairs. The first full-time development director in student affairs was hired in the mid 1980's to seek major gifts from alumni who were part of the military science program.

The first full-time development officer was a retired military officer of thirty years who is a graduate of Southern University. The institution was conducting a capital campaign, and the development officer was one of the positions that were added to help raise money for the area. Following the campaign the position was retained and the development officer continued to raise funds for the military science program and student affairs. The development officer stayed for six years before resigning to enjoy retirement.

Knowing the development officer's intention to retire, the student affairs vice president sought to hire a replacement officer to learn the position. A younger development professional was brought in and added to the student affairs fundraising efforts. The new development officer focused on

expanding the fundraising efforts beyond the military science into other areas of student affairs. The officer was successful in raising funds for student affairs; therefore when the existing development officer retired, the institution kept the two positions rather than consolidating down to one position. Currently, there are two development officers in student affairs at Southern University.

In 2000, the current development officer for the military science program was hired to focus on fundraising within the program. The officer retired from public service after thirty years and works at Southern University to give back to the institution. The development officer indicated that one day he will retire for good from Southern University, but he said he likes his job too much to retire at this time.

The current development officer for student affairs just started in this position in the last year after serving Southern University in fundraising in a different department. The officer has worked at Southern University for the past four years.

Inclusion into the Study and Pre-Visit Information

When examining the literature relating to fundraising in student affairs, Southern University was listed in the literature as one of the first institutions to establish a formal fundraising program in student affairs (Penney and Rose, 2001). NASPA confirmed that Southern University was a leader in student

affairs fundraising. Southern University has proven to be one of the leaders in the area. As a result, Southern University was included for this study.

Due to scheduling conflicts between the researcher and the key players in development work at Southern University, there was a several week delay between the initial contact and consent, and the opportunity to actually conduct the formal visit to Southern University. The associate vice president for student affairs arranged the visit and was very accommodating. The associate vice president worked as a development officer prior to joining student affairs and was very helpful identifying the particulars relating to fundraising in student affairs at Southern University and coordinating the entire visit.

While many of the student affairs offices at Southern University are located in a student services building, the development offices for student affairs are located in the student union for the institution. By state law, the development offices cannot be located in academically-related buildings, so the development offices are located in the student center since the center is considered an auxiliary unit for the institution. The buildings are located across from each other and allow easy access for the key players in fundraising to see each other without having to go across campus to meet.

Culture

The first construct examined for this study was the impact the institution's culture had on fundraising. Tierney's (1988) model will be utilized

in defining this institution's culture. The specific elements of Tierney's model of organization's culture are the environment, mission, socialization, information, decision-making strategy, and leadership styles.

Mission. The student affairs division works to accomplish the mission of the institution and the division by providing opportunities for fulfillment. The student affairs division provides opportunities for leadership and student development. The institutional mission statement states "it prepares students to assume roles of leadership…." Additionally, the student affairs vision statement states that students should be "committed to a life of service and leadership." Within the military science program, residence life, the student life, and student activities programs, leadership opportunities abound linking student learning and leadership. One of the key areas for fundraising within student affairs is in the area of leadership development in the military science and other student affairs programs.

Southern University has a strong heritage and works to actively teach the history and traditions of Southern University to students. Within the mission the institution, "seeks to assume a place of preeminence among public universities while respecting its history and traditions." There are numerous programs throughout the student affairs division that help teach the traditions of the institution. Students are first exposed to the history and traditions of the institution in new student orientation. Students in the military science program are required to learn extensive history and traditions of the

institution as part of their basic training. Southern University spends significant time and resources trying to teach the history of the institution and celebrate the traditions of the institution. The student affairs fundraising program focuses considerable time and energy on raising support for the traditions of the institution. The fundraising efforts often focus on establishing endowments for the program so the tradition will be able to continue in the future without worrying about budget cuts when the institution has a decline in revenue.

Southern University "seeks to serve persons of all racial, ethnic, and geographic groups . . . addressing the needs of an increasing diverse population and a global economy." Within student affairs, the mission statement addresses the need to "foster an inclusive campus community." Within student affairs the multicultural services department, works to "enhance the personal and academic success of students by preparing them to lead in a multicultural world." One of the areas of focus for the student affairs fundraising is to provide support for the multicultural programs in order to help ensure that they will be able to continue and expand in the future.

The student affairs division works "to facilitate student learning both in and out of the classroom." There are many learning opportunities outside the classroom within student affairs. Opportunities for learning through the military science program, the fine arts programs and exhibitions, and the student life programs are key programs within student affairs. The

development officers within student affairs work to provide support for these areas.

Socialization. The socialization process at Southern University begins for students during the new student orientation. The loyalty that is developed during the undergraduate experience often turns into lifelong loyalty for many graduates. As a consequence, many of the staff members working at Southern University are graduates of the institution. They already have loyalty to the institution and are willing to share their experiences with others.

All of the personnel in the student affairs development office, including the support staff, are graduates of Southern University. Each of the development officers and the associate vice president for student affairs that supervises the development operation has worked at Southern University for less than ten years. However, prior to working at Southern, each was active with the institution's alumni association. As a result, they all have a tremendous loyalty to the institution and enthusiastically talk about the opportunities for support within student affairs at Southern University.

Student affairs staff and administrators who are not graduates of Southern University, including the vice president for student affairs, often have a lot to learn when first arriving on campus. New employees are expected to learn the heritage and traditions surrounding Southern University and develop the same loyalty that is developed in students. "From the outside you cannot understand it, and from the inside you cannot explain it"

was one of the sayings the development director for student affairs used to provide insight into the uniqueness of Southern University. The institution has a new staff orientation which helps new staff members learn and understand the culture of Southern University. The vice president acknowledged that while he is still learning the culture of Southern University, everyone at the institution has embraced him and is helping him understand the culture.

Information. Southern University utilizes many forms of communication in order to disseminate information within and outside of the student affairs division relating to fundraising. Depending on the prospect, fundraising efforts utilize direct mail letters, telemarketing, and personal contact. The institution's foundation also provides general communication and public relations support relating to the overall development goals of the institution.

The majority of prospective donors are solicited using telemarketing and direct mail letters. The development officers work with the institution's foundation office and the various department heads within student affairs to identify prospective donors. Once the prospective donor list is developed, a direct mailing is sent to the prospect informing them about the need in student affairs.

Southern University follows up by conducting phone call utilizing the institution's telemarketing center at the foundation. The telemarketing efforts

have success reaching donors who want more information regarding the needs in the student affairs program. Historically, telemarketing has been an effective method of gathering support. At Southern University, the foundation employs current students to do the calling. The students are able to give a current student perspective regarding the campus. A secondary objective of the direct mail and telemarketing is to ensure that the institution has the correct contact information regarding the prospect.

The current fundraising efforts within the student affairs office are focused on major gifts of $25,000 or more. Many of these gifts are directed toward building endowment funds for specific programs. The development officers utilize personal visits for donors capable of giving major gifts. The development officer depends upon the volunteer advisory board to provide him with names, contacts, and information relating to potential donors.

Within the student affairs division the development officers work with the other student affairs professionals to make sure everyone has the proper information regarding fundraising issues. The development officers work with the other student affairs employees to help them understand the importance of fundraising and their role in the fundraising efforts. The more information student affairs professionals have regarding the fundraising efforts, the better able they are to help give accurate data and answer questions that will help the development officers as they raise funds for the division.

Strategy. The primary focus of student affairs division at Southern University is to seek major gifts of $25,000 or more. The majority of the development directors within student affairs through the years have been retired alumni that give back to Southern University. The current development director for the military science program retired after thirty years of government work. He admitted that he does not need the salary he receives for his work, but he does it for the love of being around the institution. His work gives him the ability to catch up with other alumni and talk about the "great things that are happening at [Southern University]." The development director uses his age to his advantage, in that he focuses a lot of attention on prospective donors that are retired like him and have the ability to give to the institution. Because of this, the director is able to focus on major gifts.

The student affairs fundraising efforts are dependent upon the advice and support that are given by the volunteer advisory boards. Southern University utilizes advisory boards extensively as a means to keep alumni involved and develop additional donor prospects. The development director for military science commented that he preferred to take board members with him when he visits prospective donors because the board member will end up doing most of the work. The board member often times will schedule the meeting, make the introductions, and do most of the talking regarding Southern University. The development director said he fills in the details the

board member missed and asks for the gift. Additionally, the development director said that there are some board members that will even ask for the donation, thus doing all of the major tasks.

The development director who focuses on military science said that he does not spend much time strategizing regarding to fundraising. He said he visits whomever he is told to visit and ask for money. According to the development director, the vice president for student affairs and the associate vice president for student affairs determine the strategy for fundraising in the division. In talking with the associate vice president, he was adamant that the director was being humble and is an active participant in setting the fundraising strategy and is a very effective fundraiser.

Southern University has a rich history and has established many traditions that the institution wants to continue into the future. In the past, fundraising efforts have focused on bricks and mortar projects including renovation and enhancement of the student union and other building projects. However, the current focus for fundraising in student affairs is on raising money for the endowment of specific programs relating to specific traditions. By endowing funds for traditions, the traditions will be able to continue well into the future.

Leadership. At Southern University, the student affairs development officers receive their salary through the foundation office. The office support staff and office supplies are budgeted through the student affairs office. The

associate vice president for student affairs has fundraising experience, and he supervises the budget and overall performance of the staff. Southern University is currently in the middle of a campaign, thus the leadership for the development officers is coordinated very closely between the foundation office and the vice president for student affairs. The vice president for student affairs and the associate vice president for student affairs determine which programs and departments need to be emphasized, while the foundation office determines which prospective donors can be solicited.

As confusing as the organizational chart lines appear between student affairs and the foundation regarding the student affairs development office, the office is effective. Everyone associated with fundraising in student affairs area works well together and deflects credit away from themselves to other members in the area. The development directors work well together, and while they have specific prospects for which they are responsible, they also help each other with large projects when needed.

Structure

The second construct that was examined for this study was the structure of the development unit and their fundraising efforts. Kast and Rosenzweig (1985) outlined organizational characteristics that are either stable-mechanistic or adaptive organic in nature. This section will examine the structure of the development department at Southern University utilizing the characteristics established by Kast and Rosenzweig (1985).

Openness to environmental influences. The overall structure for the development office for student affairs at Southern University is stable-mechanistic, including its openness to environmental influences. The development effort in student affairs, especially the military science program, provides support for many departments. The development program has to be as constant as possible. Any drastic fluctuations in the program can have a significant impact on the division. As a result, the development office seeks to limit the environmental influences from outside the unit that can impact the overall performance.

Formalization, differentiation, and specialization of activities. Southern University's development program in student affairs has a stable-mechanistic structure when examining the formalization, differentiation, and specialization of activities. The fundraising efforts are formalized and everyone involved knows their individual responsibilities. The department has been established long enough to have the proper policies and procedures in place establishing the proper boundaries for everyone working with the fundraising efforts. Clear lines of distinction exist within student affairs and the foundation divisions regarding specific job descriptions and job functions.

Coordination. The coordination of programs and events within the development program in student affairs at Southern University is stable-mechanistic in structure. All events and procedures between the foundation office and the student affairs office are closely coordinated and orchestrated.

Southern University's foundation coordinates the prospect management and donor research with all of the institution. The vice president for student affairs and the associate vice president work with the development officers to coordinate the fundraising strategy. Southern University has well established protocols for fundraising and the development directors comply with these protocols in their working with donors.

Authority structure/Source of authority. Southern University has a well-established hierarchy and authority structure that would be considered stable-mechanistic. Within the organizational structure, there are clean lines of reporting and the development directors know to whom they report. The development directors work with the vice president for student affairs and the associate vice president to move the student affairs development program forward.

Responsibility. The development directors are responsible for the fundraising efforts in student affairs at Southern University. The structure would be considered stable-mechanistic in nature. The development director for the military science program focuses the majority of his time on raising funds for this particular program, and the development director for student affairs focuses on all the other areas in student affairs. The vice president and the associate vice president provide the leadership necessary to establish the direction and work with the development directors to implement the fundraising program. The development director in the military science

program retired after working for the government for thirty years; and he enjoys fundraising and is not looking for more responsibility, nor is he looking for others to help him with his work. The development director wants to be solely responsible for his work and his work alone.

Tasks, roles, and functions. The tasks, roles, and functions of the development program in student affairs at Southern University are stable-mechanistic in structure. Because the development function at Southern University is well established, the tasks, roles, and functions have been identified and assigned accordingly. The two development directors servicing student affairs have delineated the tasks, roles, and functions in order to avoid crossover and confusion. According to the development director for military science, there have been some exceptions on a few occasions when he has crossed over to help the student affairs development officer. In every case, his involvement was because an older donor felt more comfortable with a development officer who was closer to the donor's age. He admitted that age does have an advantage on occasion.

Interaction-influence patterns. The interaction-influence patterns in the student affairs development department at Southern University would be considered stable-mechanistic in structure. There is a very superior and subordinate hierarchy in place. Southern University's student affairs development department reports to both the vice president ford evelopment and the vice president for student affairs. The student affairs vice president

and the associate vice president work with the development directors to determine the direction, strategy, and implementation of the fundraising needs. The associate vice president for student affairs has development experience and plays an important role by working with the development directors to help prioritize the needs for student affairs.

Procedures and rules. Southern University has rules and procedures in place for development department in student affairs. The established procedures and rules would be characterized as stable-mechanistic in structure. The rules and procedures primarily originate in the development division and relate to everything from dress code to design protocols for publications. These procedures help ensure the quality and consistency across campus. Other rules and procedures are in place regarding legal and ethical issues surrounding the accounting of funds donated. There are strict accounting and fiscal guidelines in place regarding fundraising.

Stratification. The stratification of the development positions at Southern University would be characterized as stable-mechanistic in nature. Because Southern University tends to be stable-mechanistic in all areas, the development area is no different. With over 20 development officers in the foundation, there is some cohesiveness regarding compensation and responsibility. The compensation scale is dependent upon the development officer's experience and responsibility. While the officers did not divulge their

salary, they did indicate that they are compensated fairly for their level of responsibility.

Decision-making. The development director for the military science program commented that he takes his orders from the vice president and associate vice president. The decision-making process regarding fundraising decisions would be characterized as stable-mechanistic in nature. The development directors give input, but the decisions regarding the direction of the development work comes from the vice president and associate vice president. The centralized decision-making process is typical at Southern University and works well with the overall culture of the institution.

Permanency of structural form. The development program in student affairs would be characterized as being very stable-mechanistic in nature. The program has been in existencefor more than 20 years, and there have been two development officers for more than five years. The student affairs development program has been successful and stable within the department. The only changes that may be made in the future will be changes in the development officers. The development director who works with the military science department retired from public service and indicated that he enjoyed his work and would stay as long as he could do a good job and enjoy his work.

Experience

The third construct the researcher examined regarding this study was the role experience plays in the organizations. Being able to learn from the positive and negative experiences can have a dramatic impact on the organization and how the organizational unit works. Organizational knowledge can be gained through successes and failures, and the lessons learned can impact the short-term and/or long-term performance. This section focuses on how experiences have influenced the fundraising efforts at Southern University.

The student affairs fundraising program at Southern University depends on experience to be successful. Currently, one of the two development officers is a retiree from the public sector after thirty years of service. There was at least one other development officer who retired from a previous career before becoming a student affairs development officer. These officers have had success because of, not in spite of, their age. Until 1963, every regular undergraduate student was required to participate in the military science program. As a result, a large number of alumni had been in the military science program at Southern University and many of them are retired. The development efforts with the military science program has focused on major gifts from older alumni who are financially able to give major gifts of $25,000 or more.

Environment

The final construct examined for this study is environment. This section addresses the internal and external environment of the development unit. Identifying the correct environmental linkages that help the unit be successful and develop an appropriate environment is crucial in fundraising. Narayanan and Nath's (1993) Levels of Environment identifies the different environments that exist at Southern University.

Task Environment. The internal environment in the student affairs division at Southern University is formal and professional. The formality of the environment is reflective of the overall working environment at Southern University. There is a lot of respect for the development officers and the support they raise for student affairs. The working environment is formal and respectful, and during the interviews everyone referred to everyone else using their title and last name. The vice president and the associate vice president gave a lot of respect to the development officer for the military science program since he is older and retired. The working environment is very structured and hierarchical with the development officers keeping the associate vice president and vice president informed of all the workings of the development office.

Within the department, the development director for military science is given deference in a number of areas because of his age. The director is actually the least experienced when it comes to professional development experience. Being retired, the director enjoys his work and his attitude carries

over to the office staff. He commented that when the job ceases to be fun for him, then he will retire for good. While the development director for student affairs is new to student affairs, he has worked in fundraising for several years and enjoys the student affairs staff.

The development department in student affairs is viewed as an essential member of student affairs. The fundraising efforts through the years have paid off for student affairs—cementing the role of the development department in the division. The development efforts are currently focused on raising support for endowment. Raising support for the endowment of programs is the best way to ensure that the programs will be able to continue in the future when budget cuts occur.

Industry/Competitive Environment. Consistent with the environment within the student affairs development office, outside the student affairs development department the environment is very formal and professional. The development officers in student affairs are not as cooperative with the other development officers like the student affairs development officers at Eastern University. The development officers work towards their goals and are competitive in nature regarding fundraising. Southern University is currently in the middle of a capital campaign, and the development directors have specific goals they are responsible for achieving. According to the development officer for military science, there is some pressure on the development directors to ensure that the money is raised;but the director

acknowledged that he enjoys the pressure and having a goal to work towards in order to be successful.

Macroenvironment. Southern University has a vision of becoming one of the top ten public institutions in the nation by 2020. There are a number of major initiatives relating to this vision. Currently, Southern University is in the middle of a capital campaign to raise more than a billion dollars to help support the initiatives. While the campaign is a healthy challenge, the development directors and the vice president believe that the institution will be successful in meeting the fundraising goals. According to the associate vice president for student affairs the environment at the institutional level and with the donors is upbeat and encouraging with donors.

Summary

The student affairs development department at Southern University is well established and plays an important role in the student affairs division. The development department operates smoothly and is very professional in its operation. The development department is working to endow programs in student affairs that will be able to continue well into the future with or without university funding. By growing the endowment for student affairs programs, the department directors in student affairs are able to effectively plan and budget for the programs. The stable environment in student affairs is due in part to the support the development department has been able to provide.

Western University

State, City, and Community Profiles

Western University is located in a fast growing city of this western state. Known for having a warm climate, the state is among the fastest growing states in the United States. Western University is located in a city that has over 500,000 residents according to the 2000 census. Census statistics indicate that the population is 70.3% white, 4.3% African American, 2.5% Asian American 2.3% Native American, and 35.7% have a Hispanic or Latino origin. (According to census definitions, person with Hispanic or Latino origins can indicate that they are white, explaining the greater than one hundred percent total.) Located in the southern region of this western state, the major industries in the city are tourism, health care, and manufacturing (United States Census Bureau , 2000).

Institutional Profile

Western University serves as the flagship land-grant institution for this western state. The institution was founded in 1885, and the first classes were held in 1891, with 32 students and six teachers. There have been 18 presidents and the current president has been in office for eight years.

Western University is a public, land-grant institution. The institution is classified by the Carnegie Foundation as a Doctoral/Research University-Extensive. The institution has 174 buildings residing on 362 acres located on

the middle of the city. The institution offers 122 Bachelor's degree fields, 115 Master's degree fields, 82 Doctoral degree fields, and eight professional and specialist degree fields. For the fall 2003, Western University had 37,083 total students. Of these 28,482 were undergraduate students, 7,450 were graduate students, and 1,151 professional degree students.

The mission for Western University is listed in the institution's catalog and their website. It reads:

> *To discover, educate, serve, and inspire.* As a public land-grant institution, the [Western University] provides an accessible environment for discovery where distinguished undergraduate, graduate, and professional educations are integrated with world-class basic and applied research and creative achievement. The University prepares students for a diverse and technological world while improving the quality of life for the people of the state, the nation, and the world. [Western University] is among America's top research universities (based on NSF total research expenditure data) and is one of about 60 select institutions recognized by membership in the Association of American Universities.
>
> Geographically, the University includes the main campus, which is comprised of seven academic colleges, four professional colleges, and four colleges comprising the Health Sciences Center. It also reaches people throughout the state by encompassing the Science

and Technology Park; the Cooperative Extension Service with locations throughout the state; the northern campus; and the southern campus.

> Compared to other top research universities, [Western University] is unusually accessible to students of modest means and wide-ranging backgrounds. This is a place where every student is given the opportunity to reach high goals, and many students and faculty reach the very highest levels of excellence.

Student Affairs Division Profile

The specific unit that is examined in this study is the fundraising unit in the student affairs division. At Western University, the senior vice president for campus life serves as the chief student affairs officer for the student affairs division. The senior vice president supervises five major divisions that include health and wellness department, human resources, multicultural programs and services, student life, and the institution's fine arts performance programs. Within the health and wellness division is the campus health services, campus recreation, and thedisabilities services department. The multicultural programs and services department addresses the needs of the many diverse populations that attend Western University. The student life department contains the majority of the traditional student affairs functions including residence life, student activities, student union, career services, military science, and the bookstore. The fine arts production department

manages the institution's auditorium and produces music, art, and theatrical performances for the campus and the community to help enrich and broaden the educational purposes for Western University. The institution's human resources department is also located under the supervision of the vice president for campus life.

The mission statement, vision statement, values, and guiding principles for the Campus Life Division for Western University are listed on the institution's website and informational materials. The mission for Campus Life is: "Campus Life advances learning and discovery by promoting a collaborative and agile living, working, and learning environment that is engaged with the community."

The campus life division lists its vision statement as: "Campus Life envisions [Western University] as an engaged learning community that is collaborative, innovative, respectful, just, and rigorously thoughtful."

In addition to the mission and vision statements for Campus Life, the division also has core values and guiding principles that help steer the decisions which are made within the unit. The values are listed as: "Campus Life embraces the foundational values of diversity, multiculturalism, justice, responsibility, and accountability. These foundational values make possible the enactment of the values of risk-taking, innovation, and creativity."

The guiding principles for Campus Life are:

> Campus Life emphasizes learning, discovery, and development by fostering a respectful and dynamic blending of cultures, learning styles, and philosophies. Clear multi-directional communication and collaboration are critical to the work that we do. We encourage ethical conduct and decision-making, healthy lifestyles, citizen leadership, and critical thinking so that individuals can be well positioned to make their way in changing and challenging environments.

Profiles of Student Affairs Fundraisers

The development officer for student life at Western University has the primary responsibility for raising support for the division. However, there are other members of the student life staff that help in the fundraising efforts. Before there was a full-time development officer raising support for student life, the dean of student life started the fundraising efforts and is still active in raising support. This section identifies the various student affairs employees that have a significant role in fundraising.

Senior Vice President for Campus Life – The senior vice president for campus life has been a vice president for the last thirteen years at Western University. Prior to coming to Western University, the vice president served as a vice president for student affairs at another institution as well as being a tenured professor in the psychology department and has an earned doctorate in psychology.

Associate Vice-President for Campus Life and Dean ofStudents – The dean of students has been at Western University for more than 25 years for the duration of her career in student affairs. As a graduate of Western University with her bachelor's and master's degrees, the dean of students has worked up through the ranks to become dean of students.

Director of Development for Student Life – The director of development for student life has worked at Western University for over 25 years in various positions across the campus. The development director has served in this position for the past six years when the position was first created. The director has a bachelor's and master's degrees from Western University.

Senior Associate Dean of Students – The senior associate dean of students serves as the supervisor for the director of development for student life. The associate dean has worked at Western University since graduating from college. The associate dean earned a bachelor's and master's degrees from Western University.

History of Fundraising in Student Affairs

Western University established the director of development for student life position in 1999. Prior to the full-time director, the dean of students started raising support for student affairs and spending increasing amounts of time fundraising. The dean of students had some success raising funds, and determined it was time to hire a full-time development officer to meet the growing needs of the division. The current development director was hired to

meet the need. The development officer has worked at Western University for more than 25 years in various positions. Prior to becoming the development officer in student life, the development officer worked as a development officer in a different department at the institution.

Inclusion into the Study and Pre-Visit Information

While Western University has only had a full-time development officer for less than ten years, Western has quickly established a development program that has been recognized at a NASPA conference, and NASPA representatives thought it would be a good institution to be included in this study.

Upon contacting development officer at Western University about being included in the study, the development director at Western University was excited to be included in the research study. After gaining permission and consent for the study, the researcher visited Western University. The development officer and the student life development team were very open and answered all questions to the best of their ability as well as adding additional information relating to some questions.

The development department for student life at Western University is located in the main student services building. The historic building is located in the original center of campus and houses the offices for the student life program including the office for the dean of student life. The development director works in the same area as the dean of student life, the associate

dean of student life, and the other members of the student life development team.

Culture

The first construct examined for this study was the impact the institution's culture had on fundraising. Tierney's (1988) model will be utilized in defining this institution's culture. The specific elements of Tierney's model of organization's culture are the environment, mission, socialization, information, decision-making strategy, and leadership styles.

Mission. The campus life division of Western University works to accomplish the mission of the institution and the division by providing numerous opportunities for fulfillment. According to the institution's mission statement, "the University prepares students for a diverse and technological world." Within Campus Life, the multicultural programs and services department focuses to meet the needs of the various cultural and ethnic students attending Western University.

The Campus Life division at "[Western University] provides an accessible environment for discovery. . ." by providing co-curricular learning opportunities. The Campus Life mission statement promotes a "learning environment that is engaged with the community." Within Student Life, they have established the Building Academic Community program. This program partners the student life department with academic departments to provide

academic learning communities outside the classroom. Student Life provides the funding and raises support for the out-of-class programs.

By offering programs like the multicultural services and the building academic community initiatives, the Campus Life division seeks to create community. The mission statement addresses this with "promoting a . . . learning environment that is engaged with the community." Campus Life attempts to balance and embrace diversity while building community. The development of programs within Campus Life addresses this diversity/community tension. The fundraising efforts within the student life department also help address this tension.

Socialization. Within the campus life division at Western University, there are a number of employees in leadership positions who have been at the institution for longer than ten years. Some of the leadership in campus life have been at the institution for a number of years and transferred into the division, while other members have been in the unit and were promoted through the ranks over the years. As a result, socialization focuses on making sure everyone cooperates and can work well with each other. At Western University, the campus life unit has been successful at keeping young entry level graduates, allowing them to work through the system, and helping them to become long-term employees.

Since the beginning of the fundraising effort within student life, the development director has felt like a member of the student life team. The

development director transferred from another division into student life and was welcomed into the division. While some in the department did not understand the need to raise funds, within a few months after some fundraising success, support was given to the efforts of the student life development officer.

Information. The student life development officer for Western University is a key member of the student life team and works to inform and educate the other members in student affairs regarding the opportunities for fundraising in the division. The development officer works with the other student affairs professionals to identify the needs of the division. The development officer then works with the division's public relations officer to develop the necessary promotional pieces for the fundraising efforts.

At Western University, the development officer for student life works with the other department heads to help them in their fundraising efforts as well. The development officer will either take the lead or provide support for other members who are actively soliciting support depending upon the individual. The development officer believes that everyone in student life can help with the fundraising process and works to help the student life professionals to the level at which they are comfortable.

Western University utilizes targeted direct mail to contact prospective donors. The development director works with the communications specialist in student life to help develop the promotional brochures and communication

pieces utilized in fundraising. The student life fundraising department is still working with the foundation to identify an adequate donor pool affiliated with student life. The student life division also works with the volunteer advisory board to help identify and cultivate prospects.

Strategy. The fundraising program in student life at Western University focuses primarily on the needs in the student life program since the dean of student life and the development director are the key individuals for fundraising. However, they also help the vice president for campus life address other fundraising needs in the division but are outside of student life. The development director works with the department heads in student life to identify prospective donors who were affiliated with student life as students.

The focus in student life fundraising has been to develop relationships with prospective donors and others who can help move the student life program ahead. The dean of student life is a consensus builder and works to develop relationships with a multitude of constituencies. The fundraising efforts have focused on developing relationships with businesses and organizations that can give to the institution and benefit in some way from the institution. Additionally, the dean of student life has worked with the academic department to collaborate on co-curricular programs. The academic communities program focuses on learning opportunities outside the classroom and providing events that enrich the student learning experience.

This emphasis has been received well by donors because of the linkage with academics and learning that is occurring outside of the classroom.

Another area the development director for student life has focused on is the volunteer advisory board. The advisory board is comprised of selected individuals that have a significant tie to the student life program or have supported the student life program. The advisory board supports and gives advice to the development director regarding the development program. According to the development director the advisory board members have used their contacts to introduce the development director to many prospective donors.

Leadership. The primary leadership for the fundraising program in campus life comes from the dean of student life. The vice president for campus life provides some direction and guidance, but the majority of the leadership and attention given to fundraising comes from the dean of student life. The vision for fundraising in the student life area came from the dean of student life. The development director's fundraising experience and ability to develop relationships has also proven to be effective as well.

The dean of student life's leadership style is to develop teams and build consensus with others. As a result, there is a development team within student life that meets on a weekly basis to address the fundraising needs in student life. The team is composed of the dean of student life, development director for student life, associate dean of student life, and the public relations

officer for student life. While the dean of student life is in charge, decisions are made in consensus with the other members on the team.

The development officer is supervised by and reports to the dean of student life, but also submits reports to the development office regarding fundraising activities and amounts of money raised. The development director talks with the development office on a regular basis, but reports to the dean of student life and works well with the student life office.

Structure

The second construct that was examined was the structure of the fundraising efforts in the development unit. This section will outline the constructs of the study utilizing the characteristics established by Kast and Rosenzweig (1985). The researcher examined the organizational characteristics at Western University based upon whether they were stable-mechanistic or adaptive organic in nature.

Openness to environmental influences. The student life development office at Western University is adaptive-organic regarding openness to environmental influences. The development director and dean of student life are progressive thinkers and are open to trying new opportunities. The dean has taken advantage of opportunities that would be considered environmental influences and have been positive for the program. While the fundraising support helps many areas in the department, the main focus is on helping

start new programs. If an environmental influence has a negative impact on the unit, then the new program will have to wait until a later time.

Formalization, differentiation, and specialization of activities. When examining Western University's formalization, differentiation and specialization of activities, they are both stable-mechanistic and adaptive-organic. Within the department of student life, they would be classified as adaptive-organic. While there are defined job responsibilities, everyone on the development team is cross-trained to a certain degree to do the various responsibilities of fundraising. The development director is responsible for the fundraising, but depending on the circumstances the dean or associate dean will also solicit prospective donors as well as the development director. However, the development director for student life and the activities relating to the foundation office are much more stable-mechanistic. The foundation office has established roles for prospect research, alumni database management, and other specialized needs within the foundation. When the director needs some research regarding a donor, it is easy to identify from whom to get the information.

Coordination. The coordination of fundraising activities and events in the student affairs office is stable-mechanistic in structure. There is a development team within student life that works with the development director to develop and implement the fundraising strategy for the division. They have specific events and programs in place to move the development program

ahead and coordinate their activities with the other departments in student life. The team members are the development director, the dean of student life, the associate dean of student life, and the public relations officer for student affairs. The development director also works to coordinate the fundraising events in student life with the foundation. There are specific protocols for prospect management and donor research within the institution through the foundation for which the development director has to comply.

Authority structure/Source of authority. The authority structure and source of authority at Western University is adaptive-organic. The vice president for campus life supervises the traditional student affairs functions as well as administrative offices such as human resources. The functional chief student affairs officer is the dean of student life and the development director for student life reports to the dean. The primary focuses for the fundraising efforts are programs and needs within student life. However, the vice president does not have a development officer to help with the needs in the division. So there have been times when the development director for student life has done development work within campus life but outside of student life. The development director indicated that this has only happened a few times and was not a major concern, but these isolated instances can pose authority issues.

Responsibility. The development work at Western University is decentralized, and it is the development director's responsibility to ensure that

the support comes in for the area for which they are responsible. According to the development director, there are good relations between most of the various development officers across campus and help is given from time to time between development officers, but for the most part officers are responsible for their own areas.

While the development director for student life is responsible for the fundraising efforts in student life, within student life there is a shared responsibility for much of the work that goes on in the unit. The dean of student life leads by utilizing the team approach to much of the work in the student life division at Western University. The team approach to development efforts in student life is no different. The development team meets weekly to plan and organize the fundraising efforts. The team is cross trained in many of the functions; and while the development director takes the lead in the efforts, the other team members also help when needed. This shared responsibility regarding fundraising is a good example of how the adaptive-organic structure can work well in development work.

Tasks, roles, and functions. The development program in student life at Western University is adaptive organic in structure. The team-centered approach for student life divides tasks, roles, and functions more by interests rather than by strict lines of job descriptions. Additionally, the student life development program is still growing, and the director has to do many of the clerical tasks that could be done by others if there were enough support staff

to help the development efforts. As a result, the development director depends upon the support staff in the office of the dean of student life for clerical support. The development team has divided some of the development functions based upon interests; however, the director coordinates all the efforts. The few times that the director has helped other units in the campus life division with fundraising projects, the director has utilized the support staff in that unit for clerical help.

Interaction-influence patterns. The development team approach to fundraising in the student life division at Western University is an adaptive-organic structure. The dean of student life supervises the student life division and has worked to develop a spirit of teamwork within the division. As a result, the traditional vertical hierarchy of command has been replaced by a more horizontal and diagonal hierarchy. The dean prefers to lead using a team leadership style and the development director prefers this style of leadership. Everyone on the team and even outside the team may have input into the development needs in the division.

The development director for student life primarily reports to the dean of student life, but the director also reports to the vice president for advancement as well. The advancement office primarily supervises the development director through the reports the director has to submit and, periodically, audits the work the director is doing. The supervision by the

advancement office would be considered hierarchical, but it is limited at best unless there are issues to be addressed.

Procedures and rules. The student life development program at Western University has a stable-mechanistic structure in place regarding rules and procedures relating to the development office. One of the concerns with any development program is to make certain there are proper and appropriate accounting practices in place to account for all funds once given to the institution. Rules are also in place that prevents conflicts of interest or unethical solicitation. These rules deal with legal and ethical issues relating to development. Within the department, there are procedures and rules in place to address prospect management and donor research. These do not have legal or ethical ramifications, but help the development division run smoothly.

Stratification. The development director for student life at Western University is one of more than thirty development directors across the campus of Western University. Some development directors are young and relatively inexperienced, while others have been fundraising for decades. As a result, there is a broad range of experience, pay, and responsibility depending upon where the development director is serving. This stratification structure is adaptive-organic in nature. There is a narrow salary range for new, inexperienced development directors, but the varying size of the colleges and

schools where the directors serve soon bring varying levels of responsibility and salary.

Decision-making. The decision-making process within all areas of the student life division could be described as adaptive-organic in structure including decisions regarding the fundraising efforts. Because teams are used throughout the division and decisions are based upon consensus building and teamwork, there is a lot of shared decision-making. The development team meetings are times of discussion when many ideas and strategies are addressed. For Western University's student life development team, this style of decision-making works because everyone on the development team works well together and is comfortable with the give and take that results from the team making the decisions.

Permanency of structural form. One of the strengths of the student life development program is the stability that exists in the leadership of the student life program. The permanency of structural form would be characterized as stable-mechanistic in nature. The student life development program was established by the current director more than six years ago. The dean of student life was given six months to justify the need for a full-time development officer position, so the development director was forced to hit the ground running. The initial fundraising efforts paid off, and the department was established.

The student life division has a number of employees who have worked at Western University for more than ten years. The development director has been at Western for more than 20 years and has served as development director for the past six years. The dean of student life will probably retire from Western University as well. There is a great deal of stability and loyalty within the leadership of the institution. This is true, as well, of those in student life who have chosen to stake ownership in Western University for the years to come. Unless there is reorganization at the institutional level, the student life fundraising program will remain unchanged for the foreseeable future.

Experience

The third construct the researcher examined regarding this study was the role experience plays in the organizations. Positive and negative experiences can have a dramatic impact, or they can have a subtle influence on how the organizational unit works. Learning is a process that is developmental in nature; and individuals must learn from oneself, others, and experience. As organizations change and grow, it is important to understand the goals and ensure that learning that has occurred through experiences are applied to best attain the goals. This section focuses on how experiences have influenced the fundraising efforts at Western University.

The student life development program at Western University has used experience to strengthen and enhance their development efforts. The student life division at Western University was well established before the

development program started. However, the development program has made the division stronger. Before establishing the development program, those working in student life did not have to develop a case statement citing the need for the support. When a director needed support, they talked with the dean of student life about the need. Now the directors work with the dean of student life to create a case statement for areas for which they are wanting support. By having the directors of the units help create the case statement, they are forced to have a clear and concise statement of the need. This experience has made the entire student life division better as a result.

The student life division at Western University is also partnering with academic programs as a result of their experiences. The academic communities program provides learning opportunities outside the classroom to enrich student learning. The fundraising efforts in the student life program at Western University have focused on raising support for programs in student life. Donors have been responsive to supporting the needs of student life programs; however, according to the development director, donors respond better to the co-curricular nature of the academic communities programs through student life.

Environment

The final construct examined for this study is environment. This section addresses the internal and external environment of the development unit. Identifying the correct environmental linkages that help the unit be

successful and develop an appropriate environment is crucial in fundraising. Narayanan and Nath's (1993) Levels of Environment identifies the different environments that exist at Western University.

Task Environment. Task environment refers to the internal environment within the unit. The student life division at Western University operates within a team framework. The dean of student life has developed teams throughout the division to share the decision-making process and leadership. This has worked well within the student life division and created a positive environment for those who work in the area.

When the development program began in student life, the dean of student life had to convince the student life staff that there was a need for fundraising in student life. Some staff members already knew the need existed and were glad to have a full-time development officer, while others needed convincing that the development efforts were more important than the existing needs in their departments. Some staff members thought fundraising should be left in the advancement division, and others were worried that they would have to start fundraising as well. For the common good of the student life team, the dean worked to help everyone understand how the development program could help the entire division. Some of the very first projects for which the development director raised funds were for support of those who were skeptical about fundraising. The efforts were successful and the dean

soon convinced all of the staff that there was a need, and that the development director was a valuable member of the student life staff.

Having a positive and healthy working environment is important to the dean of student life. The dean believes the team structure is one of the best ways to have a healthy environment. The key is to have the proper personnel on the team who can help move the program forward and contribute to what needs to be done. The dean pointed out that having the proper development officer in place is crucial because of the bridging role the officer plays. Fundraising is not an official student affairs function, but the support the development officer gives to student life helps the student life departments be more successful.

Industry/Competitive Environment. Just as the student life division works to operate by utilizing a team framework within student life, the student life development officer seeks to build partnerships with other areas of the institution outside student life. The dean of student life works with academic departments to establish academic learning communities. These co-curricular programs provide opportunities for learning outside the classroom. Travel opportunities away from campus, visiting artists, and performances on campus are a few of the programs that have been established through the learning communities. The development officer has found raising money for these programs to be easier than for other needs. The partnerships the academic departments and colleges have helped create a positive

environment with the academic departments which have utilized the academic communities.

By developing partnerships with academic units, the development officer believes other development officers are willing to collaborate and improve the program. Because development work tends to be competitive, the development officer has worked to build relationships with other development officers by working together. As a result, according to the development officer the environment with others outside student life tend to be very receptive of the development work that is being conducted in student life.

Macroenvironment. The student life development office at Western University is actively working to create linkages and partnerships with groups outside the institution. Rather than merely approaching any corporation for support, the development officer focuses on corporations that can use their products, services, or other marketable opportunities. Specifically, the development officer looks for ways to help the corporation on the campus at Western University. The dean of student life believes that finding ways to help corporations be more successful in some cases, by marketing their services on campus will pay off in the long run with greater support from the corporation.

Summary

The student life division at Western University as a whole functions well as a team and believes that they can accomplish more as result of working together. The dean of student life is working to develop this team attitude outside student life and work collaboratively with other units at Western University. The student life development program has been innovative by utilizing teamwork within student life, creating partnerships with other departments across campus, and developing linkages with corporate partners to create a win/win situation for Western University and the organization. The student life development program is working to create long-term relationships and foster a team environment that will develop long-term support for the student life programs.

Chapter Summary

The student affairs fundraising programs examined for this study established the development programs in order to help enhance the student affairs divisions at each institution. The fundraising efforts focused on many different areas including buildings, programs, and scholarships. Each development department had a unique culture, structure, and environment that defined the unit. The leadership styles, strategy, and structure of the departments were all different. Given the culture and environment at each institution, what worked at one institution may not work at another institution.

While each development department was unique, there were some similarities. Th ose involved in the fundraising efforts learned from their

experiences to improve the program. Each institution used similar methods of communication including direct mail requests and personal visits. Each development director was an experienced fundraiser and utilized voluntary advisory boards to provide support and guidance. The student affairs development programs included in this study were able to raise support for the many needs in the student affairs department by depending upon established development practices, yet having a unique culture and environment.

CHAPTER V

DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS

Introduction

Public higher education institutions have increasingly turned to raising support in order to help fund projects, meet goals, and thrive in spite of stagnated or decreasing state support. Consequently, fundraising has become increasingly important in order to help institutions establish stability. On some campuses, student affairs divisions have started venturing into fundraising as a way to help provide funding for programs, scholarships, and buildings. However, the strategies that have been used have not been solidified; therefore, some institutions have been more effective atraising support while others have struggled.

This chapter will reemphasize the need and importance of this study, review the research questions that were considered, explain the conceptual and theoretical framework, and provide a brief review of the relevant literature relating to the study. Next, there will be some conclusions as a result of the research and a synthesis of the implications of these findings for practice.

Finally, there will be recommendations for best practices in student affairs fundraising, as well as recommendations for further research.

Due to the lack of objective research regarding fundraising in student affairs, this research enhances the body of knowledge that currently exists regarding this topic. The purpose of this study was to examine the fundraising strategies and programs of development practices among student affairs departments that currently have a full-time student affairs development officer in decentralized development units at large public research institutions. This chapter outlines the conclusions of the study and has recommendations for practices and further research.

The study was conducted in an attempt to answer the following research questions:

- For student affairs development programs, what factors are associated with best practices in fundraising?
- How do the institutions' development practices influence fundraising in student affairs?
- At institutions with a student affairs development program, what kinds of projects are supported by student affairs fundraising?
- Based on the identified factors for best practices, what types of programs and strategies can be implemented to increase opportunities in fundraising?

Prior to conducting this study, the researcher examined the existing literature on the topic. The literature review chronicled the historical context for fundraising in higher education. Additionally, fundraising practices and strategies that have been published and are commonly used were identified. The researcher also examined the various donor motivation theories and why donors give. The literature review also included a section relating to organizational theory literature and the rationale for using the theories as a basis for describing the organization–the student affairs development department as the main unit of analysis–and the phenomena–fundraising.

Organizational theory served as the framework for this study. The major areas of examination were culture, structure, environment, and experience. The structure of the organization will vary from institution to institution; however, the policies, procedures, and functions that exist must help the unit to work to the fullest potential. In order to maximize the department's abilities, an appropriate work environment must exist. Experience can be a great teacher, and individuals working in fundraising should learn from prior experiences in order to help move the development program forward.

Examining the structure, environment, and experience of the student affairs development program help provide a framework for the culture that exists. Understanding the culture of the fundraising unit helps provide insight into the management and performance of the unit.

This study utilized the case study format to examine three doctoral granting public institutions that have full-time development officers dedicated to fundraising in student affairs. The researcher used the review of the literature and worked with the National Association for Student Personnel Administrators (NASPA) to identify institutions that have a full-time development officer. The researcher then arranged times to conduct campus visits to the institutions and examined the fundraising strategies and programs in the student affairs division. Each visit consisted of conducting interviews, collection of materials, and observation of the unit.

The data were analyzed using ethnographic, constant comparative methods, and content analysis. Categories were developed to organize and identify data. Follow-up communication by email and phone was used as needed to clarify and confirm original research. The data was analyzed for conclusion development.

For reasons of confidentiality, the following pseudonyms were used for participating institutions: Eastern University, Southern University, and Western University. For each institution, a general description of each state, city, and area were provided to help provide a clearer understanding of the unique dynamics in which the institution operates. A profile for each institution helped provide insight into the campus and included a brief history of fundraising efforts, demographics, mission, and vision statements. The key members involved in fundraising for student affairs were profiled to provide a

feel for the character of the fundraising personnel. A brief section detailing the reason each institution was included in the study was added to provide information that helps provide additional understanding.

The study began with outlining the culture of the organization. Understanding the culture of an organization is crucial to gaining a full understanding of how the organization operates. According to Tierney's (1988) "Framework for Organizational Culture", the specific elements of an organization's culture are the environment, mission, socialization, information, decision-making strategy, and leadership. Each institution was examined in relation to each of the elements mentioned above. Understanding the culture of the organization gives insight to values and behaviors of the examined unit.

Once the culture of the unit was described, the researcher discussed the constructs of the study. The second construct examined was structure, and the organizational characteristics were studied and determined whether they were stable-mechanistic or adaptive-organic. Kast and Rosenzweig (1985) wrote that stable-mechanistic structure is more rigid in nature, while adaptive-organic structure has boundaries that are permeable or flexible in nature. Individual characteristics within the structure may have different outcomes depending upon the organization. Understanding the structure of the organization is vital to analyzing the effectiveness of the organization at fundraising. After examining the structural elements and the impact on the

organization, the researcher examined how the structure influenced the learning experiences within the organization.

The impact experience plays on the organization was the third construct the researcher examined. Experience can be a valuable teacher, and learning from experience is important for the organization. Learning from experience is best accomplished when to listening to oneself, others, and experience. Organizations must gain knowledge as to what works well, what does not work and needs to be discontinued, and what works but needs to be changed. By learning from experience, the unit can extract meaningful knowledge for improving the unit. By examining the experiences of an organization, one can gain insight into whether the organization is becoming more effective in fundraising by learning from experience or if the organization is bound to repeat prior mistakes.

The final construct for this study was environment. There are three main levels to examine when analyzing the environment. The first level is the task environment, which is the environment within the unit being studied, as it directly relates to the organization. The next level is the industry/competitive environment, and it addresses the environment of the greater organization and the competition of the organization. The macroenvironment is the third level of examining the environment. The macroenvironment is the broad overarching environment that encompasses the task environment and the

industry/competitive environment. The researcher examined the levels of environment and the linkages between the various levels.

Conclusions

After visiting each campus, the researcher identified some recurring themes based upon the constructs of the study utilizing constant comparative methods. This section will focus on similar themes that were identified as a result of the research that will be used to answer the research questions.

The first research question the researcher examined in this study was: For student affairs development programs, what factors are associated with best practices at fundraising? While each program is unique in nature, some common themes were identified that help answer this question. This study revealed the need for a development program in student affairs originated in the student affairs division and not in the development division. The vice president for student affairs at Eastern University talked about having to convince the president and the advancement vice president to “make a place at the development table for student affairs." Each of the student affairs development departments started in basically the same fashion. At each institution, the fundraising program began with the chief student affairs officer attempting to address a need in the student affairs program when there was no money in the budget for the need. Each program began by addressing

programmatic needs rather than scholarship funding or bricks and mortar projects.

While the vision for the development program started in student affairs, none of the programs functioned without the assistance of the institution's development office, which played a key role in each student affairs development program. Each program that was studied was truly a partnership between student affairs and the institution's development divisions. Each institution had shared responsibility for a component of the program. Because the institution has a decentralized development division, development directors were responsible for the area for which they were assigned, whereas in centralized development divisions, the development officers report solely to the development division. At each institution studied, the development officers co-report to supervisors in the development office and the student affairs office. At each institution, the primary supervision came from the student affairs division, and the institution's development office provided general supervision and accountability through fundraising goals and development reports.

When identifying the best practices in student affairs fundraising, the researcher discovered that development directors for student affairs, who have fundraising experience, are more adept than those who only have student affairs experience. The vice presidents at Eastern and Southern universities stated that their experience had been that professionals with a

development background learned the skills needed for student affairs easier than professionals with a student affairs background learned the skills needed for fundraising. As a result, they hired development professionals and taught them student affairs. Each of the development directors in this study had prior fundraising experience before coming to student affairs. This discovery was contrary to what Penny and Rose (2001) wrote encouraging student affairs professionals to venture into fundraising. They wrote that student affairs professionals utilize many of the same skills that were used by development professionals.

Each development department that was studied established a voluntary advisory board that assisted in the fundraising efforts in student affairs. The advisory board consisted of between 25-40 volunteers that met three or four times a year to provide guidance and support for the development director. While each advisory board had varied responsibilities, each helped solicit prospective donors and helped with events that ultimately provided support for student affairs. The development director for the military science program at Southern University gave the advisory board credit for helping raise much of the support for the program. The advisory board members identify potential donors for the development director to solicit. Often the development director will have board members accompany him on donor visits. The director confided that advisory board members often do most of the work when soliciting potential donors. Often the board member

will do most of the talking and will apply peer pressure on the prospective donor. The development director at Eastern University also stated that the development board for the parents association will wrote letters and solicited the members of the parents association. The development director believed the board members did all the hard work, and he had more of a support role to help the board members.

The second research question the researcher examined for this study was: How do the institutions' development practices influence fundraising in student affairs? The procedures and polices established by the institutional development division assisted in guiding the student affairs development programs. At each institution, the development division helped the development officers in their efforts to raise funds for student affairs. Each institution has central development functions that aided the development officers. Donor research, prospect management, and gift history are some of the major services provided through the development office. Keeping these important services centralized assists the institution in maintaining vital fundraising data and records.

At each institution the researcher examined, the student affairs development department worked through the prospect management office in the centralized development office to develop a pool of prospects for student affairs. In the decentralized approach to fundraising, graduates at each institution were initially assigned to the development officer of the college

from which the student graduated. Initially, the student affairs development departments did not have a natural pool of prospects from which to request support. For the institutions included in this study, the student affairs department identified a niche population from which to draw prospective donors. Because Southern University is a land-grant institution, the military science program has been a historical program that dates back to the beginning of the institution and has created many traditions for the institution. The development department in student affairs has identified this niche group of alumni and raises support from them. As a result of the success of the student affairs development efforts with the military science program, there are two development officers in student affairs. One focused on raising support from the military science alumni, and the other focused on raising support in other areas of student affairs.

The student affairs development program at Eastern University found a niche group of donors, not with alumni, but with the parents of current students. When the development efforts began in student affairs, parents were not solicited for support and the vice president forstudent affairs agreed to work with the parents in order to have a designated pool of prospects. This pool of prospective donors has allowed the student affairs development efforts to flourish as a result. Parents give support beyond the normal tuition and fees to help fund projects that are not budgeted.

The student affairs development programs at each of the institutions that were examined in this study utilized volunteer advisory boards to help broaden the prospect pool. Volunteer boards were used by fundraisers to help provide guidance and identify potential donors for the institution. The Parents Development Board at Eastern University served as a volunteer advisory board for the Parents Association. The members of the development board assisted the development director by writing letters requesting support from other parents, working with the vice president to select the fundraising projects, and networking with other parents and identifying those who can be key leaders in the future for the development board.

At each institution that was studied, a prevalent theme was that the culture within the student affairs division impacted the development efforts. At Western University the culture within the student life division was one of teamwork and collaborative effort. The development director works with a development team in student life to determine the fundraising needs and opportunities in the division. This culture of teamwork exists with the development director when raising support for the institution. The director is working with other development directors to raise support for the academic communities program that facilitates learning outside the classroom. This program has been well received by the academic units, and the director has

raised more support for the program by working with development directors in the academic units.

Creativity would best describe the overall culture of the fundraising efforts at Eastern University. Just as the vice president identified parents of current students as a niche pool of prospects, the development director works to find ways to raise support for student affairs that are unique. The vice president and the development director look for creative ways to address needs. The concert series at Eastern University needed support to increase the quality of artists that perform at Eastern. In order to meet the demands of the high-profile artists, additional needs relating to housing and hosting performers beyond the local hotel facilities were identified. The vice president identified a donor who enjoys music and has a residence including a guest house that is used for entertaining. The donor not only gave money for the concert series but also donated the use of his guest house and property for the artists' use when performing at Eastern University. By using creativity to address the need, the development director and vice president were able to fund the concert series and meet the artists' lodging needs with one donor.

The third research question the researcher examined for this study was: At institutions with a student affairs development program, what kinds of projects are supported by student affairs fundraising? Within student affairs fundraising broad categories were identified. While there are additional areas for which support is raised, the majority of student affairs fundraising could be

categorized as programmatic funding, bricks and mortar projects, and scholarships. Programmatic funding includes support that enhances programs within student affairs. Support for these programs can enhance the existing programs or provide for new programs for which there is no budget. Fundraising for the construction of new buildings or the renovation or expansion of existing buildings are commonly known as bricks and mortar projects. Scholarship support helps provide students to defray the cost of their education.

Each of the institutions that were included in the study had experience raising support for each type of project, but each institution had a preference regarding which type of support they desired to raise. The development efforts at Eastern University focus on bricks and mortar projects and programmatic support. The vice president mentioned that early in their student affairs fundraising efforts they raised scholarship support for specific purposes such as scholarships for the student body officers. However, the vice president explained that experience taught them to focus on raising support for bricks and mortar projects and programmatic support. The vice president stated that raising money for scholarships is fine, but development officers in the academic areas at Eastern work on raising scholarships for students. The bricks and mortar support raised through student affairs have focused on fundraising for the new student union and renovation of the existing student union. The programmatic support have been for priority

projects for which funds were raised through the parents association, and for enhancing other programs that needed additional funding beyond the budgeted amount.

At Southern University, the current fundraising focus for student affairs support focuses on scholarships and programs. In the 1990's, the efforts focused on building a facility to house many of the student services offices, but now the efforts focus on raising support for the numerous traditions and programs at Southern as well as student scholarships. The current capital campaign is focusing on raising endowment funding for scholarships and programs. The intended purpose for the endowed programs is to permanently fund many of the historic traditions that are a part of Southern University. The scholarships are for specific student leadership positions that provide an incentive for the students in those positions. Southern University has chosen to focus on the long-term stability of existing programs and scholarships by raising funds for endowment rather than raising funds for new programs and scholarships.

Like Southern University, the development efforts at Western University have focused on programmatic and scholarship funding. However, they are using the funds raised to develop new programs and scholarships rather than building endowment funding. The student life department chose to use fundraising support to establish the new programs at the institution. The new programs have been well received at the institution; however, in

order to continue the programs, additional support will have to be raised or the programs will have to be funded through the normal program budget. The scholarship support that is raised is used for scholarships rather than put into endowment for the future.

The fourth research question that was examined for this study was: Based on the identified factors for best practices, what types of programs and strategies can be implemented to increase opportunities in fundraising? This question seeks to identify practices that could be utilized at institutions with a development program within student affairs. While this study focused on large public research universities with a full-time development director in student affairs, many of the strategies identified could be implemented at institutions that are smaller, private, and do not have a full-time development director.

Before any sustained development work in student affairs can begin, the development effort in student affairs has to have the approval and leadership from the chief student affairs officer. Additionally, the chief student affairs officer has to work with the chief institutional advancement officer to ensure that there is support from the development division. There needs to be proper communication between student affairs with the development office to ensure that any solicitation of prospective donors will not interfere with other development work at the institution.

Any fundraising in student affairs should begin with identifying prospective donors and building a database of those that are already loyal to the student affairs division. This can include students and alumni that had an active role in a student affairs program while a student. Including current students in the database will help identify those that are currently loyal to the institution. As students graduate who have been active in student affairs programs, the student affairs development officer should be listedas the prospect manager if possible. Additional niche groups need to be identified from which to draw prospective donors. Eastern University has identified parents of current students as a pool of prospective donors who have supported student affairs. This group of donors will broaden in the future to include parents of former students in addition to current students. While this has worked for Eastern University, at Southern University the alumni department is responsible for the parent association, so what works at one institution may not work at other institutions.

Each of the development directors interviewed for this study indicated that the volunteer advisory board established to help support the fundraising efforts were invaluable in providing support. The advisory boards help identify and solicit prospective donors for the institution. The development directors at Western University and Southern University both said that there is a lot of work involved in coordinating the board; however, the effort pays off with the amount of eventual support that is raised.

The external development efforts in student affairs should be reflective of the leadership, culture, and environment within the student affairs division. At Western University, the leadership, culture, and environment of the student life division was one of collaboration and teamwork. As a result, the development looked for ways to partner and develop collaborative support for student life. The development efforts at Eastern University incorporate creativity and innovation into fundraising reflecting the leadership and culture within student affairs. An effective student affairs development program will reflect the same culture and style with donors that exist internally with the other student affairs departments.

Recommendations for Further Research

The purpose of this study was to examine the fund raising strategies and programs of development practices among student affairs divisions that currently have a full-time student affairs development officer in decentralized development units at large public research institutions. Because there has been little written about student affairs fundraising, there are many areas for further study relating to this subject. This study was qualitative in nature to begin examining the phenomena. Future research needs to be conducted utilizing quantitative research methodology relating to the subject.

This study focused on large research institutions that have a decentralized development system. The needs for student affairs fundraising

exists whether the institution utilizes a decentralized or centralized development approach to fundraising. By examining centralized versus decentralized approaches to student affairs fundraising, the research could reveal practices that would be beneficial to every institution involved in student affairs fundraising regardless of whether the institution is using a centralized or decentralized approach.

This study focused on large research institutions that are able to raise support from a large and broad audience. There are thousands of donors who give to institutions that are well-known flagship institutions in order to be a part of a successful institution. However, there is a need for research relating to smaller institutions that do not receive as much support as larger institutions. Research needs to be conducted to determine if the best practices for student affairs fundraising at larger institutions are the same as those at smaller institutions.

There are key differences between private and public institutions. Private institutions in America have been raising funds for support for centuries dating back to the founding of Harvard. However, in recent years public institutions have been raising support much like private institutions but differences exist. Additional research needs to be done to determine if there are differences in student affairs fundraising practices between public and private institutions.

Finally, there are many creative approaches that are being utilized to raise funds to help student affairs divisions. Additional objective research compiling the most creative strategies and practices needs to be done. This research will allow institutions to identify potential strategies and practices that can be utilized to enhance the development program.

Study Summary

In the twenty-first century fundraising will continue to have a vital role in higher education. As institutions grow and need more resources, they will also need funding. Institutions will pursue funding through the current revenue streams of tuition, state appropriations, federal grants and contracts, and private donor support. The importance of private donations will continue to be an emphasis for public institutions since public support for higher education has decreased or remained the same over the past 25 years.

In the twentieth century, student affairs divisions started fundraising to provide funding for projects and programs that were not being funded through the normal budget process. In the twenty first century, the emphasis on fundraising will increase causing student affairs divisions to become active participants in fundraising. In order to meet the increasing needs of students, student affairs professionals will need to be able to raise private support for programs and become more adept at fundraising.

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APPENDIX A

INFORMED CONSENT FORM FOR RESEARCH BEING CONDUCTED UNDER THE AUSPICES OF THE UNIVERSITY OF OKLAHOMA-NORMAN CAMPUS

INTRODUCTION: This study is entitled A Description of Successful Fund-Raising Programs in Student Affairs Departments. This research is the dissertation research of Marvin Schoenecke, a doctoral student in the Educational Leadership and Policy Studies department at the University of Oklahoma, and supervised by Dr. Myron Pope, faculty member in the Educational Leadership and Policy Studies department at the University of Oklahoma. This document defines the terms and conditions for consenting to participate in this study.

DESCRIPTION OF THE STUDY: The purpose of this study is to investigate the successful fund-raising programs within student affairs departments. For student affairs units, what factors are associated with success at fundraising? Based on the identified factors for success, what types of programs and strategies can be implemented to increase success in fundraising? How do the institutions' development practices influence fundraising in student affairs? Are donors more likely to support specific programs, scholarships for students, or facility construction/ renovation projects? This study will identify and interview individuals who are involved in fundraising within student affairs. If you decide to participate in this project, you will be asked to participate in an interview that will last about one hour. The interview will be audio taped to ensure the information is gathered as accurately as possible. I also would like to observe your office area and campus to get a sense of the environment where you work. You can refuse to be audio taped without any penalty.

AUDIO TAPING OF STUDY ACTIVITIES: To assist with accurate recording of participant responses, interviews may be recorded on an audio recording device. Participants have the right to refuse to allow such taping without penalty. Please select one of the following options.

[ ] I consent to the use of audio recording.
[ ] I do not consent to the use of audio recording.

RISKS AND BENEFITS: There are no foreseeable risks of participation in this project for you. Your participation will greatly help educators better understand the fundraising in student affairs. You may gain insight from participating in the study by developing new ideas to help you in your work.

CONDITIONS OF PARTICIPATION: Participation is voluntary. Refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled. Furthermore, the participant may discontinue participation at any time without penalty or loss of benefits to which the participant is otherwise entitled.

CONFIDENTIALITY: Findings will be presented in aggregate form with no identifying information to ensure confidentiality.

CONTACTS FOR QUESTIONS ABOUT THE STUDY: Participants may contact Marvin Schoenecke at (972) 617-3779, or my faculty advisor Dr. Myron Pope at (405) 325-2712.
with questions about the study.

For inquires about rights as a research participant, contact the University of Oklahoma-Norman Campus Institutional Review Board (OU-NC IRB) at 405/325-8110 or irb@ou.edu.

PARTICIPANT ASSURANCE: I have read and understand the terms and conditions of this study and I hereby agree to participate in the above-described research study. I understand my participation is voluntary and that I may withdraw at any time without penalty.

_____	_____
Signature of Participant	Date
_____	_____
Printed Name of Participant	Researcher Signature

APPENDIX B

INTERVIEW QUESTIONS FOR DEVELOPMENT OFFICERS

Background Questions about the Development Officer

- How long have you been at this institution?
- How long have you been in this position?
- What college education do you have?
- Is your experience in development or student affairs?
- What additional training have you had to prepare you for this position?
- What is the mission of the development component of the student affairs unit?
- How does the mission affect fund-raising practices for the student affairs unit?
- How do the development officers become socialized with the rest of the unit?
- Who are the key fund-raisers for the student affairs unit?
- What is expected of these people?

Background Questions about the Student Affairs and Development Offices

- How does the student affairs unit define its division?
- What is the general perception of students, the University, and the community towards the student affairs unit?
- What is the mission of the student affairs unit?
- When was the Student Affairs Development position created?
- What is the relationship between the development office and the Student Affairs Office?
- To whom does this position report?
- Where do you fall on the organizational chart?
- How do new employees become socialized into the student affairs unit?
- How do they adapt to the institution and unit?
- How is information disseminated among student affairs and development officers?
- Which individuals make key decisions?

- What type of strategy is used for decision-making relating to fundraising in student affairs?
- What is the role of each person in student affairs development?

Donor Identification Questions

- Do alumni represent the largest percentage of your donor pool?
- How have you identified alumni that are potential donors to your program?
- How have you identified non-alumni that are potential donors to your program?
    - What role do current students play as donors?
    - Parents of students?
- How have you cultivated students to become donors after they leave the institution?
- How does your institution deal with donors in two different donor pools?
- Are there advisory committees or other volunteer support groups that help with the fundraising efforts?
- How does your institution do donor research?
- What are the main sources of information in the unit?

Solicitation and Giving

- In the last five years how much money has been given to programs in student affairs?
- Has student affairs had a capital campaign?
- Has student affairs had a campaign for programmatic or scholarship purposes?
- Are donors more willing to support specific programs, scholarships for students, or facility construction/ renovation projects?
- What are your goals for this area in the next three-five years?
- What role does the senior student affairs officer have in fundraising at your institution?
- What role does the president have in fundraising for student affairs at your institution?
- If you can, please tell some of your success stories regarding fundraising in student affairs.