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DEANS AS FUNDRAISERS: AN ANALYSIS OF FACTORS THAT  
CONTRIBUTED TO OR IMPEDED DEANS' PERFORMANCE  
DURING A CAPITAL CAMPAIGN

presented by

Bassey Iban Asuquo Ebiana

has been accepted towards fulfillment

of the requirements for

Ph.D. \_\_\_\_\_ Educational  
degree in Administration

Major professor

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CONTRIBUTED TO OR IMPEDED DEANS' PERFORMANCE  
DURING A CAPITAL CAMPAIGN**

By

**Bassey Iban Asuquo Ebiana**

**A DISSERTATION**

**Submitted to  
Michigan State University  
in partial fulfillment of the requirements  
for the degree of**

**DOCTOR OF PHILOSOPHY**

**Department of Educational Administration**

**1993**

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## **ABSTRACT**

# **DEANS AS FUNDRAISERS: AN ANALYSIS OF FACTORS THAT CONTRIBUTED TO OR IMPEDED DEANS' PERFORMANCE DURING A CAPITAL CAMPAIGN**

**By**

**Bassey Iban Asuquo Ebiana**

Declining student enrollments, shrinking funds for research and reduced operating budgets have contributed to launching the academic deanship into the arena of educational fundraising. While deans are now involved in educational fundraising, no study has examined their fundraising roles in terms of the theory of fundraising. The focus of this study was an indepth description of academic deans' fundraising role during Michigan State University's first major Capital Campaign.

Overall, the purposes of the study were (1) to use established theoretical concepts in fundraising such as leadership, planning and organization to describe the fundraising roles of the deans at MSU, (2) to determine the fundraising expectation of each dean given their colleges' potential, (3) to obtain a qualitative reflection of deans' opinion on factors that aided or impeded them in their role as

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fundraisers, (4) to obtain the deans' perceptions of the desired qualities and qualifications a potential dean who would be successful in fundraising should possess.

The study was a descriptive study which included nine deans and their development officers. Using a combination of literature review on fundraising theory and a pilot case study, a research question and sub-questions were formulated. Two interview questionnaires were constructed. One for the deans and the other for the development officers. The questionnaires were administered via personal interviews. Interviews were audiotaped and carefully transcribed.

The data were analyzed and arranged in the order and sequence of the study's research objectives.

The major findings regarding the role of the deans as fundraisers suggested that success in fundraising depended on a number of factors. The most crucial were: (1) Dean's leadership skill which incorporated a clear vision, spending time on fundraising activities, persuading influential personalities to raise funds on behalf of the college, giving fundraising visibility in the college and having the same approach to fundraising as the college director of development; (2) Dean's planning skill which incorporated the ability to contribute to the development of the needs list which reflected the dean's vision for the college and the ability to match college's needs to prospective donors' needs through cultivation; (3) Dean's organization which involved the dean's ability to utilize the help of an organized body of

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volunteers in his/her college's overall development activities and being personally involved in fundraising. Other findings included the following:

- . The use of a fundraising consultant to train the dean on how to raise funds was the most helpful factor to deans while the lack of time impeded them most.
- . Ability to interact with people and being an excellent scholar were the most desirable qualities in selecting a dean who would succeed in fundraising.
- . Prior fundraising experience and a tradition of strong program were common factors in colleges with high fundraising potential.
- . Deans believed that to improve or maintain educational quality, fundraising must be one of the deans' responsibilities.

In conclusion, the leadership of a dean, coupled with the leadership of a capable development officer who managed development activities was the most important factor that contributed to or impeded a deans' ability to achieve his college's campaign goal.

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Dedicated to my parents,  
Elder Ene Okon Iban and Mrs. Rebecca Okon Iban  
and to the memory of my late sister,  
Carol Okpok Ene Iban.

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## ACKNOWLEDGEMENTS

First and foremost I would like to profoundly thank Jesus Christ my Lord and Savior for His help in beginning and finishing my program. Without His help, this would not have been possible. Thank you Lord, for your everlasting faithfulness.

A word of appreciation is due a number of people. I am deeply grateful to Professor Kathryn Moore, my dissertation advisor, for designing the study, generously making her time available to me and for her valuable insights on the subject matter of the study. I really appreciate the efforts she put into reading, correcting and the timely return of each chapter. Her understanding and support were invaluable. I am also deeply grateful to Professor Marylee Davis, my academic advisor, who was like a friend to me throughout my study. Her concern for my well being, personally and academically, was a great source of encouragement to me. I am also very much appreciative of the contributions Dean Cassandra Book, a member of my Guidance Committee, made to the study. Her suggestions, comments and corrections were appreciated and well noted. Much thanks are also due Professor Eldon Nannomaker and Dean James Rainy for serving on my committee.

I very much thank Mr. James W. Heald, the Michigan State University on-sight fundraising consultant and my internship supervisor, for generously spending time to educate me on the

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art of fundraising. I appreciate the fact that inspite of his busy schedule, he always made time for me to interview him. His insight into the intricacies of fundraising was invaluable.

Special thanks are extended to Reverend Sidney Short and Central United Methodist Church, Lansing, Michigan, for their financial and emotional support. I am deeply indebted to P.E.O. for awarding me their International Peace Scholarship (I.P.S.). I am also grateful to Dr. Frank Fear and the Department of Resource Development for providing me a graduate assistantship. I would also like to express, albeit posthumously, my appreciation to late Ms. Nettie Young, for her kindness and effort in typing portions of my dissertation.

With deepest gratitude I thank my parents, Elder Ene Okon Iban and Mrs. Rebecca Okon Iban for their unfailing love, prayers, financial and emotional support. I am especially moved by their ability to deny themselves everything in order to provide for their children's education. I would also like to thank my mother-in-law, Mrs. Ukpong Basseyy Ebianana for her love, interest in my educational advancement and encouragement. I also would like to express my appreciation to my brothers, Mr. Enene Okon Iban, Mr. Otu Iban and Mr. Victor Iban for their moral support and numerous letters of encouragement. I would also like to thank my uncle, Mr. Ansa Otu Eno and his wife, Mrs. Arit Ansa Eno for their kindness and encouragement to reach for the stars. I am especially

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grateful to my aunt Mrs. Margaret Eno Okeke for being a trailblazer for women achieving higher education in the family. I wish to thank my sisters-in-law, Miss Nkese Bassey Ebianana and Mrs. Nkoyo E. Ukoh for their encouragement and support which I appreciate very much.

I am grateful to my precious daughter, Victoria Asuquo Ebianana, for putting up with a mummy who always had to study. I appreciate her understanding, without which the program would have been abandoned. Last but not least, I am profoundly grateful to my husband, Dr. Asuquo Bassey Ebianana, for his moral, financial and emotional support to ensure equal educational opportunity. A Ph.D. with a very young child would not have been possible without his love, cooperation and sacrifice.

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# **CHAPTER ONE**

## **INTRODUCTION**

### **Background of Study**

Since its inception in the American university, the role of the Dean has been a dynamic one. Several studies have been conducted on the role of the academic dean. Authors such as DuPont, 1956; Corson, 1960; Gould 1964 concluded that the academic dean is primarily concerned with the following: the goals and methods of education relevant to his/her college; the recruitment, retention and elevation of appropriate teacher-scholar ratio; the intellectual, informational and cultural context and quality of the curriculum and its effectiveness and the future of the curriculum. In addition, the academic dean is concerned about the general climate of learning on the campus and the advisable support in facilities and funds for the basic academic ventures of the college. According to Deutsch (1952, p. 53), the major responsibility of the dean as the collegiate academic program administrator, is to strengthen the academic work of his/her college or school, find its weaknesses and seek to remove them.

To provide educational leadership, the dean is expected to not only have a clear and comprehensive view of the goals of the school over which he/she presides, and the direction in which it should be moving; the dean should also function as a

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change agent exercising some direction over the movement of the institution towards specific and clear cut goals devised through long range planning.

In the 1950s and 60s, economic well being prevailed in the United States. Society saw its future entrusted to the success of higher education, and rapidly growing student bodies brought vast numbers of private citizens into an informed acquaintance with colleges and universities. Consequently total giving increased at an annual rate of 11.6% (Smith, 1978, p. 12).

However, the 1970s ushered in a difficult era for higher education. Ryan enumerates some of these problems as follows:

By the mid-1970s, the North American university was confronted with new problems. Declining student enrollments, shrinking funds for research, reduced operating budgets, and increasing cynicism with regard to its products provided the ingredients for what March (1974) has called a "period of neglect" or decline. University organization has just begun to reflect the impact of these trends (Ryan in Griffiths and McCarty, 1980, p. 133).

Public institutions of higher learning began to respond to these trends by getting involved in fundraising. According to Dove, federal cutbacks created the greatest need for educational fundraising especially in public institutions (Dove, 1988, p. 4).

The following quotation from Davis (1988) expatiates on the need for educational fundraising in public institutions. Davis writes:



In a time when increases in tuition breed complaints and controversy, when state budgets suffer from multiplying pressures, and when the federal government is drowning in red ink, private fundraising offers institutions of higher learning the best hope for growth in revenue (Davis, 1988, p. 28).

In response to these trends, central university administrators in public institutions have called upon the deans to assist the president in the execution of his/her fundraising responsibility (Trachtman, 1987, p. 11). The literature shows that the deans are in a better position to represent their colleges to prospective donors because of their philosophical knowledge about their college (Davis, 1986, p. 29).

Davis is of the opinion that fundraising can help a dean live up to his/her potential as a dean. He explains that a new endowed chair can attract quality students and faculty, thus enabling the dean to strengthen the academic work of his/her college. Quoting Davis:

If you can match your plans for innovative and important projects with energized major donors, you can accomplish your agenda for your school's future (Davis, 1988, p. 28).

Besides functioning as a fundraiser, the dean is also expected to function as an advocate of fundraising for his/her college (Trachtman, 1987, p. 12). Trachtman describes the dean as a bridge between the central administration and the faculty in accomplishing effective fundraising. Deans are in a unique position to carry out this responsibility because as "men in

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the middle" (Wicke, 1968; Meeth, 1971; Richman and Farmer, 1974), deans are hierarchically placed just below the central administration of the university and above the departmentalized administrators of the college which includes the faculty.

Michigan State University (MSU) is the setting for this descriptive research of the factors that facilitated or impeded the dean's performance during Michigan State University's first Capital Campaign (MSU 2000).

#### Statement of the Problem

When the role of the dean was created in American institutions, it was for the purpose of relieving the president from his/her most critical responsibility, which is educational leadership; so he/she could concentrate on other responsibilities such as fundraising (Deferrari, 1956, p. 55; DuPont, 1968, p. 9). The major responsibility of the dean according to Gould (1964) is being an academic leader responsible for raising the school's academic standards. However, events such as changes in the student population, cost increases and decreased governmental financing have once again led to the dean being called to provide leadership in these changing times. In response, the academic dean has turned over routine administrative responsibilities to the assistant or associate dean so he/she could concentrate on the task of welding college philosophy, objectives and personnel into a body responsive to societal needs (Cyphert and Zimpher,

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1980, p. 92). Events in higher education have therefore launched the academic deanship into the arena of educational fundraising.

Cyphert and Zimpher (1980, p. 92) observed that "both the university presidency and the university professorite have been the object of numerous studies. However university middle management, the deanship represents a void in our data, even though its importance is increasingly recognized." It is therefore desirable to study the deans especially as a number of authors (Davis, 1988; Barden, 1988; Goldman, 1988) have observed that the role of the dean is fast becoming that of a fundraiser. Bearing in mind Ryan's (1980, p. 134) criticism that the few studies on deans' role were mostly defined in terms of survey analysis and not by theory; it is therefore profitable to closely study the deans at Michigan State University who have responded to the institution's leadership call in fundraising, in terms of the theory of fundraising. This study of academic deans has the goal of analyzing and describing the factors that aided or impeded the performance of deans during a public institution's first Capital Campaign and will be done in the context of established concepts in Capital Campaigns, such as leadership, planning and organization using Michigan State University as the site of the study. It is anticipated that such a study will aid in identifying factors which proved helpful or unhelpful to deans in the performance of their fundraising responsibility.

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### **Statement of the Purpose**

The purpose of this study is threefold:

- First, to assess how each academic dean in a large public institution performed in the three elements of a successful Capital Campaign, namely leadership, planning and organization. Specifically, the research will seek to discover factors that aided or impeded each dean in functioning as a fundraiser;
- Second, to determine the fundraising expectation/potential of each college within a public university;
- Third, to obtain a qualitative reflection of each dean's fundraising experience.

### **Need for Research**

Both the university presidency and the university professorite have been the object of numerous studies. However, university middle management--the deanship represents a void in our data base, even though its importance is increasingly recognized (Cyphert and Zimpher in Griffith and McCarty, 1980, p. 91).

This quotation reveals that there is a gap in the literature and in our knowledge base regarding the deanship. A review of over 500 reports on higher education completed within the past decade by Peterson (1974) on academic administrators revealed that the role, activities, attitudes and values of crucial

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A review of the literature confirms that since Peterson's report in 1974, the academic deanship and its various roles have been the subject of a number of research reports. However, most of the studies have relied mainly on the use of the survey technique on a sample of all types of collegiate deans representing different sizes and orientation of schools (Ryan, 1980, p. 134). These types of researchers have been criticized as creating role typologies for deans with no theoretical underpinnings and consequently offering little terms for a systematic view of the deans' role (Ryan in Griffiths and McCarty, 1980). This reiterates Peterson's critique of work done on academic administrators. According to Peterson:

studies of academic administrators have made little use of conceptual variables or theoretical models. In short, the dean's role has been described primarily through survey methods and little is known about the dynamics of that role (Ryan in Griffiths and McCarty, 1980, p. 134).

There has been a dearth of knowledge about the dean's various roles especially in view of critical events affecting the dean's role. Issues such as financial shortages and enrollment decrease need studying. Ryan writes:

. . . Little is known about the role of academic administrators and about the effects of current issues and strains on that role (Ryan in Griffiths and McCarthy, 1980, p. 134).

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Since no research study has specifically utilized conceptual variables to study the dean's role as fundraiser, a need exists to analyze and document the dynamics of how deans performed their fundraising responsibilities and what their opinions are on what proved useful or not useful.

Since institutions are different, the research is not an attempt to give a prescription on how deans must or should perform as fundraisers, but is intended to shed light on the fundraising aspect of the dean's role in a public institution. There is therefore some need to study the dean's fundraising role from an individual institution's perspective.

#### **Significance of the Study**

The significance of this study is as follows: first, it is a timely study. The study addresses a research need as identified by the literature associated with the dean's role and fundraising. Second, the study is an attempt to apply a set of theoretical concepts to the analysis of the dean's role in fundraising. Third, the successful application of these theoretical concepts will provide fundamental data on the selection of deans in terms of fundraising success. Lastly, the study will provide Michigan State University data with which to assess the deans' active participation in the institution's first major Capital Campaign.

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### **Research Questions**

The following research question will guide the study:

What are the factors that impeded or facilitated the deans' ability to meet their colleges' fundraising potential during a Capital Campaign in a large public institution?

### **Definitions**

1. **Dean**

The term dean in this study is used to refer to the chief academic officer under the provost, primarily responsible for the quality and effectiveness of a faculty and academic quality of a school/college.

2. **Leader**

A leader in this study is defined as one who moves the group towards its goal. The essential ingredient in this definition are that there be movement toward the achievement of defined ends or goals and to be perceived as doing so by followers.

3. **Planning**

Planning in this study refers to the process an organization undergoes to design its own future on the basis of external environment, its opportunities and its constraints (George Keller, 1983).

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**4. Organisation**

In a fundraising Campaign and as used in this study, organization refers to the implementation or operationalization of the Campaign plans, and how the college development staff, university personnel, students and volunteers were organized to facilitate a successful Campaign.

**5. Feasibility study**

This study uses the term to refer to the test an institution undertakes to determine its philanthropic potential.

**6. Case statement**

In this research, the term is used to refer to the written document which describes the Campaign. Such a document includes answers to possible questions about the Campaign, reviews the arguments for support, and explains the proposed plan for raising the money.

**7. Fundraising**

This is defined as the practice of soliciting gifts and grants for the institution from interested individuals and organizations. Its single purpose is to enhance the interest or well being of the institution.

**8. Capital Campaign (Dove 1988)**

The research utilizes Dove's (1988) definition of a Capital Campaign, which describes a Capital Campaign as an organized fundraising effort on the part of an

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institution to secure extraordinary gifts and pledges for a specific purpose or purposes during a specific period of time (Dove, 1988, p. 1).

**9. Effective fundraising**

As used in this research, effective fundraising does not depend on the dollar amount raised in abstract, but the dollar amount raised in relation to a college's potential (Pickett, 1986). Potential is determined through a feasibility study, using the following criteria:

- Wealth of the college; which is represented by the size of the endowment. The wealthier an institution, the more able it is to withstand short-term financial distress without sending crisis spirals to its environment.
- College size; the larger a college, the bigger the impact it has on its community and the more families are touched directly or indirectly by its service programs. Thus, it is more likely to raise larger amounts of money because of the size of its alumni and friends.
- Socio-economic clientele and quality; a professional college such as medicine, engineering or business will tend to have

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more socially and economically successful alumni bodies (Pickett, 1986, pp. 231-239).

**10. Fundraising as a college priority**

This does not imply making fundraising the most important thing to the college, rather, it is used to imply giving fundraising visibility in the college.

**11. College Development Officer**

This term refers to the professional fundraising personnel resident in each college, with the primary responsibility of assisting the dean in raising funds for the college. Although the study is not about college development officers, they are however, included in the study for the purpose of corroborating and illuminating the deans' assessment of their leadership, planning and organizational roles during the Capital Campaign.

**Limitations**

- The study is limited to the opinion of the deans interviewed.
- Some deans interviewed for the study might have been appointed after the Campaign began, in which case, they were not involved in the planning phase of the Campaign.
- Michigan State University is a large public institution conducting a Capital Campaign for the

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first time. For this reason therefore, the findings of this research cannot be generalized to private or small liberal arts institutions.

- Michigan State University has the least endowment out of the "Big Ten" institutions. Hence the study is not intended to teach the other "Big Ten" institutions about Deans and fundraising.
- The time frame of the study posed some limitations in that, the tremendous success of the Capital Campaign led to its extension. Therefore the data which were collected prior to the end of the Campaign cannot be effectively used to make conclusion about goals.
- Finally, the use of interviews as the primary source of collecting data imposed some limitations on the study because interviews are subject to bias, prejudice and personal opinions.

#### Organization of the Study

The study is divided into seven parts as follows: chapter one is an introduction to the study. It consists of the background to the study and statements of the problem and purpose of the study. It also discusses the need and significance of the study, as well as enumerates the limitations of the study.

Chapter two, which is a literature review, is divided into three sections as follows: Section I consists of the

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history and influence of philanthropy in American higher education and the rationale for educational fundraising in public institutions. It is also a discussion of the contemporary Campaigns in public institutions and examines the participants/leadership in those Campaigns. Section II is an examination of the general role and responsibility of the academic dean and recent studies on deans or administrators in fundraising. Section III is a discussion of the three elements of a successful campaign namely leadership, planning and organization.

Chapter three describes the research design and methodology. It includes a description of the population, the instruments for obtaining data, the analysis of the data and the procedure used to obtain, handle and record data. Chapter four gives an overview of Michigan State University's first Capital Campaign. Chapter five presents the data. Chapter six provides a discussion of the findings. Chapter seven summarizes the study, discusses the conclusions, implications and suggestions for further research.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

The literature review will be divided into three sections: 1) fundraising, 2) the history and influence of philanthropy in higher education in America, including the rationale for capital campaigning in institutions of higher learning, and 3) leadership in contemporary fundraising campaigns in public institutions will be discussed.

The role of the dean in fundraising will be the focus of section two. Under this section, the general role and functions of the academic dean will be discussed.

Section three will examine the essential elements of an effective fundraising campaign; namely, organization, leadership and planning. Leadership, organization and planning will constitute the theoretical framework for the research on deans as fund raisers.

#### **Section 1**

##### **History and Influence of Philanthropy in Higher Education in America**

Since 1638, when John Harvard made the first educational contribution, United States higher education had attracted a major portion of American philanthropy. Income from gifts and bequests went a long way toward paying the expenses involved in founding and nourishing Harvard, and later eight colonial



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colleges (Curtis and Nash, 1965, p. 3); such as the collegiate school of Connecticut (1701) (later called Yale); the college of Rhode Island (1764) which later took the name of Nicholas Brown Jr. in acknowledgement of the \$160,000 he provided to the school during its early years (Bronson, 1914, p. 157); and Queens college in 1766, which later took the name of Henry Rutgers in appreciation of his \$5,000 bell gift to the college (Schmidt, 1964, p. 18).

Socially, prominent professional groups such as clergymen, merchants and magistrates, founded and supported these colleges. Their desire for these colleges was for them to be similar to those in England. This conservative bias appeared on the curricula and administrative practices adopted by the colonial colleges as well as in patterns of philanthropy. With few exceptions, the benefactors that nourished higher education in its New World beginnings were given and applied in such a way as to sustain traditional forms. When philanthropy did pioneer new departments, it was primarily because the college administration felt them harmless to established values (Curtis and Nash, 1965, pp. 3-4).

Curtis and Nash (1965) trace the failure of the first colleges to alter their curricula in response to the changed demands of a new environment, to the conservative nature of philanthropy. However, they concluded that if at that time philanthropy did not patronize departures in curriculum or

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throw open the doors of higher learning to new groups, it did erect the buildings, fill the libraries, and support in large part several generations of students and professors. These were considered basic tasks, but at that time, in a society with relatively little money to give or bequeath, the accomplishment was remarkable. A successful start convinced many skeptics of the value of higher education and those who gave, created a bond of sympathy and interest between themselves and the struggling colleges.

In the field of philanthropy itself, techniques of fundraising and a habit of generosity were established that later had important effects on today's successful fundraising methods. For example, appeals to private individuals for funds were present in the earliest attempts to found colleges in the New World, and when these colleges were in financial difficulties, donations came as a result of active solicitation (Curtis and Nash, 1965, p. 5). An example of this was the first appeal made by John Eliot to a well-to-do English antiquarian named Simonds D'Ewens in a letter dated September 18, 1633, which was a masterpiece of the philanthropic appeal. In the letter, Eliot made the point that:

If we nourish not Learning, both church and  
commonwealth will sink (Curtis and Nash, 1965, p.  
5).

Eliot was appealing to D'Ewens on more personal grounds for patronizing a colonial college. He went further in his letter

to write:

God hath bestowed upon you a bountiful blessing: now if you should please, to employ but one mite, of that greate welth which God hath given, to erect a schoole of larning, college among us; you should doe a most glorious work, acceptable to God & man; and the commemoration of the first founder of the means of larning, would be a perpetuating of your name and honour among us (Curtis and Nash, 1965, p. 5).

Another direct appeal was made to Elihu Yale by the Collegiate School of Connecticut as quoted by Gutek:

The affairs of our school hath been in a condition of pregnancy; painful with a witness have been the throwes thereof in this General Assembly; but we just now hear, that after the violent pangs threatening the very life of the babe; Divine Providence as a kind obstetrix hath mercifully brought the babe into the world, and behold a man-child is born, whereat we all rejoice (Gutek, 1970, p. 54).

The idea that the wealthy owed their fortunes to God and consequently had a duty to perform to society and that could be best executed by supporting good works, was fully exploited in English appeals of the time (Curtis and Nash, 1965, p. 5). The notion of stewardship as the foundation for philanthropy is traced to its earliest Calvinist roots in Colonial America by Gutek. According to Gutek, stewardship requires the wealthy to act as economic guardians by using their resources for the welfare of the public (Gutek, 1970, p. 55). Rudolph adds to the notion of stewardship in philanthropy this commentary on the role of philanthropy in support of higher education by stating:

The American College, therefore was an expression of Christian charity, both in the assistance that it gave to needy young men and in the assistance that it received from affluent old men. While the colonial

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economy would not support philanthropy of the dimension that founded colleges at Oxford and Cambridge, individual benevolence was nonetheless in the English tradition... (Rudolph, 1962, p. 78).

It follows, therefore, that in spite of the poverty of colonial life, the tradition that supported the English college was not abandoned in the New World. The concept of stewardship nurtured by the Christian denominations kept this tradition alive.

Consequently, in reminding D'Ewens of the stewardship of wealth, Eliot brought the force of religion behind his appeal. The final suggestion of perpetuating the donor's name was directed to personal vanity and pride. It was to become a favorite bait of later fundraisers.

Another important concept in fundraising established by philanthropic sponsorship of higher education is the use of campaign brochures to state the institution's need for money. Several years later after the founding of Harvard, the institution was on the brink of collapse. The new president of the college, Henry Dunster, looked to England as the most promising and launched in the mother country, the first of many campaigns on behalf of colonial higher education. The choice was well-calculated. England had been exceedingly generous to higher education, contributing over two hundred thousand pounds since 1480 and almost 40,000 pounds in the single decade from 1621-1630 (Curtis and Nash, 1965, p. 6).

The chosen solicitors - Thomas Weld, Hugh Peter and William Hibbins - were instructed to raise funds without

engaging in dishonorable begging. They arrived in London in September, 1641, and met with moderate success. However, the fundraisers felt a need for promotional literature to arouse interest. In 1642, Peter Weld and President Dunster prepared a tract that when published the following year, carried the ingenious title "New England's First Fruits" (Curtis and Nash, 1965, p. 17). It was the first of thousands of brochures that American educational institutions have issued in the hope of stimulating contributions.

Armed with "New England's First Fruits," Weld visited several prospects, one of whom was Anne Mowlson. From Mowlson, a 100-pound gift was obtained to be used for the education of the poor, thus establishing the first scholarship or student endowment fund in an American institution (Rudolph, 1962, pp. 78-79).

Philanthropy in American higher education also established another concept used in fundraising. That concept is mass solicitation. In the early days, donations were solicited also from the masses. Historians Curtis and Nash documented the article written for a subscription prospectus circulated for Harvard about 1663. The article, while appreciating the fact that the public was poor with little to spare for philanthropy, urged them to support higher education "lest temptation, barbarism, ignorance and irreligion doe by degrees breake in upon us" (Curtis and Nash, 1965, p.8). This documented the importance of higher education to the colonists



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and the assumption that the first philanthropic support would be small. Harvard's early records contain references of gifts as small as a fruit dish, a quarter bushel of grain and a simple pound (Curtis and Nash, 1965, pp. 8-15). The perception that all gifts are important is still true today because big donors want to know what the alumni support is prior to making their donation.

#### **Philanthropy in the Shaping of Higher Education Curriculum**

Even though the New World inherited from England the habit of philanthropy to higher education, the New World differed in that its system of higher education was characterized by diffusion and diversity. England's higher education was dominated by two universities, namely Oxford and Cambridge. On the other hand, in the New World, Harvard, which had only been in existence for sixty years, had competition from other colleges such as the College of New Jersey, King's College, the College of Rhode Island, Queens College, the Collegiate School of Connecticut and Dartmouth College.

Unfortunately, this diversity did not extend to the curriculum and the student body. The curriculum was still liberal arts and the student body was still mainly made up of children of the rich (Curtis and Nash, 1965, pp. 8-15). Some of the philanthropic support to the colonial colleges was conservative in that it sought to sustain the traditional pattern of sectarian instruction in divinity. While most

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colonial philanthropists sought to preserve and strengthen traditional patterns, a few looked in new directions. Once again, philanthropy in higher education played an important role transforming theologically oriented colleges into universities offering professional training in many phases of the liberal arts and sciences.

The first generation after independence consisted of entrepreneurs, financiers and industrialists who, through philanthropic giving, pressured for change toward practical education. Instead of patronizing the classical colleges for the elite, many nineteenth century entrepreneurs sought to transform existing institutions or to found new ones that would be more responsive to current demands as they defined them. The great fortunes of the members of the new elite gave them the opportunity, through philanthropy to implement their novel educational ideas. They were well aware that graduates coming from the campuses of the classical colleges were totally unprepared to meet the problems involved in building a bridge, operating a bank, or designing a machine. With few exceptions these business people were not college graduates (Wyllie, 1954, pp. 95-112). The Americans who patronized practical education did so with the belief that they themselves could have profited from a few years of intensive training at the beginning of their own careers. The benefactors sought to correct a defect they perceived in the preparation America offered its young men and women by

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In the 1880s, attempts were made through the donations of philanthropists to offer scientific and technical education. For example, in 1823, the Gardiner Lyceum was opened with the purpose of instructing farmers and mechanics in the scientific principles of their professions. Others included the Maryland Institute for the Promotion of the Mechanic Arts, the Franklin Institute, the Rensselaer School (which gave the United States the honor of awarding the first degree in Civil Engineering), Lawrence Scientific School.

Although applied science led the way, commerce and business administration soon followed in receiving the support of practical-minded philanthropists, enabling these subjects to enter the college curriculum.

Some benefactors of practical higher education in the nineteenth century were not content to make their donations to colleges that already existed. In many cases, these philanthropists felt that only in their own institutions could their educational ideas be given complete and unopposed implementation. Rensselaer was the first American to use his wealth this way.

In 1859, with an initial expense of more than \$600,000, Cooper built the school of his dreams in the city of New York; for the advancement of science and art in their application to the varied and useful purposes of life. The founding of Cooper Union was a spur to other Americans with money and a belief in

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In most cases, philanthropic support of practical higher education reflected the vocational interests of the donors. For example, invention and engineering were family traditions with Edwin A. Stevens. He bequested \$650,000 to the Stevens Institute of Technology. Leonard Case donated more than two million dollars to science. The same was applicable to Rose Polytechnic Institute, Pratt Institute, Carnegie Institute of Technology, Drexel Institute, California Institute of Mechanical Arts, etc. (Curtis and Nash, 1965, pp. 60-86).

According to several authors in the literature for fundraising, donors today invest in institutions with causes which meet donors' interests.

#### Land-Grant Institutions

Private philanthropy was not the only means by which practical higher education advanced in the United States. In the 1840s, it was becoming increasingly clear that the Western world was about to enter a new era of inquiry, or more extensive scientific research with the publication of Charles Darwin's book, The Origin of the Species (Brubacher and Rudy, 1976, p. 62). The movement for land-grant colleges represented the American phase of the new emphasis on the role of science in human affairs. Brubacher and Rudy state that by the 1940s, the so-called farmers' vote in America was becoming increasingly self-conscious politically. They wrote that, there was more grass root support for the program of "vote



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yourself a farm" at that time than for special training in how to till such farms (Brubacher and Rudy, 1976, p. 62). Nevertheless, they said, some farm organizations came to regard agricultural education as at least a partial cure for the farmer's economic ills. In the 1850s, the agitation of a gradually expanding agricultural press and of various local and national agricultural societies built up a growing body of opinion which demanded the establishment of what were called "democratic colleges" (Brubacher and Rudy, 1976, p. 63).

The Morrill Act of 1862, which created the land-grant colleges, was an act donating public lands to several states and territories which may provide colleges for the benefit of agriculture and mechanical arts. This Act and subsequent legislation in the twentieth century, greatly increased the amount of federal aid to land-grant colleges. These colleges stood pre-eminently for the principles increasingly so important in the twentieth century; that every American citizen was entitled to receive some form of higher education. Together, with the first state universities and municipal colleges, the early land-grant colleges represented the force of democracy working as a mighty lever in the world of American higher education. Michigan State University was the pioneer land-grant university.

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### **Rationale for Capital Campaigning in Institutions of Higher Learning**

Philanthropy and charity to American educational institutions continued. For example, capitalists such as Andrew Carnegie and John Rockefeller underwrote libraries, museums, research projects and sometimes, entire universities in the late nineteenth and early twentieth centuries (Dove, 1988, p. 3).

The rise of industrialization enabled more people to give to higher education. This led to the establishment of fundraising corporations. Although philanthropy had been in existence in the United States for decades, successful major campaigns were conducted early this century by the campaign directors for the YMCA (Dove, 1988, p. 3).

Over the past years, institutions of higher learning, especially public institutions, have gotten involved with capital campaigns for a number of reasons. The role of campaigns and their impact on the future of institutions are becoming very important. Several factors are responsible for educational institutions' involvement in capital campaigns, especially public institutions.

According to Cheit (1971, p. vii), the decade of the 1960s was characterized by the most rapid growth and development ever experienced by institutions of higher learning. When the baby boom children reached college age, the college population rose astronomically. In addition, the post-Sputnik era was a period marked with heightened appreciation

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of the contributions by higher education to national growth and scientific development. Consequently, this was characterized by rising state government appropriations, massive federal aid programs, expanded private gifts, and increased student fees. Institutions of higher learning were therefore equipped financially to absorb the swelling enrollment of students (Cheit, 1971, p. vii).

In addition, the United States' economy was growing at a fairly rapid space and university budgets were growing at the rate of 7-8%, and total giving to higher education grew at a rate of 11.7% (Smith, 1978).

However, the status quo changed toward the end of the 1960s as signs of financial stress began to be apparent in the institutions of higher learning. By 1970 a rising number of institutions were facing financial difficulties, as the flow of funds from various sources ceased to rise at the rapid rate they had become acquainted with from the late 1950s to about 1967 (Cheit, 1971, p. viii).

The massive growth of higher education during the early 1950s was partly responsible for the financial difficulties experienced in the late 1960s. During the early 1950s institutions had increased the quality and variety of the courses being offered and had responded to the demand for greater equality of opportunity in higher education. Unfortunately, when enrollment started to decline at both undergraduate and graduate levels, the institutions were

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Another reason why institutions of higher learning started experiencing financial difficulty which eventually led to their involvement in capital campaigns was the increase of graduates as a proportion of the total enrollment and consequent rapid growth of expenditure.

The federal funding programs which emerged in the 1950s also contributed to the financial troubles of higher education. The government poured out massive funds to institutions of higher learning in the beginning (Broce, 1979, p. 13). However, Crawford states that towards the end of the mid-1960s, higher education became the object of public skepticism and doubt. Following the post-Sputnik era, the strong public confidence and financial support enjoyed by higher education was replaced by a widespread disillusionment which raised the question of what priority higher education should have in the allocation of scarce resources (Crawford in Rowland, ed., 1977, pp. 341-342). Consequently, the federal government curtailed most of the massive aid programs, leaving educational institutions which had become overbuilt and overly dependent on federal aid stranded, so money had to be sought for from other sources.

Another reason why higher education got involved in capital campaigning was as a result of the oil embargo of the 1970s, which resulted in increased utility costs, something



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the institutions were forced to underwrite, thus increasing their operational costs.

In some institutions, the need for new technology also accounted for higher education's need to seek additional funds. All these factors, in addition to the existence of fewer tax dollars because of the increase in unemployment coupled with inflation, contributed to the need for public institutions to become involved in capital campaigns.

As one institution after another, such as Duke, Stanford, Chicago and Michigan, successfully conducted capital campaigns in the 1960s, other institutions saw the need to raise more money so as to raise their quality and become more competitive (Broce, 1979, pp. 13-14). To increase quality, many higher education institutions will need to seek substantially increased scholarship funds and/or increased endowment for student aid to enable them to compete for the fewer students (Cheshire, 1979, p. 7) now available to higher educational institutions (Hodgkinson, 1985, p. 13).

Another reason why institutions of higher learning are engaging in fundraising to raise their quality, is as a result of the shift in emphasis in the principle of access to education to quality of education. Therefore, teaching ability is becoming more important to institutions as they increasingly focus more on excellence and on offering an education of value that is worth the high cost. Cheshire concludes that given the shift in emphasis it is not

surprising to see institution after institution get involved in fundraising to support improvement of teaching capacities, techniques and materials (Cheshire, 1979, p. 6).

Other reasons why institutions of higher learning are involved in capital campaigns include an increase in competition for resources. According to Frantzreb (1981), the competition from other educational institutions and social programs is very intense. More charities are being formed at the same time as public grant programs are being reduced or eliminated as a part of the current federal administration's strategy (Dove, 1988, p. 4). Therefore, institutions have undertaken to publicly expose their hopes and aspirations to critical market segments, for the purpose of asking them to invest their time, energy and financial support crucial to its quality and sometimes, its survival.

Lastly, capital campaigns are popular with institutions of higher learning because the donor public is becoming both more pressed and more discriminating as resources are becoming more scarce. Consequently, institutions engage in capital campaigning partly for the purpose of matching donor interests with their needs.

According to Broce (1979, p. 11), the campaign method of raising money had its beginnings in the YMCA movement of the 1900s. The campaigns grew out of the concern of many that they were spending too much time on raising money. The campaign was a way of solving this problem, because it had stated goals and

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time limits, enabling the money raising chore to be completed quickly and thus eliminating the agony that accompanied continuous fundraising.

Cheshire was of the opinion that the capital campaign of today is different from early campaigns because traditionally campaigning was designed to meet the institution's physical plant needs. Today, however capital campaigns are also for endowment and money for current programs (Broce, 1979, p. 117). Inflation, the oversupply of faculty, and the prevailing concern for responsible fiscal management are influencing the situation (Cheshire, 1979, p. 6). According to Cheshire, campaigns are now occurring once in a decade rather than once in a lifetime, and the goals are extraordinarily high. Nevertheless, a review of the early campaigns and today's campaigns show that both have many similar practices necessary for success, such as organization, selection of volunteers, team competition, powerful publicity, large gifts to be matched by the public, careful records, reporting meetings and definite time limits (Broce, 1979, p. 11).

## **Section 2**

### **Contemporary Campaigns in Public Institutions**

Fundraising as it exists today did not begin until the late nineteenth century when financiers such as Andrew Carnegie and John Rockefeller started underwriting libraries, museums, research projects, and even entire universities. As

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the United States became industrialized and major donors were willing to give to non-profits organizations, fundraising became a practice (Dove, 1988, pp. 2-3).

Fundraising was a practice in private institutions as they were founded and maintained by philanthropic giving (Curtis and Nash, 1965; Rudolph, 1962). The more important reason that plunged public institutions into privately raising money was the decrease in state and federal support to public institutions. Other reasons for public institutions engaging in fundraising included the tightening of institutional budgets and decline in student enrollment (Gabor in Dove, 1988). Given the above reasons, public institutions have had to publicly expose their hopes and aspirations to critical market segments who are then asked to invest their time, energy and financial support, crucial to the institution's quality and sometimes crucial to the institution's survival.

Organized fundraising activities such as capital campaigns are being undertaken for two reasons: the donor public is becoming both more pressed and more discriminating as resources are becoming more scarce; and fixed operating costs are escalating more rapidly than the rate of inflation (Dove, 1988, p. 4).

According to a telephone survey conducted by the Chronicle of Higher Education ("Fact-File...", September 2, 1987, p. A76 in Dove, 1988, pp. 4-5), forty-three higher education institutions within one year (1987-1988) announced

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a capital campaign with a goal of more than \$100 million, and in February 1987 Stanford University announced a capital campaign of more than \$1 billion (Dove, 1988, p. 5).

Dove, like other fundraising authors, adds that regardless of the amount to be raised, every effective or successful fundraising campaign must have effective leadership, good organization and planning.

#### Participants in a Public Institution's Capital Campaign

Writing on the vital importance of leadership in successful capital campaign, Seymour (1966) writes:

A good fundraising program has two kinds of leadership - the layman who leads and the staff member who manages and serves. The better each is and the better they work together, the better the results will be. Leadership in itself, let it never be forgotten, is always the key factor in successful fundraising, whatever the cause, whatever the goal, and whatever the scope of the campaign (p. 179).

Moisan agreed with Seymour in his dissertation on "the three year capital campaign at University of Virginia"--a public institution. He identified three principal elements that made the campaign a success, namely: leadership, organization and planning. He divided the leadership team into two levels. On one level was the president and on the other level was the development team which included the chief development officer, top administrators and volunteers.

The literature (Dove, 1988; Fisher, 1980; Fisher and Quehl, 1989; Pocock, 1989) identify the president, the campaign chairperson, the governing board, the chief

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development officer and the deans as the major participants in an institution's capital campaign effort. The leadership role played by each of these participants will be examined. The president's role in a capital campaign will be examined first because he/she is the player most written about in a capital campaign. However, the focus of this research is on the role of the deans in a capital campaign.

#### Presidential Leadership

A number of authors have written about presidential leadership in a capital campaign (Fazio and Fazio, 1984; McLaughlin, 1984; Whittier, 1980; Fisher, 1980; 1985). Each of these authors sees the president as the essence of the institution and that the general leadership role expected of any president is crucial to a capital campaign's success. According to Fisher (1980)

Without strong presidential leadership, it is impossible for the institution to move and the institution will suffer (Fisher, 1980, p. viii).

Each writer expects the president to take the responsibility for the institution's survival through the creation of an atmosphere in which the president's constituents can be scholars and teachers. Presidential leadership in this context is twofold: (1) ability to contribute significantly to group movement in the direction of a recognized goal; (2) to be perceived as doing so by followers (Cohen and Rouch, 1969). It is for this reason that McLaughlin said:

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The success or failure of both a college and an administration is...in the short term often judged on financial solvency. The fact that campaigns are measurable and other achievements are not, gives fundraising special tangible significance (McLaughlin, 1984, p. 6).

This statement equates the president's role as a leader in a campaign with the president's overall role as institutional leader. It is no wonder therefore that Dr. Hardin (the then outgoing president of Michigan State University), when asked to reflect on the condition of American higher education, should reply: "lousy, and it is our fault" (Fisher, 1980, p. vi). Fisher like Hardin is convinced that one way to restore higher education is presidential sophistication in fundraising. Sophistication in fundraising according to Richards and Sherratt (1981) begins when the college president fully realizes that he/she is not merely a manager or coordinator, but instead is the central person exercising presidential leadership for the institution.

Fazio and Fazio (1984) best describe the importance of presidential leadership in a capital campaign in a memo they sent a president as follows:

The capital campaign is one of the most critical activities of your administration. Your role in it is vital to the campaign's success. In fact, without your special involvement, your institution's (advancement) fundraising program is destined to fail (Fazio and Fazio, 1984, p. 10).

This type of involvement, according to Fazio and Fazio (1984), means that the president, as the leader of the campaign, has to be personally involved in the capital campaign planning.

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Fazio and Fazio (1984) include selecting the right strategy for the right time with the right people as part of the president's planning responsibility. It is their belief that the president is not to trust the leadership of the campaign to the Vice President for Development and then react to weekly memos (Fazio and Fazio, 1984). They contend that as the leader of the campaign, the president's personal and active involvement in making the campaign plans is crucial, because this plan contains the best estimate of scope, goals, objectives, process and timeliness of the campaign. The plan, according to Fazio and Fazio, also includes several checkpoints along the way as well as a number of alternative scenarios that the president must prepare in advance, just in case mid-course corrections become necessary (Fazio and Fazio, 1984, p. 6).

The leadership role of the president also means he/she has to play a major role in determining feasibility. Fisher and Quehl (1989) advise that the president has to personally select the consulting firm that will conduct the institution's feasibility study. The president's role in determining feasibility is to give the consultant conducting the feasibility study a candid interview. This is because the president's perceptions are basic in the creation of a sound development program. The president's candor with the outside consultant is crucial to the success of the capital campaign.

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Formulating the case statement is another area in which the president has to exercise leadership. The cases selected for support must recount the institution's needs and define why they deserve major support. For this to be accomplished, the president's personality and thoughtful participation must be evident throughout the printed piece (Fazio and Fazio, 1984, p. 7).

Although the president has to be personally involved in the capital campaign he/she also has to delegate responsibility and authority. Thus, the president's leadership responsibility includes helping the development officer recruit the volunteer organization, providing encouragement to the volunteers and occasionally nudging them when they are not conscientiously following through on their assignments (McLaughlin, 1984, p. 8).

The most important leadership responsibility of the president in a capital campaign is to convey the institutional message personally to potential donors. Fundraising theory holds that 90% of the goal is donated by 10% of the prospects (Pockock, 1989, p. 33). For this reason, it is of great importance that the president personally solicit donations from big corporations and big individual donors.

Other leadership responsibility of the president during a capital campaign includes the following: bringing together the disparate elements of the academic community to support the campaign, and holding the professional staff accountable.

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The president has to establish benchmarks for success and set levels of achievement and expectation (McLaughlin, 1984).

Given the central role that the president plays in a capital campaign, President Hesburg of Notre Dame characterized the president as the definite leader in the campaign and gives a summary of the president's job as follows:

The job of the president is to articulate the case, to present the vision. This assumes of course that the president has a clear vision for the institution...whatever else he is clear and enthusiastic about, the president must most of all elaborate his specific vision, rethink it as times change, and perfect it as he learns from resources... (Conklin, 1982, pp. 16-17).

To summarize the role of the president in a capital campaign, Putnam's speech best illustrated it. According to Putnam:

The president, particularly in fundraising campaigns, needs the support and understanding of faculty and staff. Department chairmen tend to be myopic, focusing only on their departmental needs without a concern for the overall institution. Vested interest surface quite quickly. Therefore, the case statement and the institution's needs must be pulled in a plan (by the president) reflecting the total institution.... The president however, must do more than appoint staff and delegate fundraising responsibilities. As far as the community is concerned, the president is the institution. The president alone is the chief spokesman and chief fund raiser for the institution, promoting a community awareness of the institution's goals and needs. The president enlists community leaders to volunteer their talents and their dollars to the college. He encourages the staff and importantly, the faculty, to realize that the success of an institution's fundraising efforts are a direct result of the institution's commitment to this effort. The president, particularly in a state university, must assume an aggressive leadership posture in any development effort due to the very limited understanding by the public that a state-supported college needs private funds (Putnam, 1976, p. 4).

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### Chief Development Officer

The chief development officer is a colleague of the president and a senior officer of the institution. He/she is part of the executive leadership team for development. The person occupying this position must be able to command the respect of the institution's top constituencies (Frantzreb, 1981, p. 24). In a capital campaign, the chief development officer has the primary function of obtaining understanding and support for the total program. According to Dove he also functions as a catalytic force--an educator, manager, researcher, communicator, facilitator, leader, guide and stimulator (Dove, 1988, p. 40).

As an educator, the chief development officer assists the president in becoming a better fundraiser. Adams identifies four areas in which the chief development officer can accomplish the task of aiding the president to become a better fundraiser.

- Aids the president to set the tone for the capital campaign. McGinnis' study concluded that the chief development officer and the president typically implement and direct fundraising policy (McGinnis, 1980). It therefore follows that as an educator, the chief development officer should build an overall capital campaign approach on the best practice of traditional management, augmented by new approaches, directional

techniques and attitudes (Dove, 1988, p. 42).

- The chief development officer's responsibility as an educator during a capital campaign is to spend quality time with the president to keep the president abreast of the campaign's progress. In addition, the chief development officer has to ask his/her staff to adequately research prospective donors; utilizing this information, the chief development officer prepares the president for the solicitation call.
- The chief development officer has to have technique and talent. The chief development officer according to Adams, gives the president expert advice concerning such matters as: the subtleties associated with computerized direct mail; the best approaches to foundation relations; the strategies and legalities behind planned giving; minute details essential to dealing with alumni and the propriety and importance of good donor research.
- Finally, as an educator, the chief development officer has to possess talent. Through caring, tutoring, the chief development officer aids the president to develop the talent for interacting personally with a donor and the talent and commitment needed to state the mission and case

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effectively (Adams, 1989, p. 18).

As a manager, the chief development officer has the leadership responsibility of orchestrating the details of the campaign and organizing the campaign. Sherratt concluded that though the chief development officer leads the development office, he/she needs professional help in the performance of special tasks such as annual giving, corporate and foundation relations (Sherratt, 1975). Dove adds that since the above named functions are interdependent and related, the chief development officer must take advantage of the diverse talents of his/her staff's talents and work with them rather than assigning them duties (Dove, 1988, pp. 41-42).

Functioning as a communicator during a capital campaign; the chief development officer, has extensive public relations duties as part of his/her responsibility to plan and implement the campaign (Sherratt, 1975).

The chief development officer functions as a facilitator during a capital campaign. He/she does this by being less authority oriented and more of a provider of work conditions, a helper in problem solving and good accomplishment. Dove analyzes the chief development officer's role in a capital campaign

...as providing a climate in which staff members can gain confidence in each other, in which goals are felt to be understandable and meaningful, and in which all people can participate successfully... (Dove, 1988, p. 41).

As a leader, the chief development officer provides



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leadership and guidance to both the staff and the volunteers. Dove is of the opinion that today, the chief development officer's leadership is considered to be more coordination of effort than actual fundraising. In conclusion, Dove lists seven responsibilities of a chief development officer in a capital campaign as follows:

- recognize the needs of staff and volunteers;
- delegate authority and/or responsibility;
- solicit and cultivate donor prospects;
- involve staff and volunteers appropriately in every level of decision making;
- provide meaningful support, direction and leadership;
- recognize the challenge of changing times and human motivations;
- provide adequate feedback and recognition of achievement (Dove, 1988, p. 42).

#### **Trustees/Governing Board**

Literature abound on the importance of trustees/governing board leadership in the success of a capital campaign (Frantzreb, 1981; Fillmore, 1984; Madalena, 1980; Pocock, 1989).

Private colleges have survived mainly as a result of private philanthropy. The trustees had and still have the responsibility of obtaining and managing resources to maintain the institution. Now, public institutions are also depending

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on private support to meet their costs. In both public and private institutions the board members are expected to raise money to ensure that the institution reaches its potential (Pocock, 1989, p. 1).

Pocock (1989) gives two major reasons why the trustees are in a major leadership position in a capital campaign.

They are:

- Prospective major donors want to talk with those in whose hands rest the present and future health of the institution, the president is the logical person to talk to. However, the president is unable to handle all demands of a major fundraising program, the trustee therefore stands as a peer or surrogate of the president in the development of major donors.
- Trustees represent a cross section of the leadership of the local community and of the society. As a result each trustee brings to the institution a distinct set of contacts and prospects (Pocock, 1989, pp. 1-3).

Broce discusses the vital importance of trustee leadership as follows:

Leadership from the governing board, is the single most critical factor affecting the success of a campaign and even in determining whether an institution should conduct a capital program. Without the board's visible and unanimous commitment, it will be difficult if not impossible to motivate others to participate. And it is the governing board members, independent of others, who must eventually commit themselves to seeing that a stated goal is reached because they themselves are unanimously determined

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that it will be (Broce, 1979, p. 46).

In reinforcing Broce's position Gerber (in Dove, 1988) states that "leadership from the top in recruiting workers, cultivating, soliciting and giving is absolutely critical to a successful capital campaign" (Gerber in Dove, 1988, p. 32-33). Leadership for the campaign therefore is the key ingredient that the board must provide. Through their leadership, trustees enlist alumni, parents and friends to join the volunteer organization that will work with the staff and faculty to accomplish the desired results. Handlan (1989) believes that other volunteers will not reach their full potential unless the board members first provide the leadership. It therefore follows that trustee leadership is essential not only to set the example for the institution's off campus constituencies, but as an important ingredient in rallying the campus community namely; faculty, staff and students, around the campaign (Handlan, 1989, pp. 73-82).

In carrying out their leadership responsibility, the governance board members operate at two levels, namely; collectively and individually (Dove, 1988; Pocock, 1989).

Collectively, the board reviews and approves the timing of the campaign after a full discussion of the perceived strengths and weaknesses of the institution as it approaches the campaign. Also, the executive and development committees of the board have to be substantially involved in preparing the needs list. The final needs list has to be presented to

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the entire board for consideration and approval. If approved, a capital campaign then is usually referred to the board's development committee for planning and overall supervision of its implementation (Dove, 1988, pp. 32-37; Pocock, 1989, pp. 27-30).

It is also the responsibility of the board to approve money at the initial phase of the campaign to conduct the feasibility studies, and later, the board also has to approve the entire campaign budget.

During the planning phase of the capital campaign, it is the board's role to ensure that the campaign is properly planned. This responsibility according to Dove, includes assessing the organization and structure, people involved, individuals, corporations, and foundations being solicited, how much they will be asked for, timing of efforts and marketing aids being used (Dove, 1988, p. 34).

After the completion of the case statement, the board has the responsibility of approving it. According to Pocock, this step ensures the board's full understanding and prepares them to assume their individual role in the campaign effort (Pocock, 1989, pp. 27-36).

Individually, not every board member is expected to accept specific fundraising responsibilities. However, each of them is expected to be a solicitor according to Dove (1988) and Pocock (1989). LaMore (1989) agrees with Dove and Pocock and adds that board members by virtue of their caliber, know



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some individuals and foundations from whom they will be the best persons to get a considerable commitment. He therefore articulates the reasons for trustee leadership in a capital campaign as follows:

Board members must take on these individual assignments with enthusiasm and leave no stone unturned in ensuring that prospective donors are given the information that will enable them to make a sound and thoughtful decision regarding support of the institution. Trustees through deep commitment in the solicitation of gifts, authenticate their own deep involvement in the institution (LaMore, 1989, p. 93).

LaMore, Pocock and Dove all are in agreement that people give to people, consequently donors will give to the trustees who carry the mission and needs of their institution in a positive enthusiastic way.

Other leadership responsibilities trustees could be involved in, individually, include serving as members of campaign committees especially in large public institutions. Also trustees could work with professional staff to identify prospects. By so doing, trustees spread the perception and reality of their support and participation in all aspects of the campaign (Pocock, 1989, p. 94).

Since 90% of the goal in a campaign is raised from 10% of donors (Pocock, 1989, p. 38), the trustees' role in a capital campaign is very crucial to the success of the campaign as people give to people and not to institutions.

In conclusion, Filmore states that trustee endorsement, support and leadership are key to any successful educational capital campaign (Filmore 1984, pp. 22-24).

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### **Campaign Chairperson**

Broce (1979), Seymour (1966), and Dove (1988) are of the opinion that the selection of this individual is of the utmost importance in a campaign. They all agree that the campaign chair should come primarily from within. The qualities of this individual, according to Dove (1988), should include the following:

- be a respected individual with an immediate name recognition among the institution's publics;
- has established a substantial record of major gift support to the institution;
- be a forceful dynamic leader with colleagues and friends who are also leaders representing the institution's various constituencies (Dove, 1988, p. 30).

Consistently, the following are also listed by other authors as the principle duties of a campaign chair. Dove lists the following as the principle duties of a campaign chair during a capital campaign:

- serve as the chief executive officer of the campaign;
- cultivate or solicit a limited number of appropriate prospects;
- assuming specific responsibility for the personal and/or corporate commitments from members of the campaign steering committee and all principal operating chairs;
- serve as chair of the campaign steering committee and presiding over its meetings;

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- making day-to-day decisions regarding the problems of the campaign, in consultation with the chief executive officer and chief development officer and others at the institution when important considerations arise;
- acting as spokesperson for the campaign in all news stories, campaign publications, special events and other functions (Dove, 1988, p. 31).

These responsibilities are pivotal to the success of the campaign and Seymour (1966, p. 47) is of the opinion that the person chosen must have proven leadership capabilities, influence and affluence and be willing to use them on behalf of the institution.

#### Deans

The role of the dean in a capital campaign is the focus of this research. There is a dearth in the fundraising literature on the leadership role of the dean in a capital campaign. According to the literature, deans' active involvement in a capital campaign is a recent phenomenon (Trachtman, 1987; Davis, 1988; Barden, 1988). Other participants in an institution's capital campaign had been actively involved in capital campaigns longer than the academic deans.

A study on "fundraising at selected public universities" concluded that the president and chief development officer typically implement and direct fundraising with only limited involvement from other key personnel (McGinnis, 1980). However, the literature on educational fundraising indicates a trend in the concept of teamwork. The teamwork concept also

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focusses on the importance of involving the academic deans in the institution's capital campaigns (Trachtman, 1987; Davis, 1988; Barden, 1988).

The academic dean as "man in the middle" (Wicke, 1963; Meeth, 1971; Richman and Farmer, 1974) has fundraising responsibility as a whole and to his/her college. To the university, the deans (as in the case of Michigan State University), were expected to orchestrate the needs of their respective colleges to be included in the university's case for support statement (campaign files). With the college, the dean has two major fundraising duties. These duties are setting the school's fundraising priorities and representing the school to key alumni, parents, corporations and foundations (Davis, 1988, p. 30).

Another leadership responsibility of the dean during a capital campaign is actually asking for donations. To accomplish this, the dean has to work cooperatively with his/her development officer, who identifies who to solicit and does the research on such a prospect.

In a capital campaign, the dean has other leadership responsibilities. These responsibilities include the following:

- Stewardship of gifts. This responsibility involves reporting back to donors who have established scholarship, lectureship and other endowments. Davis adds that the effective gift acknowledgment and stewardship programs guarantee a loyal and committed body of donors (Davis, 1988, p. 30).



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- Lead the college development office by setting his/her college's fundraising priorities.
- Build up the institution's case statement, thus deans are expected to be visionaries for their colleges.
- Integrate fundraising into the working of the school. This is accomplished by giving fundraising a high visibility in the school thus encouraging faculty and staff in the school to participate in the process.
- Take a leadership role in the cultivation of prospective donors. Deans can accomplish this by enlisting prospective donors to serve in designated volunteer positions within his/her school. According to Davis, such positions could be in the school's alumni association, in the dean's advisory council or visiting committee. Such participation gives potential major donors the opportunity to be involved in the life of the school.
- Maintain ties with alumni. The dean can accomplish this through the use of a school publication, dinners and special programs designed specifically for school alumni (Davis, 1988, pp. 31-32).

Proffitt, commenting on the importance of maintaining ties with alumni for fundraising success said in a speech to deans:

You must have some means of communicating on a more or less regular basis, with your alumni and other potential donors. You have to generate in them a real interest in the school and create a feeling of confidence in your programs. If your first or only contact with these nice people is a plea for money, you'll find it a waste of effort (Proffitt in Barden, 1988, p. 25).

#### **The General Role and Responsibility of the Academic Dean**

The role of the dean will be traced since its inception to its current role. Emphasis will be placed on how the dean's

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duties and responsibilities changed in response to events occurring in higher education.

Prior to an examination of the evolving role of the dean, it is pertinent to mention that there is no clear definition of a dean's role. Dean Herbert E. Hawkes of Columbia College once stated, "There is no such thing as a standardized dean. There is a dean of this and that college but I have never seen any two deans who would exchange places and retain the same duties" (Hawkes, 1930, p. 245). Dibden gives two reasons for this observation. First, the existence of many colleges in the country, many deans, many presidents and even more professors. Secondly, the difference in the time, talent, vigor and vision of a president also explains why one academic dean will not duplicate the duties of another academic dean under a different president (Dibden, 1968, pp. v-vi).

Coladarci (in Griffiths and McCarty, 1980) argues that an understanding of the role of the dean must include the following three factors: heterogeneity of schools and their host institutions; multiplicity of variables in decanal roles and performance; and the near-certainty that the performance of a dean is explainable most usefully in terms of interactions among personnel and situational characteristics (Coladarci in Griffiths and McCarty, 1980, p. 127). However, Edward Doyle noted that academic deans as major executives are responsible for the administration of academic programs. As executives therefore, they perform the following seven

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**executive functions: planning, organization, staffing, directing, coordinating, reporting and budgeting (Doyle in Deferrari, 1957, pp. 3-14). Quoting Doyle, in defence of classification of functions for deans said:**

**Being fundamental, these functions are proper to all academic deans; being general, they admit of reasonable adaptation by individual deans to the specific structural organization in which they operate (Doyle in Deferrari, 1957, p. 12).**

Several studies have been conducted on the role of the academic dean. Dibden (1968) concluded that in the more recent studies, the academic dean is primarily concerned with the following: "the goals and methods of education relevant to his/her college; the recruitment, retention and elevation of appropriate teacher-scholars; the intellectual, informational and cultural content and quality of the curriculum and its effectiveness on and for students and their futures." In addition, the academic dean is concerned about the general climate of learning on the campus and the advisable support in facilities and funds for these basic academic ventures of the college. Dibden (1968) came to the conclusion that "the major emphases of the academic dean are on teaching, learning, research and service." It therefore follows from Dibden's conclusion that the academic dean's role will typically be in the following areas: "the ends and means of higher education in his school; the teacher-scholars or scholar-teachers of the faculty; the academic program and its recipients; and academic budgets" (Dibden, 1968, p. viii).

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The role of the dean as already mentioned has been responding to changes in the institution of higher education. It is pertinent therefore at this time to very briefly examine the dean's changing role.

#### **Historical Background of the Dean's Role**

Thwing suggested that the word 'dean' in universities could be traced to the church (Thwing, 1932, p. 3). The word however, did not originate in the church. Its origin goes back to the military or civil administrative offices in Roman times (Milner, 1936, p. 17). The church initially used the term 'dean' to refer to a monk appointed to take charge of the discipline of ten other monks. Later the clergy applied the term to the head of the chapter in the cathedrals (Ward, 1934, p. 12). It was in this context that the term was applied to the university.

Prior to the twentieth century European colleges and universities were the model for American universities. There, the dean was the head of the faculty, director of the instructional work of the college. The dean was also in charge of discipline, admission, record keeping and advising. Nonetheless, according to Gould, the deanship was not immediately established in American institutions. He gives speculative reasons for this as follows:

- The president could handle all administrative affairs when colleges were small;
- The president could still know enough of several academic disciplines to handle the proficiency of



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- The president wanted to guard his own prerogatives and did not wish to share them;
- There were insufficient funds to pay an additional administrator (Gould, 1964, p. 27).

However, as colleges increased in size and presidents' responsibilities grew, the deanship became a phenomenon in American institutions.

In appointing the first dean in the United States, President Eliot of Harvard said in 1870:

The discussion which preceded and accompanied the last election of president of the university showed clearly that the Governors and the Alumni thought that the president had too much to do, and that he should be relieved of the immediate charge of the college administration (Scott, 1934, p. 17).

The office of the dean was created in many colleges to aid the president (Deferrari, 1956, p. 55; DuPont in Dibden, 1968, p. 9). DuPont states that in the days of small enrollments, the president of many colleges handled all problems of the faculty and student body. In the 1900s as the student body grew, the president's primary responsibility became making contracts and raising funds. Due to the frequent absences of the president from the campus some of his responsibilities had to be transferred to members of the staff, committees or to other officers of the college (DuPont in Dibden, 1968, p. 9). The dean's position therefore as mentioned earlier, was created to take over the internal responsibilities of the president.

### **Role of the Dean**

As mentioned earlier, the role of the academic dean lacked uniformity in the definition of his/her duties. This is evident in the reports of different studies done on the role of the dean. Again the reports showed that, in each decade the responsibilities of the dean changed.

The earliest studies done on the role of the dean were in 1929 and 1932 by Reeves and Russell. A list of thirteen functions most frequently assigned to the dean are listed as follows:

1. To direct the educational activities of the college.
2. To act as chief advisor to the president in matters of college policy, particularly in academic affairs.
3. To formulate educational policies and to present them to the president and faculty for consideration.
4. To direct the attention of faculty members to changing educational thought and practice, particularly as they affect higher education.
5. To transmit to the president the budget recommendations for academic activities, offer details worked out with department heads.
6. To make reports relating to the work of the college.
7. To supervise curriculums, courses, and methods of instruction.
8. To cooperate with heads of departments in the nomination of new members for the teaching staff, and to make suggestions to the president regarding the promotion,

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demotion or dismissal of members of the faculty.

9. To assist in the recruiting of students.
10. To classify students and assign them to classes.
11. To study the progress and academic welfare of students.
12. To serve as chief disciplinary officer of the college.
13. To represent the college at meetings of educational institutions (Reeves and Russell in Dibden, 1968, pp. 10-11).

In 1936, Clyde A. Milner published his study on the dean of the small college. In it he published twenty most assigned functions to the deans in order of frequency ranging from 68% to 35%. They are as follows:

1. To interview students on all academic matters.
2. To advise failing students.
3. To correspond with parents on all matters of student welfare.
4. To give counsel on all academic problems.
5. To grant permission for changes of courses of study.
6. To supervise the college curriculum.
7. To excuse class absences.
8. To grant permission for extra hours.
9. To supervise all discipline.
10. To interview applicants for admissions.
11. To give general advice on all college policies.

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12. To help estimate the teaching ability of faculty members.
13. To make annual reports upon the academic work of the college.
14. To estimate the constructive influence of the faculty members on campus life.
15. To recommend all changes in curriculum.
16. With heads of departments to make all changes in courses.
17. To improve instruction.
18. To determine entrance requirements for transfer students.
19. To give social guidance to freshmen.
20. To coordinate and improve the grading systems (Milner in Dibden, 1968, pp. 11-12).

In the study, Milner reported that the deans considered the first six functions and those numbered eleven to seventeen as their major responsibilities.

In the mid 1940s when Ruth L. Higgins conducted a survey on the role of the deans; most of the functions already mentioned in previous studies were included. However, absent from the dean's role were such responsibilities as being in charge of admissions, registrations, discipline and general counseling. These roles had been delegated to other administrators. Higgins' study also showed that the role of the dean had expanded to include budget responsibilities (Higgins in Dibden, 1968, pp. 12-13).

After the second world war, the role of the dean underwent a revolutionary change. The deans' responsibilities

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changed progressively from an almost sole concern with students to a concern for curriculum and faculty.

McGrath in his article entitled "The Office of the Academic Dean," said the major function of the dean was to keep abreast of educational development. Consequently, he identified the three major responsibilities of the dean as follows:

- The dean's first major responsibility according to McGrath is to consider the ends and means of education and to arouse the faculty to similar activity. According to McGrath, the dean was to be an intellectual leader and scholar; and knowledgeable in educational theory.
- The selection of faculty members is the second major responsibility McGrath ascribes to the dean. DuPont in supporting McGrath's position states that:  
  
the dean has the opportunity and indeed the obligation, to mold the faculty and the entire college program (DuPont in Dibden, 1968, p. 21).
- According to McGrath the third responsibility of the dean is the preparation of the budget. The budget, McGrath believed was the basis of the dean's educational leadership (McGrath, 1936, p. 428).

In the 1960s, Corson made an important contribution to the literature on the role of the dean. In his book Governance of Colleges and Universities (1960), for the first time, the responsibilities of the dean were seen as a function of his/her school's type and size. He identified three major types of deans and examined their role in small and large institutions. The three types of deans he identified were deans of arts and sciences, professional school and graduate,

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evening and extension school dean (Corson, 1960, p. 74).

Corson made the following distinctions in the roles of the deans. According to Corson, in a small arts and sciences school, the dean has little responsibility for long-term financing, the acquisition of needed physical facilities or the alumni or public relations of the school the dean presides over. Also, the dean in a small institution is more concerned with student affairs. However, Corson's study showed that, in a large institution the opposite was true. The study showed that as the institution grew larger, the dean of students took over responsibility for students' affairs. The study also showed that the influence of the dean grew as he/she took on added budget responsibility. Corson also adds that the test of the dean often came in his ability to provide the progressive leadership that was needed.

In comparison to the arts/science dean, the professional school dean had a smaller, more complex and different task. Corson gave the reason for this as the smallness in size of the professional dean's faculty who have a greater unity of purpose (Corson, 1960, p. 80). Corson also noted that a variety of demands arising from outside commitment were making the professional dean's role more complex and difficult. Corson lists these demands as follows: consulting obligations; fundraising; contacts with prospective employers to facilitate student placement; contacts with professional groups (p. 80).

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For the first time, the dean's role included raising money for new buildings, faculty salaries and scholarships.

Shortly after Corson's work on the dean, Gould released his study on the dean in 1964. His study focussed on the administrative leadership of the deanship as it responds to the needs of a changing society. Gould's analysis of the leadership functions of the deans revealed that the deanship was undergoing rapid changes in function, directed more by external events than by thoughtful analysis of the purposes of higher education. For example, the deans were forced to give up such responsibilities as teaching, counseling, faculty relationship and scholarly endeavors in order that they might spend more time on administrative duties which included making reports to foundations, government agencies and other institutions having a more than casual interest in higher education (Gould, 1964).

The most reflective finding in Gould's study was the opinion of the deans about their role as educational leaders. There were conflicting opinions about this role. Some deans thought their educational leadership role should be that of a catalyst, facilitating action but playing no part in the determination of the outcome. Others thought their position should be that of functionaries working closely with department heads in an effort to bring into harmony the subject matter and differences of opinion concerning the objectives of the college. In describing their leadership role

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very few deans expressed the opinion that the academic dean should be a serious student of the ends and means of higher education in a rapidly changing social order. The study also showed that very few number of deans thought the dean should (a) have a clear and comprehensive view of the goals of the school over which he presides, (b) the direction the school should be moving and (c) the ways in which its total resources should be used to reach its objectives (Gould, 1964, pp. v-vii).

McGrath, commenting on Gould's finding wrote:

These views of the deans' functions seem peculiarly unfortunate at this moment in our national history. There is much confusion about the purposes of higher education in American society. Critics outside and inside the profession assert that colleges and universities do not have a clear mission, that they try to be all things to all men.... Implicit in these criticisms is censure of academic leadership (McGrath in Gould, 1964, p. viii).

McGrath observed that duties and demands of society on college and university presidents have prevented them from giving studied direction on educational developments therefore, this responsibility has fallen on the academic deanship. He therefore warns that:

If the dean has no broad vision of institutional purposes and the means of achieving them or fails to express his views with conviction, the institution will inevitably drift with the ebb and flow of constituent departmental strengths and weaknesses (McGrath in Gould, 1964, p. viii).

The statement reveals that the major responsibility of the dean is not just being an academic leader but a strong advocate of academia. It also parallels Deutsch's definition

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of the role of the academic dean. Deutsch (1953) said the major responsibility of the dean as the collegiate academic program administrator "is to strengthen the academic work of his college or school, find its weaknesses and seek to remove them, and take note of the best teachers and scholars and give them help and encouragement" (Deutsch, 1952, p. 53).

In the 1970s Meeth contributed to the literature on the role of the dean in his study entitled "Administration and leadership." In it he described the role of the deans as that of a "change-agent" (Meeth, 1971, p. 47). Meeth makes the point that perhaps the deans' nonchalant attitude towards academic leadership as McGrath and Gould also observed in the 1960s, was as a result of not knowing how to lead or not knowing what direction to go (Meeth, 1971, p. 48). As a change agent, Meeth believed that the dean could "exercise some direction over the movement of the institution towards specific and clear cut goals devised through long range planning" (Meeth, 1971, p. 48).

Meeth's conviction that academic deans can create a stable and harmonious college climate and lead the college toward having a more external focus was shared by Richman and Farmer (1974). In their book entitled Leadership, Goals and Power in Higher Education, Richman and Farmer maintain that the dean can function as a change agent if during his/her selection as dean, the needs of the college were meshed with the prospective dean's philosophy and capabilities (Richman

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and Farmer, 1974, pp. 251-253). Richman and Farmer also strongly believe that external relations and fundraising are two "important responsibilities of the deans" (p. 253).

Another responsibility Richman and Farmer ascribe to the deanship is the capability to plan ahead for the future of the college. Richman and Farmer said:

The truly effective dean will anticipate cutbacks through some meaningful contingency planning, if there is a chance that they will arise in the foreseeable future (p. 255).

Buchen reiterated this position by referring to the role of the dean as that of a futurist (1974).

A number of authors such as Davis (1988), Barden (1988) and Goldman (1988) have observed that the dean's role is fast becoming that of a fundraiser. Davis states that:

In a time when increases in tuition breed complaints and controversy, when state budgets suffer from multiplying pressures, and when the federal government is drowning in red ink, private fundraising offers institutions of higher learning the best hope for growth in revenue (Davis, 1988, p. 28).

The literature on fundraising emphasizes the concept of teamwork. They are calling on the constituents of an institution to get involved in fundraising. Once again the deans have been invited to assist the president in the execution of his fundraising responsibility. The literature shows that the deans are in a better position to represent their colleges to prospective donors because of their philosophical knowledge about their colleges.

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Davis (1988) is of the opinion that fundraising can help a dean live up to his potential as a dean. He explains that a new endowed chair can attract quality students and faculty. In an article addressed primarily to the deans, Davis wrote:

If you can match your plans for innovative and important projects with energized major donors, you can accomplish your agenda for your school's future (p. 28).

Besides functioning as a fundraiser, the dean is also expected to function as an advocate of fundraising for his/her college. Trachtman (1987, p. 7) describes the dean as a bridge between the central administration and the faculty in accomplishing effective fundraising. Deans are in a unique position to carry out this responsibility because as "men in the middle" (Wicke, 1963) deans are hierarchically placed just below the central administration of the university and above the departmentalized administrators of the college which includes the faculty.

In conclusion therefore, I would reiterate Reeves' and Russell's view that there are no clear cut definitions of the role of the dean that would apply to all institutions regardless of size. They stated that:

The size of an institution must be given consideration in dealing with the allocation of administrative functions. Also, the type of college, its control, location, traditions, and needs, as well as its peculiarities of personnel, must all be taken into consideration (pp. 71-72).

However, regardless of the institution's type and size, the dean as Doyle puts it, "is a major executive vested with

authority delegated by the president and charged with the administration of the collegiate academic program" (Doyle in Deferrari ed., p. 77). Discharging this responsibility calls for the dean to plan, organize and lead.

#### **Recent Studies on Deans/Administrators as Fund Raisers**

In 1980, Coloia conducted a study on "The Role of the Development Officer as Administrator." He concluded that the development officer has become a full partner in decision making at institutions of higher learning as evidenced by activities in planning, organization, staffing, leading, evaluation and developing (Coloia, 1980, PhD dissertation).

In 1986, Robert C. Kochersberger conducted a survey on "Criteria Ranked for Importance in the Academic Leadership of Journalism Programs." The study was based on a mail survey of 519 journalism faculty members, journalism administrators, and presidents at BA, MA and PhD granting institutions. A list of criteria which seemed important was offered to them. The overall rank order results from most important to least were; leadership, creative planning, personality, using institution resources, professional media experience, outside contacts, keeping cool, fundraising, research interests and terminal degree (Kochersberger, PhD dissertation, 1986).

Leonard Moisan in 1986 studied "the three year capital fundraising campaign at the University of Virginia, 1981-1984." The research was a case study of a successful

fundraising campaign. The findings revealed that, multiple forces, factors, activities and participants contributed to the campaign's success. However, three main interdependent components emerged as crucial: (1) Leadership included two distinct types: (a) The president was the primary leader; (b) The leadership team which included the Vice President for Development, top management, deans and volunteers; (2) Planning: Seven specific areas of planning emerged as significant: needs assessment, feasibility study, case for support, public relations, information management, team building and the overall campaign plan; (3) Organization and implementation involved operationalizing the campaign plans. This required paying attention to many details, for which the development staff had primary responsibility. Specifically, this phase included the development and utilization of an appropriate campaign structure, the cultivation and solicitation of potential donors, the effective organization and coordination of activities, the production of results through an appropriate structure, and the evaluation of those results in developing new strategies.

The Moisan study also identified the deans as participants in University of Virginia's capital campaign and as part of the leadership team. In studying the dean's participation in the campaign, the researcher utilized half of Hugo Uytterhoeven's description of middle managers as a reference. Uytterhoeven described middle managers as leaders of

their specialized units who delegate, guide and plan, but also, who have specific operating responsibilities and must roll up their sleeves to achieve output and meet targets. Uytterhoeven described middle managers as both delegators and doers; that is, functioning in a dual role within their college. However, in assessing the dean as one of the participants in the campaign, Moisan concentrated on the personality traits of the deans as reasons for their success in the campaign. He did not examine the deans' role in the capital campaign as planners, organizers and leaders in their colleges specifically, and in their institution in general. He ascribed success in the fundraising endeavor to the deans who were aggressive, able to maneuver themselves within the bureaucratic structure of the university/central development office, and persistent.

Rosalie-Ann Turton in 1989 studied "critical requirements of the alumni director in four year liberal arts colleges and universities in New York state." The purpose of the study was to identify behavioral characteristics which selected segments of four year liberal arts colleges and universities in New York, considered to be critical to an effectively functioning alumni director. The results showed that, the six critical requirements which evolved from the grouping of the 367 critical behaviors of alumni directors in four year liberal arts colleges and universities in New York are as follows:

- (1) the ability to plan, organize and direct programs and



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activities, particularly fundraisers, homecoming and reunions; (2) the ability to remain cool headed, positive and able to make the correct decisions; (3) the ability to work well with people of diverse levels; (4) the ability to act quickly and decisively, especially in emergencies; (5) the ability to write and speak well and frequently enough to maintain a continuing sense of communication by constituents and associates; (6) the ability to successfully create and implement new ideas and programs (Turton, 1989).

### Section 3

This section examines the three elements of an effective capital campaign namely: leadership, organization and planning.

The research is an assessment of the role of the dean in these three elements of any successful campaign.

Prior to a discussion on the three elements of the campaign, it is expedient to examine the organizational positioning of the deanship.

The literature surrounding the dean describes him/her as "man [sic] in the middle" (Wicke, 1963; Meeth, 1971; Richman and Farmer, 1974), placing him/her organizationally under the central administration and above the departmentalized administrators such as faculty and technical staff. This position makes the dean the chief representative of the president to the faculty through the schools and departments,

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and the recognized representative of the general faculty in the higher levels of university administration (Brown, 1977, p. 204).

The deans' positioning in the organizational structure of the institution qualifies them to be referred to as men [sic] in the middle. However, their positioning should not be taken as middle management - carrying out the wishes of the top administrators. According to Richman and Farmer (1974), the term "middle management applies primarily to job responsibility rather than job title". They add that functioning as a senior or mid manager depends on the following: importance of the decisions being made; the type of authority structure (such as centralized and decentralized) existing in the organization; power and influence; and the degree of autonomy with which the manager operates (pp. 244-245). They believe that in academic institutions, making major decisions about budget, personnel and raising and spending funds from external sources, independently constitute top management. Typically, they described middle level management responsibility as the implementation of higher level decisions.

Given the organizational positioning of the deanship in the bureaucratic structure of the institution, the role played by the dean in the three elements of a successful campaign, will be examined in terms of their job responsibilities to their colleges.

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## Introduction

The literature on fundraising states that the most important elements of a successful capital campaign are leadership, organization and planning (Dove, 1988; Seymour, 1966; Broce, 1979; Grezenbach, 1985). This is not an exhaustive list, but unanimously, the theorists on fundraising state the vital importance of these three elements in any successful capital campaign. Each of these elements will be reviewed as a basis for a conceptual framework in the analysis of the dean as fundraiser.

## Leadership

A good fundraising program has two kinds of leadership--the layman who leads and the staff members who manage and serve.... Leadership in itself, let it never be forgotten, is always the key factor in successful fundraising, whatever the cause, whatever the goal, and whatever the scope of the campaign (Seymour, 1966, p. 179).

This quotation from Seymour reveals the vital importance of leadership in a successful campaign. The literature on fundraising is replete with the concept of leadership; mainly presidential leadership in other words, the chief executive leadership. The research is on the deans. In many ways deans function as chief executives in their colleges. For example, one way in which deans and presidents function alike is in their role as resource allocators. As resource allocators, they function as financial managers by allocating organizational resources of all kinds (Corson, 1960). The

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deans and chief executives of an institution both function as leaders (Fisher, 1980; Gould, 1964; Fisher and Quehl, 1989; McGrath, 1936). Both are administrators/executives with vision and long range planning capabilities. They have the capability to motivate and activate their subordinates into action (Cote, 1985; Leeds, 1987). The presidents and the deans also function as liaisons, spokespersons and fundraisers (Whittier, 1980; Barden, 1988; Davis, 1988; Goldman, 1988; Cote, 1985). Functioning in these capacities involves acting as follows: public relations specialists/image builders; marketer/salesperson; alumni liaisons and faculty advocate; developing and maintaining a network of outside contacts and informants who provide favors and information; and transmitting information about their organizations to outsiders (Cote, 1985, p. 667). Another role similarity between presidents and deans is in their responsibility as entrepreneurs. As entrepreneurs, deans and presidents search their internal and external environment for opportunities and they initiate improvement projects. The difference between the presidents and the deans in functioning in the above capacities is that the president represents the whole institution while the deans represent their respective colleges. Therefore, the literature review on the dean's leadership role will borrow from the literature on presidential or chief executive leadership.



Leadership is one of the most observed and least understood phenomena on earth (Burns, 1978; Bass, 1960, p. 5).

A number of definitions exist for this phenomenon. In a sampling of the literature prior to 1949, V. J. Bentz obtained over 130 definitions of the term leadership (Bass, 1960, p. 87). Morris and Seeman came up with four classifications of these definitions as follows:

- Status vs. leadership
- Esteem vs. leadership
- A leader is a leader; simply defined anyone engaging in leadership acts as a leader.
- Influence and leadership. These set of definitions defined leadership as influence. Specifically, leadership was equated with any positive influence act; to direct a group and with behavior making a difference among groups (Bass, 1960, pp. 88-89). Bass (1960) defined leadership as "an interaction between members of a group" (p. 89). Gurnee, LaPierre and Fransworth define "leaders as agents of change" (Bass, 1960, p. 89).

Most writers on leadership discuss leadership as a relationship between leaders and followers.

Burns in his book entitled Leadership defines leadership as "the reciprocal process of mobilizing, by persons with certain motives and values, various economic, political and

other resources, in a context of competition and conflict, in order to realize goals independently or mutually held by both leaders and followers" (Burns, 1978, p. 425).

Cohen and Rouché state that leadership cannot be defined without first defining the nature of the group to be led (Cohen and Rouché, 1969). In order to have a group, goals must be apparent and the nature of these goals is crucial. They could be separate but must be related (Burns, 1978, p. 425). Therefore, without goals for which the aggregate is striving, there can be no group, hence, no leader. In the context of this paper, the type of leadership advocated is educational leadership and the group being led is the component of the institution known as constituents rather than followers (Birnbaum, 1987, p. 2). The type of leadership expected of an educational leader is for him/her to take responsibility for the institution's survival through the creation of an atmosphere in which the leader's constituents can be scholars and teachers (Cohen and Rouché, 1969).

In this context therefore, a leader will be defined as one who moves the group towards its goals. The essential is that there be effect. Without group movement toward defined ends, there has been by definition, no leadership exerted. Oshagbemi therefore, defined leadership as "the element that makes the difference between an organization muddling through or merely surviving and another that is really making enviable progress" (Oshagbemi, 1988, p. 24). According to Burns,

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effective leadership is measured by the degree of production of intended effects (Burns, 1978, p. 22). Oshagbemi on the other hand defined effective leadership as the degree to which latent energies are utilized to increase output (Oshagbemi, 1988, p. 24).

According to McGrath (in Gould, 1964), Keller (1983), and Cope (1988), colleges and universities have neither a clear mission nor strategic plans to be responsive to the needs of a changing society. It is against this backdrop that strong educational leadership is advocated. Educational leaders such as ex-president Hardin of Michigan State University observed that the state of higher education in the United States was lousy, and squarely puts the blame on educational leaders (Fisher, 1980, p. vi). Fisher, like McLaughlin, Fazio and Fazio, and Richards and Sherratt, is convinced that one way to restore higher education is presidential sophistication in fundraising.

Davis (1988) reiterates this opinion by calling on the deans to get sophisticated in their colleges' advancement efforts. According to Davis, private fundraising offers institutions the best hope for growth in revenue, particularly in times of economic hardship (Davis, p. 28). He also said that fundraising could also allow the dean to live up to his/her potential as a dean. He said in his writing to deans:

A new endowed chair can attract the scholar around which you can build a program. Scholarship funds help your school to attract more diverse or more talented students. Seed money makes possible new ventures that

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bring your faculty to the front of their field and attract other research funding. If you can match your plans for innovative and important projects with energized major donors, you can accomplish your agenda for your school's future (Davis, 1988, p. 28).

This brings out a central theme in leadership, which is influence, authority or power. Morphet et al (1974) state that there are many leaders with varying degrees and kinds of influence, and that a leader acquires leadership status through the interactions of the group, in which he participates and demonstrates his capacity for helping the group complete its tasks (Morphet et al, 1974).

The above discussion brings out a predominant leadership theory known as power and influence theory. This theory exists at two levels namely:

- Social power approach/transformational theory-- considers leadership in terms of the influence or effects that leaders may have on their followers.
- Social exchange approach/transactional theory - considers leadership in terms of mutual influence and reciprocal relationships between leaders and followers (Burns, 1978; Bensimon, Neuman and Birnbaum, 1989).

#### **Transactional Approach/Social Exchange Theory**

Burns explains transactional leadership as a process of social exchange between the leader and the follower for their mutual interests (Burns, 1978, p. 425).

Bensimon et al summarized transactional or social exchange theory as emphasizing a two-way mutual influence and reciprocal relationships between leaders who provide needed services to a group in exchange for the group's approval and compliance with the leader's demands. Proponents of this theory include Blau and Homans (Bensimon et al, 1989, p. 9). The leaders and followers repeatedly interacted in order that they might build, reaffirm and alter their relationship. According to Bensimon et al, the group collectively agrees to reduce its own autonomy and to accept the authority of the leader in exchange for the rewards and benefits the leader can bring them (Bensimon, Neuman and Birnbaum, 1989, p. 10). Successful leadership in this case means the fulfillment of follower's needs.

#### **Transformational/Social Power Theory**

Transformational leadership was originally postulated by Burns (1978). Burns described transformational leadership as capable of shaping, altering and elevating the motives, values and goals of followers. The premise of this leadership according to Burns is that:

... whatever the separate interests they might hold, they are presently or potentially united in the pursuit of higher goals, the realization of which is tested by the achievement of significant change that represents the collective or pooled interests of leaders and followers ... (Burns, 1978, pp. 425-426).

In this form, Bensimon et al said the theory had moral connotation; but as it gained in popularity, it evolved into

a code word for innovative or motivational leadership (Bensimon, Neumann and Birnbaum, 1989, p. 12).

The leadership of the dean in his/her college will be examined using the transformational leadership theory as it currently exists - as a code word for innovative or motivational leadership.

Bennis and Nanus' (1985) study showed transformational leaders as employing four strategies namely:

- attention through vision (having a clear agenda and being oriented toward results);
- achieving meaning through communication (interpreting reality to enable coordinated action, with the use of metaphors, images and models as particularly effective in conveying meaning and explanation;
- gaining trust through position acquired by demonstrating accountability, predictability, reliability and constancy;
- gaining recognition or attention through positive self regard (in Bensimon et al, 1989, p. 17).

In relating the above four strategies to the leadership literature in fundraising, a number of authors have written on the importance of the chief executive's vision (Fisher, 1980, 1985; Hesburg, 1979; Fazio and Fazio, 1984; Whittier, 1980; McLaughlin, 1984) and his/her capability to communicate his vision and translate it into concrete reality. For example



**Whittier states:**

It is the leadership responsibility of the president to know where he is taking the institution by having a vision for it. The president must then articulate and communicate that vision, for it is this sort of inspirational raising of aspirations upon which any successful fundraising is based. The president sets the tone and suggests the directions. Most important the president takes the lead in having those aspirations understood and adopted as their own by trustees and others critical to their future (Whittier, 1980, pp. 58-59).

The literature on educational fundraising also emphasize the use of communication to achieve goals. Fazio and Fazio advised the chief executive in a memo that if he/she wanted to attain his/her fundraising financial goal, the case for support statement must not only honor, reaffirm the institution's history, recount its needs and define why it deserves major support; it must, in addition, reflect the president's personality and thoughtful participation to the extent that people who read the case statement would understand that he/she was active in its creation and respond to the needs of the institution because the chief executive believes in it so strongly (Fazio and Fazio, 1984, p. 10).

Increasingly the concept of trust in fundraising leadership is gaining popularity. The literature is replete with stories of donors who have made or withheld gifts based upon their perception of the chief executive leadership. When the stakes are high, there is almost no way that the chief executive can avoid involvement. It is the chief executive's prestige, position and leverage which can tip the balance. A

chief executive/dean is still respected by donors as the one individual who can really influence institutional direction, or in the case of a dean, that of his/her college.

This concept of trust is parallel to the concept of morality or credibility in educational fundraising leadership. According to Laney (1984), a chief executive's personal moral authority is rooted in his/her ability to inspire confidence. He goes on to say that a person is chosen for leadership because of his/her ability to inspire confidence. This ability is of a moral dimension arising from a perception of integrity and a sense of justice that most chief executives struggle to embody (Laney, 1984, pp. 17-24).

Whittier supports Laney by saying that:

Sound leadership inspires donor confidence and there can be no substitute for donor confidence (Whittier, 1980, p. 62).

This confidence is based on people's perceptions of the president, and it is generated through the chief executive's words, deeds and stewardship. The literature on educational fundraising shows that prospective donors and volunteers want to hear what the chief executive says, want to see the results and especially want to see how the chief executive manages the affairs of the institution (Whittier, 1980; Dove, 1988).

This is what Prentice (1961) refers to as the moral aspect of leadership, which he says should benefit both the institution and the donors. Burns also agrees that for leadership to be moral, it must benefit both the leader and

the follower (Burns, 1978).

Finally, the literature on leadership places the responsibility of fundraising on the chief executive. According to Dove (1988), how the chief executive officer accomplishes the fundraising task depends a lot on his/her individual personality and style of operation. Although he/she needs help in this endeavor, the primary responsibility is the chief executive's. Regardless of the chief executive's contribution to the quality of the institution, if he/she does not meet the institution's financial needs, then he would have failed (Dove, 1988, p. 38).

McLaughlin reemphasizes this point by stating that:

The success or failure of both a college and an administration is - in the short term - often judged on financial solvency. The fact that campaigns are measurable and other achievements are not, gives fundraising special tangible significance (McLaughlin, 1984, p. 6).

In conclusion therefore, I would reiterate the definition of leadership as that which in any particular situation enabled an individual to contribute significantly to group movement in the direction of a recognized goal; and to be perceived as doing so by fellow members.

### Planning

Planning is of vital importance to any organization. The literature is replete with articles on long-range and strategic planning and they all relate to the effective use of resources.

There are many definitions of planning (Poulton, 1981). According to Poulton, planning means different things to different individuals depending upon the kind of organization involved, the nature of the primary activity of the organization, the role of the organization and the role of the given individual in the organization. Poulton views planning as being synonymous with a perspective on management and decision making that emphasizes rationality, utilization of information and central control or influence of future events. He adds that planning may refer to a set of techniques for organizing and analyzing information. It may imply an organizational model, an ideal state of the organization or blueprint for some future condition (Poulton, 1981).

As noted by George Keller, colleges and universities have been slower to enter into long-range and strategic planning than have business and industrial organizations. Keller defines planning as a management function developed to achieve goals in dynamic, competitive environment through the allocation of resources (Keller, 1983).

Graff defines long range planning as a way to match an organization's resources to a changing environment. He says doing this requires a capacity to monitor changes in society, assess the strengths of the institution and a way to match the two (Graff, 1981).

For higher education purposes, Cope defines long range planning as an open system approach to steering an enterprise

over time through uncertain environmental waters. Cope is of the opinion that long range planning in education is a proactive problem solving behavior, directed externally at conditions in the environment and is a means of funding a favorable competitive position in the continual competition for resources (Cope, 1988). According to Cope, planning's primary purpose is to achieve success with mission while linking the institution's future to anticipated changes in the environment in such a way that the acquisition of resources, such as money, personnel and staff is faster than the depletion of resources.

Hodgkinson is of the opinion that if institutions are to survive and advance, they will have to meet the challenges of an increasingly competitive market through effective planning. The use of market research in higher education was cited as an example of institutions addressing the issue (Hodgkinson, 1980).

Lord (1988) concurs with Hodgkinson on the importance of strategic planning, by reemphasizing its importance in non-profit institutions. He said:

Many forces outside individual institutions are trying to legislate how they ought to be doing their jobs. So an institution has to have a plan for its future particularly when it is preparing to embark on a fundraising campaign, if for no other reason, because people deserve to know how the institution intends to use the money--and what kind of benefits are expected... (Lord in Dove, 1988, p. 16).

Kohr reiterates Lord's position. He is of the opinion that as a prelude to any capital campaign, the institution

must engage in serious long-range planning (Kohr, 1977, pp. 236-265). According to Whaley, proper preparation for a capital campaign starts with developing an overall institutional plan and moves to getting the development program ready for the upcoming campaign with a campaign plan (Whaley, 1986, p. 14). This means that planning will be in two phases namely; institutional and campaign planning. Whaley agrees with other fundraising authors such as Smith, Seymour, Broce, etc. that both processes of planning are crucial to the success of the fundraising effort and that planning should be a major part of the development officer's responsibility.

#### **Institutional Planning**

According to Whaley, institutional planning provides the basis from which the campaign will reach its potential. The first task of institutional planning is to review and perhaps revise the institution's mission statement to define the niche or place the institution intends to fill. He suggests that before institutional planning can proceed beyond that point, campus leaders including deans and constituents must agree on what the mission is. Adamson concludes that institutional planning has to be conducted from a holistic approach if it is to be successful (Adamson, 1986).

Kohr is of the opinion that to develop institutional goals and to suggest priorities, an institution should establish a subcommittee, perhaps headed by a trustee, for each school or academic subdivision (Kohr, 1977). These

subcommittees should review the program, suggest changes, and determine requirements in plant and other facilities, in faculty, and in the number of students. Questions asked should address the fundamental purpose of the institution. What are the institution's strengths and weaknesses? To what degree should the institution emphasize career training instead of a broad humanistic education? What should its plans be if the anticipated enrollment decrease becomes a reality? Studies of responses to these and other questions result in an institutional blueprint for the future, which can then be translated to financial goals, that when attained, will allow the institution to provide a higher level of service (Kohr, 1977).

As important as the above questions are, Lord is of the opinion that the benefit long range planning offers is the opportunity it presents for involvement. He adds that the involvement of key personalities in the planning process promotes a sense of ownership among prospective donors, volunteers and administrators. He concludes by stating that:

People are simply motivated to work for and invest in the realization of plans they themselves have helped to develop (Lord in Dove, 1988, p. 16).

When the above step has been approved, the second important step in institutional planning is the formulation of the case statement (or the case for support). According to Seymour (1966), the case for support is a definitive piece of the whole campaign. It tells everything about the campaign,

answers all the important questions, reviews the arguments for support, explains the proposed plan for raising the money, and shows how gifts may be made and who the people are who vouch for the project and give it leadership and direction. It also provides a basis for prospective donor's understanding and is the official source book for all subsequent speeches and campaign literature. He goes further to say that the case for fundraising should be carefully planned and briefed aim high, provide perspective, arouse a sense of history and continuity, convey a feeling of importance, relevance, and urgency and have what is needed to warm the heart and stir the mind (Seymour, 1966).

According to Broce the case statement is a selling document, but it must not oversell. It should reflect the institution and its leaders' credibility. The tenor should be such that it aims high, provides perspective, pays tribute to the past accomplishment, reflects continuity and conveys the importance, relevance and urgency of the program. He concludes by saying that those planning the case for support must ensure that established objectives meet the established institutional goals, and that the planners must also have a plan of attack that includes a thorough knowledge of the needs and the reasons for those needs. This reason he says is because donors give to meet objectives and not simply to give money away (Broce, 1979).



Whaley is of the opinion that the case for support must define the total resources needed to reach its goals by deciding how much is needed for each element in the plan such as building, endowment, equipment, curriculum, etc. In defining the institution's needs, planners must ensure that the final goals align with the mission of the institution, its objectives for the next five to ten years and a businesslike assessment of costs and income (Whaley, 1986, p. 15).

Delassandro identifies four planning processes involved in arriving at the case statement. They are as follows:

- (1). The planning process should be broad-based to include all alumni, administrators, student representatives and faculty.
- (2). Planning process should link costs with the identified needs to include both cost, contingencies and inflation costs.
- (3). The process should result in a comprehensive needs document.
- (4). The planning process should allow everyone involved to discuss the needs document and set priorities (Delassandro, 1989).

On the completion of the case statement the next step in institutional planning is testing the case for support. This is known as the feasibility study. It is the step in planning where the accurate view of the constituents' opinions are measured before the other campaign plans can be embarked upon

(Whaley, 1986, pp. 15-16).

Lord defines a feasibility study as a test of an institution's philanthropic potential (Lord in Dove, 1988, p. 18). Doing a feasibility study has several benefits such as: building key supports' sense of ownership in the plan and its outcome. Other benefits include gathering information to help formulate basic campaign strategies and cultivating leadership gift prospects (Whaley, 1986). Other benefits of a feasibility study according to Davis are that it can reveal the weaknesses in an institution and at the same time, mobilize the energy of the people who can strengthen the institution. Also, it can tell whether the financial goal is too low or too high and whether the approach is right.

Davis concludes by enumerating the motivations for a feasibility study. They are to reveal the following:

- (1). The receptivity of an institution's prime constituencies to its case for support.
- (2). To discover the availability of capable leadership either within the institution's family or elsewhere.
- (3). To discover the institution's fundraising potential at a particular time.
- (4). To determine the institution's ability to raise the money in terms of staffing, materials and publicity.
- (5). To determine the amount of time necessary

to carry out the campaign.

- (6). To formulate the plan of action which will be based on the grand design and estimated costs of the campaign (Davis, 1988).

At MSU, some deans participated in the institution's feasibility study. According to Dove (1988), participation at the campaign planning stages gives participants a sense of ownership of the campaign and gets participants involved in the campaign. At the college level, each college assessed its philanthropic appeal by identifying prospects and consequently, the amount of money the college is able to raise and how much it will cost to raise the identified goal.

#### **Campaign Planning**

According to Whaley, after the institutional planning which includes needs assessment, the preparation of a case statement and a feasibility study, the stage is set for campaign planning (Whaley, 1986). The first step in campaign planning is to set a campaign goal. At this point, the campaign goal is not financial, since that was already done during the needs assessment and formulation of a case for support. Campaign goals at this point are additional goals which the institution can reap as a result of the campaign. Such goals include increasing long-range fundraising capability; which means encouraging donors to give at a higher rate and planning to have annual gift drives. Another goal may be to strengthen constituency relations; in which case, the

type of campaign conducted will be dependent on this goal. For example Whaley says to achieve this goal, instead of having a low profile targeted campaign, a broad-based effort that includes large numbers of alumni and parents will be conducted, thus using the campaign to increase contact with constituents. Each college could also decide what its campaign goals should be.

The second step in campaign planning according to Whaley and Seymour is the development of a comprehensive campaign plan which Seymour refers to as definitions (Seymour, 1966). At MSU, each college's Development Office developed what was referred to as a strategic plan. This plan was the road map which guided numerous individuals and a complex set of tasks toward a simple goal. Each college's strategic/operating plan consisted of campaign strategies, such as: annual programs; new prospect identification and cultivation; can a donor be found willing to provide a major challenge grant that will fuel the entire campaign?; how long should it last?; how much will it cost?; and ongoing internal/external relations.

Regardless of the campaign strategy chosen, it should reflect proven fundraising principles such as 80% to 90% of the financial goal will be raised from 10% to 20% of the donors (Cheshire, 1977, pp. 123-124).

The third step in campaign planning is preparing internally. Dove refers to this process as institutional development audit, and defines it as:

a formal, comprehensive evaluation of an institution's development program and its relationship to the people in the institutional areas that it touches (Dove, 1988, p. 25).

To begin the process of preparing internally, Dove wrote:

All internal constituencies of the institution must be made aware of the campaign and made to feel they have an active part to play in it (Dove, 1988, p. 24).

It is at this point that key administrators are consulted or informed about all proposals on fundraising activities especially as it relates to their particular areas. Deans and other key personnel according to Dove (1988, p.25), should be actively involved at this stage, with providing the kind of information that will lead to securing large campaign gifts.

Other areas in the process of internal preparation include assessing staffing needs. This will depend on the level of the existing staff and the campaign goal.

Office systems involve taking a critical look at the institution's procedures for gift handling, prospect research and record keeping, to see if they need beefing up.

Campaign management procedures involve accountability. The procedure must allow for the campaign's programs to be monitored and for predictions to be made at regular points in the campaign. Monitoring should enable the plan to be adjusted as soon as it is in danger of falling short of a specific goal. Management procedures work best when volunteers as well as staff know and follow them.

The final step in campaign planning is the preparation of a prospect list. Much has been written about this aspect of

campaign planning. As Kohr and several others pointed out, conducting adequate research on prospective donors is crucial to the success of a capital campaign because the more good prospects that are uncovered, the larger the yield will be (Kohr, 1977, p. 237). Prospects can be identified from a variety of sources, namely: donor lists, parent information, conversation with deans, faculty and staff, field research by Development Officers and more traditional research within the development department (Richards and Sherratt, 1981).

#### Organisation

According to Richards and Sherratt (1981), fundraising has long been part of higher educational institutions. However, within the past decade, several changes have occurred to make fundraising much more critical to the well-being of higher education. Such changes include: declining student enrollments, shrinking funds for research and reduced operating budgets (Ryan in Griffiths and McCarty, 1980, p. 133). This led Davis (1988) to conclude that fundraising offers institutions of higher learning the best hope for growth in revenue (Davis, 1988, p. 28). Hines (1984) earlier noted that external funding was no longer regarded as a source of supplemental revenue, rather it is being regarded as an integral part of income for higher educational institutions. As cuts in financial support to higher education has become a reality, many people in advancement, such as Cheshire (1977), are calling for stewardship of all institutional resources and

the effective use of people, time, space and money in advancing institutions of higher learning. The literature (Richards and Sherratt, 1981) shows that institutions of higher learning are in some way organizing the function of institutional advancement, which includes fundraising. The deanship is feeling the impact of institutions' organizing for fundraising as they (deans) are being called upon to raise funds for their colleges (Davis, 1988).

Although McGinnis (1980) concluded that there is no best organizational structure for fundraising, the literature (Davis, 1988) shows that, usually in big institutions in which deans are actively involved in fundraising, the organizational structure adopted is a combination of some elements of centralized and decentralized organizational structure. In this type of structure, the central development office assigns a staff member full time to work as a college development officer for a college. That person keeps an office in the school/college's building, reports directly first to the dean of that college and then to the chief development officer. Under such a structure, the dean is responsible for setting his/her college's fundraising priority. It is therefore the responsibility of the dean to make sure that the college development officer knows those priorities and can provide a plan for meeting them (Davis, 1988, p. 29).

Since fundraising for the institution has procedural, legal and ethical implications for the institution's total

development or advancement program, it is not unusual for the person responsible for fundraising to be a senior administrator reporting directly to the president (Coloia, 1980). However, since the dean is going to be involved in raising funds for his/her college, he or she must understand the institution's rules for fundraising. The reason being that, deans do not work in a vacuum, even if they are raising funds for their college from their alumni and friends. Fundraising for any college may have procedural, legal, and ethical implications for the institution's total development program. Therefore, Davis advises deans that before engaging in fundraising, they need to know the institution's policies on the following:

- approaching corporate, foundation and individual prospects;
- accepting and managing gifts of endowments, restricted and unrestricted funds, property and equipment and capital funds;
- following up gifts in probate and planned gifts--such as those involving wills, charitable trusts, or pooled income funds;
- working with prospects whose children are applying for admission (Davis, 1988, p. 29).

Knowledge of these policies is essential for successful fundraising because donors see the university and the school



as synonymous with each other.

Functioning as a fundraiser for his/her college, the literature (Davis, 1988) identify the following as the fundraising responsibility of the dean:

- set the school's fundraising priorities;
  - represent the school to key alumni, parents, corporations and foundations;
  - responsible for actually asking for gifts
- (Davis, 1988, p. 30).

The dean is first an academic leader (Gould, 1964), thus, in functioning as a fundraiser, the college development officer plays a key role. To be successful at fundraising, Barden (1988) is of the opinion that the dean and the college development officer should function as partners. Barden went further to describe the partnership between the development officer and the dean by postulating that: in the partnership, both the dean and his/her development officer have specific responsibilities that complement the other's. He reiterated the fundraising responsibilities already mentioned by David (1988) but adds that the dean is responsible for evaluating the expressed needs of the faculty, judging them within the context of institutional importance and funding potential and deciding how much time, effort and money to allocate to each. On the other hand Barden (1988) describes the job of the College Development Officer as involving the identification of five Ws and one H, namely: whom to see; where and when to see

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them; why the visit is important; what the visit should accomplish; and how to do it. Providing answers to these questions requires adequate prospecting, research and peer review on the part of the College Development Officer. Above all, Barden states that the relationship between the dean and his/her development officer should be characterized by mutual trust and the dean's time must be used judiciously and effectively (Barden, 1988). Davis adds that a dean with an effective college development officer will only have to spend 10% of his time on fundraising or development when there is no campaign and 60% of his/her time on fundraising during a campaign period. He also adds that for a dean to spend 60% of his time on fundraising, he/she needs to have a good administrative assistant and able associate deans who can pick up various administrative responsibilities (Davis, 1988, p. 32).

This brings out a trend in fundraising which is the concept of teamwork in fundraising. The concept of teamwork in the organization of educational fundraising encourages the deans to recruit and develop other participants in his/her school's fundraising. When appropriate, the dean is encouraged to ask the president and even the trustees to get involved in the school's development activities.

With the school, the dean could also recruit other administrators such as associate and assistant deans to represent the school and articulate its case.

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Another group of people the dean must involve in the organization of his/her school's fundraising activities are volunteers. Dove writes

The success of any campaign depends on an overall volunteer organization designed to facilitate rather than restrict effective prospect solicitation (Dove, 1988, p. 80).

He also emphasized that the best organizational structures are those that permit efficient flow of communication and easy performance of functions by everyone involved. Each volunteer should be given a job description with definite assignments and specific results expected within a definite time period (Dove, 1988, p. 79). Dove is also of the opinion that volunteer recruitment should be done by the dean.

Barden identifies two groups the dean could recruit volunteers from and gives reasons for their inclusion. According to Barden, parents of students in the school have a prized investment in the school and consequently a deep commitment to the school, and therefore might be willing to help with both giving and getting money for the school. The second group of people are professionals who live in the local community. Barden says they could be invited to participate on a dean's council or board of visitors that puts them in touch with professors and students in their field (Barden, 1988, p. 31). By so doing, they are being cultivated for future solicitation.

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Another aspect of organization in educational fundraising is public relations. Argenti sees a linkage between proper public relations and success in fundraising (Argenti, 1988, p. 42). As part of the organization for fundraising, public relations strategy should involve setting clear objectives, analyzing the audience, structuring an appropriate message and choosing the correct communications channel. He further adds that for fundraising to be effective, public relations' activities have to be tied into the school's mission statement or strategic plans, to reflect or involve the following: what the institution wants to accomplish; which constituencies to focus on; and which media to use to convey this information (Argenti, 1988).

Part of the dean's public relations responsibility includes the following:

- Developing ways of getting alumni away from the institution's community involved in fundraising. This Barden says could be achieved through the use of publications and alumni outreach programs. It is therefore the dean's responsibility to see that his/her school is well covered in university publications. If the school does not have adequate coverage, deans are advised to create their school's publication so as to nurture the bond

between alumni and the school.

- Encourage faculty to be involved in institutional alumni programs.
- Design dinners and special programs specifically for school alumni. This gives the dean the opportunity to visit key alumni and also the opportunity to gather their opinions on the effectiveness of programs and proposed new initiatives (Barden, 1988, pp. 31-32).



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## **CHAPTER THREE**

### **RESEARCH DESIGN AND METHODOLOGY**

This chapter discusses the research design and methodology used in this study, as follows: (1) research purpose, (2) research questions, (3) research design, (4) participants/sample selection, (5) data collection instrument and procedure (6) analytical procedures, and (7) limitations of the research method.

#### **Research Purpose**

The primary purpose of this study is to describe the fundraising role of a dean in a large public institution during a Capital Campaign. Michigan State University's first Capital Campaign was chosen as the subject of the study. To accomplish the purpose stated above, the research attempts to (a) describe the current fundraising potential of each college in Michigan State University; (b) describe Michigan State University's deans' involvement in the Capital Campaign, in terms of their leadership, planning and organizational roles; (c) describe what factors aided or impeded the deans in their attempt to reach their colleges' campaign goals; and (d) provide a qualitative reflection of each dean's view of his fundraising experience.

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### **Research Questions**

#### **Major Research Question**

- What factors impeded or facilitated the deans' ability to meet their colleges' fundraising potential during a Capital Campaign?

#### **Sub research questions**

1. What were the fundraising expectations of each of the selected colleges in general?
2. What were the deans' fundraising roles with respect to leadership, organization and planning as perceived by the deans and their college development officers?
3. What were the deans' perceptions of the factors that aided or impeded them in functioning as fundraisers during Michigan State University's Capital Campaign?
4. What qualities and qualifications are perceived by both the deans and their college development officers to be important for a dean to possess in order to be successful in fundraising?

### **Research Design**

The research method chosen to study the deans' participation in MSU 2000 Capital Campaign is the descriptive method. A descriptive research method was chosen because it addresses itself to the question of "what is" the precise nature of prevailing conditions, practical, opinion, processes and effects. A descriptive research was deemed to be the

appropriate method to use in answering the question: "What are the factors that impede and facilitate the deans' ability to meet their colleges' fundraising potential during a Capital Campaign?" In order to obtain answers to the above question, the opinions of people critical to the question's solution were sought.

Descriptive data are usually collected either through a questionnaire survey, interview or observation. For this study, the research design involved structured questions in open and closed ended form administered to the deans through a personal interview. An interview was chosen first, because of the small size of the population (14) and sample (10). Second, an interview produces in-depth data not possible with a questionnaire. Third, the interview is most appropriate for asking questions which cannot effectively be structured into a multi-choice format. Most questions asked of the deans involved personal reflections, and thus could not be constructed into a multi-choice format. Fourth, the interview format may also result in more accurate and honest responses since the interviewer can explain and clarify both the purpose of the research and the individual questions. Fifth, the interview format allows for follow up on incomplete or unclear responses by asking additional probing questions. Finally, the interview format allows the interviewer to determine reasons for particular responses. (Gay, 1987, pp. 202-203).

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### **Site of the Study, the Participants and their Selection**

Michigan State University (MSU), the site of the research, is located in East Lansing, Michigan. MSU became a university in 1855 and is the nation's premier land-grant institution. Although MSU is one of the "Big Ten" institutions, it had the least endowment fund prior to its first major Capital Campaign.

Michigan State University is a large public institution with a student population of over 40,000 and a faculty of over 2,000. There are currently fourteen academic deans and colleges at MSU. A population of all the deans could not be used for the study for the following reasons: first, a pilot study which involved two deans was conducted. Of these two deans, one was a dean in two colleges during most of the campaign's duration. Thus three colleges were eliminated from the final study. To avoid duplication, one college was not selected for the study because it is a multidisciplinary college with its students and faculty members already belonging to other colleges in the institution. Ten colleges were selected for the study and of those one dean was unable to participate.

The two deans selected for the pilot test were selected because of their knowledge of the desired information, their willingness to give the information and their interest in the topic. Additionally, they were recommended to the researcher by a member of the dissertation committee and a dean.

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The development officers for each selected college were also interviewed. The development officers were selected simply because of their position as college development officer to the selected colleges and deans. The development officers were also included in the study for the following reasons: (a) for the purpose of gathering data which, as a result of time constraint, could not be solicited from the deans; (b) to solicit the development officers' opinions of his/her dean's work as a fund-raiser and (c) the development officers were more appropriate to provide answers to questions about their colleges' fundraising potential because it involved facts in their possession.

The final sample consisted of nine academic deans and their college development officers. The deans were all males. Two female deans participated in the pilot study. The deans' length of service as deans at MSU ranged from 6 months to 17 years. One dean had served for less than one year; two between one and five years; three between six and ten years and another set of three for more than ten years. Of the nine deans studied two had been deans at other institutions. Nine parallel development officers participated. Seven were females and two were males. Their length of service as development officers to their colleges at MSU ranged from 4 months to 5 years. One development officer was an interim development officer, not a permanent one.

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## **Data Collection and Procedure**

### **General Description of Interview Questions**

The nature and scope of the study prompted the development of two original instruments which were to yield information through consistent classification of data in regards to the following:

- the fundraising potential of each college
- the deans' leadership, organizational and planning roles during the Capital Campaign
- factors which aided or impeded the deans in their role as fund-raiser

Therefore the characteristics of the interview questions included questions designed to be reactive within the range of the deans' and development officers' fundraising experience, and questions which were categorized into specific areas relating to the format of the study.

### **Construction of Interview Questions**

Two instruments (one for the deans and one for their development officers) which included both open-ended and closed-ended questions were developed since the research purposes were: (a) to describe the fundraising potential of each college prior to the Capital Campaign; (b) to describe the leadership, organization and planning roles of the deans during the Capital Campaign; (c) to obtain a qualitative reflection of each dean's experience during the Capital

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Campaign, which included their opinions on factors that aided or impeded their efforts as fundraisers and qualities and qualification desired in a potential dean who will be successful in fundraising. However, most of the deans' interview questions were open-ended because the investigator sought an understanding of the deans' frame of reference and the reasons for their responses.

The deans' interview questions (Appendix B) were constructed from questions which were derived from the theory and literature of fundraising. A professor on the investigator's committee examined the questions derived from fundraising theory and literature to ensure that they addressed the purposes of the investigation and recommended additional questions.

The deans' interview questions and procedure were then pretested on two deans not included in the sample. The investigator solicited the opinion of the two deans on any possible suggestions concerning instrument deficiencies as well as suggestions for improvement. There were no suggestions regarding instrument deficiencies but there were suggestions for the elimination of one question under the deans' organizational role and seven additions (questions 7-13) were made under "reflection of fundraiser experience" (Appendix B).

The second set of interview questions were constructed for the development officers. These questions were primarily

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meant to provide an understanding of the selected colleges' fundraising potential. The secondary purposes of the questions were as follows: (a) to corroborate and/or illuminate the deans' description of their leadership, organizational and planning roles during the Capital Campaign; (b) to obtain a qualitative description of the development officers' approach to fundraising and their fundraising responsibilities, for the purpose of describing whether or not each dean's approach to fundraising and his fundraising responsibilities were complimentary to those of his college development officer; (c) to obtain the development officers' perception of the qualities and qualifications a dean who would be successful in fundraising should have; (d) to obtain the development officers' assessment of what factors they attributed their colleges' success or failure in achieving their colleges' campaign goals to.

With the exception of questions 18 and 19 (Development Officers' Questionnaire; Appendix B) all development officers' questions were derived from the literature of fundraising and the input of a professor on the researcher's committee. However, the actual dollar amount which reflected each colleges' fundraising potential was determined by the consulting firm that conducted a feasibility study for the institution. The primary criterion the firm used in arriving at these figures was the strength of each college's programs and determined by each college's record of attracting private

or federal dollars, its appeal to the general public and its faculty awards, prizes and recognition.

The development officers' questions were not pretested since they were not the primary focus of the study.

#### **Description of Interview Questions**

Two sets of questions were developed. The first set was administered to the deans (Appendix B). These questions were divided into two parts. Part one sought information on the leadership, planning and organizational roles of the deans.

Questions under the deans' leadership role included the following: their vision for their colleges; their philosophy; how much time they spent on fundraising activities; whether or not they used their influence to recruit influential people to raise funds on their colleges' behalf; their fundraising approach and how they communicated their colleges' needs to the central development office.

Under planning, the deans' questions incorporated the following: to describe the process they utilized in arriving at their colleges Needs List; whether or not they participated in both the institution's and their colleges' feasibility studies, and if so, to discuss the effects of the feasibility studies on their role as fundraisers; to discuss their colleges' case statement in terms of who had the primary responsibility for its preparation and steps taken to ensure its effectiveness; what percentage of their colleges' needs were included in the institutions' Needs List and what



specific fundraising activities were planned to raise money for each college.

Questions under organizational role of deans included asking deans to describe their relationship with their college development officers, the Vice President for Development and the President as the Campaign leader; their utilization of volunteers in raising money for their colleges and how they reached their constituents.

Part two examined each dean's qualitative reflection of his fundraising experience during the Capital Campaign (questions 1-13 (reflections of fundraising experience) Deans: Appendix B). This part of the interview solicited deans' opinions of factors that aided and impeded them during the Capital Campaign, how they felt about fundraising, whether they believed deans should be involved in fundraising, how in their opinion the Capital Campaign was conducted, if the institution should conduct another Capital Campaign and also what qualities and qualifications they perceived to be important for a search committee to look for in a potential dean who will be successful in fundraising.

The second set of interview questions was administered to the parallel development officers (Development Officers: Appendix B). They were asked questions relating to their colleges' fundraising potential (questions 1-8, 15 and 16: Appendix B), questions to corroborate and illuminate the deans' functioning as a fundraiser (questions 11a, 11b, 12,

13, 14, 16a, 16b, 17). They were also asked questions relating to how complementary their fundraising responsibilities were with those of their deans (questions 9-11; Development Officers: Appendix B). Question 18 solicited the development officers' opinion on the qualities and qualifications a dean who would succeed in fundraising should possess. The development officers were asked in question 19 to describe the factors they believe contributed to their colleges' success or failure in achieving their campaign goals. The interview questions consisted of 29 questions for the deans and 19 for the development officers. The interviews lasted approximately 60 minutes for the deans and 40 minutes for the development officers.

#### **Interview Procedure**

A few weeks prior to the interview, a letter of introduction was sent to both the deans and development officers selected for the study. The letter of introduction contained an introduction of the researcher; a statement of the purpose of the research; the importance of the research to the deans and MSU; an assurance of confidentiality; the length of time the interview would take (one hour); and the voluntary nature of participation. This letter was co-signed by the researcher's major advisor and sent to both the deans and their college development officers. To ensure timely access to the deans, the researcher's major advisor also sent a separate cover letter to each dean emphasizing the importance

of the research to MSU (Appendix A). A separate covering letter from the researcher's major advisor was not sent to the development officers because of their ready availability.

One week after the mailing of the introduction letters, interview appointments were made by telephone with each dean. The same procedure was repeated for each development officer. On the appointed day, each interview began either with the dean or development officer with the researcher reiterating the points in the introductory letter and then seeking permission to tape record the interview (Appendix A). After verbal permission to tape record the interviews was granted, interviewees were asked to sign a consent statement before the interview began (Appendix A).

The interviews were conducted in the interviewees offices. Interview questions were administered personally and were tape recorded.

#### **Analytical Procedures**

Tape recorded interviews were first transcribed verbatim in writing for each interview. Second, responses for each respondent were arranged according to each question. For example, all deans' responses regarding Question 1 on deans' leadership role in a Capital Campaign were tabulated. The same thing was done for all questions on both the deans' and development officers' questionnaires. Third, the researcher studied the responses; each interview question was analyzed and presented. Frequencies, percentages, and rank ordering

were employed to supplement the descriptive data and information. The responses were organized and analyzed according to the study's purposes.

The open-ended questions were analyzed on the basis of their content and were classified into categories. However, the responses to two open-ended questions needed to be rated in order to be included in Table 1. One of the two open-ended questions is part of the deans' interview questions and the other is part of the development officers' interview questions. The deans' responses to Question 1 under Planning (Appendix B: Dean's Interview Questions) relate to the first open-ended question which addresses how the process of Needs Assessment helped deans to understand the fundraising process. This question was used to rate the deans' prior fundraising experience. The deans' responses were compared and three major categories emerged. This open-ended question provided the deans with an opportunity to discuss their prior fundraising experience. Deans (1, 2, 4, 5, 6 and 7) who reported that the process of Needs Assessment helped them to understand the fundraising process because they had no prior knowledge of fundraising were given a rating of "none" experience. Deans (8 and 9) who said the Needs Assessment process did not help them because they already had extensive experience in raising funds in other capacities (volunteer or dean in a previous institution) got a rating of a "great deal" of experience in fundraising. Dean 3 who said he had little experience raising

funds in a small, non-educational setting and as such could still learn from the process got a rating of "some experience" in fundraising. He said he had actually raised money, but not on the scale he was confronted with as a dean at MSU.

The rated responses to the second open-ended question were in regard to the colleges' fundraising experience prior to the Capital Campaign (Table 1). This open-ended question was asked of the development officers (Question 4 of Development Officers' Interview Questions: Appendix B). The development officers' responses were compared and rank ordered and six distinct categories emerged because some categories were tied. The colleges' fundraising experience prior to the Capital Campaign were rank-ordered from least (F) to most (A) as follows:

- F:** Colleges 1, 3, 6 whose development officers said their colleges had no fundraising experience at all prior to the Capital Campaign.
- E:** College 5 with minimal fundraising activities.
- D:** College 9 had successfully raised funds but the fundraising activities were confined to one particular department.
- C:** College 4 had a very dynamic fundraising activity in the college though not on the same scale as colleges with part-time development officers. For example, this college's development officer's response to the college's prior fundraising

experience was "the development activities of this college were very strong, stronger than that of any other college that did not have a resident development officer".

**B:** Colleges 7 and 8 with part-time development officers who were raising money on their colleges' behalf.

**A:** College 2 had a full-time development officer and was, according to this college's development officer, engaged in "comprehensive fundraising activities".

The letter ratings of F to A only suggest that there is a difference between the colleges' prior fundraising experience but does not measure the difference. For reliability, the responses of the development officers regarding their colleges' prior fundraising experience were given to three students in the researcher's methodology class for independent rank-ordering from least to most (F-A). They each arrived at the same rating.

The analyzed and organized data were further investigated by comparing the responses of deans who succeeded in achieving their colleges' campaign goal with responses of deans who did not. The investigation was completed when some conclusions were reached in terms of identifying and comparing the relationship among and between previous findings such as the role of leadership, planning and organization in successful

campaigns.

The data analysis did not utilize inferential statistics which usually are used to generalize a finding drawn from sample data to a large population. Weinberg and Goldberg (1979) described inferential statistics as follows:

Inferential statistics are used when the purpose of the research is not to describe the data that have been collected, but to generalize or make inferences based on it (p. 2).

Since the purposes of this study were simply to: (a) describe the fundraising roles of deans at MSU using theoretical concepts such as leadership, organization, and planning; (b) discover what factors aided or impeded deans at MSU in their roles as fundraisers; (c) obtain a qualitative reflection of their fundraising experience during MSU 2000 Capital Campaign; and not generalize this finding to other deans; the data analysis did not therefore involve inferential statistics. In addition, the study did not involve the use of inferential statistics because the study's sample size of nine was too small for inference. Descriptive statistics such as frequencies and percentages were utilized to supplement the descriptive data. It is believed that the use of frequencies, percentages and rank-ordering are sufficient for the purpose of this research.

#### **Limitations of the Research Method**

Limitations associated with descriptive research method involve sampling problems and generalization of results or

external validity. The entire sample was drawn from the population of deans at MSU since the study was about them. The analyzed data reported, referred to the deans at MSU. Therefore, the findings or observations may not apply to deans and other institutions in general.

Second, not using inferential statistics in this study, limited its ability to establish a direct cause-effect relationship between two variables and the confidence with which to state results and conclusions.

A third limitation related to the use of interviews as a data collection method is that respondents could say what they thought the researcher wanted to hear.

Finally, another limitation associated with the use of descriptive research method is the reliance on self-report data which could produce bias either intentionally or unintentionally on the part of respondents.



## **CHAPTER 4**

### **MSU 2000: Capital Campaign**

Although this is a research on the role played by the deans in Michigan State University's first Capital Campaign, an understanding of the entire Capital Campaign is necessary for an understanding of the context in which the deans performed their fundraising responsibilities.

In this chapter, the following will be examined: reasons why a state university such as Michigan State University, is involved in raising money privately; the vision of President John DiBiaggio for Michigan State University; the various stages involved in planning the Campaign; the organizational structure of the Campaign and the Campaign leadership. Each of these steps will pay particular attention to the documented role played by the deans in the Capital Campaign.

#### **The Vision and Rationale for a Capital Campaign**

Michigan State University is currently involved in its first comprehensive Capital Campaign (1988-1992). The set for Michigan State University's Capital Campaign was born of a decision by President DiBiaggio, that a major fundraising event was both necessary and desirable. The theme of the Capital Campaign is MSU 2000: ACCESS TO OPPORTUNITY. According to the President of Michigan State University, the

theme "implies the vision and articulates the mission of the nation's premier land-grant university" (Campaign Quarterly, Vol. #1, Spring 1988). President DiBiaggio's vision for Michigan State University called for a strong, new partnership between private donors and public resources. The President envisioned that this partnership will enable Michigan State University to keep its place among the world's greatest universities. The President also acknowledged that the realization of his vision of excellence would however require more money than the state alone could provide (Capital Campaign Quarterly).

Although Michigan State University is a public institution, it is state-assisted and not state supported. For Michigan State University's vision for the future to materialize, private sector support was essential. President DiBiaggio gave the rationale for Michigan State University's Capital Campaign as follows:

A new century is fast approaching. We need to build our endowment, add to and improve our current facilities and programs to the degree and at the pace that the state of Michigan cannot maintain. Hence our Campaign for private support (Capital Campaign Quarterly, Vol. 1, #1, Spring 1988).

The amount of money to be raised over a period of five years was \$160 million. The goal was carefully determined by the entire university community and supported by a thorough feasibility study. Of the \$160 million Campaign goal, one hundred million dollars will constitute Michigan State University's capital fund for the future, while increased

annual funds will account for the remaining \$60 million (Capital Campaign Quarterly Newsletter: Special Campaign Edition).

The money will be used in the following ways: Faculty and Student Endowment, \$50 million; Bricks and Mortar Projects, \$37.5 million; Enhancement of Research and Service efforts, Electronic information technology, and libraries, \$12.5 million. Sixty million dollars in increased annual funds will provide a core of private funding necessary to meet Michigan State University's ongoing needs and emerging opportunities (Appendix C).

A number of gift opportunities exist for corporations, foundations, alumni and other friends to make contributions to the Campaign.

The Michigan State University Capital Campaign is being conducted within a prescribed structure for effective Capital Campaigns, namely; adequate precampaign planning, effective organization and capable leadership (Dove, 1988, pp. 5-10).

### Planning

The importance of planning for the success of any Capital Campaign is well documented. According to Kohr (1977) planning is the prelude to any Capital Campaign (pp. 236-265). Dove (1988) states the importance of planning as follows: "Before a Capital Campaign is formally undertaken, precampaign planning and sometimes, even pre-preCampaign planning is

necessary" (p.5). Whaley (1986, p.14) reiterates the importance of planning by pointing out that planning provides the basis from which a Campaign reaches its potential.

Planning for the Michigan State University Capital Campaign was both participatory and visible. For two years, vigorous research and discussion involving university faculty, trustees, administrators, political and business leaders, alumni, friends and consultants, identified those priorities which must be met to prepare Michigan State University for the 21st Century (Capital Campaign Quarterly Newsletter, special Campus Edition). Making planning a participatory exercise for both community and campus leaders was important to Campaign planners (Interview with Mr. Heald on January 14, 1990). The goal was to gain the constituents' broad support or consensus for the Capital Campaign and make them feel a sense of ownership in the Campaign. The support of these two groups of people was identified as vital to the success of the Campaign, since they would later be called upon to donate to the institution's cause (Interview with Mr. Heald, January 14, 1991).

The participatory aspects of the planning was evident throughout the planning phase of the Campaign. The following individuals were listed as the major actors in the planning of MSU's Capital Campaign; the President, the Provost, the Deans, various members of the Executive Advisory Council and Development Fund top executives (Status Report, June 27,

1986).

Although planning was evident throughout the records of the Campaign, the following seven specific areas of planning will be reviewed. They are: needs assessment, feasibility studies, case for support, strategic planning, internal staffing and internal preparation. Some of these activities occurred in sequence while others occurred simultaneously, because of their interdependent nature (Review and analysis of Campaign files).

#### **Feasibility Studies**

Lord defines a feasibility study as a "test of an institution's philanthropic potential" (Lord, in Dove, 1988, p.18). Conducting a feasibility study is crucial to the planning process of a Capital Campaign because it is an accurate measurement of the opinion of the constituent's view. This view is necessary because the other Campaign plans will be predicated on the result of the feasibility studies (Whaley, 1988, pp. 15-16).

In the early 1980s, during the initial planning period of the Capital Campaign, MSU compiled a very long list of what they might be interested in raising money to fund. The cost of funding those needs totalled \$162 million; of which \$83 million was to be raised for bricks and mortar, \$19 million for program enhancement and \$60 million for endowment. Before proceeding with the planning process, the philanthropic

response of MSU's constituencies to these needs had to be tested. In 1985, at the request of MSU, the consulting firm of John Grenzebach and Associates was asked to conduct a feasibility study to analyze MSU's potential to conduct a successful major gifts Campaign designed to raise up to \$162 million over a period of five years (report of Feasibility/Planning Study for a Capital Campaign for MSU, 1985).

The consulting firm of John Grenzebach, through the use of structured interviews with a selected sample of the university's most important and influential friends and supporters, sampled attitudes and perceptions of constituents towards the impending Capital Campaign. The following group of people were respondents in the study: MSU Trustees, foundation managers, corporate and business leaders, alumni, friends of MSU and MSU faculty and staff. Interviewees were chosen by the university on the basis of the following criteria:

- Their close ties to MSU or to one or more of its schools or programs.
- Their individual potential as donors and/or volunteer leaders in a major Campaign.
- Their ability to identify and recruit others to contribute to, or work in, a Campaign.
- Their familiarity with persons,

organizations, and/or conditions of key importance to the university: fundraising programs, needs, goals and long-term plans.

- Their roles as corporate or community leaders (Report of Feasibility/Planning Study for a Capital Campaign for MSU, p.3).

In conducting the study, letters were sent to interviewees asking them to participate in the study as a service to the university (Report of Feasibility/Planning Study, p.4). Each request letter contained a concise summary of endowment, facility and program needs to be met through the Campaign. These identified needs, presented as a trial goal, amounted to \$162 million (Report of Feasibility/Planning Study).

John Grenzebach and Associates conducted confidential interviews with each of the respondents. Each respondent was asked fifteen questions designed to measure their attitudes, perceptions and level of support for the Campaign. The questions the feasibility study sought to answer fell into the following five categories (Davis, 1986, pp.20-26; Report of Feasibility/Planning Study):

- The Campaign's case: How receptive was MSU's prime constituencies to its appeal; also was MSU's case for support credible

and reasonable at that time?

- **Leadership:** Was there available leadership within MSU's family or perhaps elsewhere within the state to lead the Campaign.
- **The goal:** Did MSU at that particular time have the potential to raise such an amount; if so, were pace setting gifts in the multi-million dollar range available?
- **MSU's capability to raise the money:** These sets of questions were designed to assess the type of staffing pattern that would ensure adequate fundraising coverage and how Campaign and regular staff should be organized (Davis, 1986, pp.20-26).
- **MSU's Image:** The feasibility study sought to examine the image MSU has within its constituencies and within the business, financial and industrial communities (Feasibility/Planning Studies).

These five areas are often cited as prerequisites to any successful fundraising endeavor (John Grenzebach in Feasibility/Planning Study, pp.5-6). By asking formal questions and seeking informal comments, the interviewer in



each case sought to determine the presence of these five prerequisites to the degree judged essential for success.

The findings were as follows:

**Favorable factors:**

- It was discovered that the educational programs and the faculty of MSU were highly regarded and were rated good to excellent by more than 75 percent of those interviewed.
- There was virtual universal agreement that MSU is a substantial asset to the community, the state and the nation. Nearly 30 percent felt MSU was an international asset.
- There was general agreement on the need for improved facilities and for professorships and scholarships. Responses indicated a strong concern for maintaining and increasing the quality of the academic enterprise in recognition of its value to students and to business.
- More than two-thirds of the respondents were confident that leadership would be available, and a significant number of names were suggested.
- There were positive indications among the

survey group, of gifts aggregating as much as \$21 million. Support potential appeared particularly strong among foundations and corporations.

- Nearly two-thirds of those surveyed indicated a willingness to work in a Campaign, and half of those surveyed ranked such work in the top of their personal priority list (Feasibility/Planning Study for a Capital Campaign, conducted for Michigan State University, 1985, pp.6-7).

#### **Negative Factors**

- Some respondents suggested that fundraising programming at MSU should be more productive. While there was wide spread trust and confidence for the top administrators of the development program, a number of concerns were raised regarding programs and staffing.
- There was a widespread concern that MSU does not receive appropriate public recognition for its quality and achievements.
- There was some uncertainty among the respondents about what the university

needed money for. The summary of needs was well accepted but there was some feeling that such a list requires considerably more detail and rationale. The feasibility study showed that the case for support was not as clear as it could be (Feasibility/Planning Studies, pp.7-8).

Based on the broad concerns of the respondents, John Grenzebach and Associates made a number of recommendations which were incorporated into the planning process of the Capital Campaign. The recommendations included the following: improved criteria for goal setting objectives; improvements in public relations; the development of a comprehensive case statement; the involvement of the volunteer structure of the Alumni Association at the local and national levels; the identification of a national Campaign chair; changes in the organizational structure of the Development Office and the involvement of deans in the Campaign. It was hoped that the involvement of the deans in MSU's fundraising will continue beyond the period of the Capital Campaign (Feasibility/Planning Report, p.12).

In summary, the feasibility study enabled MSU to gain a better sense of areas that needed strengthening and also to gain more appreciation of areas that are already strong (Brakeley, 1980, pp. 32-41).

**Needs Assessment**

As a result of the findings of the feasibility study, there was a need for MSU to refine its objectives (Review and analysis of Campaign files). Specifically, the feasibility study yielded a strong indication that the audience interviewed believed that the endowed chairs, fellowships and scholarships ranked in the top six items considered to be crucially important to MSU. This was consistent with the growing trend in Capital Campaigns. Educational Capital Campaigns stress endowment over mortar (Memo to Dr. Scott from Mr. Heald dated August 28, 1986).

With the knowledge from the feasibility study, the university was prepared to begin the task of needs assessment. This process highly involved the deans in the Capital Campaign at the institutional level.

The formal process of compiling and distilling university-wide needs for inclusion in the Campaign began in May 1986 under the direction of Provost David Scott, with the assistance of the retired Vice President of Development, Dr. Joseph Dickinson and the on-site representative of the consulting fundraising firm, Mr. James Heald (Campaign memo on compiling needs list dated June 5, 1986). The needs assessment process was conducted in three stages. The first stage consisted of a series of individual meetings over a period of five weeks with each dean and program director to: (a) review feedback from the feasibility study (Campaign files did not

indicate who compiled the initial list used for the feasibility study in 1985); (b) discuss the balance sought among bricks/mortar, endowment, and programmatic objectives seen in similar Campaigns at comparable institutions; and (c) to answer the deans' initial questions.

Deans were given a Needs Assessment Form (Appendix D) to list their needs and prioritize them based on the guidelines recommended. All needs lists were to be received in the Provost's office by the end of August 1986 (Campaign Status Report dated January 16, 1987). The aggregate of the deans' needs exceeded \$538 million (Appendix E).

The second stage in the needs assessment was to distill the \$538 million in aggregate needs to the \$100 million amount suggested as a feasible major gift goal by John Grenzebach and Associates. Copies of the deans' need lists were circulated to Mr. Dickinson and Mr. Heald. Together, they transposed information on the deans' forms, to a spread sheet (Appendix F). Subsequently, Provost Scott, Mr. Dickinson and Mr. Heald reviewed the spread sheet. Where necessary, some deans were requested to provide supplemental rationale for needs identified on their college's list. Cuts in proposed needs were also made on items which should not be included in the Campaign (Memo from Mr. Heald to Dr. Scott dated June 5, 1986).

In trimming the needs list to the recommended \$100 million, the following six criteria were utilized:

- Consistent with land-grant mission.
- Maximize impact across several key disciplines.
- Consistent with feedback from feasibility study.
- Strength of unit record of attracting private support in past.
- Match with potential donor support identified to date.
- Match with objectives seen in successful Campaigns at comparable institutions; Bricks and mortar (25 percent to 35 percent), Endowment (50 percent minimum), Programs and enhancements (no more than 20 percent) (Capital Campaign memorandum dated September 26, 1986).

In outlining MSU's needs, care was taken to ensure that the final needs list reflect the mission of MSU, its fundraising potential and its objectives for the next five to ten years.

In the final stages of the needs assessment process, Provost Scott also held meetings with deans and program directors in September 1986 to: (a) brief the deans on the needs assembly process; (b) review individual college Campaign potential; (c) obtain deans' input and ensure a basic under-

standing of setting goals and objectives; (d) enlist the support of each dean for Campaign objectives (Campaign Memo dated September 11, 1986 from Mr. Heald to Provost Scott). This led to the next step in the planning process namely, goal setting.

#### **Goal Setting: Financial**

In 1985, the consulting firm of John Grenzebach and Associates determined through a feasibility study that MSU could raise \$160 million. Of the \$160 million, \$100 million could be raised for Campaign specific purposes to meet specific university needs and priorities. It was felt that the balance of \$60 million could be raised in various non-restricted annual support programs, which were already in place and were to continue throughout the Campaign. The \$160 million is a comprehensive figure in that all gifts secured during the period of the Campaign counted toward the goal (Capital Campaign memo dated July 9, 1986).

The \$100 million for Campaign specific purposes was broken down as follows: \$35.5 million, Bricks and Mortar (Appendix G); \$50 million, Endowment (Appendix H); \$14.5 million, Program Enhancement (Appendix I).

In setting the objectives for the Campaign, the challenges faced by university planners was the establishment of a set of generalized priorities which were to be used in striking a balance between the real needs of the university and those parts or programs of the university that will be

most successful in generating funds. Therefore, in articulating needs, specifics were avoided. Rather, fundraising priorities were generalized by categories of needs, instead of, by specific needs (Capital Campaign memo dated August 28, 1986).

The main strategy in setting dollar goals was to build strength upon strength. Planners started with the broadest categories of programmatic strengths within the university and built on them. The colleges of Engineering, Business, Agriculture, Natural Science, Education and the three medical schools were believed to have the strongest programs (Capital Campaign memo dated October 15, 1985). Later in the study, efforts will be made to verify this belief. The needs submitted by these colleges were carefully examined by Campaign planners to determine their relationship to programmatic strengths. The following is a list of indicators of strong programs:

- Record of attracting private or federal dollars.
- Appeal to general public (as indicated by the feasibility study).
- Faculty awards, prizes and recognition (Capital Campaign memo dated October 16, 1986).

The second strategy utilized in setting dollar goals was to build or maintain strength in areas of central



importance to the university's mission of teaching, research and service.

Setting dollar goals for areas of central importance to the university's mission has the following advantages:

- Allows donors to provide funds for weaker but not necessarily less important units.
- Encourages active participation of all units, i.e., colleges in the Campaign. For example, while a specific dollar amount may not be set for Arts and Letters, Arts and Letters' access to the results of the Campaign was facilitated through Central University mission dollar goals. If Arts and Letters or any small college has access to the Campaign, it was believed, that college would be more likely to participate in identifying, cultivating and soliciting potential donors. As will be discussed later, deans of all colleges were encouraged to be participants in the Campaign through their involvement in needs assessment, prospect identification and solicitation.

- Sends a signal to internal and external constituencies that quality or excellence is a theme for the whole university, not just those with great appeal to special groups (Capital Campaign memo dated July 9, 1986).

On the completion of the setting of financial goals, non-financial goals for the Campaign had to be set.

#### **Goal Setting: Non-Financial Goals**

In conducting a Campaign, there are other fundraising goals that the Capital Campaign could be used to achieve. Setting additional goals during the Campaign planning enables the development office to reap more than the Campaign financial objective (Whaley, p.17).

Besides the financial goal, MSU had four additional goals for the Campaign. The first goal was to increase its long-range fundraising capability. MSU wanted to increase its private fundraising ability to 10 percent of its operating budget from its current private fundraising ability of 7 percent (Interview with Mr. Dickinson on February 7, 1991). The Capital Campaign according to Mr. Dickinson was therefore ideal for encouraging major donors to give at a higher level. The Vice President for Development hoped donors would continue to give at that level after the Campaign. The consulting firm of John Grenzebach and Associates recommended that \$60 million of the \$160 million Campaign financial goal, be raised in

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various non-restricted annual support programs which are already in place. It was hoped that the raising of the \$60 million will continue throughout the Campaign period (Feasibility/Planning Study conducted for MSU, p.8). The goal was to encourage increased annual gifts. The achievement or failure to achieve this goal will be an area of investigation in this research.

The second goal MSU had was to strengthen constituency relations, especially the alumni relations. Prior to the Campaign, MSU had not effectively courted the alumni (Campaign files). To achieve the first goal of increased fundraising capability, alumni relations had to be improved. The achievement of these two goals influenced the type of Campaign that was conducted. MSU 2000 was consequently conducted as a broad based effort that included large numbers of alumni and parents. The Campaign provided the university with a good reason for increased contact with constituents and for presenting MSU's financial goals and plans (Interview with Provost Scott on February 13, 1991).

The third goal MSU hoped to achieve through the Capital Campaign was the expansion of the development office. Prior to the Campaign only the three richest Colleges had resident college development officers. As a result of the Campaign, all colleges had resident development officers. The concept of decentralization of development activities was the consequent result. This was a calculated act to get deans

involved in development activities with the hope that after the Capital Campaign, they would continue to be involved in fundraising.

The fourth goal was the strengthening of the development staff's ability to raise money without the help of a full time resident Campaign counsel. To achieve this, the strategy was for the resident Campaign consultant to work very closely with institutional planners and to deeply involve the development office staff in the Campaign. It was hoped that by so doing they would have the opportunity to develop professionally.

#### **Case Statement**

The feasibility study revealed that MSU was not well understood or appreciated by the Michigan or national public (Feasibility/Planning Reports on MSU Capital Campaign, p.6). The case statement which is the simple definitive written piece associated with the Capital Campaign (Seymour, '66, p. 42), is required to make the case for the university. The MSU case statement was a selling document. It aimed high, provided perspective, paid tribute to the past accomplishment of MSU, reflected continuity and conveyed the importance, relevance and urgency of the programs to be funded.

In planning for the case statement, planners ensured the following: (a) that established objectives met MSU's established goals, mission and objectives for the next five to ten years; (b) goals were written in a businesslike manner

with assessment of costs and income; (c) thorough knowledge of the needs and the reasons for those needs. Including the rationale for needs is essential for fundraising success according to Broce (1979). Broce explains that people give to meet objectives and not simply to give money away (pp.38-39); (d) define the total resources needed to reach its goals by deciding how much is needed for each element in the plan such as building, endowment, equipment and curriculum. The deans were expected to include the rationale for the needs they listed for their college.

Broce (1979) also stated that a case statement should reflect the institution and its leader's credibility (p.38). MSU's case for support included statements from President DiBiaggio and Provost Scott on MSU's history, its accomplishments and their respective aspirations for MSU. The statements from the President and the Provost are of significant importance in the success of the Campaign especially where the President was concerned. As chief executive and chief Public Relations official (Cote, 1985, p.664), the president represents the university to the public. Fazio and Fazio (1984) are of the opinion that the president's personality and thoughtful participation must be evident throughout the case statement for fundraising to be successful. They write:

The person who reads the case statement must understand that the president was active in its creation, must believe that he personally selected the Campaign's direction, most

important, must be motivated to respond to the needs of the university because the president believes in it so strongly (p.10).

Many donors including foundation and corporation executives cited President DiBiaggio's ability to articulate the university's needs as a reason for their giving (Campaign monthly reports; Interviews with Mr. Heald [January 17, 1991] and Provost Scott [February 13, 1991]).

### **Staffing**

Based on the Campaign goals, two decisions were made. The first was to increase the development office staff and the second was to hire a resident Campaign counsel.

Prior to the beginning of the Campaign, the development office had twelve professional development officers and eight support service staff. In strengthening the staffing needs of the development office, more development officers and support staff were hired to bring the number of development officers to twenty-eight and eighteen support staff (Capital Campaign document dated October 15, 1985).

At the beginning of the Campaign, the staff needs were as follows: a Campaign director, an assistant Campaign director, three support staff who worked as central Campaign coordinating team, a new executive management position titled assistant director of Development and directors of College programs. Hiring priorities for the college development officers were given to colleges with the largest Campaign potential. The deans were strongly encouraged by the Vice

President for Development to participate in the hiring of their college's development officer (Memorandum by Mr. Joseph Dickinson dated October 15, 1985). Later in the study, this will be one of the areas of investigation, in assessing the deans' role in the Capital Campaign.

#### **Prospect Research and Rating**

The Michigan State University Capital Campaign searched for prospects nationally. Prospective donors included corporations, foundations/associations and individuals. To find prospects, more research staff were hired and the prospective firm of Marts and Lundy Electronic Screening Potential Plus Rating was utilized for geodemographic prospect rating. MSU had at least 4,000 potential alumni prospects nationwide (Review of the Campaign files). The services of the electronic geodemographic consultant, therefore became necessary to narrow the number. By running their names through the computer, the potential prospects were identified as probable prospects. The data base contained information on potential prospects' residential area. Living in an affluent area was indicative of affluence and worthy of being researched. Once identified as Campaign prospects, individuals were added to the Capital Campaign file for inclusion in the rating process.

From December 1987 through January 1989, the process of identification and rating of major gift prospects took place. The identification and assessment of each prospect's



giving capabilities, influential personal contacts and interest area(s) were treated as priorities in the process. Then individualized solicitation strategies were built from the facts gathered during a series of rating sessions. Lastly, the solicitation process for each prospect was determined and volunteers assigned (MSU 2000 Strategic Planning file).

Three types of prospecting sessions were conducted:

- Michigan State University development fund staff conducted initial screening of prospects.
- MSU faculty, administrators and directors of development within college units developed prospect information list. In developing such lists, gift capabilities, influential contacts, specific interest area(s) and past relationships with a particular unit were explored. This involved the college development officer working in close cooperation with the dean to decide who might be the appropriate individual to solicit for assistance in rating potential donors.
- Geographic rating sessions drew on the advice of volunteer raters (alumni,

major donors and top level executive) who knew potential prospects, gift capabilities and influential contacts on a different level. They supplied MSU with additional information to develop the solicitation strategy (Campaign strategic planning files).

More than 2,100 prospects were identified and rated internally based on their giving capability and interest areas. Of the 2,109 prospects, 70 percent were individuals, 21 percent were corporations and 9 percent were foundations. Of all prospects, 63 percent were found in the state of Michigan. Of the Michigan prospects 80 percent were individuals, 13 percent were corporations and 7 percent were foundations.

#### Organization

The organization phase of the Campaign operationalized plans which were conceived during the precampaign phase. The precampaign plans were to culminate in the raising of \$160 million. The organization and implementation phase of the Campaign required attention to many details for which the development office had primary responsibility. The primary responsibility of the Development Office was to orchestrate the Campaign to raise the \$160 million. To accomplish this task, the Development Office had the following responsibilities: to identify those who can, should or might give support to MSU; taking the necessary steps to obtain the

gift; recording the gift and thanking the donors.

Organizing for the task of raising \$160 million for the Capital Campaign involved the following steps: a) the development and utilization of an appropriate Campaign structure; b) prospect research; c) cultivation and solicitation of potential donors; d) effective management of the many details of the Campaign.

**(a). The development and utilization of an appropriate Campaign structure.**

This comprised of two major structures; the central development (Appendix J) which served as liaison and professional resources to the groups involved with the Campaign and the Capital Campaign committees comprised mainly of volunteers (Appendix K).

The staff organizational chart of the Development Office is headed by the Vice President who reports to the President of the institution. Two important offices under this structure are the MSU Foundation and Capital Campaign counsel. The MSU Foundation is a part of the structure of the Development Office but it functions independently of the Development Office. The Foundation solicits private financial support for the university in the form of planned gifts, estates, wills, gifts-in-kind and stocks. The Development Foundation is not an administrative unit of the university. It is a separate, not-for-profit corporation. The Development Fund and the Foundation work in partnership to raise money for

MSU through private gifts. The two organizations share a common office space, share data-retrieval and record keeping systems, use the same donor recognition programs and cooperate in almost all fundraising activities (Capital Campaign Newsletter). This was the case with the Capital Campaign. The organizational chart for the MSU Campaign was developed around the concept of using all Development Fund and Foundation staff. The reason was to enhance the professional development of staff through the Campaign, so future Campaigns could benefit. Duties and responsibilities were defined for each staff member. To preserve the team approach to the Campaign, lines of authority were established to ensure appropriate reporting (Interview with Marti Heil; May 2, 1991).

During the Campaign the MSU Development Fund acted as business agent for the Capital Campaign. Staff members served as liaison between the colleges and the Campaign volunteers; conducted background research on prospective corporate foundation and individual donors; assisted colleges with the preparation of funding proposals; prepared materials for use by volunteers, and recorded and acknowledged gifts to the Campaign. The Development Fund also helped match university and college needs with donor interests to insure maximum support for the Campaign objectives (Capital Campaign files). Consequently, the Development Fund acted as the agent of the university and its colleges in providing technical assistance and in performing those tasks most efficiently handled in a

centralized office.

In organizing to function in this role, the Development Fund office adopted a combination of centralized and decentralized structure. It was decentralized in that each college in the university had/has its own Director of Development located right in the college's building reporting directly to the dean of the college first, and secondly to the Vice President of development (Interview with Marti Heil, May 2, 1991). Each college director of development was expected to work with his/her college's dean in conducting background research of prospective donors, assist in the college with the preparation of funding proposals, preparing materials for use by volunteers and planning fundraising activities. The recording of the gift was done solely through the central development office. The following were part of the central development office structure: Major gifts; Corporation and Foundation Relations; Annual Giving; Telemarketing and administrative Services. The Administrative Services included services such as Alumni Donor Records, Budget, Personnel and Gift Administration, Communication, Data Services, Development Relations, Information Services, Research, Systems Administration and Stewardship. The Administrative services functioned as a support unit for both college directors of development and development officers in the Central development office (Staff Organizational Chart for MSU Development Office).

As earlier mentioned, in order to raise the \$160 million, the Development office involved volunteers. Volunteers were critical to the attainment of the Campaign goal as they both gave and got money (Capital Campaign strategic plan). Volunteers were involved in the Campaign through various committees established to achieve the financial goal of the Campaign as illustrated in the Campaign organizational chart (Appendix K). This organizational chart did not replace the staff organizational chart. This organizational set up was headed by the chair of the Campaign, the four national co-chairs and the President of MSU. The Provost, Vice President for Development and the resident Campaign counsel were ex-officio members of the office of the chair. Reporting to the chair were the members of the Campaign steering committee. The following committee chairs reported to the steering committee. They are: Major Gifts; Corporate Gifts; Foundation Gifts; Individual Gifts; Alumni Gift and University Gifts. Each of these committees was chaired by two volunteers and a development officer as a support staff person.

Each committee was charged with a specific duty as follows:

**Individual Major Gifts Committee**

Charged with raising \$30 million. Committee members were responsible for: (1) identifying and evaluating the giving capability of potential Campaign donors; (2) working

with staff to outline effective approaches to potential donors; (3) cultivating or taking the lead in involving potential donors with various elements of the Campaign; (4) asking individuals for gifts; (5) continuing cultivation through following up a solicitation in an appropriate, effective and timely manner (MSU 2000 Strategic Plan files).

#### **Foundation Gifts Committee**

Had the responsibility of raising \$30 million. In general, committee members assisted in identifying and contacting prospects, advising on development of strategies, providing entry into foundation/ associations, and assisting in proposal presentations. The development fund staff coordinated and prepared research, strategy, briefing presentation and proposal materials.

#### **Corporate Gift Committee**

Had the responsibility of raising \$27 million. The corporate committee organization consisted of a chair and twenty to thirty volunteers and corporate executives. The committee members assisted in the identification of prospective donors, advised on the development of strategies and proposal, provided access to prospective donor corporations and served as advocates during presentation and proposal situations.

Staff support to the Corporate Gifts Committee was the responsibility of the Director of Corporate Relations.

Additional support was provided by the Capital Campaign staff, and, when appropriate, faculty experts, college deans, the Provost and the President also were of help (MSU 2000 Capital Campaign Strategic Planning files).

#### **Special Gifts Committee**

The Special Gifts Committee had the responsibility to raise \$6 million for the Capital Campaign in gifts ranging from \$1,000 to \$50,000. The special gifts Campaign required an estimated 2,000 prospects to be solicited by a volunteer structure comprised of 100 to 150 alumni and friends. The deans were asked to become involved in the Special Gifts Campaign with their voluntary and financial support (Campaign files).

It was noted that the special Gifts prospects were members of the President's Club and major gifts club donors, who only donated to the university to support specific causes (MSU 2000 Capital Campaign Strategic Planning files). It was therefore decided that they needed much more education and cultivation in order for them to support the various colleges' academic needs. The development of the case for support for academic needs both at the college and the university level was seen as being critical to making the special gifts Campaign a success. The development of the college case for support statement was the responsibility of the deans. The deans were also expected to cultivate alumni and friends in order to give them a deep understanding of the university and



its goals and needs, before solicitation occurred. As a result of the large number of prospects, they were divided into regions and cultivation was through small groups. This was achieved through the coordination of a small function in which a university official or major volunteer presented the case for support, followed by a one-on-one personal visit from the volunteers to receive the pledge.

In conclusion, although the academic deans were asked to participate in the university Capital Campaign through the Special Gifts Campaign, very little documentation describing their responsibility were found in the Campaign archive.

**(b). Prospect Research**

As part of the organization for the Capital Campaign, the Development Office was charged with the primary responsibility of researching donors. Research support for the university wide Capital Campaign was centrally based. The research unit worked with development directors in the colleges, identifying possible sources of private funds for faculty projects and college needs. Research also provided assistance in defining solicitation strategy and review of written proposals. As college directors of development were hired, research assistants were assigned to work with each college director of development, thus enabling the researcher to focus on the needs of the college.

**(c). Cultivation and solicitation of Potential Donors**

The cultivation process took place before solicitation. The process was regarded as one of the most important steps in the process of securing a major gift and one in which the volunteers played a key role. Cultivation was an on-going process which developed in the prospective donor a sense of personal understanding and involvement in one or more university programs. It was believed that involvement will result in a commitment on the donor's part to ensure that a specific project or program will come about and at the quality level the donor desired. The gift came about as a result of donor's commitment. Cultivation of prospective donors spanned the entire gift securing process and was given a high priority by committee members, Development staff, university administrators, key deans and faculty members (MSU 2000 Capital Campaign Strategic plan file).

Key action steps in the solicitation process included:

(a) identification of prospective donors; (b) background research on interest areas and giving capabilities; (c) definition of individual strategies; (d) volunteer assignments; (e) completion of cultivation activities; (f) preparation of proposals; and (g) submission of proposals (MSU 2000 Capital Campaign Strategic plan file).

In general leadership gifts (\$1 million or greater) and major gifts (\$100,000 or greater) were solicited first, and face-to-face solicitations were used in all high level

gifts. The President, the deans, the department chairs and the volunteers solicited major and leadership gifts. The solicitation of leadership and major gifts will be conducted throughout the Campaign, however, the major portion was completed prior to the official Campaign (Campaign files).

**(d). Effective Management of the Many Details of the Campaign.**

**• Campaign Management Procedure:**

An important Campaign detail is the management procedure. Every fundraising plan is expected to have a way of monitoring or reviewing its progress (Campaign files). At the beginning of the MSU Campaign, a group called the strategy group was formed to monitor the Campaign. This group consisted of the Associate Vice President for Development, the resident consultant, the Associate Provost, the Provost, the Deans, the Vice President for Research and Graduate Studies and the Executive Assistant to the President. This was a coordinating group, convened to learn all about the proposals being written to individuals, corporations and foundations. Their responsibility was to ensure that proposals meshed with donors needs and the university's mission (Capital Campaign Strategic Plan file).

At the development level, weekly and monthly staff meetings were used to monitor the progress of the Campaign. Each committee had an operating plan which was used weekly to check their progress. This provided continuous monitoring to

ascertain that the staff were on target given the timetable.

Other methods utilized in monitoring the Campaign involved monthly Campaign reports, Campaign quarterly reports and periodic volunteer meetings. These techniques provided the vital link between plan and implementation.

- **Recording and Acknowledging Gifts:**

The third basic function of the Development Office is to receive, record and acknowledge gifts (Campaign files). The Development office organized to accomplish these tasks by doing the following: (a) separating records for each contributor - individual, corporation and foundation; (b) keeping records that show giving according to constituent groups; (c) records to show the purpose of gifts such as unrestricted, restricted, current and capital gifts in kind or any other type of gift (Capital Campaign Memo from Mr. Joseph Dickinson to Campaign Committee Staff Directors and Gift Processing Personnel, dated January 18, 1989).

Each gift received is a preparation for the next, acknowledgements and stewardship reports were designed to be timely, accurate and a recognized part of the continuing cultivation process. The responsibility for acknowledging gifts and sending stewardship reports was to rest either with those who received the gift or the development officer responsible for the program being funded or the dean of the beneficial college (MSU 2000 Capital Campaign Strategic Plan file).

## **Leadership**

Campaign leadership according to Seymour (1966) is the key factor in successful fundraising, whatever the goal and the scope of the Campaign (p.179). Seymour identified two types of leadership: the layman who leads and the professional staff who manage and serve.

The MSU Capital Campaign exhibited these two types of leadership. The chair of the Campaign, the chief executive, the Provost, key volunteers and the deans represent lay leadership in the MSU Capital Campaign. The Chief Development Officer (Vice President for Development) and the resident Campaign Council represented professional leadership during the MSU Capital Campaign.

### **Lay Leadership**

#### **• President DiBiaggio**

MSU president, John DiBiaggio, was the primary leader and visionary of the Campaign. President DiBiaggio took over the Presidency of MSU with the initiation of a Capital Campaign as one of his major goals (Interview with Mr. Joseph Dickinson, February 7, 1991). He had the primary responsibility for the Campaign's success. Several factors qualified the president as the primary leader of the Campaign.

#### **• Vision**

It was and still is the president's vision to maintain and build upon MSU's uniqueness as the premier land-

grant institution in the nation and for MSU to keep its place as one of the world's greatest universities. This vision called for access to opportunity. He equally foresaw that access without excellence denies opportunity. He also realized that access, opportunity and excellence require money which the government alone could not finance. Therefore, private sector support was essential for fellowships and scholarships, for endowed faculty positions and for top-flight physical facilities (Campaign Quarterly).

- **Ability to bring divergent groups together to achieve the goal**

The president's ability to mobilize the university community to get involved in the university's first all university wide Capital Campaign could be attributed to his leadership.

- **Ability to fulfill certain role expectations**

As expected of an institution's chief executive, President DiBiaggio set the pace and established the mood for the Campaign with the help of the then Vice-President of Development Mr. Dickinson and the on-site representative from Grezenbach and Associates, Mr. Heald. He was also very actively involved throughout the Campaign, more so during the planning stages. He made sure that the planning stages were completed correctly and precisely and that all the tools necessary for a successful Campaign were present; namely, a market survey, a case statement and a comprehensive Campaign

plan. He also personally looked at the list of prospects and then matched prospective donors with university needs (Capital Campaign Memo from Mr. Heald to Joseph Dickinson and Richard Meyer dated October 5, 1987).

- **Time**

During the period of the Campaign, the president was involved in over 50 percent of the solicitations of \$50,000 or more. He was also deeply involved in the cultivation of prospects and in the various special Campaign events that were held on campus and around the country such as attending a series of regional major gift dinners to meet and cultivate prospective major donors. He allowed the Campaign staff easy and quick access to his calendar in addition to regular monthly meetings with the Vice President of Development and the President's Campaign Council.

- **His ability to enlist a solid coalition of support to achieve the vision successfully**

In achieving this vision, the president worked very hard to strengthen alumni relations by increasing contact with alumni and by making them feel good about the university. The President was also totally committed to building relationships with corporations and foundations. The President promoted the university to external constituencies and was able to communicate to them why it was important for them to invest in the university and what the benefits of their investment will be to Michigan and the world. That process won him many

supporters (Interview with Provost Scott on February 13, 1991).

President DiBiaggio's ability to highlight the value of and uniqueness of MSU in an articulate way, so different groups of people could identify with MSU in an exciting manner, was cited by some donors as the reason for their giving. The President was capable of translating the details of the proposal to donors at their level (Interview with Mr. Dickinson, May 3, 1991). His enthusiasm about The Campaign also won many people. He worked endless hours and met personally with donors. He also personally recruited the Chair of the Campaign and members of the steering committee. Personal attention by the President was required not only to convey to the volunteers the importance of their support, but also, it was a cultivation technique. Each of the individuals to be recruited was a prospective major gift donor. The President's personal attention to donors and volunteers increased his support (Interviews with Mr. Heald on January 23, 1991).

- **Presidential ability to share responsibility**

President DiBiaggio's ability to share responsibility was evident in his involvement of the university community in the Campaign. Provost Scott was put in charge of the needs assessment process. All the deans were encouraged to get involved in the Campaign at the college level. Key administrators namely the Vice President for Development, Mr. Dickinson; the resident consultant, Mr.



Heald; the Vice President for Research and Graduate Studies; the deans, the Provost, Dr. Scott; the Assistant Vice President for Academic Affairs, Dr. Lou Anna Simon and the Executive Assistant to the President, Dr. Marylee Davis served as members of the Campaign strategy group. They had the responsibility for meeting monthly to coordinate proposals to ensure that they match with donors' needs and the university's mission (Interview with Provost Scott, February 13, 1991).

- **Provost Scott**

Provost Scott, although new to his position, headed the needs assessment procedure. After a series of 23 meetings spanning three months, the process was completed. The Provost also assisted the President in some cultivation calls and was involved in rating some prospects. He also met regularly with the Vice President of Development to remain active, knowledgeable and involved with the Campaign.

- **Deans**

All deans were encouraged to both work for the institution's Campaign and their college's Campaign. On the institutional level, the deans were supposed to be responsible for listing their needs in terms of endowment, scholarships, buildings, equipments and program enrichments. On the college level, they were responsible for the following:

- Building a case for support for their individual college;

- Cultivation and solicitation of donors to get their prospects funded.
- Review of specific prospective donors for their unit.
- Responsible for using different means to provide the needed advocacy for their college's projects.
- Responsible for defining the levels of cooperation, communication and interaction with the Central Development Office to ensure that their colleges' prospects are supported (Capital Campaign files).

- **Chair of Campaign**

According to Dove (1988) top leadership should consist of individuals who have the following characters:

- An immediate name recognition with the institution's public;
- Strongly identified with the institution;
- A history of association and active involvement with it;
- Established a substantial record of major gift support to the institution;
- Ability to be a forceful dynamic leader with colleagues and friends who are

also leaders representing the nation's various constituencies;

- Commitment of time, effort and giving (p.30).

The person chosen to chair the MSU Capital Campaign, Mr. Robert Rowan, was believed to possess the above qualities. Mr. Rowan was the Chair and Chief Executive Officer of Fruehauf Corporation. First, he was chosen not only because he is an influential and affluent man, but because of his willingness to use his influence and affluence on behalf of MSU to gain access to top leaders in the public and private sectors, both in Michigan and nationally. Second, he was perceived as having persistence that compels others to follow. Third, he was chosen because he had time to devote to running the Campaign. Fourth, he was chosen because of his interest in and concern for MSU. Fifth, he was chosen because of his awareness that the early phases of planning and recruiting may require a considerable amount of a chair's time (Campaign Status Report dated January 23, 1987). His responsibilities included the following:

- Recruit co-chairmen and committee chairmen.
- Participate and take lead in solicitation of several key leadership gift requests.
- Review case statement and Campaign

brochures.

- Assist in the recruitment of volunteers to various committees.
- Participate in setting kick-off date and take lead role in kick-off activities.
- Assist in selection of professional Campaign fundraising counsel.
- Make policy decisions regarding the director of the Campaign in consultation with Campaign Director, University Director of Development, Staff and fundraising counsel.
- Act as the spokesman for the Campaign in news stories, Campaign publications and at key meetings (MSU 2000 Capital Campaign Strategic planning files).

- **Volunteers**

Volunteers were also critical to the success of the Campaign because they both gave and got money (MSU 2000 Capital Campaign Strategic files). For the MSU Capital Campaign, volunteers were recruited primarily from two major sources namely, the nucleus of volunteers existing within the Development Fund Board and Foundation Board and MSU alumni. Development Staff who were responsible for the various committees identified individuals, primarily MSU alumni to

recruit into the various committees to assist with the Campaign.

Volunteers provided the Campaign with the necessary expansive work force needed for the successful completion of the Campaign. Working in the various committees as a volunteer meant providing information on prospective donors, making financial contributions to the Campaign and making solicitation calls on peers for financial support to the Campaign. Working as a volunteer also meant opening doors for university development staff to cultivate potential major donors. Sometimes, it also meant presenting the University's case to top donors.

#### **Professional Leadership**

- **Vice President for Development**

The most important leadership role of the Vice President for Development was to give structure and design to the Campaign. Mr. Joseph Dickinson prior to his retirement in 1990 served as an effective manager of the Development Staff and also provided support to the President and key volunteers. Though he was personally responsible for the effective management of the Campaign, he was believed to be a team player (Interview with Lenora O'Jibway on February 20, 1991).

Dr. Joseph Dickinson's leadership role in the Campaign was in the background. His principal purpose in the Capital Campaign was to obtain understanding and support for the total Campaign by giving it structure and design (Dove 1988, pp.40-

42). Dr. Joseph Dickinson accomplished the above by possessing three distinct capabilities: ability to be a team captain, effective manager and possessing expert knowledge.

As a team captain and manager, Dr. Joseph Dickinson was said to have delegated responsibilities to the various directors in the Development Fund and they were permitted to manage their responsibility without interference. It was believed that he provided an atmosphere where the staff could gain confidence in each other, where goals were felt to be understandable and meaningful. It was also said that he provided the necessary climate that facilitated the best work of all his subordinates. Mr. Dickinson also worked cooperatively with the President, deans and volunteers and provided them with needed support. As an effective manager, he had the overall responsibility for ensuring that planned solicitation calls were actually made to prospects (Interview with Mr. Heald on January 23, 1991).

Mr. Dickinson's expert knowledge in fundraising enabled him to contribute to the Campaign through actual involvement in professional activities and also through the employment of successful fundraising techniques. His knowledge in fundraising enabled him to orchestrate the details of the Campaign (Interview with Mr. Dickinson, February 7, 1991).

#### **Resident Campaign Counsel**

MSU 2000 was Michigan State University's first Capital Campaign. The Development staff had no Campaign experience.

It was therefore necessary to have a resident Campaign counsel. President DiBiaggio retained the services of a fundraising consulting firm, known as John Grezenbach and Associates. A representative of that company; Mr. James W. Heald was the resident Campaign counsel. He provided on-the-job training to the Development staff. The Campaign Counsel set standards and held Development Staff to those standards through teaching and by spending time with the Development staff on a one-on-one basis. This type of training was given to the Development staff with the belief that in subsequent Capital Campaigns, the development staff will conduct the Capital Campaign without the help of a resident Campaign counsel (Interview with Mr. Heald on January 23, 1991).

Besides training Development staff on the art of fundraising, Campaign counsel was particularly concerned with the strategy and timing of every phase of event which occurred during the course of the Campaign. As such, Campaign counsel was aware of or involved in every activity that was related to the Campaign.

The Campaign counsel shared accountability with the Vice President of Development for success or failure of the Campaign. It was therefore, his responsibility to continually monitor Campaign progress and advise the Vice President for Development of problem areas and possible solutions. Counsel was useful in the resolution of situations with similarity to those of his firm's experience at other institutions in

similar situations.

Counsel was deeply involved in the planning of the Campaign especially in the meshing of needs to meet MSU's fund raising capability. He was also deeply involved in the execution of the Case Statement, Campaign brochures and publications. Counsel also reviewed or prepared all other Campaign materials such as proposals and briefing materials. Counsel and the Vice President had close lines of communication (Memorandum from Mr. Heald to Mr. Dickinson; dated January 23, 1987).

The next chapter will now focus specifically on the role of the deans in the Capital Campaign.



## CHAPTER 5

### REPORT OF THE DATA

This chapter presents the research data. The study included nine of the fourteen deans at Michigan State University. Each dean has a resident director of development, who works directly under the dean on development matters. College directors of development were also included in the study. Two sets of interview questions were designed. The first set of interview questions was designed to solicit from the deans their reflections on their fundraising experience and to discover the role they played during the MSU 2000 Capital Campaign using such theoretical concepts as leadership, organization and planning. The second set of interview questions was designed for college directors of development who worked with the deans selected for the study. The college director of development questionnaire was designed to solicit information on the fundraising potential of the respective colleges and to corroborate and/or illuminate the respective dean's role in functioning as a fundraiser.

Since most of the interview questions were open-ended questions, responses were collated and categorized into content classifications. The important issues are discussed. Where applicable, data will be presented in tables, percentage and rank order.

**SECTION I****Fundraising in each college prior to the Capital Campaign**

The data reported in this section describe fundraising in each college prior to the Capital Campaign. The objective here is to determine the fundraising potential/expectation of each college

**Sub Research Question 1: What were the fundraising expectations of each of the selected colleges?**

The actual dollar amount which reflected each college's fundraising potential was determined by the consulting firm that conducted a feasibility study for the institution. The primary criterion the firm used in arriving at the dollar amount was the strength of each of the college's programs as determined by the following: each college's (a) record of attracting private or federal dollars; (b) appeal to the general public (as indicated by the feasibility study); and (c) faculty awards, prizes and recognition.

However, in assessing the fundraising potential of each college, this researcher constructed the development officers' interview questions from the literature of fundraising and the input of a professor in the researcher's committee (Appendix L). The literature (Pickett, 1986) identifies size (number of students and alumni), orientation of college and the college's socio-economic clientele, wealth of college (as indicated by size of its endowment), involvement of community leaders and alumni in the colleges' activities and prior fundraising

efforts of the colleges as factors that determined their potential or expectation for success in fundraising. Through the input of a professor in the researcher's committee, other factors such as the deans' prior fundraising experience, the number of prospects identified for cultivation in each college, and the aggregate dollar amount expected from those prospects were identified as additional determinants of a college's fundraising potential or expectation for success in fundraising. In describing each college's fundraising potential or expectation, each development officer was asked to discuss each of the above named factors. Table 1 provides a summary of most of these factors.

Looking at Table 1 it can be seen that: (1) six colleges had a population of over 1,000 students and over 10,000 alumni; (2) five are professional schools; (3) two of the deans had a great deal of fundraising experience and one had little fundraising experience prior to the Capital Campaign; (4) one college had comprehensive fundraising experience, three colleges had a lot of prior fundraising experience, two had little while three colleges had no fundraising experience at all; (5) three colleges had a college director of development in residence prior to the beginning of the Capital Campaign; (6) six colleges had fundraising activities prior to the Capital Campaign.

**TABLE 1  
COLLEGE FUNDRAISING POTENTIAL**

Colleges financial goal	Number of students	Orientation of college	No. of prospects identified in 88/89	\$ Amt. expected from prospects	Size of endowments	Prior fundraising experience of Dean/College*	Alumni size	Relation-ship to alumni prior to Cap. Camp.	Did college have a D.O. prior to Cap. Camp.?	When the D.O. came into college	Does college have a D.O. in residence currently	Has goal been achieved?	Prior to Cap. Camp. any fundraising by College/Central Dev Office?
<u>1</u> \$6 M	425	Professional	58	\$1.84 M	\$1.15 M	none F	1,865	Non-existent	No	1985	Yes	No	Yes
<u>2</u> \$15 M	1,200	Professional	78	\$1.40 M	\$1 M+	none A	10,000	Strong	Yes	1979	Yes	Yes	No
<u>3</u> \$3.7 M	500	Professional	30	\$3.70 M	no record	some F	1,700	Non-existent	No	1990	Yes	No	Yes
<u>4</u> \$3 M	400	Professional	29	\$1.06 M	\$1.5 M	none C	3,800	Very Warm	No	1986	Yes	No	No
<u>5</u> \$6 M	5,000	Underg Core	42	\$3.60 M	not sure	none E	2,400	Pretty Good	No	1986	Yes	Yes	Yes
<u>6</u> \$3 M	4,200	Underg Core	35	\$1.20 M	\$1.5 M	none F	25,000	Non-existent	No	1987	Yes	Not yet but hopeful	Yes
<u>7</u> \$15 M	6,400	Professional	113	\$8.60 M	\$1.75 M	none B	35,000	Good	Yes	1981	Yes	Yes	No
<u>8</u> \$12.5 M	4,100	Professional	40	\$2.50 M	\$1.75 M	great deal B	32,000	Fragile	Yes	1981	Yes	Yes	No
<u>9</u> \$5 M	2,000	Underg Core	40	\$4.30 M	\$1.25 M	great deal D	18,000	Good Relation-ship	No	1986	No	No	Yes but limited to one dept.

Note \* See Page

It should be noted that although six colleges had the highest number of students and alumni, three of the six colleges actually had the potential of a financial goal expectation above \$10 million. An analysis of the data showed that the three colleges (2, 7 & 8) with a fundraising expectation of over \$10 million had the following characteristics in common. They are:

- **Wealth.** This was measured by the size of the college's endowment. These endowments resulted in most cases from past fundraising or operating success. However, two colleges (6 & 9) with little or no prior fundraising activities received unsolicited gifts in the form of endowments from individuals interested in specific programs within the colleges. The data also showed that colleges (2, 7 & 8) with the largest endowment had the money to hire a resident development officer to raise funds on behalf of their colleges.

- **Fundraising effort.** The three colleges (2, 7 & 8) with the highest potential to raise money, invested money on fundraising activities prior to the Capital Campaign because they hired development officers. College 2 already had invested money on a full time professional staff's time in four fundraising programs, namely: annual giving, planned giving, capital giving and prospect research. Besides this college with a comprehensive fundraising activity, colleges 7 & 8 invested money on a part-time residential development officer. The part-time development officers in both colleges

concentrated their fundraising efforts on developing in-house fundraising programs with corporations that had hired a number of their colleges' graduates. These corporations were primarily matching gifts companies. That meant that these corporations matched whatever amount of money given by alumni. In addition, small gifts were also solicited from foundations and corporations on behalf of these two colleges by their development officers. These two colleges also used their faculty and students to conduct personalized annual solicitation by phone.

Besides the colleges (2, 7 & 8) that had resident development officers prior to the Campaign, other colleges were also involved with development activities. College 4 handled its development activities and the Central Development Office handled development for colleges 1, 3, 5, 6 & 9. The development officer in college 4 that had development activities within its college prior to the appointment of a resident development officer commented as follows:

The development activities of this college were very strong, stronger than that of any other college that did not have a resident development officer. The college has a very strong sense of family, there is a close relationship between alumni and the college.

The development officer explained that the college was able to handle its development activities internally without a development officer because a faculty member was in charge of handling development activities for the college. The faculty member "organized a lot of special fundraising appeals" and

the most successful resulted in the establishment of an endowed chair. Also prior to the Campaign, the Central Development Office handled development activities centrally for five colleges. Development activities in these colleges included annual fundraising events, phonathons and annual mailings. Development Officer 5 remarked that; "Occasionally, the money raised from such development activities will be sent to the college." Finally, in college 9, development activities took place in only one department. The reason given for this was that there were many prospects willing to give to the department's cause "even without any solicitation". That department therefore decided to go "solo" in its fundraising efforts. The other departments in the college depended on the Central Development Office for Development until a year prior to the beginning of the Capital Campaign when that College decided to have its own mini-Campaign. However, this idea was aborted when the university as a whole decided to have an all-university Capital Campaign.

• **Socioeconomic level of clientele.** Based on the types of clientele they served, three colleges (2, 7 & 8) were targeted as having the highest potential to raise money. The reasons are two-fold: (a) these three were established over fifty years ago. Consequently they have older and more established alumni; (b) professional schools tend to have more socially and economically successful alumni bodies. This was evident in the type of prospects the three colleges had.

• **Size.** The three colleges with the biggest potential had this characteristic in common with three other colleges. The difference was in the type of clientele each college served. Colleges 2, 7 and 8 had a bigger impact on the community directly through their educational, research and public service programs than the other three colleges with the same size of student body. Colleges 7 and 8 were cited as the primary recruitment source for professionals who assume leadership positions in the three automobile companies in the state of Michigan. Through college 7, continuing professional education programs are available to the corporate sector. Also, college 2 provided agricultural related industries, access to basic research and new applications in vital areas.

• **Alumni and Community Leaders.** In order to assess the fundraising capability of each college, it is pertinent that an analysis of alumni and community leaders' involvement in the college be included in the study as depicted in Table 14. All nine colleges had alumni and community leaders as members of the colleges' Alumni Board of Directors operating in an advisory capacity. The Alumni Board of Directors were not fundraisers. However, they assisted the deans in planning policy, curriculum and alumni support. Colleges 2 and 6 also had fundraising committees and college 5 had a Board of Visitors committee. Commenting on the role of the members of the fundraising committee, development officer 2 said, "The fundraising committee consisted of nine people, mostly alumni,



who did nothing else but raise funds for particular interests in the college." Development officer 6 remarked that, "members of the Dean's Community Council (a fundraising committee) were very active in fundraising to the extent that some of them are very comfortable with fundraising." In colleges 2 and 6, each development officer sought advice on fundraising from the members of the fundraising committee. Five colleges 2, 5, 6, 7 and 8 utilized alumni and professionals in their schools' discipline for the purpose of educating them (the professionals) about what was going on in their colleges, so the alumni and professionals could be the colleges' advocate with their peers in the corporate world. At the same time, these professionals brought to the colleges a perspective from the corporate world as to what was going on there and how that might influence or impact the colleges' educational program.

Providing an insight into the importance of including alumni and professionals in the organization of a college's fundraising structure, development officer 8 explained : "Professionals and community leaders bring their affluence and influence which speak for the college in ways not available to the paid staff." The commitment to the colleges shown by these alumni and professionals was significant because "it sent a message to the colleges' constituencies that those who know the college well are in support of the college and its goal." Therefore colleges with such organizational structures

were more apt to raise more money. It is against this backdrop that the fundraising role of the deans during the MSU 2000 will be analyzed using the following theoretical concepts: leadership, planning and organization.

## SECTION II

### Deans as leaders, planners and organizers

This section is an analysis of how deans performed their fundraising role as leaders, planners and organizers. The object is to identify which characteristic(s) facilitated or impeded the deans' ability to reach their colleges' fundraising potential. The objective here is to describe how the deans performed in the three elements of an effective Campaign namely; leadership, planning and organization.

Sub Research Question 2: "What were the deans' fundraising roles with respect to leadership, planning and organization?"

#### Leadership

As used in this research, the word leadership refers to one who moves the group towards its goal. The essential ingredient in this definition is that there be movement toward the achievement of defined ends or means. In accordance with this definition the following topics from the deans' and development officers' interview questions will be discussed. From the deans' interview questions (Deans Interview Questions: Appendix B), the topics are: the deans' vision; their educational philosophy; time spent on fundraising

activities such as cultivation and solicitation; deans' ability to use their influence to get influential people to raise money for their colleges; and deans' capability to accept responsibility for failure or success of their colleges' fundraising effort - this will be discussed under deans' approach to fundraising and deans' responses to why they should be involved in fundraising. From the development officers' interview questions (Development Officers' Interview Questions: Appendix B), the topics are: the development officers' approach to fundraising, development officers' description of deans' comfort and skill with fundraising and the development officers' description of the deans' leadership role during the Capital Campaign.

#### **DATA ANALYSES WITH RESPECT TO THE DEANS' LEADERSHIP ROLE**

##### **Deans' visions for their colleges**

The question of where each dean would like to see his college five years from now prompted the deans to elaborate on their vision, hopes and aspirations for their colleges. Deans 7 and 8 had the vision of "raising the national stature, image and ranking" of their colleges by about 50 percent within the next five to ten years. They also realized that in order for their colleges' ranking to be improved, the quality of their graduate programs needed to be improved. It was deduced from the deans' responses that graduate programs are the measuring unit by which colleges are ranked. Dean 7, commenting on the

importance of a particular graduate program to the ranking of that college said, "the classical theory is that as you work to raise the quality of your graduate program, you raise the ranking of the other programs in the college." Dean 1 hoped that in five years, his college would still maintain "its current ranking as one of the premier integrated colleges in the nation" (in its field of study) and educate more students.

Dean 3 envisioned that in five years his college should be known as a leader and an innovator in its discipline, while Deans 5 and 9 simply wanted their colleges to remain in existence at Michigan State University. Dean 9 wanted the college to continue "moving steadily along the right kinds of directions" that it has been maintaining for the past twenty years. Sometime in the future, the dean said he "hopes to strengthen certain strong programs" while "canceling the weak ones." In addition to having the vision that the college should remain at Michigan State University, Dean 5 expressed the hope that "the college should continue to play a central role in the life of the university at the undergraduate, graduate, research and outreach levels. Dean 6 emphasized that he would like his faculty to be more involved in research. Dean 4, though very much interested in the faculty being more involved in research, hopes that in the near future, the college should be "better funded" and through those funds, to be able to improve the quality of faculty and the programs they are interested in."

Dean 2 expressed disappointment over "the slippage in the college's ranking in the nation." The dean gave an insight into this response by explaining that the college has been a very strong college both within and outside the state by being a leader in the land-grant movement. The reduction in the proportion of funding to the college by the university was the primary reason the dean gave for the slippage in the college's ranking. He understood that as the university grew, so did the demands on its resources and that to improve the ranking of the college, the college had to look beyond the university for needed resources. According to the dean, "resources are needed to support and completely revitalize" a particular type of program which is of vital importance not only to the state but also to the nation." In spite of the importance of this program, the dean lamented that the college was "still trying to conduct research with equipment that was adequate in the 1950s and 1960s." For the dean's vision of regaining his college's leadership ranking to be realized, certain programs had to be improved in terms of their facilities and equipment. This would enable scholars and teachers in that college to produce technology with the following three specific ingredients namely: sustainability, environmentally benign and having a lot more resource theory. The dean warned that if "technology with these ingredients is not developed now, the environment and productivity will suffer" in the near future. The dean believed that this type of technology could be

developed through research and the utilization of existing knowledge to create a scientific and technological revolution.

It was interesting to note that all deans interviewed realized that in order for their visions, hopes and aspirations to be realized and even for them to maintain their current educational standing, they needed more money. They unanimously agreed that they had to continue developing fundraising sources outside the traditional appropriations; because they knew that "there will not be major increases in appropriated funds at either the state or federal level."

**Deans' Educational philosophy/  
their role perception**

This question sought deans' perceptions of their role. The question is germane to the study because the researcher sought to discover whether deans believed that fundraising will aid them in their role as deans.

There was unanimous agreement that the most important role of a dean is being the maintainer of educational quality. Table 2 is a presentation of deans' responses regarding their role perception.

TABLE 2

## ROLE PERCEPTION OF DEANS

## RESPONSE TO QUESTION 3

("As an educator, what is your educational philosophy vis-a-vis your role as a dean.")

Categories	No. of Deans	Percentage
Maintainer of educational quality	9	100%
Facilitators	5	44.4%
Academic Leaders	3	33.3%
Conciliators	2	22.2%
Pace/Tempo Setter	1	11.1%
Change Agent	1	11.1%

n = 9

In addition to describing their role as a maintainer of educational quality a total of five deans perceived their educational role to be that of a facilitator. Dean 7 provided an insight into his response by saying that "the single most important thing a dean does is to work very hard with faculty and chairs to ensure that he (the dean) recruits the right people; that is, top quality faculty and students to ensure a good program." Dean 2 remarked that "the dean has to create a conducive environment, enlist the help of key people, remove administrative protocol, provide the faculty with resources to

get things done and get out of the way."

It was interesting to note that each of the five deans who saw their role as facilitator, believed that faculty members do their best work when the dean provides the faculty with necessary tools to do their job. Repeatedly, the deans said that it was their responsibility to provide an atmosphere conducive to faculty being creative.

The role perception with the third highest frequency was being an academic leader. According to Dean 8, deans who perceived their responsibility to be an academic leader saw their role as that of "providing excellent instruction and research so the college could represent the best of tomorrow's technology".

Dean 2 also described the role of the dean as having the responsibility to "set the pace and tempo for educational research and outreach programs."

These four roles; maintainer of educational quality, facilitator, academic leader and pace/tempo setters were the primary roles deans perceived themselves as playing. However, there were other roles deans believed they also played. One was that of a conciliator. Those who saw their role as a conciliator believe that all initiatives should come from the faculty. Expanding on this, Dean 5 commented that "this college works from the faculty up rather than from the dean down." Dean 2 cautioned that the worst thing to do is "have a dean who thinks he has to be in control." He added that



when this happens "imagination and creativity are squashed" and faculty do not do their work as "things come to a standstill."

Dean 5, who saw the role of the dean as that of a change agent, remarked that there are many crucial issues affecting higher education in which the dean should pay particular attention and take action. One such issue was in the college population profiling a distribution of the general population. In this case the dean desired to see more women and minorities in the college. Another concern of the dean was in "the creation of knowledge to improve the human condition."

Although no dean specifically mentioned fundraising as part of their role perception, the deans however realized that they needed more money than the state and federal governments could provide, to enhance their roles as facilitators, pace/tempo setters, change agent and maintainers of educational quality.

**What Got You (Deans) Involved in the  
MSU 2000 Capital Campaign?**

An analysis of the deans' responses to the above question showed that four major factors got the deans involved in the Capital Campaign. The four factors are; namely, the colleges' needs, their responsibilities as deans, the existence of fundraising activities prior to the Campaign, and the encouragement of a development officer or a previous dean.

Deans 5, 6, 7 and 8 cited their colleges' needs as the sole factor that got them involved in fundraising. For example, Dean 8's response was "The need for money because not enough comes from tuition and state funds." Dean 7 stated that "the clear need that this college and every college, if it is going to maintain its quality, will have to be involved in fundraising." Deans 5 and 6 also cited their college's needs as the motivating factor for their involvement in the Capital Campaign but each added a second reason. For one, it was the encouragement of his development officer and for the other dean, it was the fact that he saw fundraising as "what you have to do as a dean."

Only one dean's involvement in the Capital Campaign was solely as a result of duty or responsibility as a dean. Two other deans were motivated to participate in the Campaign partly because fundraising was part of their responsibility.

For Dean 4, the college's prior involvement with fundraising was the primary motivating factor. For Dean 2, the motivating factor was that "it was obvious that the college was not living up to its potential to raise money."

#### **Time Spent on Fundraising Activities**

Spending time on fundraising activities such as cultivation and solicitation is important in describing how deans' leadership role in the Campaign facilitated or impeded their ability to achieve their colleges' Campaign goal. Time is important mainly because, the literature of educational

fundraising states the importance of a chief executive (dean) spending time on fundraising activities for the following reasons: (a) the need to make prospective donors understand and adopt a chief executive's aspiration for his college as theirs (Whittier, 1980); (b) the need for the dean to gain donors' confidence or trust - without which no big donation would be made (Laney, 1984); (c) the need to adequately match donors' and colleges' needs - this refers to what Prentice (1961) and Burns (1980) called the moral aspect of leadership. Table 3 summarizes how many hours each dean spent on meetings, cultivation and solicitation.

TABLE 3

## TIME SPENT ON FUNDRAISING ACTIVITIES

## DEANS' RESPONSE TO QUESTION 4

("During the Campaign, approximately how many hours a month did you devote to the following fundraising activities: meetings, cultivation of donors and solicitation of donors?")

Deans	Number of hours spent per month on			Total # of
	Meetings	Cultivation	Solicitation	hrs./month
7	30	40	30	100
6	24	36	12	72
8	18	25	16	59
5	30	5	5	40
2	10	10	10	30
4	10	10	5	25
1	10	5	5	20
3	3	12	4	19
9	8	4	4	16

There were variations in the number of hours deans spent on fundraising activities. Dean 7 spent more time on fundraising related meetings than on any other fundraising activity. However, all the deans spent time monthly with their college development officer discussing fundraising. The frequency and length of the meetings also varied with each dean. The deans who spent more time with their development

officer on planning, strategizing fundraising techniques and preparing fundraising materials sent to prospects were more successful at reaching their fundraising potential. Success was judged in terms of how close a college got to its fundraising potential and not on the dollar amount it raised.

All the deans agreed that cultivation was very important to fundraising success. Most of the deans who achieved their fundraising goal spent more time on cultivational activities than on the other two fundraising activities. Commenting on the importance of cultivation Dean 2 said :

We approach fundraising with the mentality of we want to win the war, we are not going to be concerned about whether we win the battle today. So we can cultivate for a year or two, because people who have money do not want to be rushed or told what to do. A person who is going to give a lot of money has to have confidence in the institution and with the individual they are dealing with, and that individual has to be able to project credibility and hopefully what we do is not only to project our own credibility, but the credibility of the institution. So we give people just the right amount of time to feel comfortable with giving.

The dean cautioned that deans should not consciously or unconsciously give prospects the impression that they are there just because of the prospect's money. This therefore could probably explain why deans who received large gifts spent a lot of time on cultivation.

Dean 8 expressed that to him, cultivation begins with "making sure that graduates of the college remember the college ten years from now." Deans 7 and 8 described cultivation as "motivating donors to give big gifts." Dean 8

commented that he cultivated by "showing interest in potential donors and by talking with them and trying to make them feel positive about the college." Dean 6 said, he cultivated donors by "giving them information about the college."

Solicitation was the activity 66 percent of the deans spent the least amount of time on. One reason for this could be the extreme discomfort some deans reported experiencing with solicitation. Instead of solicitation, Dean 1 preferred talking about his college, its successes and his plans for the college's future and its needs. He did this with the hope that "if someone wanted to give to the college he/she should do so after hearing the needs of the college." Dean 4 was not fond of fundraising in general and Dean 3 was not comfortable with solicitation. The other reason why deans spent the least amount of time on solicitation was that funds sometimes were not received as a result of face-to-face solicitation. Funds were received through proposals written to a prospect. Prior to writing the proposal, three Deans; 2, 7 and 8, had extensive discussions with potential donors "to learn what their interests were" and then with the help of their development officer and central development office, developed a solicitation proposal on what "both interests the individuals not only at Michigan State University but also out there in the business world."

With the exception of Dean 2 who spent less time in comparison to the amount of money he raised, all deans who

achieved their college's fundraising potential, personally spent time on either direct solicitation, or on solicitation proposals developed after personally spending time with the donor or both. The dean who spent comparatively less time on fundraising activities than other deans with similar fundraising potential gave the following insight for his college's success in reaching its fundraising potential:

The success in this college is much more attributed to enlisting the help of faculty members who had connections with industries and individuals with money and then providing them (faculty members) with support through the Development Office and then the dean coming in and being supportive at the right time.

The fundraising effort at this college was a triangular effort between the dean, a large number of faculty members and the college development officer. The development officer provided staff support. After the initial meeting with any potential major donor, the dean assigned a faculty member who would be more successful with the potential donor, to further cultivate and solicit the potential donor. In such cases, the dean said he was available when needed for formal things such as; "back ups, lunch, meeting with presidents of organizations."

Besides cultivation and solicitation, deans also spent time on fundraising related meetings such as meeting with their college development officers to discuss fundraising in general and also the status of the Campaign (Tables 5 and 6).

TABLE 5

**TIME DEANS SPENT WITH DEVELOPMENT OFFICER  
DISCUSSING FUNDRAISING IN GENERAL**

No. of Times	No. of Deans
Daily	2
Once a week	3
Twice a month	2
Once a month	2

n = 9

As shown on Table 5 above, the time the deans spent with their development officers to discuss fundraising varied from once a month to daily. To discuss fundraising in general, Deans 7 and 8 met with their development officers daily, Deans 2, 4 and 6 met weekly, Deans 3 and 5 met twice a month and Deans 1 and 9 met once a month.



**TABLE 6**

**TIME DEANS SPENT WITH DEVELOPMENT OFFICER  
DISCUSSING THE STATUS OF THE CAMPAIGN**

<b>No. of Times</b>	<b>No. of Deans</b>
Daily	1
Once a week	2
Twice a month	3
Once a month	3

n = 9

Table 6 above illustrates the fact that the time the deans and development officers met to discuss the status of their Campaign goals and, if needed, alter their plans so their college could attain its fundraising goal, also varied from daily to once a month. Deans 6 and 8 and their development officers met weekly, Deans 2, 3 and 4 met twice a month, while Deans 1, 5 and 9 met once a month. Dean 7 met daily with his development officer.

The number of times a dean met with his college development officer to discuss fundraising in general, or the status of the Campaign did not distinguish deans who succeeded in achieving their colleges' Campaign goals from those who did not. A further examination of the data revealed that the difference between deans who succeeded and those who did not

lay in each dean's ability to take the lead in altering his college's plans so his college could attain their fundraising goals.

In discussing ways of altering fundraising plans so their colleges could attain their financial goals, five development officers (2, 5, 6, 7 and 8) indicated that their deans were not "listeners" but active participants in the following activities: assessment of donor pool to decide on the best approach to cultivation; how to maximize donor entry into the donor pool; how to keep donors interested, educated and informed.

**Deans' Use of Influence to get Influential People to Raise Funds on their Colleges' behalf.**

Eight out of the nine deans were able to persuade other people to raise funds on behalf of their colleges. The only dean who did not get any help specifically did not solicit any help from any other university personnel. The college's development officer solicited help from faculty members interested in aiding the college in fundraising. This means that the help the college got in fundraising from faculty members was not in response to the dean's request because he did not ask.

The President of the institution was reported to be "always willing to help fundraise" on behalf of any college whose dean asked for his help. He represented the institution to various college's major gifts donors. All deans, except

Dean 4, were able to persuade their faculty to fundraise on behalf of the college. Some were, however, more successful at it than others. In College 3, only one faculty member helped to raise funds on behalf of the college. Dean 8 got the help of a member of the Board of Trustees, while Deans 7 and 8 got help from the Provost and top university administrators. Although all the colleges reported using students from their college for their phonathon efforts, only Dean 5 solicited the help of students in raising money for the college. In that college, the dean asked students to make presentations to groups visiting the college. Table 4 describes the deans' use of their influence to get others to raise funds on their colleges' behalf.

TABLE 4

## UNIVERSITY PERSONNEL WHO AIDED DEANS IN RAISING FUNDS

## RESPONSE TO QUESTION 4

("In your attempt to reach your college's financial goal were you able to persuade any university personnel, such as the President, faculty members or staff members, to fundraise on behalf of your college?")

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Deans	Able to persuade any other person?	President	Staff or Faculty	Other Deans	Students	Univ. or Official	Adm Provost	Trustee
1	Yes	Yes	Yes	No	Yes	Yes	No	No
2	Yes	Yes	Yes	No	Yes	Yes	No	No
3	Yes	No	Yes	No	Yes	No	No	No
4	No	No	No	No	No	No	No	No
5	Yes	Yes	Yes	Yes	Yes	Yes	No	No
6	Yes	Yes	Yes	No	Yes	Yes	No	No
7	Yes	Yes	Yes	No	Yes	Yes	Yes	No
8	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
9	Yes	Yes	Yes	No	No	No	No	No

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n = 9

**A Survey of Development Officers' View of the Leadership Role of their Deans' Skills and Comfort with Fundraising**

The object of this section is to obtain insight into how the deans executed leadership through the eyes of those who worked very closely with them in their fundraising role. The development officers were asked an open ended question

which solicited their opinion on how deans executed their leadership role.

The development officer from College 8 perceived Dean 8 as executing leadership because of three major characteristics; first, the dean's vision for the college and the ability of the dean to translate this vision into fundraising priorities. Providing an insight, the development officer said:

The desire to raise the academic standing of the college is the motivating factor behind the dean's fundraising activities. The dean stated that we need top notch faculty and students and in order to be able to do that, the college needs to increase its financial reserve and have enough money to offer competitive and attractive financial packages to the best students and faculty.

Second, the dean understood the bureaucracy and how to obtain the needed finances. Commenting on this, the development officer provided this insight:

The dean's leadership responsibility was to see that the college reached its fundraising potential. That meant working with the Central Development Office and the President's Office to ensure that the corporate world such as the auto industry knew about our programs, faculty and visited our laboratories; so when asked for money they would say "yes, Michigan State University is a fine university." So the dean personally visited with alumni, corporate leaders and major donors.

Third, the dean frequently went with the development officer on most solicitation calls. The development officer believed that it was very important to have the dean on some of the solicitation calls. The development officer said the dean also authenticated and validated the college's need for money

by "saying to the constituents, 'this is the direction the college is going and, yes, we do need money from you for the college to get there'. Thus bringing a certain believability to the request."

The development officer from college 7 believed that Dean 7 exercised leadership as a result of the following: First, the dean matched the needs of the college with those of the donors "very well." Second, the dean's knowledge of fundraising and willingness to "pick up and go to a prospect anytime." Third, the dean "prepares well for a solicitation call."

In the opinion of the development officer from College 2, the dean demonstrated leadership in three instances. First, when he made fundraising a college priority. Second, by his willingness to delegate when another person was perfect for soliciting a prospect. Third, by taking the leadership role in solicitation when the timing was right.

A fourth development officer described Dean 1's leadership role as "talking openly about the fact that the college needs money at social functions to alumni, corporate leaders and individuals." The development officer expressed disappointment over the dean's "absolute refusal to solicit for money under any condition." The development officer was also disappointed that the dean was "minimally involved with fundraising."

According to the opinion of the fifth development officer, Dean 5 exhibited leadership through his commitment to fundraising. The development officer was very much impressed with the dean's capability to "evolve" into a good fundraiser. The development officer gave this insight;

I think the dean has evolved to being committed. In the beginning, he was not clear on how necessary fundraising was to the success of his college. As the physical and budgetary situation of the university changed, he was one of the first to wake up. This is partly due to the role of the President as an example. Now the dean is able to cultivate people without pressuring them and to work in conjunction with the development officer to present some of the materials.

Other ways in which Dean 5 demonstrated leadership are as follows: first, the dean's willingness and acceptance of appointments within and outside Michigan with prospects. Second, communicating the development needs of the college to prospects, and internally representing the college's needs to department chairs. The development officer commented that Dean 5's ability to represent the college's needs to department chairs was important as it made the rest of the college cooperative towards development activities because it signaled that fundraising is a priority for the college.

Giving speeches at Special Gifts dinners was the only leadership role the sixth development officer could attribute to Dean 4. The development officer disappointedly remarked that the dean disliked fundraising and equally disliked to make solicitation calls, though he made solicitation calls

when asked. The development officer added that "the dean does solicitation very well" though he (the dean) expects the development officer to be "solely in charge of fundraising."

In the opinion of the seventh development officer, Dean 3 demonstrated leadership when he "prioritized and increased the awareness of fundraising in the college." However, at the time of the interview the dean and development officer had been in office less than a year. The ability to articulate opportunities in which alumni can invest and identifying priorities and needs of the college were cited by the development officer as activities that demonstrated Dean 6's leadership role. According to the opinion of the development officer from college 6, Dean 6 also showed leadership by being the overall manager of development activities in the college. He did this by ensuring that the development officer focused on the entire needs of the college and not on a particular department.

According to the development officer from college 9, Dean 9 showed leadership by being "interested in fundraising" and by being available to fundraise. The development officer also added that, "although the dean is very busy, he spends appropriate time on fundraising."

Tables 7 and 8 provide summaries of the development officers' responses to their deans' comfort level with and skill in fundraising.



TABLE 7

**DEVELOPMENT OFFICERS' PERCEPTION OF  
DEANS' COMFORT LEVEL WITH FUNDRAISING**

Development Officers' Response	Number of Responses
Very comfortable	3
Very comfortable in some aspects	1
Comfortable	2
Now gaining confidence	1
Not comfortable	2

Table 8 describes the deans' comfort level with fundraising. Three development officers (from colleges 2, 7 and 8) rated their deans as being "very comfortable" with all aspects of fundraising. All aspects of fundraising included solicitation of all prospects : individuals; foundation and corporate leaders. Commenting on the reason behind the dean's comfort with fundraising, the development officer from college 8 explained that the dean was very comfortable with talking about the mission and vision he has for the college, simply because he has an extremely sincere and total belief in the importance of the college's discipline to the future of the United States and of Michigan State University's role in providing the human resources to help the United States lead

the world in technology. The development officer also remarked that the dean was very comfortable with fundraising because he liked talking about Michigan State University's advances in technology, and added that "MSU's technological advancement is something very close to his heart."

The development officer from college 6 rated the dean as being comfortable with some aspects of fundraising, namely; foundation and corporate solicitation. The development officer gave an insight into this response by explaining:

The dean is more comfortable with raising money from foundations and corporations. He is less comfortable with soliciting individuals, but he is working on that because he wants to be able to solicit individuals.

Two development officers from colleges 3 and 9 rated their deans as being "comfortable" with fundraising. Another development officer from college 5 perceived the dean as, "now gaining confidence in fundraising." The last two development officers from colleges 1 and 4 described their deans as, "not comfortable" with fundraising.

Table 8 summarizes development officers' perception of the deans' skill with fundraising.

**Deans' Skill with Fundraising**

Development officers were asked to rate their deans' skill with fundraising.

TABLE 8

**DEVELOPMENT OFFICERS' PERCEPTION OF  
DEANS' SKILL WITH FUNDRAISING**

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Development Officers' Response	No. of Responses
Excellent skills	1
Very skillful	2
Skillful	3
Getting skillful	2
Skillful only in articulating college's needs	1

The analyzed data showed that Dean 2 had "excellent skills" with fundraising. Two development officers described their deans (8 and 7) as, "very skillful" with fundraising, while three development officers (4, 6 and 9) described their deans as "skillful" with fundraising. Two development officers perceived their deans (3 and 5) as, "getting to be skillful with fundraising." The last development officer from college 1 remarked that "the dean was only skillful at talking about the needs of the college but does not solicit funds."

**Deans' Personal Feelings  
Toward Fundraising**

In expressing their feelings toward fundraising in general, four deans said they liked fundraising. One characterized fundraising as "fun" another as a "positive experience" and another gave a brief insight into why he likes fundraising: "I enjoyed it a lot more than I ever thought I would, probably because of the level of success our college experienced."

Three deans did not like fundraising. Two of the three deans disliked fundraising because they felt very uncomfortable soliciting funds from individuals and they gave the following insights. One of the deans said:

Personally, there is a part of me that dislikes fundraising. As I said, I am not good at it but I do like to talk to people about our programs/successes and our needs.

The dean saw fundraising as "part of the job" and that as "with any job there are things you like more than others." He also added that he liked "interacting with people." The other dean added:

I did not like fundraising in the past. I felt uncomfortable to ask people for money but I realized its necessity if I have to realize my objective for the college. So though I dislike it a great deal, I have come to accept it.

Only one dean was indifferent towards fundraising and he saw it as a responsibility. His response to the question on how he personally felt about fundraising was:

Just a part of the job, I don't dislike it and I don't particularly like it. It's just something that you do.

### **Deans' Leadership Role in Charting the Course of Development in their Colleges**

The reason for reporting the data that relate to the deans' leadership role in charting the course of development in the college, was to determine whether or not the deans took the lead in charting the course of fundraising or development in the college in order to assess whether or not, the dean took responsibility for his college's success or failure in fundraising. The examination included facets such as a comparison of each dean's and development officer's approaches to fundraising, an examination of whether or not the dean gave fundraising visibility in the college, personally contacted donors, and took the lead in matching donors' and colleges' needs. The fundraising relationship between deans and their development officers was also examined to determine whether or not a dean was taking the lead in his college's fundraising activities.

### **Deans' and Development Officers' Approach to Fundraising**

All deans and development officers agreed on the vital importance of research and cultivation but they had a difference of opinion on (a) whether or not fundraising should be a college priority, (b) on who should personally contact prospects, and (c) on how much pressure should be put on

prospects to give.

An examination of the deans' and development officers' approaches to fundraising revealed two major categories;

- Deans who decided programmatic and dollar goals after discussions with their development officers and expected to be kept involved as appropriate;
- Deans who worked in conjunction with chairs, faculty and development officers. These deans not only formulated programmatic and dollar goals, but also mapped out who should take initiative with agreed upon projects and donors.

The development officers responded that they cultivated donors by demonstrating to them that the college was interested in them as individuals and also by keeping in constant communication with donors.

**Personal Contact.** The approach cited by the dean and development officer from College 8 that yielded the best result was "personal contact." Giving an insight into the importance of personal contact, development officer 8 gave the following explanation:

Fundraising is done most successfully on a person-to-person basis. Any major gift comes as a result of donors' knowing the college's vision, programs and leaders very well. Until some one trusts the leadership and shares in the vision of the college; he/she is not going to make a major commitment.

The data also indicated that while all the development officers favored personal contact as the best approach to fundraising, not all deans made the decision on whom they ought to contact. Five of the nine deans, (2, 5, 6, 7 and 8), interviewed not only formulated programmatic and dollar goals, but also mapped out who should take initiative with agreed upon projects and donors. Deans 1 and 4 depended on their development officers to inform them of when to get involved and with whom. Providing insight into the dean's lack of commitment towards the college's fundraising efforts, a development officer from college 1 said "the dean had limited contact with alumni of the college because he wanted to be minimally involved with fundraising." The development officer from college 9 remarked that "the dean hates to fail in his fundraising efforts", so the development officer has to ensure that all prospects are properly matched. This over dependence on their development officers was in stark contrast to a few other deans who rolled up their sleeves and plunged into the fundraising process by personally meeting with big donors whom they helped to identify and cultivate. One such dean, Dean 8, said, "As bigger donors are identified, the dean then spends more time with the donors cultivating them."

**Priority.** The second difference in the fundraising approach between the deans and the development officers was in making fundraising a college priority and giving it high visibility in the college. Seven deans and their development

officers expressed the opinion that the best approach to fundraising was for the deans to involve the faculty and give fundraising visibility in the college. However, two of the seven deans (9 & 3) who expressed this opinion were not in a position to do so because they did not have development officers for most of the Campaign. For example, Dean 9 said the best approach to fundraising was "trying to identify people who might have the capability to give to the college and then going out to meet them and then bring them to campus, if we can, introduce them to department chairs and faculty and eventually making the case that we hope they will help us". Without a development officer whose job it is to identify prospective donors, and preparing the dean to meet with them (Barden, 1988, pp. 22-25), the dean's ability to go out and meet with prospective donors was diminished. Expressing his views on involving the faculty in fundraising and giving it visibility in the college, Dean 8 said, "I try to also get faculty members to cultivate when people who have resources have been identified." Dean 2, commenting on the approach used in the college, said, "the approach is a decentralized fundraising one. It (fundraising) is a college priority and we expect something to happen. You make this known to the personnel in the college. You also make sure that when someone raises money, you do not act as if you did it. Give credit where it is due." On the contrary, Deans 1 and 4 expressed their dislike for fundraising and consequently did



not personally give fundraising visibility in the college. Their development officers strongly desired to see the dean give fundraising visibility in the college.

#### **Matching Donors' and Colleges' Needs**

While all deans and development officers believed in matching the college's needs to the interests of the donors as one of the ways they approached fundraising, not all were successful in carrying out their fundraising efforts in this manner. One college in particular learned that it had to be "flexible" because donors were not interested in funding their college's priorities. The college therefore allowed donors' interests to dictate their priorities to a greater extent. Commenting on this the dean said, "The professionals said people will not give to this or that, so the driving force for our needs became more of what people will fund rather than what our needs were." This college's development officer confirmed that the preferred approach used was to do "whatever the donor is interested in." In this case, the dean failed in properly matching the donors' interests with his college's needs. In setting fundraising priorities for the college, the development officer from college 3 remarked that, "The challenge is to listen carefully to what the donors perceived their interests to be and then match their needs to the needs of the college." The Development officer cautioned that "people should not be pursued just for money" and advised that "the college should identify its needs before looking for

funding sources." Deans 2, 5, 6, 7 and 8, who were able to adopt the method of matching their college's needs to donors' needs as part of their fundraising approach, were more successful in reaching their colleges' fundraising potential.

**Fundraising Relationship Between Deans and Development Officers: Development Officers' Responses.**

The data in this section examines whether or not a dean reached his college's fundraising potential when he and his development officer were attuned (that is, when he took the leadership of the college's fundraising and the development officer managed it).

Generally, deans and their development officers had a cordial working relationship, but five deans (2, 5, 6, 7 and 8) had a very good relationship with their development officer. The development officers used the following phrases to describe their fundraising relationship with their deans. They are: "worked very closely with the dean"; "we have a very close relationship;" "we have a cooperative relationship"; "our relationship is positive and supportive"; "we are a good team." The other four development officers (1, 3, 4 and 9) interviewed did not describe their working relationship with their deans in the same way. However, it is worth mentioning that one development officer was just employed and another was only an interim development officer. The remaining two development officers (1 and 4) described their fundraising relationship with their deans as "trying to get the dean to do

what he is supposed to do". These deans saw fundraising as the responsibility of their development officers.

**Fundraising Working Relationship between Deans and Development Officers: Deans' responses**

Dean 2 described his relationship with his development officer as "excellent." Deans 5, 6, 7 and 8 expressed the opinion that they had a "close" or good relationship with their development officers. Describing the unique relationship he has with his development officer, Dean 2 said:

You have to make sure that your development officer gets beyond the talking stage. You have to make sure that your development officer has the personality that enables him/her to interact effectively in a non-threatening way to any specific person who might be a prospective donor and that the development officer has the capacity to make a prospective donor feel important and comfortable.

Dean 4 who described his relationship with his development officer as "not often agreeing," explained as follows:

I try to stay out of fundraising as much as possible and push in my development officer as much as possible. I meet with my development officer every week to discuss fundraising, but we do not often agree because of my preference not to be involved in fundraising.

Dean 7 described his relationship with his development officer as "close" because the development officer was active in the college and participated socially with the faculty. In addition, the dean added that the development officer met often with department chairs to discuss fundraising related issues.

**Deans' Explanations of Why Deans  
Should be Involved in Fundraising**

The deans gave five major reasons why they believe deans should be involved in fundraising. They are: (a) to meet the financial needs of the college; (b) as leaders of their colleges, deans have to be involved in their colleges' fundraising activities or they will not be successful; (c) as representatives of their colleges they are in a better position than anyone else to represent their colleges needs to their constituents; (d) because students are generally more affiliated with their college than with the institution as a whole, raising money for a particular college's research interest with alumni will be more successful at the college level than at the institutional level; and (e) to keep in touch with former students (alumni).

**• To Meet Colleges' Need**

Two deans expressed the opinion that deans ought to be involved in their college's fundraising drive because it is the only way deans will get the money they need to improve their colleges' quality. Dean 7 explained as follows:

It is very clear that this college or any college will not be able to maintain its quality level much less even improve it without being involved in fundraising.

Dean 2's explanation was that "we will not get the funds that we need except we go outside to look for the money."

- **Leadership**

Four deans cited the leadership role of deans as a reason for deans to get involved in their colleges' fundraising activities. Commenting on the leadership role of a dean as a reason for his/her involvement in fundraising, Dean 6 said:

I do not think fundraising effort will get very far if the dean is not involved in it.

Dean 5 observed that as the "chief academic officer of the college" people will want to talk to the dean as "the person in charge." Dean 3 remarked that "the dean's involvement in fundraising, because of his/her leadership role, is inevitable, because donors of significance want to feel that they are in communication with the deans and presidents" since they are the leaders of their colleges and institution respectively. Giving an insight into why the dean's leadership role predisposes him/her to be involved in fundraising, Dean 2 explained:

Deans have to be involved in fundraising, not so much because they are good at it. People tend to identify a college or program with its leadership. It makes a difference for the dean to talk about an ongoing program and meet a potential donor, these are essential to the college being able to raise money. It is also essential for the leadership to be involved in whatever program or research is going on in the college even if he/she is not an expert in that area. Just delegating the job of fundraising or development to the development officer, he/she can do a lot, but he/she cannot represent the college. The development officer's job is to raise money and the dean's job is to represent the college. So it is very important for the dean

and chairs to be involved in the process of fundraising.

• **Representatives of the College**

Two deans expressed the opinion that deans ought to be involved in their colleges' fundraising efforts because they are in the best position to represent the college and its needs to the constituents. Dean 8 explained that deans can represent the college from "a different point of view" both internally and externally. He added that externally, the dean can best represent the college because the President and Provost "cannot represent each college as well as the dean can." Internally the dean can better represent the college than a department chair because he/she "takes a view above the departmental level." Dean 6 shared the following considerations: "Deans are the best able to talk about what the faculty is doing and articulate what the students are experiencing in the classroom." He believes that it is the responsibility of the dean to inform alumni of the following: (a) why the students are getting a good education; (b) its importance to MSU, (c) why the quality of program is so vital; (d) why monetary support to the program is vital to its continuance. He added that "that is the job only the dean can do." He cautioned that representing the needs of the college should not be done by only the dean but that the "President who symbolizes the university to the outside world" ought to be involved in each college's fundraising efforts especially

in the "closing phase."

• **Affiliation to College**

Dean 8 responded that deans ought to be involved in fundraising if they "are going to reach many potential donors who have particular interests." His explanation was that if a college wanted to fund research interests, the college will be more successful in raising funds on their own rather than the institution raising funds for it because alumni "tend to identify more with their departments and colleges than with the institution as a whole."

**Keeping in Touch with Former Students**

Dean 9 expressed the opinion that deans ought to be involved in fundraising because fundraising provides them with a way to keep in touch with the colleges alumni. He explains:

I think that anything the dean does to keep in touch with the products they turned out is important and that is one reason that helps deans to raise funds.

**PLANNING**

Kohr (1977), in emphasizing the importance of planning in the success of any Capital Campaign, referred to planning as the prelude to any Capital Campaign. Whaley (1986, p.14) concluded that planning provides the basis on which a Campaign reaches its potential.

As used in this study, planning refers to the process an organization undergoes to design its own future on the

basis of its external environment, its opportunities and its constraints. Deans at MSU were not very much involved in the institutional planning process of the Campaign. According to the ex-Vice President for Development, the primary responsibility for planning rested with the Vice President for Development and the President. The deans' involvement with the institutional planning process was as it related to their colleges.

The deans' planning role included the following: participation in the institution's Needs List Assessment (pp.122 - 125); formulation of their colleges' Case Statement; their colleges' feasibility study; additional fundraising plans deans made; deans' plans to identify program leadership and plans to monitor their colleges Campaign, these will be described in order to determine the extent to which deans were designing their colleges' future on the basis of the external environment, its opportunities and its constraints. The objective for this is to describe how deans' planning skills facilitated or impeded their ability to achieve their colleges' Campaign goals.

**Needs List Preparation and the Percentage  
of a College's Needs included in the  
Institution's Needs List**

As earlier indicated on pp. 122-125, all deans reported that the process began with the Provost asking them to submit a "wish list". Since this occurred more than five



years ago, four of the deans (1,3,6 and 8) in the study did not participate in all aspects of the planning process because they had not been appointed as deans at that time. Eight deans were able to discuss this process. Deans (1 and 6) who were not present throughout that process expressed dissatisfaction with the previous deans' wish list, and they had since made changes and/or additions in the needs list. An analysis of the data revealed the following:

- Three deans (6, 7 and 8) believed that fundraising priorities should be directed at achieving the vision they have for the college given the reality of the external environment impacting the college and the direction they want the college to move towards.

- Through the process of needs preparation, the faculty was involved in the fundraising process.

The deans' estimate of the percentage of their colleges' needs included in the institution's needs list ranged from 2 percent to 65 percent. One dean "did not know" and another dean indicated that only one feature from the college's needs list was included in the institution's needs list. The data revealed that the four colleges (2, 5, 7 and 8) with a high percentage of their needs included in the university's needs list reached their fundraising potential and even exceeded it. These four deans received some help from the Central Development Office staff. Nonetheless, the college (6) that had one feature of its needs included in the

university's list hopes to reach its fundraising potential prior to the end of the Campaign.

Based on the six criteria (p. 124) used in trimming the colleges' Needs List for inclusion in the institution's Needs List, it would appear that deans who had a high percentage of their colleges' needs included had a higher capability to plan.

### **Feasibility Studies**

The consulting firm of John Grenzebach and Associates conducted a feasibility study for Michigan State University as a whole. The Central Development Office conducted a feasibility study for the colleges. Six deans participated in this process. Analysis of the data from the development officers revealed that some of the deans who took part in the college feasibility studies were more involved with planning than others. The following comments were provided by development officers to buttress their opinion on the deans' involvement in planning. Development officer 7 remarked:

The dean was the overall strategic planner for the college. He maintained the cause that way and allowed the development officer to be in charge of day-to-day planning.

A development officer commented that "the dean had no planning role" while another remarked that "the dean asked the development officer and faculty to do the planning". The dean knows the college better than anyone else; therefore, his/her active participation in planning was basic to setting an appropriate

financial goal for the college. Shedding more light on this issue a dean, who was actively involved in planning, remarked thus:

As a result of the feasibility study, we suggested to the university that we could raise \$10 million dollars.

This college exceeded the \$10 million dollar amount. Development officers from colleges that did not achieve their Campaign goals cited inappropriately high Campaign goals as a reason.

#### **Case Statement**

All colleges had a case statement for support either in the form of college publications or as a part of individual proposals sent to prospective donors. An appraisal of the data showed that one dean (5) was primarily in charge of the preparation of his college's case statement. With many interactions with the deans and department chairs, two development officers (2 and 9) were primarily in charge of preparing their colleges' case statement. Dean 7 in conjunction with his assistant dean prepared the college's case statement. Deans 8 & 1 made changes to the case statement when they became deans. In the last two colleges (3 and 4) the development officers were solely in charge of the preparation of the case statement. Although in the case of college 3, this took place prior to the appointments of both the dean and development officer interviewed. Commenting on

the fact that the development officer was solely in charge of the case statement preparation, development officer 1 reflected on development activities prior to when he/she and the dean were appointed as follows: "Development activity was not focused because the dean was not interested in development." Agreeing with the development officer, the current dean stated that without the involvement of the dean in the preparation of the case statement, development activities lack purpose or focus. He remarked:

The development officer put together plans received from all the departments and not a lot of thought was put into it.

The dean reported that when he was appointed dean, he "worked with the new development officer to revise the college's case statement to make it more focused."

The second college in which the development officer was solely in charge of preparing its case statement, had to reformulate its priorities to match donors' interests. From the data, it seemed that those deans who either primarily or in conjunction with their development officers developed or changed their case statements achieved their colleges' Campaign goals.

#### **Steps to Ensure Effectiveness of the Case Statement**

According to the deans, the Central Development Office revised all of the colleges' case statements for effectiveness. The deans, also added that the revisions were

needed to give the case statement document technical Campaign language. However, it is interesting to note that the five deans who indicated that they spent time cultivating donors in order to uncover their special interests achieved their colleges' fundraising potential. Dean 7 provided an insight into the importance of discovering the donors' interest. He indicated that his college's case statement:

Vocalized clearly our needs but not from our point of view. Donors may or may not give based on just your needs because they are not sure if the appeal is strong enough or valid, even if you have a worthwhile reason to ask them for money.

It would seem that for success the needs of colleges had to match donor interests.

#### **Fundraising Activities and Plans to Raise Money**

Cultivation meetings and special dinners planned by the Central Development Office as part of the Campaign design were the two major fundraising activities utilized by deans to raise money. However, the data revealed that only the three colleges (2, 7 and 8) that had a resident development officer prior to the beginning of the Campaign planned and utilized both fundraising activities. All other colleges relied on the Special Dinners organized by the Central Development Office. The three colleges that had "cultivational meetings" with their alumni and friends, used these meetings for informational purposes as part of their cultivation technique. Meetings were held in different cities with alumni and

friends. Alumni and friends of these colleges met with the colleges' deans, department chairs and faculty to discuss the colleges' programs and needs. No one was solicited for money during any of those meetings. Rather, they were thanked for their contributions to the college in the past and given information on what the college had done with their donations.

The Central Development Office also planned regional meetings with alumni all over the country especially in areas where the colleges had targeted people for cultivation and solicitation. All deans participated in a number of these meetings. With the exception of the "cultivational meetings", the other two fundraising activities were new activities designed because of the Capital Campaign.

It is worth noting that three additional deans ( 5, 6 and 9) from the colleges with no resident development officer prior to the Capital Campaign, developed plans to cultivate and involve more people in their colleges. Dean 5 established an organization he referred to as "the dean's Board of Visitors" and Dean 6 established "the dean's Community Council." Dean 9 indicated that he planned to obtain funds for the college by identifying and developing letters to be sent to a group of alumni who have been active within the alumni organization with the hope of inviting them individually to a reception where the colleges' needs will be addressed. At the time the interview took place, the dean had not implemented this plan. Deans 2, 5, 6, 7 and 8 planned and

implemented additional fundraising activities through which they cultivated prospective donors and communicated their colleges' needs.

#### **Identifying Program Leadership**

College 2 already had what the dean and development officer referred to as "developed alumni" group, active in fundraising. The dean tapped into this group to seek leadership for the college's Campaign. The same college also had a fundraising committee that assisted the dean and development officer in fundraising

Deans 7 & 8 utilized alumni and professionals to provide them a link between the college and the corporate world. Just prior to the start of the Campaign, Dean 6 established a fundraising committee designed to aid him directly with raising funds. Dean 5 established the Deans' Board of Visitors designed to aid him with fundraising. Those deans that made the effort to reach out and seek lay leadership for their fundraising programs were more successful at achieving their Campaign goals. Three other deans did not plan to identify and recruit lay leaders for their development activities of which fundraising was one. These colleges did not reach their colleges' financial potential.

### **Monitoring the Campaign Status**

The analyzed data showed that all deans planned to monitor the progress of their colleges' Campaign through the development officer. Deans and development officers met regularly to discuss the status of the Campaign and their progress towards the achievement of the goal (see Tables 5 and 6)

It was interesting to note that the five deans (2, 5, 6, 7 and 8) who were involved in "planning strategies" to achieve their colleges' financial goal achieved their Campaign goals. However for Deans 1 and 4, their meetings primarily provided an avenue for the development officer to inform them of the Campaign's progress.

### **ORGANIZATION**

In a fundraising Campaign and as used in this study, organization refers to the implementation or operationalization of the Campaign plans and how the college development staff, university personnel and volunteers were organized to facilitate a successful Campaign.

A description of the deans' organizational skills as a contributing or impeding factor in their ability to achieve or fail to achieve their Campaign goals included the following: (a) the fundraising structure through which deans implemented their Campaign plans, including the role of the Central Development Office in the colleges' fundraising



process; (b) the fundraising responsibilities of the deans and development officers; (c) the deans' utilization of the president, university administrators, faculty and volunteers to raise money; (d) deans' inclusion of their development officers in the deans' meetings with department chairs; (e) how deans organized to reach their constituents, and (f) some comments from the deans on ways the university could best organize a Campaign.

### **The Structure**

As earlier mentioned on p. 92, McGinnis (1980) concluded that there was no best organization structure for fundraising. Nonetheless, later literature (Davis, 1988) shows that, especially in large institutions in which deans are actively involved in fundraising, the organizational structure adopted is a combination of some elements of centralized and decentralized organizational structure. MSU adopted this combination for its fundraising organizational structure for all colleges. In this type of structure, the development officer was located in the college's building and reported directly to the dean of the college first, and second to the Vice President of Development (see Appendix J). The structure, though decentralized, had some elements of centralization such as all colleges had to obtain clearance from the university's Central Development Office prior to approaching a prospect. In addition, the Central Development Office handled prospect research and the accounting of all

money donated, including money designated for the colleges.

According to the deans, (Question 11a, Deans Question: Appendix B) the Central Development Office also provided the following services to their colleges: (a) records derived through their data base; (b) researched prospective donors; (c) helped colleges 7 and 8 to contact prospects; (d) helped all colleges to set up gift opportunities; (e) helped colleges 5, 7 and 8 in the timely involvement of the President in their colleges' fundraising; (f) provided the colleges with no prior development officer with the initial fund to support their development officer; (g) helped all colleges in writing proposals when their help was needed, and (h) supported colleges 3 and 8 in their fundraising efforts when they had no permanent development officers.

Dean 3 who did not have a development officer for most of the Campaign's duration indicated that the Central Development Office took over the functions of a college development officer. He found them very helpful and said, "without the Central Development Office, the college could have gotten nowhere."

The Central Development Office was helpful "in the organizational sense" to Dean 1. Commenting on that, the dean said, "the Central Development Office has been useful organizationally in backstopping our efforts by supporting them and also making other occasions such as Campaign dinners available to us."

Finally, Dean 6 reported that by "providing momentum and structure" the Central Development Office helped his fundraising efforts. He provided the following insight: through the Central Development Office "the entire broad university structure knew that something was going on and we could ride along with it."

The element of decentralization was that each college had a full time development officer who devoted all of his or her time to fundraising for the college. Three colleges (1, 3 and 6) had part-time development officers. Five colleges (2, 4, 5, 7 and 8) had full-time development officers while college 9 had no permanent development officer. For the first three years the university was solely financially responsible for the development officers after which the financial expense was shared between the college and the Central Development Office. The Central Development Office, however, provided support to the development officers in the colleges.

**Deans' Fundraising Responsibilities as indicated by the Development Officers.  
(Development Officers Question 13: Appendix B)**

According to Barden (1988), in order for deans to be successful in fundraising, they have to function in a partnership with their development officers. In this partnership, both the dean and his development officer have specific responsibilities that complement the other's. Barden (1988) and Davis (1988) both ascribe the following fundraising responsibilities to the dean:

- setting college's fundraising priorities.
- representing the college to key alumni, parents, corporations and foundations.
- being responsible for actually asking for gifts.
- being responsible for evaluating the expressed needs of the faculty, judging them within the context of institutions importance and fundraising potential.

### **Fundraising Priorities**

According to the development officers, all nine deans were primarily responsible for setting the colleges' priority for development. Deans set these priorities in conjunction with department chairs and some deans solicited advice and suggestions from the college development officer. One development officer provided insight into why the dean had to be the one setting the college's priority for development:

The development officer and staff take great pains not to set the priorities of the college because we are not trained in that area of discipline - we (development Officers) are just fundraisers and not technical experts in any college we serve in. So because of that, development officers take great pains not to set the direction of the college's development. Our role as development officers is to help deans realize the goals they have set with additional funds.

In addition, deans were responsible for advocating these fundraising priorities to constituents and representing the college to constituents. What set Deans 2, 5, 6, 7 and 8

apart from the rest of the deans were as follows:

- They were very active in cultivation. For example, one development officer from college 7 remarked that "the dean was a very active leader in terms of cultivating the donors." The other four deans (1, 3, 4 and 9) cultivated on the urging of their development officers in most cases. These deans did not have prior agreed upon projects and donors for which they (the deans) were in charge of soliciting funds. Most of the deans who reached their college's financial potential adopted a leadership style in which both the dean and the development officer not only formulated "programmatic and dollar goals," but the dean also took the initiative with agreed upon projects and donors.

- Deans who participated in strategizing how to approach some major donors were more successful at reaching their fundraising potential.

### **Solicitation**

The analyzed data showed that no dean was primarily in charge of solicitation in his/her college. The analyzed data also revealed two distinct groups of deans in regards to differences in solicitation procedure. The first group of deans (2, 3, 5, 6, 7, 8, 9) perceived solicitation as a shared responsibility between the dean, faculty, development officer and any university official best suited to obtain a gift from a prospect. The second group comprised of deans (1 & 4) who

believed solicitation should be the development officer's responsibility.

**What Deans believe their Fundraising Responsibilities should be?  
(Deans Question 5b: Appendix B)**

The deans' responses were classified into the following categories:

- Oversee the fundraising objectives of the college to ensure that the objectives for fundraising are consistent with the vision he/she has for the college.
- Oversee the management of the fundraising activities.
- Support fundraising in the college by making it a college priority.
- Personally support other people such as the chairs and faculty involved in fundraising in the college
- Be personally involved in fundraising.

Commenting on the personal involvement of the dean in fundraising, Dean 2 said:

It is highly unusual that any major gift giver will provide a major gift without having direct involvement with the dean or the president.

He explained that major donors want to "get comfortable with the dean as an individual" before making their gift.

**Development Officers' Fundraising Responsibilities.  
(Development Officers' Question 10: Appendix B)**

The data indicated that the overall responsibility of the development officer during the Capital Campaign was to "prepare the dean to be successful when he/she makes a solicitation visit." In order to perform this primary responsibility five development officers (2, 5, 6, 7 and 8) had the following duties: (a) orchestrating the movements of the dean; (b) conducting research to target the most prospective donors and then putting them in contact with the dean; (c) monitoring the progress of the dean's cultivation of prospective donors, to ensure that it does not lapse; (d) write proposals to be sent to prospective donors. Development officer 8 remarked that "the responsibility of the development officer is to orchestrate development from the background with the leaders in the forefront."

Development Officers 1, 3, 4 & 9 included the following as part of their duties during the Capital Campaign: "to cajole the dean into fundraising"; "get the dean to do things that only the dean could do"; taking responsibility for cultivation and solicitation; reestablishing the development office; "getting to know alumni and changing the negative feelings they have for the college"; "trying to help the dean establish direction"; and "getting faculty interested in fundraising." It was therefore not surprising that none of these development officers' colleges achieved their fundraising potentials.

**Deans' Utilization of the President, Faculty and Top University Personnel in their Colleges' Fundraising Campaign. (Deans' Question 1 under Organization: Appendix B)**

The concept of teamwork in the organization of educational fundraising encourages the dean to recruit and develop other participants in his college's fundraising. The data showed that fundraising at the college level typically was a team effort between the dean, faculty, President, Central Development Office staff, volunteers and students.

**Faculty.** All deans were primarily involved with setting their colleges' priorities. In setting priorities for the college, the deans involved department chairs and faculty members. Some faculty members also were involved in cultivation/solicitation of donors. In college 2, the dean made a practice of delegating cultivation and solicitation to "any faculty member with the closest connection to the prospective donor." That college was unique in terms of the number of faculty members that took part in cultivation and solicitation of donors. The major difference between college 2 and the rest of the colleges was in the number of faculty members who actively participated in fundraising activities. Fewer faculty members participated in the fundraising activities in other colleges. Commenting on the faculty's involvement in the college's fundraising efforts, Dean 3 said, "only one faculty member took part in it."



**Use of the President, University Administrators and Students.**

The President and university administrators were not a part of the fundraising structure of any of the colleges. However, since none of the colleges existed in a vacuum, the President and university administrators, as the leaders of the institution, aided the deans in their fundraising efforts when their "help was needed" (see Table 4). Seven deans reported that the President helped them to raise money for their colleges. Dean 2 commented on the importance of the President's help in fundraising:

There is a certain time that donors do not want to talk to deans, but want the President. This is because he brings the prestige of the institution...

This dean expressed his observation as follows:

The President has been good at meeting with donors. He has gone out to meet with prospective donors - Presidents of corporations and foundations and major donors - whenever asked.

While four deans praised the President's fundraising efforts on behalf of their colleges, three deans remarked that the President was barely or minimally involved with their colleges' fundraising efforts. Two deans said the President was not involved at all with their colleges' fundraising efforts. Dean 6 who received a lot of help from the President in his college's fundraising efforts, made the following observation:

I found that the President is agreeable to working on college matters once he knows well

in advance what those expectations were. He is not interested in working on anyone's agenda when he is surprised by them.

The data showed that the university's top administrators assisted three deans in their colleges' fundraising efforts. The data also showed that faculty members helped to raise funds on behalf of their colleges, though some colleges had more faculty involvement than others. Fundraising in one particular college was a team effort between faculty and the dean.

The data showed that all colleges utilized students to operate the phonathon exercise. Students made calls to the alumni of their colleges. However, only college 5 involved students in the Campaign beyond the phonathon exercise. In this college, graduate students were asked by the dean to make presentations to groups visiting the college.

#### **Relationship Between Dean and Vice President for Development**

Information was solicited from the deans on what they believe their (deans) relationship with the Vice President for Development should be.

There was a difference of opinion on how much access to the Vice President for development deans should have. Four out of nine deans (1, 5, 7 and 8) expressed the opinion that deans should have open access to the Vice President for Development; Deans 4 and 9 disagreed with that. Of those wanting open access to the Vice President for Development,

Dean 1 expressed his reason as follows: "The Vice President for Development ought to meet on a regular basis with all deans to discuss and to reaffirm priorities for the Campaign." He believed that the Vice President for Development should meet with individual deans on "a little more than once a year" basis on certain kinds of issues.

Three Deans (3, 5 and 9) believed that it was important for deans to keep the Provost informed on what was going on with fundraising. To accomplish this, they believed that the Vice President for Development has to meet regularly with all deans so each dean will be clued in to what is going on with fundraising at other colleges.

Although agreeing that having open access to the Vice President for Development was important, deans 2 and 6 felt the amount of access deans have with the Vice President for Development was adequate.

Deans 7 and 8 expressed the opinion that the relationship between deans and the Vice President for Development should be "cordial and friendly" because the Central Development Office is absolutely essential to coordinating the fundraising activities of the deans and the directors of development. The necessity for the cordial and friendly relationship between deans and the Vice President for Development was explained as follows by Dean 8: "what you do not want to ever happen to you is to visit a company and discover that another dean had just been there." This is,

however, similar to the opinion of those who would like the deans' fundraising relationship with the Vice President for Development to be characterized by "more open access to discussing fundraising."

Dean 1 expressed the opinion that the type of relationship he would like the Vice President for Development to have with deans is for the Vice President for Development to become more involved in their colleges' fundraising to the extent that the Vice President for Development becomes "a personification of where the college wants to go." Providing further insight into this response, the dean explains that "if a college wants something, the Vice President for Development should provide support and look into the feasibility of that thing and be able to say he will provide support to determine if it is a feasible goal or not. If it is, he should look into it and provide strategy for achieving it."

#### **Use of Volunteers**

According to Dove (1988), another group of people the deans must involve in the organization of their colleges' fundraising activities are volunteers:

"The success of any Campaign depends on an overall volunteer organization designed to facilitate rather than restrict effective prospect solicitation" (Dove, 1988, p.30)

With the exception of college 2, with a 'highly developed' fundraising structure, the Campaign at the college level did not have a very elaborate network of alumni or

corporate representatives raising money for the colleges, a lot of the organization and implementation that occurred took place close to the college. However, four other deans (5, 6, 7 & 8) had a structure through which they involved volunteers in their colleges' development and fundraising activities. Two of these deans (5 & 6) developed this structure as a result of the Capital Campaign and the other two had this structure prior to the Campaign. Raising the funds for the college involved the dean, development officer, a few faculty members, local professionals and community leaders, alumni and in some cases, Central Development staff and the President.

**Alumni.** The Campaign at the college levels utilized alumni in two different ways: as part of an organized structure for development activities, and as part of a loose structure of people who happen to be alumni living within the United States who could be called upon to cultivate or solicit other alumni. A development officer observed that "in spite of its success, the college had no organized alumni who aided it in its fundraising activities." However, besides the college with a highly organized fundraising structure, four other colleges attempted to have an organized structure of volunteers for development activities as a whole. The discussion on the volunteer data will be divided into two; namely, organized and unorganized use of volunteers.

**Unorganized Use of Volunteers.** This group consisted mainly of alumni. All but one college utilized alumni in

their fundraising efforts. The only college that did not utilize alumni in raising funds reported having "difficulty in recruiting them" because of the "extremely poor relationship" that students/alumni had with the college. That college utilized the wives of faculty members as volunteers. Colleges that utilized volunteers did so in various degrees. Five deans took the responsibility of recruiting volunteers. One dean shared the responsibility with the college's development officer and in three colleges, the development officer had the responsibility for recruiting volunteers.

The volunteers, mainly alumni, had the responsibility for working in their residential locality to do the following: (a) organize and coordinate gatherings that the dean attended, to address the audience on the needs of his/her college; (b) make contacts with and visit alumni similar in age and background to them in order to cultivate and solicit donations from them. Development officer 6 commented that these activities were "generally done on an individual basis and not as a group."

**Organized Use of Volunteers.** Only college 2, prior to the Campaign, had a "fully" developed alumni body and a highly organized fundraising committee. The fundraising committee consisted of nine members (mostly alumni) organized to solicit support and input from leaders in industries, to fundraise on behalf of the college. This college's development officer

described the committee as follows:

The members of the committee did nothing else but raise money for particular interests of the college.

Commenting on the college's use of an organized volunteer structure, Dean 2 remarked that "the most successful utilization of volunteers resulted in an endowed chair." Volunteers took the lead in establishing that chair.

Dean 6 established a fundraising committee early in the Campaign, to raise money on behalf of his college; but the structure was not as highly developed as that of college 2. The development officer observed that only two or three members of that committee are comfortable with fundraising." An analysis of the data revealed that those deans who achieved their colleges' Campaign goals had in common the use of an organized body of volunteers. Colleges 2 and 6 had fundraising committees that raised money on these colleges' behalf. In addition to these fundraising committees, the deans of colleges 2 and 6 also had other committees or boards working on their colleges' overall development activities. Colleges 5, 7 and 8 also had such committees or boards but they did not have a fundraising committee. These committees or boards were organized by the deans on the premise that the colleges' alumni and friends would have a positive impact on the quality of the colleges' educational and research programs. The committees or boards had the following responsibilities: (a) assisting in establishing broader and

deeper academic-industrial linkages to further the educational preparation of students; (b) help the college and its programs remain responsive to the needs of industry; (c) facilitating the exchange of information between the colleges and its alumni and friends; (d) being an advocate of the college to the university administration and to those outside the university--especially in the corporate world; and (e) assisting the college in the identification and solicitation of external support, both financial and otherwise.

**Deans' Inclusion of Development Officers  
in Meetings with Department Chairs.**

All development officers were invited once a month by their deans to present the status of development to the department chairs. However, five of the development officers (2, 3, 5, 7 and 8) interviewed were invited by their deans to routinely attend all meetings they held with their department chairs. Three development officers (1, 4 and 6) were not invited to such meetings and one development officer could not respond to the question.

**Usefulness of Participation in Department  
Chairs' Meeting to Development Officers'  
Ability to Aid the Dean Raise Funds**

Of the five development officers from colleges 2, 3, 5, 7 and 8 who routinely attended the department chairs' meetings, four (2, 3, 5 and 8) mentioned that the meetings were "very useful" to them in their fundraising efforts. The



one from college 7 believed that the meetings were not useful because there was open access to discussing fundraising with each department chair. The question of the usefulness of these meetings to the development officers' ability to aid their deans' fundraising efforts prompted all development officers to elaborate on the issue.

Four of the development officers (2, 3, 5 and 8) commented that attending the dean's meeting with the chairs kept them apprised of the general concerns of the college and consequently they could speak more knowledgeably about issues and challenges that the college had before it. They explained that one benefit of participation was that when meeting with alumni who inquired about issues and challenges faced by the college, they could speak knowledgeably and not guess. The development officer from college 2 also added that, attending the dean's meeting with department chairs enabled him/her to "pick up all kinds of information that helped in putting together a total picture when working on a particular fundraising problem." Other benefits of attending the meeting with department chairs as articulated by two development officers from colleges 2 and 8 are as follows:

Perception wise, attending the meeting with the department chairs signals to the chairs that development is a college priority to the dean and that the college development officer is a member of the team and not just a staff support.

This therefore enabled the development officer to be a part of the decision making process of the college. The other

development officer from college 8 expressed the opinion that such meetings:

Establish rapport with faculty and chairs. Otherwise you are a stranger to them. Getting to know them is very important, information wise, for the development officer to know what the priorities are within the various areas in the college, so they can be represented to donors and alumni. By hearing what their needs are, financially, we can better serve them.

The three development officers from colleges 1, 4 and 6 who were not invited to sit in on the dean's meeting with department chairs, felt that, if they had been invited to attend on a regular basis, they probably could have raised more money for their respective colleges. The explanations for this belief are as follows: Development officer from college 1 commented that, "if invited, then maybe, I can identify what their match will be, given their needs." All three development officers mentioned that, "not knowing everything going on in the college presented a gap" in their knowledge of how best to serve the college. One of the three development officers expressed great frustration over the fact that the dean did not include the development officer in his meetings with the chairs. This development officer from college 6 expressed having "awkward feelings" because of hearing about something going on in the college for the first time from alumni. The development officer added that, if he/she were invited to the dean's meeting periodically, he/she would get to know what is happening in the college and then be

in a better position to raise funds for the college.

However, another development officer who was not invited to the dean's meeting with department chairs was content with not being invited. This development officer from college 4 commented that "if invited, I believe it could have helped me with my fundraising efforts for the college, but I could live without it." However, the development officer explained that the dean was very conscientious in informing the development officer about things he/she needed to know about the college. The development officer seemed genuinely content with not attending these meetings and expressed this by saying that;

The dean might not want the development officer in such meetings because of the confidentiality of such meetings, but I had access to the faculty and have solicited advice from them on fundraising.

The consensus among the development officers on the issue of their attending the deans' meeting with the chairs, was that, the meetings were useful. Meetings were considered useful because they enabled the development officers to obtain an understanding of the college and consequently, better articulate the vision and mission of the college to prospects. Finally, it was observed that the development officers believed that, coordination between the dean and development officer was of great importance, if they (deans and development officers) are to send the same message about the college to prospects and both be seen as representing the

college.

#### **Constituents and How Deans Reached Them**

Each college's primary constituent was their alumni and friends. Foundations and corporations were the other two big constituencies colleges had.

Seven deans reported using personal contacts either personally, through the development officer or a faculty member, as the primary mode of contacting their constituents. The dean with a "fully developed" fundraising organizational structure reported using the structure to reach the college's constituents. Other methods, such as general mailings and telephone calls, were used by two deans to reach their constituents. One dean reached the college's constituents through the college's alumni association.

#### **Publication**

All colleges had a college publication. Some were published once a year while others were published three or four times a year. College publications were sent to alumni and other prospective donors. The college publication played a part in the implementation of each college's Campaign plan. College publications were used both for cultivational and informational purposes. Commenting on the cultivational role publications played, Dean 8 explained how his college's publication was used for cultivation. "The college publication was used for cultivational purposes". According to the dean,

the college mailed its publication to prospective donors with return envelopes from the college and urged prospects to send the envelopes back if they either needed more information or wanted to send money to the college. All colleges included motivational articles in their publication.

The development officers reported using the college publications "for informational purposes" to inform constituents about the Campaign and the needs of the college. Information regarding the Capital Campaign reported in the publications included the Campaign goal, needs, progress and types of giving opportunities available.

**Some Comments from the Deans on Ways the University could have best Organized the Campaign.**

Since this research was conducted in part to provide MSU with information with which to assess the deans' active participation in the institution's first major Campaign, the deans' qualitative reflections on some organizational factors they deemed needed changing is included in the interview. These data could provide insight into why some deans succeeded at reaching their colleges' Campaign goals while others did not. The following comments by the deans were discussed: (a) what deans' fundraising experience should include; (b) deans' recommendations for changes in how to conduct the next Capital Campaign; (c) other ways development officers could have been more helpful to the deans; (d) how the Central Development Office could have been of more help to the deans during the

Capital Campaign; (e) capability of colleges to raise funds without the involvement of the Central Development Office; and (f) different goals and approaches deans recommend MSU could use to raise funds.

**"What Should Deans' Fundraising Experience Include?"  
(Question 5b: "Reflections of Deans", Deans' Questions:  
Appendix B)**

This question solicited the deans' opinion on what they believe a dean's fundraising experience should include in terms of preparing him/her for the Campaign.

Most of the deans expressed the opinion that their fundraising experience should have included more preparation than the university provided them. It was interesting, however, to note that Deans 2, 7 and 8, who felt comfortable with fundraising, expressed this opinion on behalf of deans who were uncomfortable with fundraising.

Only Dean 6 believed that the preparation was particularly good. "There was attempt to familiarize the deans with most of the objectives of the Campaign and how the Campaign was actually run." He also added that deans had been "kept abreast of the developments of the Campaigns and have been invited to special dinners" which he believed helped him in his fundraising efforts. He went further to say:

As far as the experience itself is concerned, I think the more frequently a dean is meeting with alumni (leaving aside corporations and foundations), the better able the university is to sustain its fundraising efforts.

However, the same dean conceded that "not everybody is good at fundraising" since "some people cannot raise funds personality wise." Such people the dean said could have been helped if the university had given them suggestions on the following; "Alumni groups formation, board of advisors and publications that can reach people." The dean's observation was that "this was not done on a one-on-one basis but collectively."

Although attempts were made to acquaint deans with fundraising and the kinds of activities that will be necessary, most deans still believed that they needed more preparation. Four expressed the opinion that deans' fundraising experience should include some sort of education in the principles of professional fundraising. They believe that participation in some workshops/seminar such as those run by CASE (Center for the Advancement and Support of Education) designed to bring deans up to date with fundraising could have better prepared them. Deans 1 and 3 believed that, where possible, deans "should accompany others who are good at fundraising on solicitation/cultivation visits." Dean 3 added that "on-the-job training" would be useful and that putting together "some short programs on techniques of fundraising for the new deans would be useful." Dean 1 added that it would be a "good idea to keep deans in a quite controlled setting until they are comfortable with fundraising" before they attempt to raise funds on their own. Surprisingly, two deans mentioned that they should be educated on the reasons why funds are

being raised. One of the deans acknowledged that he needed training on "how to approach people" and how to "close a fundraising deal."

It was interesting to observe that although, according to the data, the university provided deans with "good information such as a list of alumni and other donors to the college" and tried to encourage them to meet with donors, most deans felt ill-prepared for fundraising.

**Deans' Recommendations for Changes in  
How to Conduct the Next Capital Campaign.  
(Question 9: "Reflections of Deans",  
Deans Questions: Appendix B)**

Deans were asked if they would advise the university to conduct a similar Capital Campaign. Unanimously, they all responded that they would advise the university to conduct a similar Capital Campaign, but not until the year 2000 or the sesquicentennial celebration of the institution in the year 2005.

Although the deans wanted the university to conduct a similar Capital Campaign, they believed that "there was room for change" since this Capital Campaign was the first for the institution. With the exception of two factors (better coordination and cultivation), there was no unanimity in the changes deans wanted during the next Capital Campaign.

Deans 2 and 8 advised that for the next Campaign, coordination between the central office and the colleges should be "much tighter and better." Dean 6's advice was that



in the next Campaign, the university should not depend on corporations to the extent it did in this Campaign. The dean made the observation that "in the future it is clear that MSU will be successful largely with individual gifts." In order for the university to be successful in its next Capital Campaign, Dean 7 said, "the university has to prepared to better cultivate individuals."

On a similar note, Dean 7 also made the observation that during the first Capital Campaign, "we were not as close to our alumni as we should have been to launch a Capital Campaign." His explanation was that because there had never been a Capital Campaign in the past, the institution had never cultivated its alumni. He was however hopeful that the next Campaign will enjoy the benefit of a better cultivated alumni body as a result of the first Capital Campaign. However, he sounded a note of caution that "provided the university maintains a good level of stewardship between this Campaign and the next", the advantage of a cultivated alumni body as a result of this first Campaign will be lost.

For the next Campaign, better research on donors was the advice given by Dean 9. Dean 3 made the observation that since MSU 2000 was the first Campaign, "vast expansion" of the Central Development Office took place. He advised that for the next Campaign, the Central Development Office should "re-evaluate and upgrade its management structure and people." He

also added that the Central Development Office should "identify good staff and weed out bad ones."

More improvement in the "information system" (database) was identified as an area needing improvement for a subsequent Campaign. Commenting on this, Dean 7 said:

We did not have the information system we needed for the Campaign. That was very obvious when the Campaign started. Our information system was not as good as it should have been.

The dean was nonetheless optimistic that since "major steps" were taken to improve the information system, "it will be far superior to what it was during the next Campaign." Another area of change recommended by the same dean is in "the timing of the launching of the special gifts phase of the Capital Campaign." The dean advised that in a subsequent Campaign, all launching of special gifts Campaigns should be done fairly close to each other instead of the two years gap between its launching in some places and in other places.

Dean 2 made the observation that during the next Campaign "more time should be spent on organizing to ensure that more realistic goals are set" especially for smaller colleges with very little potential to raise money. He was sympathetic towards deans of smaller colleges who could not attain their colleges' financial goals because the goals were beyond their potential. The dean also observed that during this Campaign, a lot of strain was being put on the President. He advised that in a subsequent Campaign, the President's work

load should be reduced. He did not foresee the President as being able to sustain his current level of fundraising involvement. However, it was interesting to note that Dean 3 expressed dissatisfaction with the President's fundraising involvement with his college. For the next Campaign, he would "like to have more interaction with the Vice President for Development or the President to give me the feeling that not only is the Capital Campaign an all university effort, but it is an effort where the university officials are paying attention to the colleges, also." The dean added that although he got the feeling that the university officials were paying attention to his college through the Assistant Vice President for Development, "but just like donors want to see the dean because he is the leader of the college, I too want some interaction with the Vice President and the President. I would like that to change during the next Campaign."

Dean 4 complained about "the tremendous amount of money spent on social activities to make potential donors feel good about giving to the college" as being too costly. He expressed the fear that such spending might portray the wrong impression to donors even where such expense was justified in order to raise money. He said:

It may be that the professionals know it is necessary in order for it to be successful but however, there is a risk that the donors might think that the nature of these high riding events means that the university is affluent and maybe is not in need of a gift.

He hopes that such spending will be curtailed during the next Capital Campaign. Before the next Capital Campaign the same dean would like to resolve the question of whether to utilize a development officer with some experience in his college's discipline even if the person does not have enough fundraising experience or whether to utilize a professional development officer with little or no knowledge of the college's discipline. He concluded by saying that "a person with knowledge about this college can better develop a rapport with the alumni of this college." A development officer with a knowledge of the college's discipline will be his preference.

Dean 9 expressed that he would like to see changes in three areas. His first recommendation for change is that for the next Campaign "more time" should be spent on "pre-Campaign activities and that more leadership gifts should be obtained before actually announcing the Campaign." His second recommendation for next Campaign is that "a more thoughtful and careful preparation" of needs will enable the institution to prevent a recurrence of the situation where gifts asked for were not received. The third recommendation provided by the dean is that "to a great extent more individuals should be put within the college in order to help the dean early in the Campaign." The dean added that such help would not be needed once the Campaign started.

With the exception of the above recommended changes for the next Campaign, the deans rated the first Campaign as

"very successful." Their comments included the following from

Dean 5 :

The overall design was done very well, the use of Grenzebach (consulting agent), the way the priorities were done, that is talking to people about the priorities; these were very wise steps.

Three Deans (3, 7 and 8) said "the university did a good job."

Dean 6 said "from our prospective, the Campaign was pretty well conducted." Dean 2 commented that "I think the conduct of the Campaign went pretty well. It raised a lot of money and gave this college legitimacy to continue with its fundraising efforts."

Generally, all the deans were willing to be involved in a similar Campaign in the future.

**Other Ways Development Officers Could Have Been More Helpful to the Deans.**  
(Question 10: "Reflections of Deans",  
Deans Question: Appendix B)

Deans were asked if their development officers were of help to them in their fundraising efforts and if there were other ways their development officers could have been of more help.

Eight out of nine deans interviewed responded that their development officers were of help to them in raising money. One dean could not respond to the question because he had no development officer until a few months prior to the interview. One of the deans who responded that the development officers were of help to them provided insights

into how his development officer was of help. Dean 1 said the development officer was "extremely helpful in encouraging me to be more directly involved in fundraising." The dean added that he wished he "could be of more help" to his development officer.

In general all deans reported that their development officers did the following: identified potential donors; conducted background research, developed strategies to work with alumni, provided support and kept the "dean and faculty away from someone that the university had already decided would go to someone else."

With the exception of the dean who was not in a position to rate his development officer, four deans responded that their development officers could not have been of more help to them during the Campaign. The other four deans expressed the opinion that their development officers could have been of more help to them. Dean 6 said his development officer could have been of more help to him if the development officer's position was a full time position. Dean 8 said that his development officer could have been of more help in two ways: first, if the development officer had been "more aggressive in representing the concerns the college had in managing the phonathon Campaign with the central office"; second, in "being more vigorous in getting reports on donors." Dean 7 expressed that he wished his development officer could be as good in raising large gifts as he/she is, in raising

small gifts. He, however, understood that sometimes people who are good at raising small gifts are not good at raising big gifts. Dean 4 responded that his development officer could have been of more help to him in the following two ways: first, "if the development officer could have been a colleague (having knowledge in the college's discipline) of those being solicited, it could have been better." Second, the dean said his development officer could have been of more help to him "if he/she (because I do not like fundraising), could take responsibility for fundraising, rather than feeling that he/she is the support staff of the dean." The type of fundraising responsibility he expected from his development officer was for the development officer "to take more initiative and responsibility in contacting people."

**How the Central Development Office  
Could Have Been of More Help to the  
Deans During the Capital Campaign  
(Question 11b, "Reflections of Deans",  
Deans' Questions: Appendix B).**

Three deans reported that the Central Development Office could not have been of more help to them. One said "I do not know in which other way the Central Development Office could have been of more help." The second dean remarked that "I have no complaints at all." The third dean commented that "I do not have any suggestions, I got everything I wanted from them." However, the remaining six deans believed the Central Development Office could have been of more help to them in the following ways:

- Provided faster research.
- Maintained better records.
- Provided more interaction with the Vice President for Development.
- Provided a development officer to the college without one.
- Provided assistance in writing proposals to the dean whose development staff "did not know how to write proposals effectively."
- Paid a little more attention to colleges whose fundraising priorities were not primary in the university's needs list.

**Capability of Colleges to  
Fundraise Without the Involvement  
of the Central Development Office  
(Question 12, "Reflections of Deans",  
Deans Questions: Appendix B)**

With the exception of one Dean 3 who could not respond to the question, because the absence of a development officer made the college solely dependent on the Central Development Office, all eight deans agreed that their colleges could "reasonably" raise money without the help of the Central Development Office. However, they unanimously expressed the opinion that with the involvement of the Central Development Office, they would be "more efficient" and would "do better." Although they welcome the involvement of the Central Development Office in their fundraising efforts, they were "opposed to having the Central Development Office do all the fundraising from their office." Expressing his feelings on the issue Dean 1 said:



Fundraisers have to be in the colleges working for the colleges in order to be useful to the colleges.

Deans preferred fundraising to be done on the college level with some involvement from the Central Development Office. The Central Development Office's involvement will be welcomed for the following reasons:

- For coordination purposes, so "everyone including the dean knows that fundraising is important to the university."
- To present a united front so that "the outside world looks at MSU's fundraising efforts as a single unit."
- To provide "support not available within the college to individual college Development Officers."
- To provide "energy and momentum" to individual college's fundraising efforts.

The consensus among the deans was that their colleges' effort at fundraising will not be successful in raising large amounts of money over a long period of time without the involvement of the Central Development Office.

**Different Goals and Approaches  
MSU Could Use to Raise Funds.  
(Question 13, "Reflections of Deans",  
Deans' Questions: Appendix B)**

The deans' opinion was solicited on what other goals and approaches MSU could use for fundraising. Four of the

nine deans (2, 4, 8 and 9) interviewed expressed the opinion that the goals and approaches used by the university during this Campaign were right. Dean 2 said; "The procedure was quite satisfactory." Dean 4 said; he has "no suggestion for anything different." Dean 9 agreed that there are a lot of ways a university could approach its fundraising efforts but MSU "used an appropriate approach." However, Dean 2 criticized the university's practice of "sending people information over and over" as being "unproductive."

The other five deans expressed various opinion on what other goals and approaches MSU could have used for its first Campaign. Dean 5 expressed the opinion that he would have liked "other needs such as bricks and mortar to be met" through his college's Campaign. He however added that he understood that giving to scholarships and endowments was the "national trend."

Dean 1 expressed the opinion that "the university could do a better job with foundations than they have done." He added that MSU has not been "as successful as other institutions" with foundations. In terms of goals the dean also said that "the university ought to look at its fundamental mission as a Land-Grant institution." The dean commended the institution for doing this with industries but criticized the university for not doing "enough with outreach." The dean's advice is that the university should "go out to the community" and identify some of its "premier programs" and

target some of these programs as "center pieces" for fundraising and put the development office to work on them in various academic schools which could participate in them.

The best approach to fundraising is a personal approach was the response of Dean 3. He added that, "to have personal contacts with prospects would have been very difficult". He commended the university for trying to have personal contacts with prospects through dinners and calls. However, he criticized the university's phonathon as being a failure. Nonetheless, he did not recommend that the university should do away with it, rather he suggested that "something has to be done to make it (phonathon) a successful venture." His suggestion was that "it would be better for people higher (in the institutional hierarchy) to have these personal contacts with prospective donors once they (prospective donors) have been contacted by students." The dean was highly supportive of a faculty member doing the follow up contact.

Dean 6 believes that the institution "needs to have more development programs on campus." He believed that the institution needs to "fully take advantage of people when they come to the campus" in terms of cultivating them. The dean also thinks that "the institution has not fully exploited the use of faculty. Giving an insight into his response, the dean said "we have not made it possible for academic units to be involved in fundraising. We have not created opportunities

for this to take place."

### **SECTION III**

#### **Deans' Perceptions of Factors that helped or impeded them in their role as Fundraisers**

This section is designed to uncover the factors that deans believe, based on their experience during the Capital Campaign, helped or impeded them in their role as fundraisers.

Sub Research Question 3. "What factors assisted or impeded each dean in his/her role as a fundraiser during the MSU 2000 Capital Campaign?"

Both open- and closed-ended questions were used. The open-ended question was designed to solicit the deans' opinion on what factors aided or impeded them in functioning as fundraisers. The closed ended question solicited the deans' opinion on a specific question, to discover whether or not, their involvement in the needs list preparation helped them in functioning as fundraisers.

#### **Factors that Aided the Deans in their Fundraising Efforts During MSU 2000 Capital Campaign**

Question 16 on the deans' questionnaire (see Appendix B) exemplifies an open-ended question designed to facilitate an understanding of the deans' points of view on factors that aided them in their fundraising efforts during MSU 2000 Capital Campaign. An analysis of their responses to the question is grouped under the following four categories: supportive personnel, Campaign structure, Campaign design and

personality.

### **Supportive Personnel**

The on-site representative of the consulting firm of John Grenzebach and Associates, was mentioned by four of the deans as being most helpful. Commenting on Mr. Heald's help during solicitation calls, Dean 7 stated,

The factor that helped me the most was the help of the consulting firm of John Grenzebach represented by James W. Heald, who headed the Campaign for Grenzebach and Associates. He is actually superb! I really learned a great deal from him. He is a master fundraiser, so without a doubt I would say the one factor that aided me the most was Mr. James Heald. He never complained. I could call him at any time and say 'Jim, help me' and he was always willing to help.

The other three extolled the on-site consultant's capability to educate them on the art of fundraising. "The consultant's teaching on how to approach people and how the gift pyramid works were useful," said Dean 5.

Two deans cited the President's help as a factor that aided them in achieving their colleges' Campaign goal. Reflecting on the President's help, Dean 2 said, "Obviously, the support of the President and his presence at key times were helpful." The dean also added that the President's fundraising "expectation" of his college helped him in his fundraising efforts during the Capital Campaign.

The support of the Assistant Vice President for Development was mentioned by Deans 1 and 3.

The college's development officer was mentioned by Dean 4 as being quite helpful. The dean explained that having a "good development officer who pushed very hard and was very organized" helped him in his role as a fundraiser.

### **Campaign Structure**

Campaign structure was the second highest factor cited most by the deans as aiding them in functioning well as fundraisers during the Capital Campaign. Specifically, the decentralized structure of development at Michigan State University was mentioned by three deans. Dean 8 elaborated on this issue thus:

The critical important feature of a development effort is a dispersed development effort. There is an institutional belief in the importance of deans and some of their administrators and faculty members engaging in development. Not all institutions allow development to take place below the central administration. The creation of the network of development officers in each college coordinated centrally allowed development to take place in each college. That was critical.

Commenting on the benefits of a decentralized structure of development centrally coordinated, Dean 2 remarked that the "support of the central administration" helped him to raise funds because it gave each college the "freedom to go and raise money any way they wanted." Another helpful factor cited by three other deans is the central administration's active support in raising funds. Dean 2 said, "The central administration was helpful and supportive.

They always brought in people specifically related to the college's discipline." Dean 6 said that among the list of what helped was "good support from the central administration." Dean 5 attributed his ability to raise funds to the central administration's provision of "literature explaining and describing the Campaign." Providing an insight into the benefits of the central administration's help, Dean 4 expressed the following thoughts:

The university helping to provide money for the development office helped us to be more committed to fundraising; so it was the university's commitment to a Capital Campaign; a part of which was to build a cadre of professional development people and providing this expertise to the college, that really helped.

#### **Campaign Design**

The overall design of the Capital Campaign was mentioned by three deans as an important factor in their fundraising efforts. They stressed the effectiveness of the "kick off dinners" as a part of the Capital Campaign plan. "The overall fundraising plan was very good and excellent" mentioned Dean 6.

The provision of an information data base was cited by one dean as another Campaign design factor that helped him in his fundraising effort. Elaborating on the importance of an information data base the dean said:

If your information base is inadequate you are dead. You have no ability to raise money or reach people. I consider raising money directly related to being able to communicate

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with people. You can go to a foundation or corporation and submit a proposal in an impersonal fashion, that is, have no relationship with the CEO, but if you are talking about raising money from an individual, it must be in a personal manner. It is a question of personal trust.

Dean 6 attributed the publicity surrounding the Campaign as one of the factors that helped him raise money for his college. Commenting on the effect of publicity, the dean said:

The publicity surrounding the Capital Campaign made many alumni aware that there was a Campaign and that was an important event in the history of the university and that there were needs that were unmet by the public funds.

#### **Personal Characteristics of Dean/Experience**

Personal traits such as the "ability to be sincerely interested in the people cultivated" helped Dean 4 in his fundraising efforts. The dean explained that :

The only thing that helped me was the willingness to try to make friends of potential donors - I think I conveyed to them a seriousness and an honesty that would earn their respect.

Previous experience in fundraising and the length of time as dean, which exposes a dean to many alumni, were very helpful factors to Dean 9.

#### **The Effects of Needs List Preparation on Deans' Fundraising Capability**

All deans were required to assemble a list of their colleges' needs. To examine the effects of this process on

the deans' fundraising ability, the deans were asked a closed ended question (see question 7 on The dean's Questionnaire, Appendix B). The data showed that seven deans responded that the process helped them to understand fundraising in terms of what their colleges' needs were and how to prioritize them. It also made them understand the problems an institution has in determining institutional priorities.

Others benefitted from the process because it "provided the mechanism to have a lot of interactions with the chairs" and to others, the process "got everyone thinking about fundraising." The process was an eye opener to Dean 4 who made the observation that the process changed his college's "preoccupation from what their needs were to what the interests of the donors were."

Deans 6 and 8 reported that the process was not of help to them in their fundraising role. Dean 6 did not take part in the process. He inherited the needs list from his predecessor and he disapproved of it. He classified it as "dull and unimaginative" so he ignored it and made "fundamental changes" to the college's programs and then raised money for the programs he believed in. Dean 8 mentioned that he did not benefit from the process because he had "a lot of fundraising experience" and "already had an idea about the process."

**Factors that Impeded the Deans  
in Their Role as Fundraisers****Time.**

Three deans cited the lack of time due to the pressure of their position as the factor that impeded their ability to function as fundraisers. Explaining this, Dean 9 commented: "A dean has a lot of things to do and fundraising has to be fitted into all other kinds of things."

**Adverse publicity.**

The response with the second highest frequency was the adverse publicity surrounding the Board of Trustees' appointment of the Athletic Director over the objection of the President and the misconduct surrounding MSU's athletes reported in the news media. The deans' assessment were that the negative publicity does not escape the alumni's knowledge, and they felt it was a hinderance to successfully raising funds.

**Partial failure of the management of the coordinating effort**

This was another factor cited by Dean 8. The dean was disappointed over the "slowness in screening out a potential donor and assigning the donor to a particular college." Closely related to the issue of slowness in checking out potential donors and assigning them, is the issue of clearance articulated by Dean 2. He expressed minor frustration over the fact that the college had to obtain clearance prior to

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approaching a prospect and sometimes losing prospects to other colleges because "the university said no, this college should solicit them." However, the dean understood because he "recognized that there were certain restrictions that the central administration had to make to safeguard the interest of the university as a whole." He concluded by saying that "these, on the surface, were impediments but in actuality were university policy."

#### **Defective data**

Defective data was a major impediment to Deans 6 and 7 in their efforts to raise funds during the Capital Campaign.

Dean 7 said:

I think some of our problems is that we still do not have an effective data base. It is much better now than at the beginning of the Campaign. Here we are at the third year of the Campaign and we have still not reached the 300,000 alumni. The data base is not free of defects. The information is there but sometimes it is defective and that can sometimes cause difficulty. Also the data base is not sorted to ensure easy usage. It is not fully developed though a lot better than it was at the beginning.

#### **Difficulty in obtaining donations from prospects**

This factor was cited by three deans as another impeding factor in their effectiveness as fundraisers. The deans experienced varying degrees of difficulties. Dean 6 explained his difficulties as follows : "The fact that it was the first Capital Campaign, people were not in the habit of giving to the university." Second, "many of the alumni are



scattered all over the country, so accessibility was a problem. Also, there was the frustration of being able to meet appointments. Generally, it was the logistics as we are far from alumni." Dean 3 attributed his difficulty in obtaining gifts from prospects to "the dynamics of the economic outlook in the nation." He added that "this probably made people not give as much." He also added that, he was unable to obtain funds from prospects because he was unable to aggressively solicit donations or funds. The dean said of himself, "I am not very good at asking for money."

Dean 1 was discontented with the university's Campaign design because it did not suit his college's needs and he cited this as an impediment to his fundraising efforts. The dean's primary constituents were a particular group of people who were angered by students' calls. The dean was not happy that the university insisted on using phonathons as a means of reaching its alumni. Explaining, the dean said:

The overall university strategy is a good one, but does not necessarily meet the needs of this college. For example, the university likes to do phonathons. When the students call alumni who have been very busy all day, it angers these alumni and still the university wants to do it that way.

The last factor mentioned was the aggressive fundraising tactic used by college 4's development officers. Dean 4 saw it as an impediment to his faculty's ability to develop a successful fundraising relationship with prospects. Elucidating, he said:

A difference in perspective between the professional fundraiser and the dean and faculty was an impediment because professional fundraisers are much more aggressive, whereas the faculty will like to make friends of donors and have the donor spontaneously give because they like what the faculty is doing. On the other hand, professional fundraisers think it is necessary to persuade people and to ask them to give. The impediment is that faculty feel that it is possible their relationship with potential donors is jeopardized by aggressive fundraising tactics of the professional fundraisers.

Though the dean personally disliked fundraising he encouraged his faculty to be involved in it and he himself raised funds when it was absolutely necessary.

**Development Officers'  
Reasons for College  
Achieving Campaign Financial Goal**

Although this section is a reflection of factors deans' believe aided or impeded them during the MSU 2000 Capital Campaign, their development officers' response as to whether the college has achieved or not achieved its financial goal for the Campaign is worth documenting. In addition, the development officers' opinion on the reasons why their respective colleges achieved or failed to achieve their goals for the Campaign could aid in the understanding of why some deans succeeded whilst others failed to achieve their colleges Campaign goal.

Development officers from colleges 2, 5, 7 and 8 reported that their colleges have achieved and exceeded their Campaign goals. The development officer from college 6 said



the college was very, very close to achieving its Campaign goal and was therefore very confident of achieving the Campaign goal prior to the extended closing date of the Campaign.

The development officer from College 4 claimed that "as far as this college is concerned we have reached our financial goal for the Campaign." The development officer explained that the Central Development Office established a goal higher than their college's potential. Based on their belief that they will or have reached their goals, both development officers from Colleges 4 and 6 gave their reasons why their colleges succeeded in reaching its financial goal. However, for the purpose of analysis, only College 6 will be analyzed as having reached its goal because it was a few thousand dollars short of the goal and was very optimistic about several proposals coming through. College 4 was analyzed as not reaching its goal because it was more than a million dollars short and the development officer did not think the college will be able to raise any more money.

The following represent the reasons given by development officers whose colleges achieved their Campaign goals.

The reason with the highest frequency was the "leadership of the dean". These deans represented Colleges 2, 5, 6, 7, 8 and 4. Development Officer 4 qualified the Dean's 4 leadership by saying: "Though the dean hates fundraising he did a good job when asked to".

Three reasons tied for second with the highest frequency. They were: a) "the tradition of strong programs offered by this college" was the response from development officers from Colleges 2, 7 and 8; b) "good projects for which money can be raised". This response was also given by development officers from Colleges 2, 7, and 8. c) "Team work on the part of the dean, development officer, Department Chairs and faculty members. This response came from development officers from Colleges 2, 5 and 6.

Two other reasons tied for the response with the third highest frequency. They were: a) "Special events to honor donors" (Colleges 4 and 7); b) "The good job done by the development officer", was the response from development officers 4 and 6.

Other explanations offered represented single responses. They are as follows:

- "Strong relationship with research within the various departments"; mentioned by development officer from College 2.
- "Love and loyalty on the part of alumni for some professors" was one explanation offered by the development officer from College 4.
- Ability of the College to coordinate its development activities with the Central Development Office and the

President's Office" was one reason the development officer from College 5 said they achieved its financial goal.

- "The willingness of the College to spend the time, energy and money needed to see best prospects on a person-to-person basis" was an additional reason given by Development Officer 8.
- "The ability to match the College's needs to the needs of donors" was another reason College 7 reached its financial goal according to the College's development officer.

**Development Officers' Reasons  
for College not Achieving  
Campaign financial goal.**

Three development officers from Colleges 1, 3 and 9 responded that their colleges had not reached its Campaign goal. They were not hopeful that they would.

The development officer from College 1 advanced one major reason for the College's failure to achieve its Campaign goal: "the dean's minimal interest in fundraising."

According to College's 3 development officer, the college failed to reach its Campaign goal because of the following reasons: a) bad relationship between alumni and the college due to the bad relationship that existed between the former dean and alumni, when they were students; b) the

former dean's complete lack of interest in the college's development activities; and c) the absence of a development officer for most of the Campaign's duration; d) non-feasible goal set for the college. The development officer believed that the college's goal was beyond its potential.

The development officer from College 9 attributed the following reasons to the College's failure to achieve its financial goal for the Campaign. They were: a) non-feasibility of goal; b) the use of an interim development officer whose primary responsibility was to the Central Development Office; c) lack of response to fundraising proposals sent to prospective donors.

#### **Section IV**

##### **Qualities and Qualifications of a Dean who would be successful in Fundraising**

Sub Research Question 4: "What qualities and qualifications are perceived to be important for a dean to possess in order to be successful in fundraising?"

The objective of this section is to describe, from the perspective of the deans and development officers, what qualities and qualifications they think are important for a dean who will be successful in fundraising to have.

##### **Deans' Perspective**

Deans were asked to respond to the question; "what qualities and qualifications should a dean who would be

successful in fundraising have." From the deans' perspective, the following responses represent the qualities and qualifications they perceive are important to look for in hiring a dean who will be effective in fundraising. Table 9 summarizes deans' responses and the following is a description of those responses.

Six deans gave insights into their responses. Dean 8 explained that "faculty want a person who tomorrow will be a valued colleague in the usual activity of the enterprise." Dean 5 was of the opinion that "the Provost needs to look for somebody who likes to work with people and has a sense of the total enterprise." Eight of the deans listed the ability to work and interact with people as one of the qualities a dean who will be good at fundraising should have. A good knowledge of the college's business was mentioned by six of the deans as a quality of a good fundraising dean.

Another dean expressed the opinion that university officials have to "first define the position to reflect and demonstrate fundraising as a component of the position." Two other deans expressed the opinion that a dean who will be good

TABLE 9

## QUALITIES AND QUALIFICATIONS A DEAN SHOULD POSSESS.

Deans response to the question :

"What qualities and qualifications would you advice the search committee to look for in a dean who would be successful in fundraising?"

Responses	Frequency
• Likes to work and interact with people.	8
• Very knowledgeable about the college's discipline.	6
• Experience in fundraising.	3
• Sees fundraising as part of responsibility.	3

Note n = 9

at fundraising will have to see fundraising as part of his/her responsibility. Dean 6 cautioned that since it is now the university's policy to involve the deans and their colleges in fundraising, the university should always seek to hire someone who is interested in fundraising and will continue with fundraising, to the position of dean. Otherwise, the advantage of involving deans in fundraising will be lost. Emphasizing this importance, the dean explained that the search committee:

Should definitely seek someone who will continue with the job (of fundraising). It will be extremely unfortunate if after developing ties with alumni, corporations and foundations, that the next dean will simply say I'm not

interested in fundraising. It will be damaging for the college. Our needs have not been met - that is our needs with student scholarships, etc. - so we have an obligation to request that a person coming into the position should be prepared to give 10 to 15 percent of his/her time to fundraising. It should be part of the job description. To ensure that a person will raise funds, the search committee should look for a person with a track record.

Two other deans mentioned experience in fundraising as a qualification/quality needed for effectiveness in fundraising by a dean.

Dean 4 came to the conclusion that academic leadership should be the most important qualification for the position of a dean. He added that if fundraising was the only responsibility of a dean then, the search committee should be looking for a person or people who are entrepreneurial with a salesperson's capability. He concluded that since fundraising is now a responsibility of the deanship, the search committee should look for a person who can be an "academic leader" and has an "extrovert personality."

Dean 1 agreed with the dean who mentioned academic leadership and an extrovert's personality as the most important qualities for an effective fundraising dean by mentioning that "most characteristics of being a good dean will translate into being a good fundraiser." Characteristics such as being an academic leader, dealing with a variety of constituents, problem solving, having had major management responsibility, Deans 1 and 4 believe translate into being a good fundraiser. Dean 1 also added that "deans ask for money

from the university and the legislature as part of their "regular" responsibility; therefore, being able to do that, predisposes deans to being able to ask for money from the public. The ability to deal effectively with the public, in other words, people, was therefore the quality with the highest frequency. Eight deans out of nine mentioned this quality. Dean 7 expressed his thoughts on this fundraising enhancing quality as follows:

Most important, the person chosen should be able to talk and interact with people he/she does not know, keep the conversation going and show interest in people since fundraising involves talking to people.

Giving further insight into the importance of the dean's ability to interact well with people, the dean added that it is the responsibility of the dean "to cultivate the potential donors, even if the dean is uncomfortable with asking for money, he has to do the ground work" and then the development officer can ask for the money.

**Qualities/Qualifications of a Dean Who  
Will be Effective in Fundraising:  
Development Officers' Perspectives**

Since development officers work directly with deans on fundraising, their opinion on the qualities and qualifications of a dean who will be effective in fundraising was solicited. Table 10 summarizes their responses and the following is a presentation of those responses.



TABLE 10

QUALITIES AND QUALIFICATIONS A DEAN SHOULD POSSESS  
(Development Officers' responses)

Responses of development officers	Frequency
• Comfortable with interacting with people.	5
• Ability to articulate the goals and objectives of the college and sharing the educational mission of the college with others.	3
• Willing to make fundraising a college priority.	3
• Willing to devote a certain amount of <u>time</u> to fundraising.	3
• Not intimidated by fundraising, can ask for money.	3
• Ability to have a good trusting relationship with his/her development officer and direct development activities of the college.	2
• Experience in fundraising.	2
• Ability to represent the needs of the college in a motivating way.	1
• Able to realize the importance of positive relationships, public relations and how this relates to the efforts of fundraising.	1
• Able to get other people to do things.	1

Note n = 9

The quality most cited by development officers as necessary for a dean, who will be effective in fundraising, is the ability to interact with people. Explaining, development officer 1 said, "A dean has to be comfortable with interacting with people." With a note of disappointment, the development officer added that "many deans shy away from doing this."

Another development officer observed that "if a dean has a natural affinity for people or is people oriented" that will aid the dean in being effective in fundraising. Development Officer 8 provided an explanation as to the importance of a dean's ability to comfortably interact with people as follows:

The dean has to be willing to spend time with people and be able to feel comfortable in social situations since cultivation of donors is not just visiting them in their business offices, it includes knowing something about their families to the extent that they (the deans) want to share it.

The ability to spend time on fundraising activities was one of four responses with the next highest frequency. Development Officer 5 believes that the dean has to have "the commitment to spend the time." This development officer explained that "the dean has the primary responsibility to get on the road and raise funds if the President cannot go"; and added that "there are only so many places the President can go."

Three development officers identified the ability to articulate the goals and objectives of the college and sharing the educational mission of the college with others, as qualities that will enable a dean to succeed at fundraising. Development Officer 8 stated that:

I think a successful dean has to be completely committed to the educational mission of the college. Once believing in that, he/she has to be able to articulate and share it with others in such a way that it excites people and brings them to share in his/her vision and interests in the college.



Also citing the importance of the dean's ability to articulate the goals and mission of the college to constituents, development officer 6 remarked that in order to be effective in fundraising, the search committee has to pick someone who will be able to "articulate the goals and objectives of the college at a level that a lay person can understand."

Two other responses mentioned by three development officers as qualities a dean who would be successful in fundraising should possess are the ability to make fundraising a college priority by "giving it visibility" and by getting faculty involved in fundraising and secondly, the ability not to be intimidated by fundraising.

In summary, the data revealed the following: (A) Rich colleges as indicated by their endowment size, their current fundraising efforts, the socio-economic status of their clientele and their ability to involve their alumni and community leaders in their colleges' activities were expected to achieve their campaign goals; (B) Deans who spent time on fundraising, had a complementary working relationship with their development officers, made fundraising a college priority, matched donors' and colleges' needs and got influential people to both identify with their vision for their colleges and to raise money on their colleges' behalf, achieved their campaign goals; (C) Supportive personnel, the campaign structure and design were factors deans believe aided

them in their role as fundraisers; while lack of time, adverse publicity and defective data base impeded their efforts as fundraisers; (D) The ability to work and interact with people, regard fundraising as a responsibility , as well as being very knowledgeable about the colleges' discipline and experience in fundraising were the factors both deans and development officers cited as qualities and qualifications a dean should possess in order to be successful in fundraising.

## CHAPTER 6

### DISCUSSION OF FINDINGS

Based on the definitions of leadership, planning and organization, each of the deans exhibited some characteristics of leadership, planning and organization in their attempt to raise funds for their colleges. Table 11 is a summary of the deans' estimate of the percentage increase in the money they raised as a result of the Campaign.

TABLE 11  
PERCENTAGE INCREASE IN MONEY RAISED  
AS A RESULT OF THE CAMPAIGN

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% increase in money raised as a result of the Campaign	No. of Colleges
0 - 25	1
26 - 50	3
51 - 75	2
76 - 100	3

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n = 9

The deans reported that as a result of the Campaign, all colleges raised more money than they could have without the Campaign. All deans were absolutely certain that the

Campaign helped them to raise more money. There were several comments including the following "we always got some gifts, but the Campaign intensified it." Dean 1's comment was that:

The college raised no money prior to the Capital Campaign. The college has just started to bring in millions of dollars. The Capital Campaign I believe has helped this college to be interested in development and to be focused, in our fundraising activity rather than limiting it to faculty contributions.

It was interesting to note that even colleges with prior fundraising experience raised significantly more money in this Campaign. One of the deans in such a college expressed hope that "as a result of the Campaign, annual giving should increase by about 50 percent."

In raising money for their colleges, all deans responded unanimously that their colleges received much more than they spent on development. However, in this research, effectiveness in fundraising was measured by whether or not a dean achieved his college's Campaign goal as determined by his college's fundraising expectation/potential. Therefore, for the purpose of this research, only deans who achieved their colleges' Campaign goals would be considered effective.

Table 12 summarizes the factors that aided or impeded the deans in their attempt to achieve their colleges' Campaign goal. The following observations were made from the data:

TABLE 12  
 CHARACTERISTICS OF DEANS WHO SUCCEEDED TO  
 IN REACHING THEIR CAMPAIGN GOALS COMPARED TO  
 DEANS WHO DID NOT

College/Deans	Achieved Fundraising Goal?	College Over 50 Yrs.	Size of Endowment	Deans' Prior Fundraising Experience	Prior College Fundraising Experience	Deans' Ability to Strategize Colleges' Fundraising Activities	D.O. in Building Throughout the Campaign	Hours/Months Deans Spent on Fundraising	Used Influence to Recruit President & Top Administrator	Same Approach to Fundraising as D.O.	Successfully Matched Donors & College's Needs	Did Dean Organize Additional Forum to Communicate Vision to Prospective Donors	Did Dean Identify and Involve Community Leaders as Program Leaders	Did Deans Give Fundraising Visibility in College	Complementary Working Relationship with D.O.	Use of Organized Body of Volunteers	Deans Became Involved in Campaigns Primarily Because of College Needs	Deans Lacked Fundraising	Deans Utilized Team Work Approach To Colleges' Fundraising	Close Working Relationship with V.P. Development	Deans Planned and Implemented Additional Activities	Deans Able to Personally Solicit for Money	Size of College	Size of Alumni	Priority or with D.O. Developed or Changed Colleges' Case Statement	High Percentage of College's Needs Included in Institution's Needs List	Deans of Colleges with a Tradition of Money Raising Programs
2	Yes	Yes	\$1M	None	A	Yes	Yes	30	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	1,200	10,000	Yes	Yes	Yes
5	Yes	Yes	Not Sure	None	B	Yes	Yes	40	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	5,000	24,000	Yes	Yes	Yes
6	Yes	Yes	\$1M	None	F	Yes	Yes	72	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	4,200	25,000	Yes	N/A	Yes
7	Yes	Yes	.75M	None	B	Yes	Yes	100	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	6,400	35,000	Yes	Yes	Yes
8	Yes	Yes	.75M	Great Deal	B	Yes	Yes	59	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	4,100	32,000	Yes	Yes	Yes
1	No	No	.15M	None	F	No	Yes	20	No	No	No	No	No	No	No	No	No	No	No	No	No	No	425	6,865	Yes	No	No
3	No	No	No Record	Some	F	No	No	19	No	N/A	No	No	No	N/A	N/A	No	No	Yes	N/A	No	No	No	500	1,700	No	No	No
4	No	No	.5M	None	C	No	Yes	25	No	No	No	No	No	No	No	No	No	No	No	No	No	Yes	400	3,800	No	No	No
9	No	No	.25M	Great Deal	D	No	No	16	No	N/A	No	No	No	N/A	N/A	No	No	Ineffective	N/A	Yes	No	Yes	2,000	18,000	No	No	No

Note: See Pages 108 and 109

Succeeded in Achieving Campaign Goals  
 Failed to Succeed in Achieving Campaign Goals



**College Size.**

Five out of the six deans whose colleges had a student population of over 1,000 achieved or hope to achieve their Campaign goal. These were Deans 2, 5, 6, 7 and 8. However, Dean 9 whose college has a student population of about 2,000 students did not achieve the college's Campaign goal. Three other deans (1, 4, & 3) whose colleges had a student population under 1,000 also did not reach their colleges' goals. Although a large college is believed to have a bigger impact on the community because more people are touched directly or indirectly by its educational, research and public service programs (Pickett, In Rowland (ed), 1986, p. 234); such effects were taken into consideration by the Central Development Office prior to establishing each college's fundraising potential. (Campaign files)

**Orientation and age of College.**

According to the literature on educational fundraising (Pickett, 1986, p.235), professional colleges and therefore their deans have a higher capability to reach their colleges' fundraising goal. However, from the data, this was not the case. The data revealed that deans who achieved their colleges' Campaign goals did so as a result of what either they or their development officer referred to as "the tradition of strong programs" offered by these colleges and good projects for which money could be raised. Another similarity between deans whose colleges achieved their

Campaign goals was the age of the college. The professional and non-professional colleges that achieved their Campaign goals, were established over 50 years ago. According to one development officer, deans from older colleges are more successful at reaching their colleges' Campaign goals because their alumni are more successful than alumni from newer established colleges.

#### **Endowment Fund Size.**

The data showed that deans whose colleges had an endowment fund of \$.75M and above prior to the beginning of the Campaign achieved and even exceeded their colleges' Campaign goal. It was not surprising that the three colleges (2, 7 & 8) with the biggest endowment funds prior to the Capital Campaign achieved their goal. A possible explanation could be that endowment, which is a measure of a college's wealth, is acquired as a result of past fundraising success. An interesting development was the success of Deans 5 and 6 inspite of their colleges' small endowment funds.

#### **LEADERSHIP FACTORS**

Development officers' whose deans succeeded in achieving their colleges' Campaign goals, were asked to name the factors they believe contributed to their deans' successes. The overwhelming response was "the dean's leadership" (Development Officers' Question 19: Appendix B). The following are the leadership factors deans who succeeded

at reaching their colleges Campaign goal shared in common:

**Dean's Vision and Ability to Communicate  
Vision to Identified Prospects.**

The literature is replete with articles on the importance of a leader's vision to the success of a Capital Campaign (Conklin, 1982, pp. 16-17). The data showed that all deans had the vision of improving the educational quality of their colleges and they even perceived improving the educational quality of their college as their primary responsibility; but not all deans achieved their colleges' goal. A further investigation into the data revealed that those Deans (2, 5, 6, 7 & 8) who achieved their goals made additional plans (beyond those made by the Central Development Office) to communicate their vision to identified prospective donors. Deans' ability to make additional plans to communicate their vision to prospective donors seemed relevant to their achieving their college's Campaign goal.

**Spending time on Fundraising Activities.**

The data showed that deans who spent at least 20% (40 hours per month) of their time on fundraising activities achieved their colleges' fundraising goal except in the case of College 2. A further investigation of the data showed that Deans 6, 5, 7 & 8, who succeeded in achieving their goals, not only spent more than 40 hours per month on fundraising activities such as meetings, cultivation and solicitation, they spent time meeting with their development officers, strategizing how

to change fundraising plans so as to achieve their Campaign goals. Dean 2 also did that. However, Dean 2 spent less time on cultivation and solicitation because fundraising in this college was shared between the dean, development officer and faculty members. The dean delegated cultivation and solicitation to any faculty member thought to be the best qualified to carry out such responsibilities. The deans' ability to spend time on fundraising activities seemed relevant to their capability to achieve their college's Campaign goal.

**Use of Influence to Recruit President and top Administrators.**  
The evidence demonstrated that deans who achieved their colleges' goals were able to recruit the President, faculty members and top university administrators to raise funds for their colleges. However, the President, faculty members and top university officials also raised money for Dean 1 whose college did not achieve its' Campaign goal. It is pertinent to mention again that Dean 1 delegated a senior faculty member to work with the development officer on development activities. From the evidence, a dean's ability to use his influence to recruit the President and top administrators to raise money on his college's behalf was relevant to his ability to reach his college's Campaign goal.

**Deans having the same Fundraising Philosophy as Development Officers.**

An analysis of the data showed that Deans 2, 5, 6, 7, 8 who had the same philosophy as their development officers achieved their colleges' Campaign goal. These deans had a pattern in common. These deans not only formulated programmatic and dollar goals with their development officers, they also mapped out who should take the initiative with agreed upon projects and donors. Deans 1 and 4 who depended solely on their development officers to inform them of when to get involved and with whom did not reach their colleges' goal. Deans 3 and 9 did not have development officers for most of the Campaign's duration. This characteristic supported Moore's (1987) assertion that Chief executives (deans) who formulate programmatic and dollar goals for their organization (college) and also map out who should take initiative with agreed upon donors, raised more money than Chief executives (deans) who do not share the same approach to fundraising as their development officers. This characteristic seemed relevant to deans' ability to achieve their colleges' Campaign goal.

**Matching Donors' needs with College's needs.**

The analyzed data showed that Deans 2, 5, 6, 7, 8, who took the time to cultivate donors so as to understand their needs achieved their colleges' Campaign goals because they meshed their colleges' needs to prospective donor's needs. Deans 1, 4 & 9 who did not successfully match their colleges' needs to

donors' needs did not achieve their colleges' needs. Dean 3 was a newly appointed dean.

#### **Giving Fundraising Visibility in the College.**

The data showed that Deans 2, 5, 6, 7 and 8 who personally gave fundraising visibility in the college, achieved their colleges' Campaign goal. On the other hand, Deans 1 and 4 who did not personally give fundraising visibility in the college did not achieve their colleges' Campaign goals. Deans 3 and 9 desired to give fundraising visibility in their colleges but fell short. Dean 3 had been dean for about 6 months and Dean 9 had no permanent development officer. Giving fundraising visibility in the college seemed relevant to the deans' ability to achieve their colleges' Campaign goal.

#### **Enjoyment of Fundraising.**

The analyzed data showed that all deans who achieved their colleges' Campaign goals enjoyed fundraising. Deans 1 and 4 who did not care much for fundraising did not reach their colleges' Campaign goals. Deans 3 and 9 liked fundraising but they too did not reach their Campaign goals. However, these two deans did not have development officers for most of the Campaign and Dean 3 succeeded a dean who disliked fundraising but was dean of College 3 for most of the Campaign. The enjoyment of fundraising appeared to be a contributing factor to deans' ability to achieve their colleges' Campaign goal.

**Becoming Involved in Campaign because of Colleges' Needs.**

The data showed that deans who became involved in the Capital Campaign primarily because of the clear need their college had for privately raised funds achieved their colleges' Campaign goal. This factor appeared relevant to the deans' ability to achieve their colleges' Campaign goal.

**PLANNING FACTORS**

Deans who achieved their colleges' Campaign goals shared the following planning factors in common:

**Deans Who Primarily Or With Development Officer Changed Colleges' Case Statement.**

All deans had a case for support statement for their colleges which defined how money raised would be spent. Nonetheless not all deans achieved their Campaign goals as a result of having had a case for support statement which included details of how money raised would be spent. An analysis of the data showed that Deans 2, 5, 6, 7 & 8 either primarily or in conjunction with their development officers prepared or made changed to their colleges' case for support statement. These were the deans who achieved their colleges' Campaign goals. Therefore, the ability to either primarily or in conjunction with the development officer develop or make changes to a case statement seemed relevant to deans' ability to achieve their colleges' Campaign goals.

This is important primarily for two reasons: First, it reflected the vision the deans' had for their colleges;

second, it ensured that the colleges' needs matched what prospective donors were interested in funding. To uncover what prospective donors were interested in funding, the dean had to spend time cultivating them.

**High Percentage of Colleges' Needs included in the Institution's Needs List.**

The data revealed that Deans 2, 5, 7 & 8 who had 15% or more of their colleges' needs included in the institution's need list reached their colleges' Campaign goal. However, Dean 6 reported that he had only one feature of his college's needs included in the university's list but his college also reached its Campaign goal. There was no indication of what this item was nor its percentage in relation to the institution's Needs List. A further investigation into the data showed that Central Development Office staff raised money on behalf of colleges 2, 5, 6, 7 & 8. Although colleges 2, 5, 7 and 8 received help from the Central Development Office partly because a lot of their colleges' needs were included in the institution's Needs List; Dean 6 who understood the bureaucracy of the Central Development Office also received the help of Central Development Officers. This appeared to be a contributing factor to the deans' ability to achieve their colleges' goal.

An analysis of the data showed that based on the six criteria used in trimming the colleges' Needs List for inclusion in the institutions Needs List, it would appear that



deans who had a higher percentage of their colleges' needs included had a higher capability to plan.

**Making Additional Plans for Fundraising Activities.**

The evidence showed that Deans 2, 7 & 8 who had development officers prior to the beginning of the Campaign already had an annual fundraising get-together with supporters. However, these three deans planned to use that forum to communicate their colleges' needs to their supporters. Nonetheless, Deans 5 and 6 who did not have development officers prior to the Campaign established committees which they used to communicate their colleges' needs to their supporters. Dean 9 also made plans to develop informational letters to be sent to alumni who had been active in the alumni organization, but as of the time of the interview, the plans had not yet been implemented. Deans' ability to make additional plans for fundraising activities appeared to contribute to their ability to achieve their colleges' Campaign goals.

**Plans To Identify and Involve  
Community Leaders as Program Leaders.**

The evidence clearly showed that Deans 2, 5, 6, 7 & 8 planned and developed either fundraising committee and or development councils and involved community leaders, local professionals and alumni in these committees or councils. These committees or councils aided colleges 2, 5, 6, 7 & 8 in their development activities (of which fundraising was one). These were the colleges that achieved their fundraising goals for the

Campaign. Deans 1, 3, 4 & 9 did not plan to identify and involve community leaders in their colleges' development activities as leaders. These were the deans whose colleges did not achieve their Campaign goals. This factor appeared relevant to deans' ability to achieve their colleges' Campaign goals.

#### **Deans' Ability to Strategize How To Achieve Colleges' Goal**

According to Whaley (1986), any Campaign plan includes plans for the Campaign's progress to be monitored and for predictions to be made at regular points in the Campaign. The purpose for monitoring is to enable the plan to be adjusted as soon as it is in danger of falling short of its specific goal. An analysis of the data showed that all deans met with their development officers at least once every month to discuss and monitor the Campaign. However, those deans who achieved their colleges' Campaign goals were those who spent their meeting time strategizing the best approach to achieving the college's Campaign goal. The deans' ability to strategize how to achieve the colleges' Campaign goals seemed relevant to deans' ability to achieve their colleges' Campaign goals.

#### **ORGANIZATIONAL FACTORS**

The concept of team work as a factor for success in fundraising is prevalent in the literature of educational fundraising (Davis, 1988; Dove, 1988). It was therefore not surprising that some development officers mentioned team work

between the dean, faculty and development officer as one reason their dean achieved their colleges' Campaign goal. The concept of team work also involved deans' working relationship with the Vice President for Development and Volunteers. Deans who achieved their colleges' Campaign goals had the following organizational skills in common:

**Dean's ability to personally solicit funds.**

The data showed that deans who reached their colleges' goal shared the ability to personally solicit funds. However, Deans 4 and 9 were able to solicit funds but they did not achieve their colleges' fundraising goals. The data showed that Dean 4 did not like fundraising, though he solicited for funds when asked to do so. Although Dean 9 could raise funds, because he had been actively involved in raising funds as a volunteer, he did not achieve his college's Campaign goal. However, it is worth reiterating that Dean 9 did not have a permanent development officer, whose primary responsibility was to prepare the dean to cultivate and solicit prospective donors.

**Complementary working relationship with Development Officer.**

The data showed that Deans 2, 5, 6, 7 & 8 who had a complementary working relationship with their development officers achieved their colleges' Campaign goal, while Deans 1 & 4 who did not have a complementary working relationship with their development officers did not achieve their colleges' Campaign goals. Deans 3 and 9 did not have

development officers throughout the duration of the Campaign. This factor appeared to have relevance to the deans' ability to achieve their colleges' Campaign goal.

**Close working relationship with Vice President for Development.**

The data showed that six Deans; 8, 5, 7, 2, 6 & 9 had a close relationship with the Vice President for Development. However, only five out of the six deans achieved their Campaign goals. Dean 9 who had a very close relationship with the Vice President for Development did not achieve his colleges' Campaign goal. Deans 1, 3, and 4 whose relationship with the Vice President for Development was limited to a once a year visit also did not achieve their colleges' Campaign goal.

**Use of Organized Volunteers.**

All colleges utilized the help of volunteers and not all achieved their colleges' Campaign goal. However, the evidence showed that Deans 2, 5, 6, 7 & 8 who developed committees and councils and organized the utilization of the help of volunteers in their colleges' development activities achieved their colleges goal. These deans involved community leaders and local professionals in their colleges' overall development activities. These community leaders or professionals, either raised money on behalf of these deans' colleges or became the colleges' advocate to corporations or other individuals. The ability to organize the utilization of

volunteers appeared to be a contributing factor to deans' ability to achieve their colleges' Campaign goal.

#### **FACTORS WITH CUMULATIVE EFFECT**

Table 12 seems to suggest that the presence of a resident development officer throughout the Campaign did not seem to be a contributing factor to a dean's ability to achieve his college's Campaign goal. However, an analysis of the data showed that this factor might have contributed or impeded a dean's ability to achieve his college's Campaign goal, though not in and of itself.

From the data, Deans 1, 2, 4, 5, 6 & 7 had their development officers residing in the same building with them throughout the Campaign, but not all these deans achieved their colleges' Campaign goals. Dean 3 did not have a development officer for most of the Campaign and Dean 9 had a resident development officer for the first two years of the Campaign. Deans 1 and 4 did not achieve their Campaign goals inspite of having their development officers residing in the same building with them. On the surface, this factor appeared to be irrelevant to the deans' ability to achieve their colleges' Campaign goal. However, it seems to have a cumulative effect on the deans' ability to raise funds in the following ways: a) the data demonstrated that fundraising at the college level in a decentralized structure was a partnership between the dean and development officer; b) the partnership implied a complementary relationship, with the

dean taking the initiative with cultivation and solicitation of agreed upon donors and the development officer having the responsibility of preparing the dean for cultivation and solicitation. Without a development officer whose primary responsibility was to prepare the dean for cultivation and solicitation, the task of fundraising could be much more challenging to the dean given his other responsibilities.

On the other hand, this partnership between dean and development officer also calls for the dean to take the leadership in the college's fundraising; that is, by being responsible for prioritizing colleges' needs, cultivation and solicitation. Without the existence of this partnership or complementary relationship; where each party (dean and development officer) is doing what he or she is supposed to do, fundraising is not successful (Barden, 1988). This was the case with Deans 1 and 4 who had development officers throughout the Campaign, yet did not achieve their colleges' Campaign goals. Both Deans 1 and 4 disliked fundraising and felt that fundraising was the responsibility of their development officers. Although Dean 4 solicited for funds when asked to do so by his development officer, he felt solicitation and fundraising should be the responsibility of the development officer.

In the case of Dean 9, the reverse was also true. He was willing to take responsibility for his college's fundraising including solicitation; but because he had no

development officer during the last three years of the Campaign; he probably did not achieve his college's Campaign goal as a result of that. The dean himself provided further clarification when, during the interview, he said his college was on target in regards to achieving its Campaign goal during the first two years of the Campaign when he had a development officer.

In summary, the data revealed that there were multiple factors and activities that contributed to a dean's ability to achieve his college's Campaign goal. In particular, the findings revealed that the following four factors contributed the most: (a) A dean's ability to regard fundraising as his responsibility and consequently be enthusiastic about raising money to improve the educational quality of the college; (b) a dean having a capable development officer with whom he has a complementary working relationship; (c) a dean's ability to ensure that the needs for which money is being solicited, reflected both college's needs and those of the prospective donors, uncovered through cultivation; (d) a dean's ability to enlist the help of a coalition of volunteers in his college's fundraising activities.

The deans' ability to achieve the above four factors was interrelated to their ability to lead, organize and plan their colleges' Campaign activities.

## **CHAPTER 7**

### **SUMMARY, CONCLUSION, IMPLEMENTATIONS AND RECOMMENDATIONS**

This chapter is a presentation of three major topics. First, it provides a summary of the results with conclusions about the major research objectives and questions. Second, the practical policy and theoretical implications of the study for higher education will be discussed. Third, recommendations for further research will be made.

#### **SUMMARY**

The fact that MSU's first major Capital Campaign was successful is evident in the fact that the Campaign so far has exceeded its \$160 million goal by over \$54 million. Besides its financial success, the Campaign was successful in raising MSU's visibility with its constituents. The Campaign was also successful in decentralizing fundraising activities at MSU. With the decentralized fundraising structure, each dean was in charge of his college's fundraising activities.

The purpose of this study was to describe the factors that contributed to or impeded the deans' ability to achieve their colleges' fundraising goal. In order to describe these factors a sample of the deans at Michigan State University was chosen for the study. A full population study of the deans was not possible because two deans were included in the pilot study.



A descriptive research design was chosen for the following reasons: first, it would enable the researcher to utilize conceptual variables in the study of the deans' role in fundraising. Secondly, it had the ability to provide illumination for the fundraising roles played by specific deans at Michigan State University. Such knowledge was deemed useful in analyzing the effectiveness of the deans' participation in the Capital Campaign especially since this was the first time the institution has conducted a major Capital Campaign. Third, a descriptive research methodology enables a researcher to collect data which involves detailed descriptions of situations, events, people, interactions and insightful opinions. It was believed that the insightful opinions of the deans could be helpful to university administrators in planning the deans' involvement in the next Campaign.

The research sample was selected from a population of fourteen deans and development officers. The criteria for selection included size and orientation of college.

The research instruments consisted of two structured interviews administered to the selected deans and their development officers via a personal interview. The first questionnaire, which was administered to the deans, was divided into four parts. The first three parts solicited information from the deans on their leadership, planning and organizational roles during the Capital Campaign. The fourth

part was a survey of the deans' opinion on their experiences as fundraisers and on fundraising in general. The development officers' questions were designed to accomplish two things. One, to solicit information from the development officers on their colleges' fundraising potential and two, to illuminate or shed light on the leadership, planning and organizational roles of their deans.

For the purpose of data analyses, responses of both deans and development officers were arranged to focus on the study's objectives. The analyses were presented in a manner that linked data to the study's propositions. Since most of the interview questions were open-ended, responses were collated and categorized into content classifications, important issues were discussed and where applicable, data were presented in tables and percentages.

### **Findings and Conclusions**

In describing the factors that contributed to or impeded a dean's ability to achieve his college's Campaign goal, it is pertinent to acknowledge that some colleges had a higher fundraising expectation than others. The data showed that colleges with the following characteristics had a higher potential to raise large sums of money. They are:

#### **1. Wealth**

The more money a college had, the more the dean, was able to achieve the college's fundraising potential goal. Wealth was measured by the size of a college's endowment. Deans' of

colleges with endowment funds of \$.50 million and above achieved their Campaign goals. The development officers of these colleges indicated that the size of their endowment was as a result of the successes the college had in fundraising prior to the Capital Campaign, either through the effort of a development officer or by unsolicited gifts from well wishers. In either case, that meant there were constituents interested in these college's welfare to the extent of giving to the colleges, with or without being asked by a development officer. Those colleges with development officers had fundraising activities which were operated by paid residential development officers who worked solely for these colleges. This was unlike most other colleges where the very little development activities which existed were handled by the central development office staff. In one of the three colleges with the highest expectation or potential to achieve its college's fundraising goal, fundraising activities included annual giving, planned giving, Capital Campaign, and prospect research. In the other two colleges, development activities included the development of an in-house fundraising program with corporations that had a number of their colleges' graduates. These corporations matched whatever amount of money alumni of Michigan State University working in their organizations gave. Additionally, the development officers solicited small gifts from foundations and also used their faculty and students to conduct personalized annual

solicitation by phone.

The involvement of these colleges directly with individuals, corporations and foundations gave them an edge over other colleges whose development activities were handled through the Central Development Office.

## 2. Tradition

Deans whose colleges had a tradition of strong programs and good projects for which money could be raised had higher potential to achieve their colleges' Campaign goals than deans who did not have a tradition of strong programs.

The alumni of professional schools were thought to be more successful financially than alumni of arts or non-professional colleges. These alumni from professional schools were rated as very high prospects to donate to their colleges. Therefore, professional colleges were expected to achieve their fundraising goals for the Campaign. However, the data showed that deans who achieved their colleges Campaign goals were those whose colleges had a tradition of strong programs and projects for which money could be raised.

## 3. Older College

Deans of older colleges had a higher potential to achieve their colleges' Campaign goals than deans of newer colleges.

Deans of professional colleges were expected to have a higher potential to achieve their colleges' Campaign goals because their alumni were thought to be wealthier. From the data, deans of older colleges achieved their Campaign goals

probably because their alumni were more well established in their careers than alumni of newer colleges, irrespective of whether they were professional colleges or not.

#### **4. Size**

Deans of bigger colleges had a higher potential to achieve their colleges' Campaign goals.

Deans of bigger colleges had a higher potential to raise more money because the colleges had a bigger impact on the community directly through their educational, research and public service programs than all the other colleges in the institution. As a result of the type of impact the colleges had on the community, they were able to successfully solicit money from their constituents because they were providing services to a greater number of people.

#### **5. Alumni and Friends**

Deans of colleges that actively involved professionals from the community and alumni as advocates of their colleges raised more money than deans of colleges that did not utilize alumni, professionals and community leaders in such a capacity.

Deans 2, 7 and 8 organized fundraising committees and/or advisory councils to further their colleges' development activities, and they involved alumni and community leaders. These deans were expected to achieve their colleges' fundraising goals and they did. Deans 6 and 7 also organized fundraising committees and or advisory councils and they too

reached their colleges' Campaign goal. A total of five deans educated alumni, community leaders and professionals in their colleges' discipline in regards to what was going on in their colleges with the hope that they would be the colleges' advocate with their peers outside the institution. At the same time, these professionals brought to the colleges a perspective from the corporate world as to what was going on there and how that might influence or impact the colleges' educational program. Their insights were useful to the deans in structuring a curriculum responsive to the needs of the society. The professionals, alumni and community leaders were also expected to provide these colleges with leadership during the Capital Campaign.

Although deans of colleges with the advantages of wealth, tradition and size were expected to raise more money than deans without the above mentioned advantages, the research findings revealed that success or failure in achieving a Campaign goal depended on what the deans did during the Capital Campaign, in terms of three interrelated components, namely: (1) leadership, (2) organization and (3) planning.

**Leadership Role of the Deans  
During the Capital Campaign:**

1. The deans who had a clear vision for their college and a mapped out plan of how to communicate this vision to prospective donors were more successful at reaching their colleges' potential than deans

who did not have a plan of how to communicate their vision to prospective donors.

Although all deans had a vision for their colleges, some were more enthusiastic about their vision than others. The evidence also showed that Deans 2, 5, 6, 7 and 8 were able to make and implement plans to communicate their vision to prospective donors and to translate their vision into fundraising priorities. The one thing that set deans who achieved their colleges' fundraising potential aside from those who did not, was the ability these deans had to get other people to identify with their vision.

2. The deans who spent 40 hours/month or more of their time on fundraising activities were more successful at reaching their college's fundraising potential.

Deans 5, 6, 7 and 8 who spent over 40 hrs/month on fundraising activities such as cultivation, fundraising meetings and solicitation achieved their colleges' Campaign goals. The only exception was Dean 2 who spent 30 hrs/month on fundraising activities and exceeded the college's fundraising Campaign goal. The reason was that cultivation and solicitation of donors was a shared responsibility in the college. These fundraising activities were delegated by the dean to a faculty member he regarded as being most suitable to cultivate and solicit a prospective donor. The college adopted a team effort approach to fundraising, allowing either the dean or faculty member who is familiar with a potential

donor to cultivate and solicit donations.

3. Deans who were able to persuade appropriate university personnel to raise funds on behalf of their college reached and exceeded their colleges' fundraising expectation.

The more a dean was able to persuade either the President, a trustee or top university administrator to fundraise on behalf of his/her college, the more the dean was able to reach his/her college's fundraising potential.

4. Deans who succeeded in personally giving fundraising visibility in the college reached their fundraising potential.

Faculty members participated in the Capital Campaign in all colleges; however, the difference in the participation between colleges that reached their potential and those that did not, was the deans' capability to personally contribute to giving fundraising visibility in their colleges. By giving fundraising visibility in the college, the dean charted the course of fundraising in the college, thus giving fundraising or development prominence in the college.

5. Deans who had the same approach to fundraising as their development officers reached their colleges' fundraising potential.

Deans who had the same approach to fundraising as their development officers demonstrated a fair degree of congruency, in that both the dean and his development officer not only



decided programmatic and dollar goals after discussing them, but also mapped out who should take initiative with agreed upon projects and donors. By so doing the development officers did not have any difficulties in getting the deans to participate in cultivation and solicitation. Those deans who only decided programmatic and dollar goals and then relied on their development officer to keep them informed about development in general, including the appropriate time for them to get involved, did not reach their colleges' fundraising goal. Although these two deans did cultivate prospects when asked to, their lack of enthusiasm to be actively involved to the extent of having preagreed upon assignments of whom to cultivate and solicit, caused their development officers some frustration. These same deans were classified by their development officers as either not interested in development or as minimally interested in development.

6. Deans who were comfortable with or enjoyed fundraising achieved their colleges financial goal.

The ease or comfort with fundraising was deduced as one possible reason deans achieved their financial goal. This was supported by the fact that the deans who were rated by their development officers as being extremely comfortable with fundraisers were those who achieved their colleges' fundraising potential. With the exception of two deans who did not have a development officer either early or later in

the Campaign, all deans rated as "comfortable" or "getting to be comfortable" with fundraising achieved their colleges' fundraising potential. The deans who were described as not being comfortable with fundraising did not achieve their colleges' fundraising potential.

7. Deans who primarily or in conjunction with their development officers developed or changed their colleges' case for support statement, achieved their Campaign goal.

A case for support statement is a document that reviews the arguments for support, shows how gifts may be made and who the people are who vouch for the project and give it leadership and direction. Deans who primarily or in conjunction with their development officers developed or changed their colleges' case for support statement demonstrated their leadership, but more importantly used the case statement to convey their aspirations for the college and the reasons for their aspirations.

**Planning Role of the Deans  
During the Capital Campaign:**

1. Deans whose Needs List reflected the vision they had for their colleges were successful in achieving their colleges' fundraising potential.

An analysis of the deans revealed that they were filled with enthusiasm to raise money for goals in which they believed. This was true whether a dean inherited a wish or

needs list himself from a predecessor or developed the list. In cases where the ex-dean's wish list did not address the vision that the succeeding dean had for the college, the new dean changed the fundraising priorities to suit his/her vision for the college. The five colleges that achieved their fundraising potential had needs that addressed their deans' vision for their colleges. These deans were involved with either planning or changing the needs list to translate their colleges' needs borne out of their vision, into fundraising priorities.

2. Deans who made plans for additional fundraising activities achieved their colleges' Campaign goal.

The Central Development Office made fundraising plans for all colleges, however, from the data, only colleges whose deans made additional plans to cultivate donors achieved their Campaign goals.

3. Deans who reached their colleges' goal spent time cultivating donors and they produced a case statement that met both their needs and those of their constituents.

Deans who personally cultivated prospects through whatever means available to them, were those who produced a case for support statement that was well received by donors. Through the process of cultivation, those deans discovered what donors were willing to fund. By so doing, these colleges

avoided the risk of asking for funding that they never received.

4. Deans who spent their meeting times with their development officers strategizing how to change their Campaign plans so as to achieve their college's Campaign goals achieved their colleges' Campaign goals.

Each dean planned to spend time and did so regularly on a monthly basis with his or her development officer. The analyzed data however, showed that inspite of all deans spending time in meetings with their development officers, only the five who achieved their colleges' fundraising potential spent their meeting time with their development officers, strategizing fundraising techniques and preparing fundraising materials sent to prospects, reached their fundraising potential. The other deans, with the exception of two deans, who did not have a development officer throughout the duration of the Campaign, spent their meeting time with their development officers learning what each development officer has done in regards to development in the college.

#### **Organisational Role of the Deans in Fundraising**

1. Deans who were willing and capable of sharing authority yet accepting individual responsibility for the outcome of the Campaign achieved their colleges' Campaign goals.

Shared authority was manifest in the colleges that reached their fundraising potential. The dean, development officer and faculty had individual responsibilities. The dean was responsible for setting priorities, representing the college to its various constituents and in sharing the responsibility of cultivating and soliciting, with the person in the college best suited for cultivation and solicitation.

The development officers had the primary responsibility of orchestrating the development activities of the dean and performing background work to enable the dean to succeed at his/her cultivation/solicitation calls. Faculty members shared the responsibility of cultivation and solicitation when they were best suited for the job. In spite of these shared responsibilities, deans who succeeded accepted total responsibility for the outcome of their colleges' Campaign, unlike the deans who did not succeed at reaching their colleges' goal. These deans, with the exception of those who did not have a development officer throughout the Capital Campaign, regarded fundraising and its outcome as the responsibility of the development officer.

2. Deans who were able to personally solicit funds achieved their colleges' Campaign goals.

Deans who personally solicited donations either directly or via a proposal that included their personal impact reached their colleges' fundraising potential. Deans who had great discomfort soliciting money from individuals did not

reach their colleges' fundraising potential.

3. Deans who enjoyed a positive and complementary working relationship with their development officers reached their colleges' fundraising potential.

Deans whose development officers described their relationship to their deans as "excellent," "very good," "good team" and "very close" were those whose colleges reached their fundraising potential. On the other hand, those who described their fundraising relationship as "trying to get the dean to do what he/she is supposed to do", expressed considerable frustration with their working relationship with their deans and these colleges did not reach their fundraising potential.

4. Deans who utilized the help of an organized body of volunteers in their colleges' overall development activities achieved their colleges' fundraising potential.

The evidence showed that although all colleges utilized volunteers especially in the form of alumni, the five colleges which actively utilized an organized body of volunteers in one or more of the following committees/boards achieved their colleges' fundraising potential. These committees/boards included: A fundraising committee, dean's Board of Visitors and Dean's Advisory Board. In the case of the fundraising committee, the volunteers actively raised funds for the two colleges that had the committee. The

boards, organized by the respective deans that utilized them, acted as advocates of these colleges to the corporate world and helped the deans keep these colleges' curriculum responsive to society's demands. This may therefore explain why those colleges with fundraising committees and/or board members active in the colleges' overall development achieved their fundraising goal.

In conclusion, a dean's ability or inability to meet his college's fundraising potential during the MSU Capital Campaign was a function of three interrelated components of a Campaign namely: leadership, organizational and planning skills. However, of the three components, leadership seemed to be predominant. Deans' organizational and planning skills seemed dependent on a dean's willingness and capability to lead his college's Campaign activities.

In the final analysis, however, it should be said that the leadership of the dean, coupled with the leadership of a capable development officer, were the most important factors that aided a dean's ability to achieve his college's Campaign goal. The study supports Seymour's (1966) assertion that:

".....Leadership in itself, let it never be forgotten, is always the key factor in successful fundraising, whatever the cause, whatever the goal, and whatever the scope of the Campaign" (Seymour, 1966, p. 179).

Since deans at MSU unanimously agreed that they should be involved in fundraising (see p. 301) and that MSU should

conduct another Capital Campaign (see p. 302); deans are, as a result of this study, advised to take the leadership in their colleges' fundraising endeavor and to select a capable development officer to manage it.

Deans' leadership in their colleges' capital campaign is essential and indispensable for success because people tend to identify a program or college with its leadership. A dean's ability to talk about ongoing programs and meet with potential donors is central to the dean's ability to achieve his college's campaign goal. Simply delegating the responsibility of fundraising to the development officer and receiving feedback in weekly meetings will not translate to success, regardless of how capable the development officer is. This is because the development officer cannot represent the college to prospective donors. The development officer's primary responsibility is to support the dean in his efforts to raise money.

#### **Implications of the Study**

Although this study focuses exclusively on the role of deans in fundraising in one particular university during a specific Capital Campaign, there are a few implications of the study that may be useful to other institutions.

1. Personal leadership and commitment by the dean is indispensable. The study showed that in order for the dean to raise money, he/she has to have a vision for his/her college and a mapped out plan of how to achieve this vision. For



fundraising success, the dean has to be able to express his/her vision with conviction and possess the capability to convert his vision into fundraising priorities. In spite of the rigors and expanse of the role of the deans, the findings indicated that the deans succeeded at raising funds when they spent time and also took a leadership role in cultivating and soliciting donors. A dean can accomplish success by enlisting prospective donors to serve in designated volunteer positions within his/her college. Such positions could be in the school's alumni association, in the dean's advisory council or visiting committee. Such participation, besides giving potential major donors the opportunity to be involved in the life of the college, provides the opportunity to uncover the donors' needs which he/she should mesh with those of the college to formulate a responsive case for support statement for the college.

2. Although the deans are in the best position to represent their colleges to prospective donors because of their philosophical knowledge about the college, fundraising at the college level worked best when it was made a college priority and when the dean, faculty and development officers worked as a team. For effectiveness the college development officer should be made an adjunct member of the dean's decision making organization; the faculty members and department chairs should be involved in planning the college's development needs and should also share in cultivation and

solicitation.

3. For MSU to maximize the benefits of fundraising, a decentralized structure of development with the coordination and support of the Central Development Office encourages more participation at the college level while presenting a united front to the outside public. Individual colleges benefitted from the publicity, momentum surrounding the institution's Campaign and the support of the Central Development Staff. At the same time, colleges were able to directly appeal to their alumni who were more receptive to their colleges' appeal for assistance. This was because of the greater affiliation they had with these colleges than they had with the institution in general. However, adequate coordination and planning between the Central Office and the colleges should occur. Universities should be aware that any negative publicity has a ripple effect on the fundraising efforts of the colleges.

4. MSU should not assume that deans can be plunged into the role of a fundraiser without prior experience or adequate preparation by way of seminars or on the job training.

5. Given the importance of fundraising to institutions of higher learning, institutions should seek to fill the position of dean with individuals who are willing to devote at least 20 percent of their time to fundraising. Such individuals, besides being an excellent scholar, should also possess the ability to interact and work comfortably with

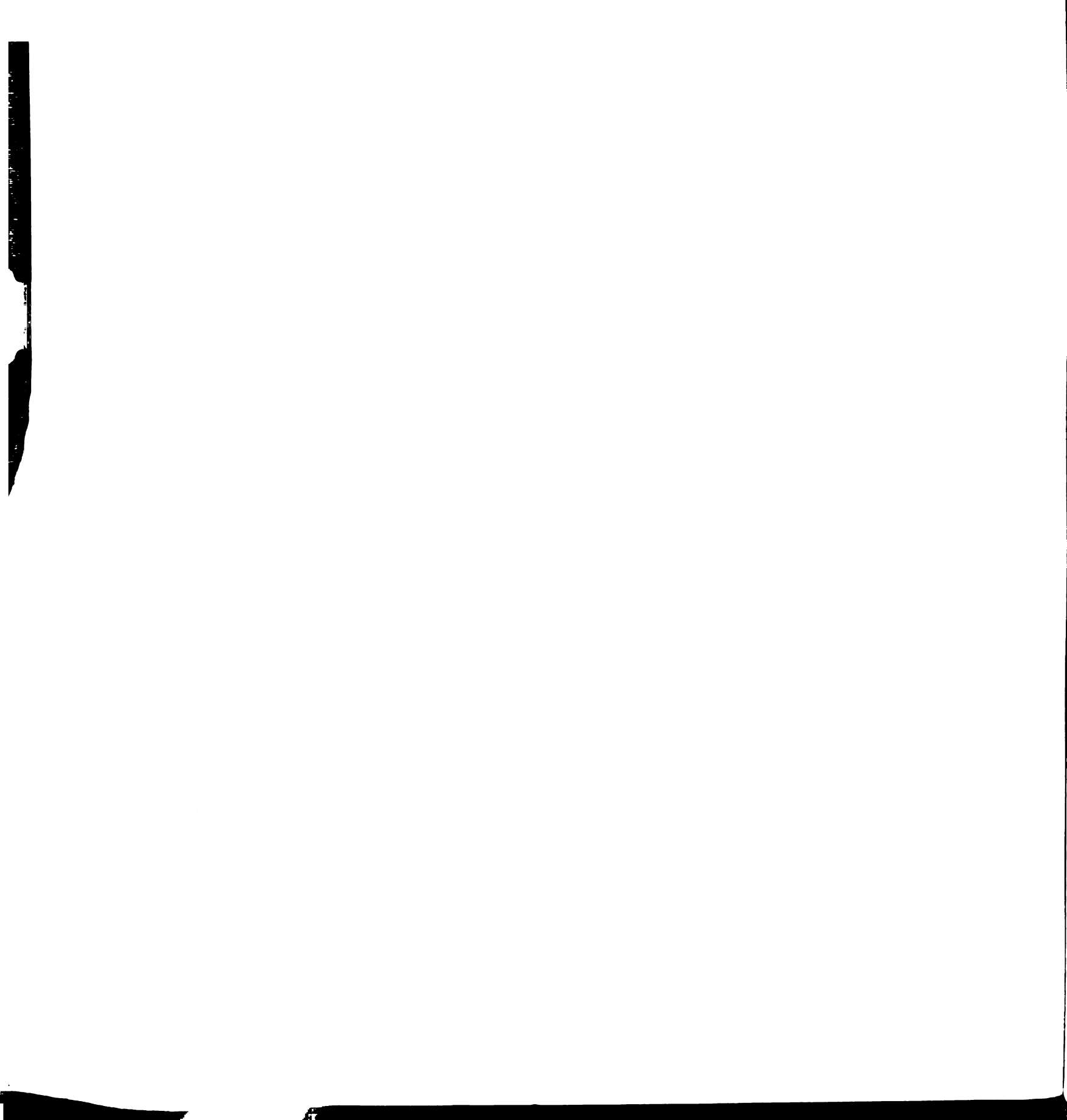
people. Prior experience in fundraising should be desired but not required.

#### **Recommendations for Future Research**

Additional research should be conducted in order to supplement the findings of this research. First, there is need for the role of deans as fundraisers to be studied at MSU and in other institutions in the form of a case study. Studying each dean as a single case will provide more information on the deans' role as fundraisers. It will also provide individual analysis of factors that aided or impeded deans' in their role as fundraisers. Individual cases should then be compared with each other rather than comparing deans that succeeded with deans that did not.

Secondly, additional research should be conducted using a different research methodology. Using a descriptive research methodology for this research, the researcher has suggested some relationships between a dean's leadership, planning and organizational skills and his ability to achieve his college's Campaign goal. Further study is needed to test these relationships. Such a study could go further to test whether there is any relationship between a college's fundraising potential and a dean's ability to achieve the college's Campaign goal. If a relationship is found, it is recommended that such a study should go further to test whether or not that relationship is stronger than the

relationship between a dean's leadership, planning and organizational skills and his ability to achieve his college's Campaign goal.



# **APPENDICES**

## **APPENDIX A:**

**APPENDIX A:**

**LETTERS AND OTHER MATERIAL PRESENTED TO  
THE DEANS AND DEVELOPMENT OFFICERS**



February 20, 1992.

To : Deans of the Colleges at Michigan State University.

From : Bassey I.A. Ebiana, Doctoral student,  
Department of Educational Administration

Re : Data Collection for Dissertation on :  
"Deans as Fund-raisers : Case Study of MSU 2000 Capital Campaign".

Dear Sir/Madam :

I am a doctoral student working on my dissertation which is designed to assess the role of academic deans in fund-raising. Your experience in fund-raising during MSU 2000 Capital Campaign is the basis for the case study.

The study is important in view of the increased need for educational fund-raising and also, in view of the dearth of information on the critical role of the deans in the fund-raising process. A census of the dean population will be taken, the findings of which should prove useful to both you (the deans) and Michigan State University administrators in terms of what factors aided or hindered your functioning as fund-raisers. Additionally, a census of your opinion on fund-raising could prove helpful to the dean search committee and other persons aspiring to the position of dean.

I am particularly interested in obtaining your reflective responses because your experiences in fund-raising will contribute significantly toward applying a set of theoretical concepts to the analysis of your role in fund-raising.

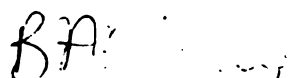
The interview questions have been tested with a sampling of assistant and associate deans. Necessary revisions have been made to enable me to obtain all necessary data while requiring a minimum of your time. The time required to complete the interview is 60 minutes.

Since other phases of this study cannot be carried out until the analysis of the interview data is completed, it would be most appreciated if you can accommodate this interview by the 13th. of March 1992, as I am hard pressed for time to complete my studies and return home to my country Nigeria. Shortly, I shall give you a telephone call to schedule an interview date.

I would like to assure you that confidentiality will be strictly maintained. Reports of research findings will not associate you with specific findings. After the data has been transcribed and analysed, the tape recordings of the interview will be destroyed. Your participation in this study is completely voluntary.

Thank you for your cooperation.

Sincerely,




---

Bassey I.A. Ebiana,  
Department of Educational Administration,  
Michigan State University,  
East Lansing, Michigan 48823.

---

Dr. Marylee Davis (Major Advisor),  
Department of Educational Administration,  
Michigan State University,  
East Lansing, Michigan 48823.

February 20, 1992.

To : Directors of College Development.

From : Bassey I.A. Ebiana, Doctoral student,  
Department of Educational Administration

Re : Data Collection for Dissertation on :  
"Deans as Fund-raisers : Case Study of MSU 2000 Capital Campaign".

Dear Sir/Madam :

I am a doctoral student working on my dissertation. The dissertation is designed to assess the role of academic deans in fund-raising using the deans' experience during MSU 2000 Capital Campaign as a case study. While the achievement of the financial goal of the campaign is applauded, it is essential to assess the campaign's other goals; one of which was the involvement of academic deans in the capital campaign. This study is concerned with examining the role of the deans during the capital campaign. Your help, therefore, is kindly solicited for the provision of statistical information on the role your dean played in achieving your college's financial goal and fund-raising potential.

The study when completed will accomplish the following : (a) contribute to bridging the gap in the knowledge data base on the role of deans as fund-raisers; (b) apply a set of theoretical concepts to the analysis of the deans' role in fund-raising; (c) provide fundamental data on the selection of deans in terms of fund-raising success and (d) assess what factors aided or hindered the deans at Michigan State University in their participation in the institution's first capital campaign. Research findings could prove helpful in subsequent campaigns to you, the deans and MSU administrators.

Your participation in the study, though voluntary, will be appreciated. The length of the interview will be approximately 60 minutes. Confidentiality will be maintained. Reports of research findings will not associate you with specific responses on findings.

Since other phases of this study cannot be carried out until the analysis of the interview data is completed, it would be most appreciated if you can accommodate this interview by the 13th. of March 1992, as I am hard pressed for time to complete my studies and return home to my country Nigeria. Shortly, I shall give you a telephone call to schedule an interview date.

Thank you for your cooperation.

Sincerely,

---

Bassey I.A. Ebiana,  
Department of Educational Administration,  
Michigan State University,  
East Lansing, Michigan 48823.

---

Dr. Marylee Davis (Major Advisor),  
Department of Educational Administration,  
Michigan State University,  
East Lansing, Michigan 48823.

## MICHIGAN STATE UNIVERSITY

OFFICE OF THE PRESIDENT

EAST LANSING • MICHIGAN • 48824-1046

February 27, 1992

Dear Dean 2 ~ ,

Attached is a request from Ms. Bassey Ebiana, a Ph.D. candidate, for whom I serve as major advisor. Ms. Ebiana is in the process of obtaining research data for her dissertation on the role of academic deans in fund-raising.

Because you were an active participant in fund-raising during the MSU Capital Campaign, you have been identified by Mr. Richard Meyer, Vice President for University Development, as someone who is essential to assist with this research.

Although your schedule is busy at this time, I would ask that you prioritize time for Ms. Ebiana to conduct an interview with you. Your willingness to help will be greatly appreciated by Ms. Ebiana, University Development, the greater academy, and me.

If I can answer questions or be of additional assistance, please contact me.

Sincerely,

Marylee Davis, Ph.D.  
Executive Assistant to the President  
and Secretary of the Board of Trustees

MLD/jla

cc: Mr. Richard Meyer

3~ 1~ 2~

4~

5~

My name is Bassey Ebianana. I am a Ph.D. student from Nigeria in the college of educational administration. My dissertation research explores "Deans as Fund-raisers." Specifically, I am interested in the dean's role in the special gifts phase of the capital campaign.

Again, as mentioned in the letter previously sent to you, I reiterate that your identity will be kept confidential and that reports of research findings will not permit associating you with specific responses or findings. I would like your permission to tape record this interview for the purpose of accurate recall. I assure you that no one else will have access to this recording. Again your participation is voluntary.

May we begin?

**APPENDIX B:**

**APPENDIX B:**  
**QUESTIONNAIRES**

DeansLeadership

1. How long have you been the dean of this college? Have you been a dean elsewhere?
2. Where would you like to see this college five years from now?
3. As an educator, what is your educational philosophy, vis-a-vis your role as a dean?
4. During the Special Gift phase of the campaign, approximately how many hours a month did you devote to the following fundraising activities?
  - \* Meetings
  - \* Cultivation of donors
  - \* Solicitation
5. In your attempt to reach your college's financial goal, were you able to persuade any university personnel, such as the president, faculty members or staff members, to fundraise on behalf of your college?
6. Describe your approach to fundraising.
7. How did you communicate your college's needs to the central development office?
  - \* Describe the process you used.

Planning

1. All deans were required to submit a college needs list to the provost during the planning phase of the capital campaign. Did your involvement in this exercise help you to understand the process of fundraising? If so, how?
2. Did you participate in:
  - (a) the institution's feasibility study?
  - (b) your college's feasibility study?
  - (c) discuss the effect(s) this/these exercise(s) had on your role as a fundraiser.
3. Did your college have a case statement?

- (a) Who was/were primarily in charge of its preparation?
  - (b) Were there steps taken to ensure its effectiveness? What were they?
  - (c) Was a written explanation included in the case statement explaining why the money was needed and how money raised will be spent?
4. Were the college's needs included in the institution's needs list?
- (a) What approximate percentage of these needs were included?
5. Were there specific fundraising activities planned to raise money for your college?
- (a) What were these activities?
  - (b) Were these new activities of "traditional" events?
  - (c) Who were included and why?

#### Organization

1. Describe your relationship with the following people:
- \* your College Development Officer
  - \* Did you participate in the selection of your Development Officer?
  - \* the Chief Development Officer (Vice President) of Michigan State University
  - \* the President as campaign leader
2. Did you utilize volunteer help to raise money?
- (a) Who recruited them?
  - (b) What were the responsibilities of the volunteers?
4. Who were your primary constituents?
- (a) How did you reach them?



Reflections on Fundraising Experience

1. What got you involved in the fundraising process?
2. What specific factors helped you in your fundraising role and were there factors that you did not like or feel comfortable with?
3. Personally, what are your feelings toward fundraising?
4. Did you learn anything from this fundraising experience?
  - (a) If so, what did you learn?
5. In your opinion, do you think that deans should be involved in fundraising?
  - (a) Why or why not?
  - (b) What should their fundraising experience include?
  - (c) What percentage of a dean's time should be spent on fundraising during a capital campaign?
  - (d) What should a dean's relationship with the institution's Chief Development Officer be?
6. If you were to advise on the appointment of a successor who would be effective in fundraising, what qualities and qualifications should the university be looking for?
7. How much more money have you, that is, your college, received over the past five years that you could not have received without the campaign?
8. Was the expense of the campaign on the part of your college less or more than your college received?
9. Would you advise the university to launch a similar campaign in the future?
  - (a) If so, would you advise the university to change or maintain the way the campaign was conducted?
  - (b) If you recommend a change, what type of change would you recommend?
10. Was your Director of Development helpful to you in raising money?
  - (a) In what other ways could your Director of Development have been more helpful to you?

- ✓11. Was the university's Central Development Office helpful to you in raising funds?
- (a) If yes, in what ways?
  - (b) In what other ways could the Central Development Office have been more helpful?
12. Now that you have had this experience, how capable do you think your college can raise funds without the help of a development office?
13. In your opinion, what different goals and approaches can be used for fundraising?

This concludes our formal interview. I sincerely thank you for your time.

College Development Officers

1. What is the student population of this college?
2. What type of college (that is orientation) is this college-- arts, science, or professional?
3. When was this college's development established? (before the plan to conduct a Capital Campaign or after?)
  - \* Describe its structure.
4. How would you characterize the fundraising experience of this college prior to the beginning of the campaign?
5. What was the fundraising goal of this college?
6. How many prospects were identified?
  - \* What was the amount expected from them? Total or per person?
7. Prior to the campaign, did your college have any fundraising activities?
  - \* Please describe them.
8. Prior to the capital campaign, did this college have any endowment funds?
  - \* How much?
9. Every Development Officer has his/her unique approach to fundraising. Could you describe your approach to fundraising?
10. During the special phase of the campaign, what were your responsibilities as College Development Officer?
11. During this same period of time, please describe your fundraising relationship with the dean of your college?
  - \* How many times a month did you discuss fundraising in general?
  - \* How many times did you discuss the attainment of your fundraising goals and if needed, to alter your plans so your college could attain its fundraising goals?
12. How would you describe the dean's approach to fundraising? For example:
  - \* How would you describe his/her comfort, ease, or

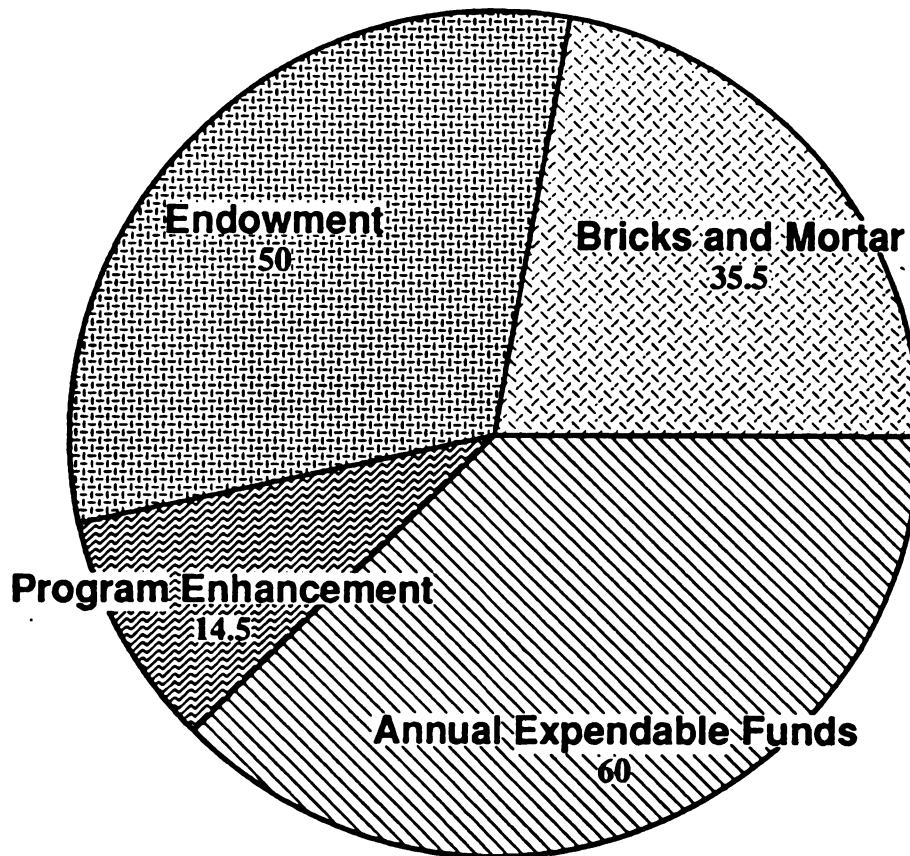
skill?

13. What were the dean's fundraising responsibilities (as leader/planner/organizer)?
- \* Did the dean assume primary responsibility for setting the college's fundraising priorities?
  - \* Who had primary responsibility for solicitation of funds?
14. As College Development Officer, have you ever been invited by the dean to participate in the dean's council and faculty meetings?
- \* How often?
  - \* In what way, if at all, were these meetings useful to you as College Development Officer?
15. Prior to the campaign, how would you describe this college's relationship with its alumni?
- \* What is this college's alumni size?
16. Prior to the campaign, were your alum involved in your college in the following capacities and how would you describe their involvement?
- \* Advisory Committee
  - \* Admission Committee
  - \* Curriculum Committee
  - \* Fundraising Committee
- 16b. During the campaign, were the alum involved in any way?
- \* How?
17. Does your college have a college or departmental publication?
- \* Did the college publication play any part in the special gifts fundraising campaign? If so, how
18. What qualities and qualifications should a prospective dean possess if he/she is to succeed in fundraising?
19. Has your college achieved its financial goal for the campaign? If yes (or no) to what factors would you attribute your college's success (or failure)?

## **APPENDIX C:**

# MSU 2000

## \$160 Million Goal



**Tentative Objectives in Millions**

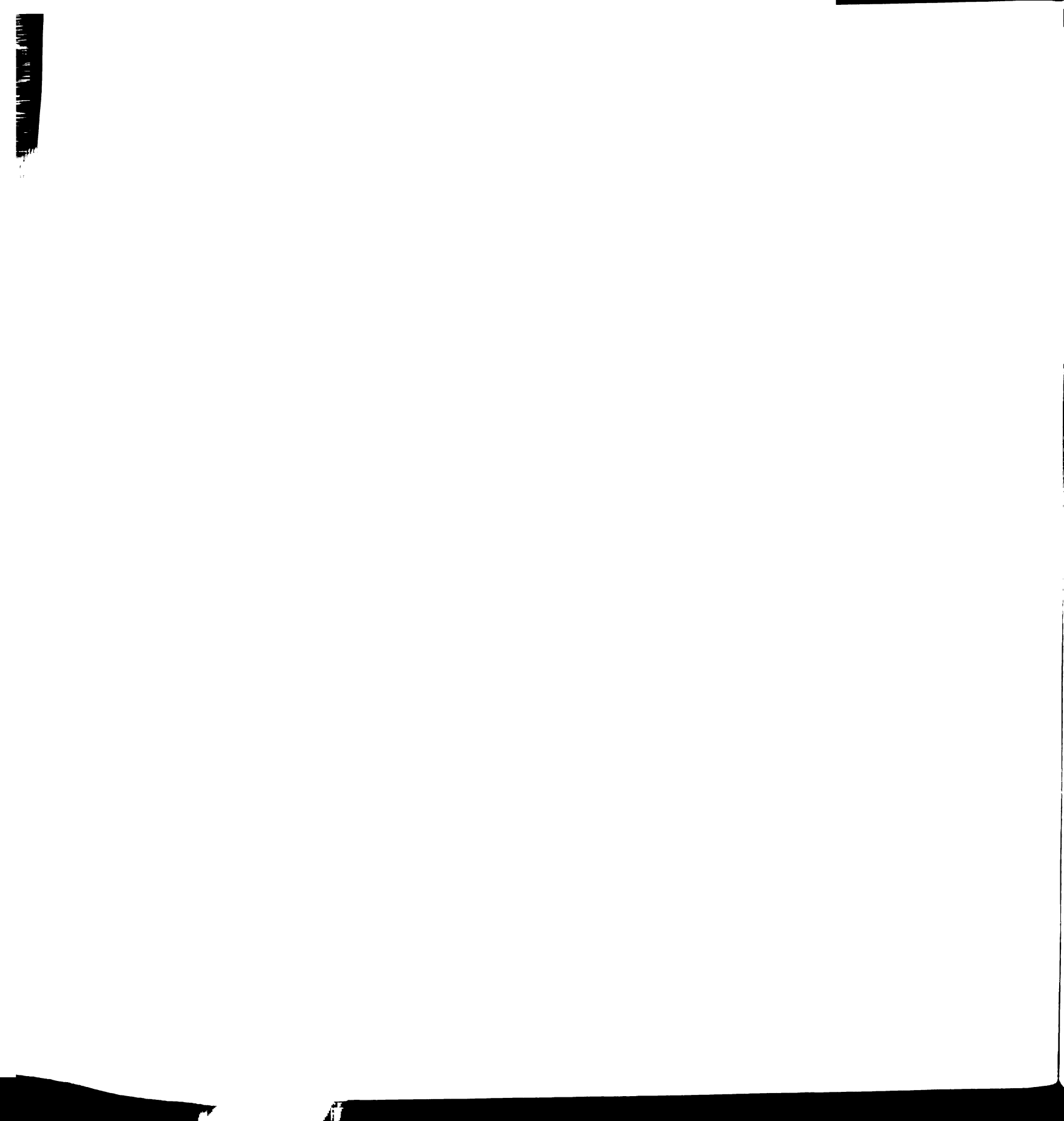
**APPENDIX D:**

INTERNATIONAL STUDIES & PROGRAMS  
 CAPITAL CAMPAIGN NEEDS LIST  
 July 15, 1986

Expenditure Description	Faculty Endowment	Student Endowment	Other Endowment	New Program	Program Enhancement	New Building	Renovation	Equipment
	\$	\$	\$	\$	\$	\$	\$	\$
<b>TOTALS</b>	\$	\$	\$	\$	\$	\$	\$	\$
<b>OVERALL NEEDS:</b>	\$	\$	\$	\$	\$	\$	\$	\$

\* Top Priority Need





COLLEGE/PROGRAM NEEDS LIST  
DEVELOPMENT FUND CAPITAL CAMPAIGN  
August 19, 1986

College/Program	Faculty Endowment	Student Endowment	Other Endowment	New Program	Program Enhancement	New Building	Renovation	Equipment	Total
Alumni Programs	\$ -0-	\$ -0-	\$ -0-	\$ -0-	\$ -0-	\$ 3,000,000	\$ -0-	\$ -0-	\$ 3,000,000
College of Agriculture & Natural Resources	15,600,000	-0-	2,000,000	-0-	1,000,000	-0-	-0-	-0-	18,600,000
College of Arts & Letters	2,400,000	2,900,000	7,900,000	-0-	300,000	6,000,000	3,100,000	1,600,000	24,200,000
College of Business	7,200,000	2,000,000	-0-	-0-	-0-	10,875,000	-0-	60,000	20,135,000
College of Communication Arts	6,000,000	1,700,000	1,964,000	-0-	100,000	1,500,000	185,000	6,619,400	18,068,400
Cyclotron	-0-	2,600,000	2,000,000	-0-	-0-	-0-	-0-	-0-	4,600,000
College of Educ./Lifelong Educ.	4,800,000	300,000	18,500,000	5,000,000	-0-	-0-	-0-	335,000	28,935,000
College of Engineering	7,200,000	-0-	-0-	-0-	2,500,000	18,500,000	2,000,000	3,000,000	33,200,000
General Academic Adm.	-0-	300,000	6,000,000	-0-	-0-	-0-	1,000,000	20,850,000	28,150,000
Grad. Studies/Ctr. for Env. Tox.	-0-	4,000,000	2,000,000	-0-	-0-	-0-	-0-	-0-	6,000,000
Grad. Studies/Museum	-0-	-0-	-0-	-0-	-0-	12,000,000	-0-	-0-	12,000,000
Honors College	-0-	4,800,000	180,000	-0-	-0-	-0-	-0-	-0-	4,980,000
College of Human Ecology	2,400,000	3,000,000	3,200,000	-0-	-0-	-0-	-0-	-0-	8,600,000
College of Human Medicine	13,200,000	1,000,000	11,550,000	1,450,000	-0-	25,000,000	7,163,000	1,809,000	61,172,000
Int'l. Studies & Programs	-0-	9,200,000	16,800,000	-0-	-0-	(10,000,000)	-0-	-0-	26,000,000
James Madison College	-0-	320,000	4,000,000	-0-	-0-	-0-	-0-	-0-	4,320,000
Libraries	-0-	-0-	1,000,000	-0-	520,000	24,000,000	-0-	1,600,000	27,120,000
College of Natural Science	11,050,000	16,110,000	12,540,000	3,000,000	-0-	90,000,000	7,000,000	3,163,000	142,863,000
College of Nursing	2,400,000	5,600,000	9,200,000	-0-	-0-	-0-	800,000	185,000	18,185,000
College of Osteopathic Med.	2,400,000	2,000,000	-0-	1,500,000	14,000,000	5,000,000	1,500,000	-0-	26,400,000
College of Social Science	2,400,000	1,250,000	1,250,000	1,600,000	500,000	-0-	-0-	-0-	7,000,000
Undergraduate Education	-0-	120,000	1,210,000	-0-	-0-	-0-	-0-	150,000	1,480,000
Urban Affairs Programs	1,200,000	650,000	1,000,000	600,000	-0-	-0-	-0-	-0-	3,450,000
College of Veterinary Med.	1,200,000	2,500,000	2,500,000	-0-	-0-	-0-	2,500,000	500,000	9,200,000
Wharton Ctr. for Perform. Arts	-0-	280,000	-0-	-0-	-0-	-0-	300,000	270,000	850,000
<b>TOTALS</b>	<b>\$ 79,450,000</b>	<b>\$ 60,630,000</b>	<b>\$ 104,794,000</b>	<b>\$ 13,150,000</b>	<b>\$ 18,920,000</b>	<b>\$ 195,875,000</b>	<b>\$ 25,548,000</b>	<b>\$ 40,141,400</b>	<b>\$ 538,508,400</b>

## **APPENDIX F:**

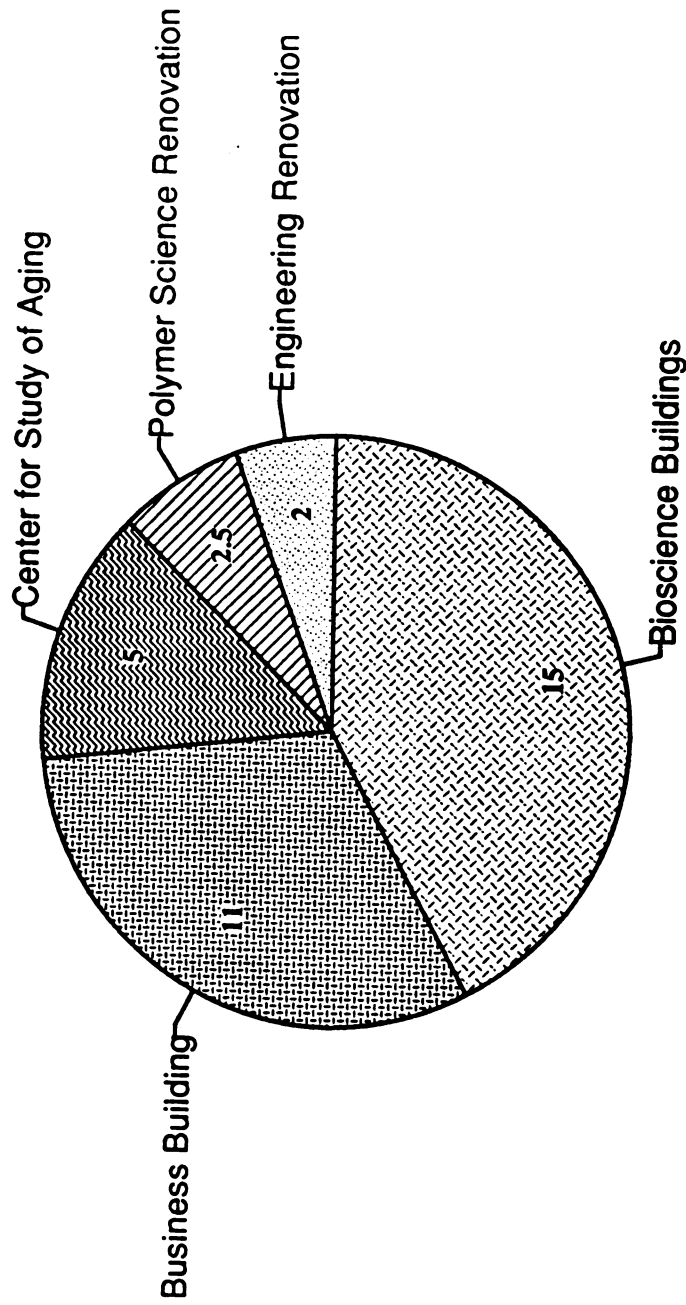
NEEDS LIST

College/ Program	Faculty Endowment	Student Endowment	Other Endowment	New Program	Program Enhancement	New Building	Renovation	Equipment	Total
Agriculture									
Business									
Honors College									
etc.									
<b>Totals</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$

**APPENDIX G:**

# Bricks and Mortar

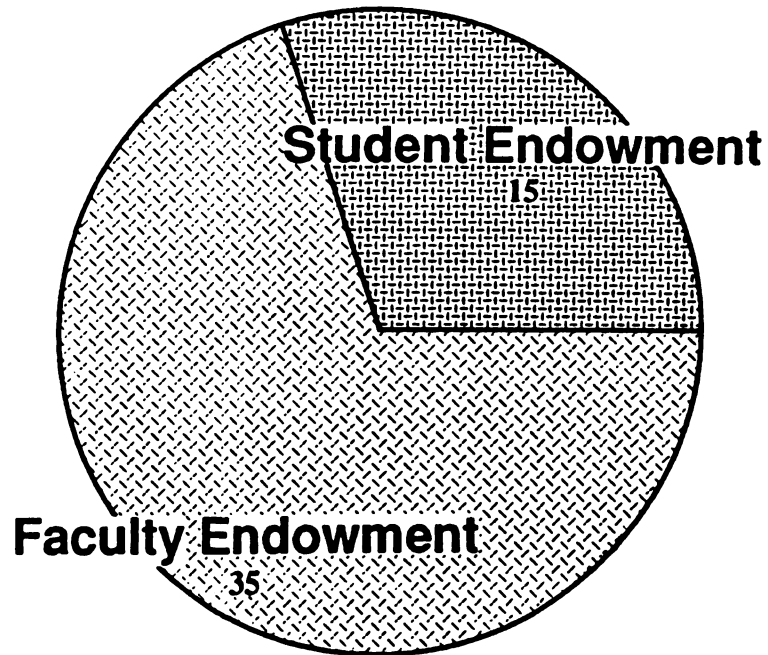
**\$35.5 Million Goal**



**Dollars in Millions**

# Endowment

**\$50 Million Goal**



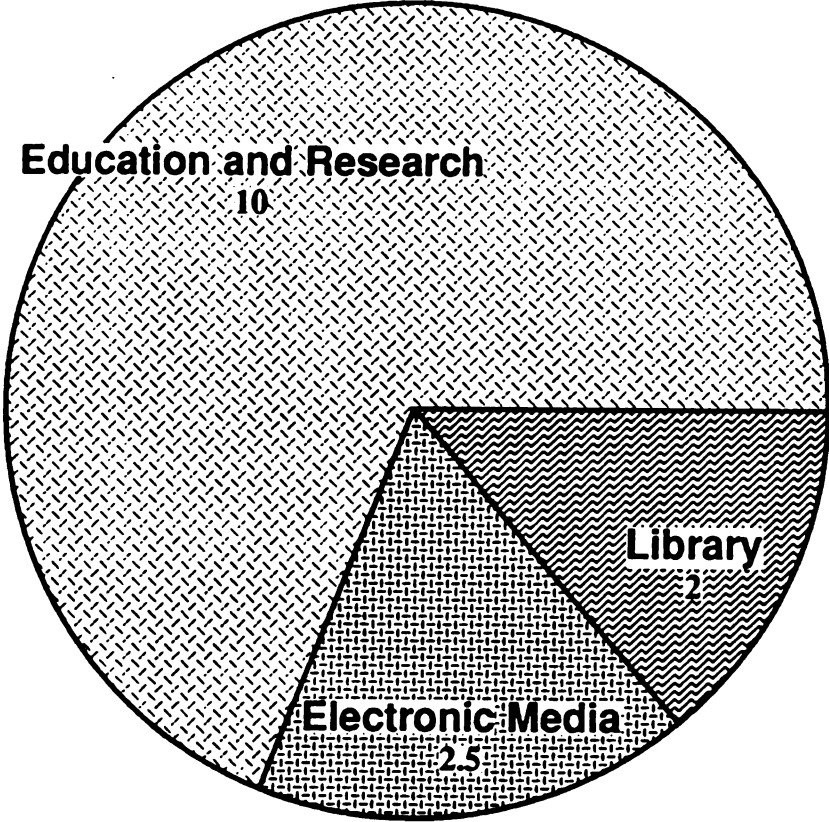
**Dollars in Millions**

**APPENDIX I:**



# Program Enhancement

**\$14.5 Million Goal**



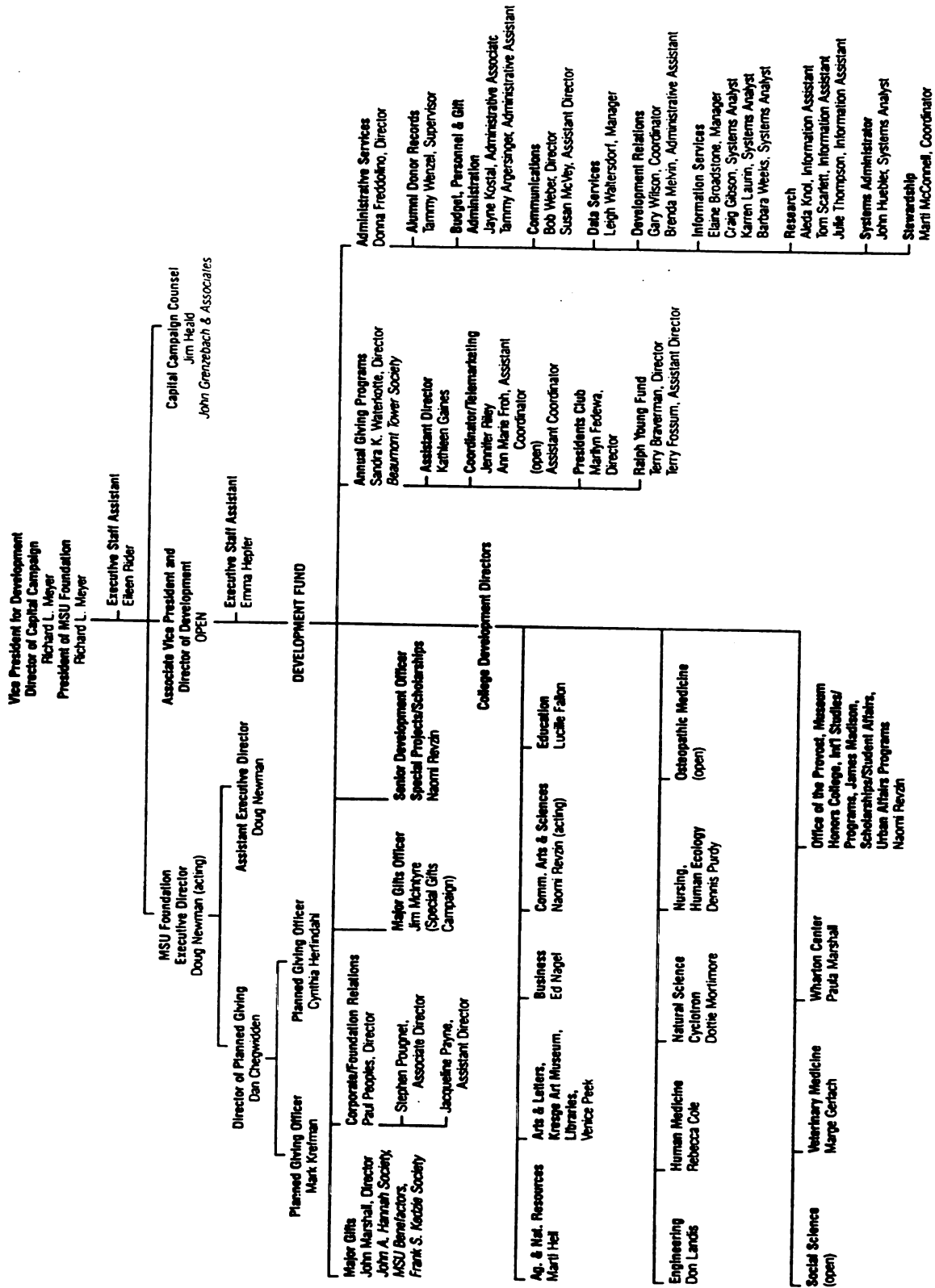
**Dollars in Millions**

**APPENDIX J:**

**Michigan State University Development Program**

**Vice President for Development**  
**Director of Capital Campaign**  
Richard L. Meyer

Michigan State University Development Program



**APPENDIX K:**



**MSU 2000: Access to Opportunity**  
The Campaign for Michigan State University

Organization Chart

**Office of the Chair**

Robert D. Rowan, Campaign Chair  
John D. Withrow, Campaign Co-Chair (Michigan)  
John H. McConnell, Campaign Co-Chair (Mid-Western States)  
Louis T. Hagopian, Campaign Co-Chair (Eastern States)  
Frank Price, Campaign Co-Chair (Western States)  
John DiBiaggio, President

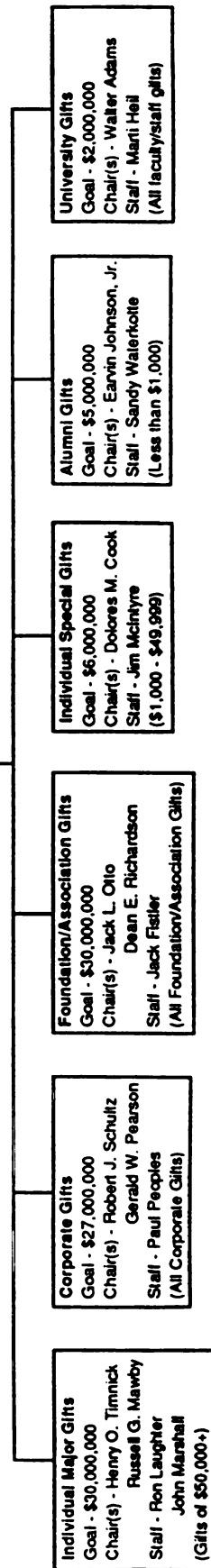
David K. Scott, Provost (ex officio)  
Joseph E. Dickinson, Vice President for Development (ex officio)  
James W. Heald, Resident Campaign Counsel -  
John Grenzebach & Associates (ex officio)

**Campaign Steering Committee**

Robert D. Rowan, Campaign Chair  
John D. Withrow, Campaign Co-Chair (Michigan)  
John H. McConnell, Campaign Co-Chair (Mid-Western States)  
Louis T. Hagopian, Campaign Co-Chair (Eastern States)  
Frank Price, Campaign Co-Chair (Western States)  
Henry O. Timnick, Major Gifts Committee Chair  
Russell G. Mawby, Major Gifts Committee Co-Chair

Robert J. Schultz, Corporate Gifts Committee Chair  
Gerald W. Pearson, Corporate Gifts Committee Co-Chair  
Jack L. Otto, Foundation Gifts Committee Chair  
Dean E. Richardson, Foundation Gifts Committee Co-Chair  
Dolores M. Cook, Special Gifts Committee Chair  
Earvin Johnson, Jr., Alumni Gifts Committee Chair  
Walter Adams, Faculty/Staff Committee Chair  
John DiBiaggio, President

David K. Scott (ex officio)  
Joseph E. Dickinson (ex officio)  
James W. Heald (ex officio)



## **APPENDIX L:**



Questions d  
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## **APPENDIX L**

**Questions derived from the Theory and Literature of Fundraising  
from which the Initial Interview Questions were based**

1. **What were the fundraising expectations of each of the selected colleges in general?**

### **Subquestions**

- i. What was the size of the college?
- ii. What type of prospects did the college identify prior to the start of the campaign?
- iii. What type of college is this college? (professional or arts or science?)
- iv. What is the size of the endowment of this college?
- v. What is the prior fundraising experience of the following?
  - dean
  - college
- vi. Prior to commencement of the capital campaign, did this college have a development office?

2. **What were the deans' fundraising role with respect to:**

- a) leadership?
- b) planning?
- c) organization?

### **Subquestions on Leadership**

- i. What type of vision did the dean have for his/her college?
- ii. How much time did the dean devote to fundraising in a week?
- iii. Was the dean influential enough to recruit the

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president and/or faculty members to get involved in his/her college's fundraising activities?

- iv. How many times did the dean communicate his/her college's financial needs to the university central development office?
- v. Did the dean have supportive staff to pick up various responsibilities of the deanship during the duration of the campaign?
- vi. Did the dean have the same philosophy of fundraising as his/her college development officer?
- vii. Did the dean personally solicit money?
- viii. Did the dean personally advocate his/her college's fundraising priorities to constituents?

#### **Subquestions on Planning**

- i. Was the dean involved in the needs assessment exercise?
- ii. Was the dean involved in his/her college's feasibility study?
- iii. What were the fundraising goal(s) of the college?
- iv. Did the dean have a case-statement for his/her college?
- v. Who did the dean involve in the planning of his/her college fundraising activities?
- vi. Did the dean define how the money raised would be spent?
- vii. Were this college's needs included in the

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institution's needs list?

**Subquestions on Organization**

- i. What was the fundraising structure of this college?
  - ii. Who set fundraising priorities for this college?
  - iii. What were the fundraising responsibilities of the college development officer?
  - iv. What type of relationship existed between the dean and the college development officer?
  - v. How often in a month did the dean and his/her college development officer meet to discuss fundraising and review the college's fundraising goal?
  - vi. How did the dean utilize volunteers?
  - vii. How did the college reach its various constituencies?
  - viii. How was stewardship handled in the college?
3. What factors aided or impeded the dean in functioning as a fundraiser during the MSU 2000: Capital Campaign?
  4. What qualities and qualifications should be possessed by a dean in order to be successful in fundraising?

**Subquestions**

- i. What is the dean's educational philosophy for the college?
- ii. Why should the deans be involved in fundraising?
- iii. What should the deans' fundraising role and responsibilities include?

- iv. How does educational fundraising function?
- v. What type of relationship did the dean have with the institution's chief development officer?
- vi. What was the dean's disposition towards fundraising?
- vii. How does the dean feel about fundraising?
- viii. What has the dean learned from this fundraising experience?

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