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# The American Public Comprehensive University: An Exploratory Study of the President's Role in Fundraising

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THE AMERICAN PUBLIC COMPREHENSIVE UNIVERSITY: AN  
EXPLORATORY STUDY OF THE PRESIDENT'S ROLE IN FUNDRAISING

A Dissertation  
Presented to  
The Faculty of the Educational Leadership Doctoral Program  
Western Kentucky University  
Bowling Green, Kentucky

In Partial Fulfillment  
Of the Requirements for the Degree  
Doctor of Education

By  
Robert L Jackson

May 2012

THE AMERICAN PUBLIC COMPREHENSIVE UNIVERSITY: AN  
EXPLORATORY STUDY OF THE PRESIDENT'S ROLE IN FUNDRAISING

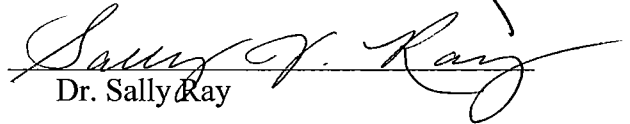
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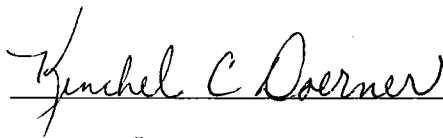
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Dr. Sally Ray



29-Mar-2012

Dean, Graduate Studies and Research

Date

Dedicated to Karen, Nolan, and Mariel

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## EPIGRAPH

**“Be ashamed to die until you have won some victory for humanity.”**

--Horace Mann (1796-1859)

Educator, Reformer, State Legislator, Congressman

First President of Antioch College, Yellow Springs, Ohio

Father of public normal schools, most of which later became known as public  
comprehensive universities



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EXPLORATORY STUDY OF THE PRESIDENT'S ROLE IN FUNDRAISING

Robert L Jackson

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Directed by: Randall Capps, Constantine Curris, Sally Ray

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The purpose of this exploratory study was to examine America's 272 public comprehensive universities and the president's role in fundraising in order to better understand this unique group. In addition, this study examined the president's background, training, duties, and specific involvement in the fundraising process. Also, this study reviewed what background and training would have been helpful prior to and during a presidency in preparation for these duties and responsibilities.

Previous studies stated that presidents ranked fundraising as the number one area where they were least prepared when they assumed their new role. In addition, many university presidents reported that up to 50% of their time is spent on institutional advancement duties, which include fundraising.

Public universities, which educate nearly 80% of all college students in America, are going through a period of great change as they struggle to balance their budgets as states further reduce higher education appropriations. Specifically, state appropriations for public universities are at their lowest point in 30 years, having declined by about one-third since 1980, and there is no end in sight to this funding dilemma.

Furthermore, although academic fundraising has occurred for centuries, this new decline in state support for public comprehensive universities has caused presidents to turn to alumni, friends, corporations, and foundations for private funds with new and



increased fundraising efforts to make up for lost state appropriations. This alteration in the funding model during the past several years has changed the primary duties of university presidents. Many are unprepared and ill-equipped for these new fundraising duties, which are seemingly mandatory as a part of their daily duties.

This study used both descriptive and exploratory methodologies in its design and utilized survey results, face-to-face and phone interviews, a review of available literature, and an analysis of secondary sources of data from previous research studies.

The American public comprehensive university is faced with many funding challenges today, and never has there been a time when more pressure is being placed on the institution's president to be successful in fundraising. This exploratory and descriptive study reports specific findings and provides a base in which to develop new research in order to assist comprehensive university presidents with these new fundraising duties and responsibilities.

## CHAPTER ONE: INTRODUCTION

John Donne, a 17<sup>th</sup>-Century English poet, wrote, “The university is a paradise; rivers of knowledge are there, arts and sciences flow from thence; . . . bottomless depths of unsearchable Counsels there” (as cited in Keyes, 2001, p. v).

During the past 30 years, American public universities have suffered from many financial difficulties. Most recently, the latest recession—often dubbed the Great Recession—has caused state budgets to falter tremendously (Pattison & Eckl, 2010). During the economic decline since 2008, revenue collections have precipitously fallen in most states; and funding for most programs, including higher education, has been cut (Pattison & Eckl, 2010).

Schrecker (2011) argued in a recent *The Chronicle of Higher Education* editorial that, due to the current financial environment and the tremendous cutbacks that have occurred in appropriated funding, public colleges and universities are in “triage mode” (para. 1) and can no longer serve as a “safety net for the middle class and a source of economic mobility for society” (para. 1). These cutbacks in state appropriations have been the most significant driver of the change in the role of the university president, as cited by 71% of long-serving presidents (serving 10 years or more) in the recent American Council on Education study (2007). In addition, due to these funding issues, 78.2% of these long-serving presidents cited their duties and responsibilities in fundraising as the number one area requiring more of their time each day (American Council on Education, 2007).

This uncertain future in public higher education funding was described by Constantine W. Curris (2005), former president of two public comprehensive

universities, former president of a major research university, and president emeritus of the American Association of State Colleges and Universities, as:

There is an oft-repeated adage, probably from a Tarzan movie, that lions roar when food is scarce. And clearly for the higher education community, food has been scarce and we have bellowed our discontent. These unsettled times have led both policymakers and educators to re-examine the relationship between state government and its public universities. Central to that examination is the recurring question of whether this period of stagnant or declining appropriations is ephemeral, or whether we have entered a new era of diminished public support. (pp. 11-12)

Recent studies have pointed to not only continued declines in state appropriations to public universities, but also to a bleak future in regard to state funding (Satterwhite, 2004). Latta (2010) described the current funding environment as a “perfect storm,” as the need for an educated workforce is increasing in order to be competitive in the new global marketplace, the cost of attending a university is growing, and state funding declines are expected to continue (p. 2).

Further, as Barzun (1993) foreshadowed, “there it sits, doors open, over-crowded in the city and country, and bound to perform from day to day, the miracle of juggling deficits and coaxing donors, of soothing alumni and keeping scholars faithful” (p. 2). With all of the internal and external pressures it faces; with the uncertainty of public funding described in this dissertation; and with the need of private funding from alumni, friends, corporations, and foundations ever-increasing, Barzun (1993) predicted and described the current state of the American public university.

Additionally, the societal demands placed upon universities have increased tremendously during the past several years (Barzun, 1993; Cole, 2009). Although Barzun (1993) pointed out the problem of increased societal expectations nearly 20 years ago, these expectations have only exacerbated today as universities are asked to do more with less funding (Cole, 2009). Further, the fiscal landscape of the states is changing immensely (Altbach, Berdahl, & Gumpert, 1999; Ehrenberg, 2006b). This changing fiscal landscape is causing a dramatic decline in appropriated funding, which has forced public universities to seek additional financial resources through private fundraising (Altbach et al., 1999; Ehrenberg, 2006b). Specifically, taxpayer support for public higher education, as measured per student, has “plunged more precipitously since 2001 than any time in two decades” (Dillon, 2005, p. 1). Many university presidents consider this period the de facto privatization of public higher education, an institution that built the middle class in this country (Dillon, 2005).

Also, in the July 2011 *State Outlook Report* by the American Association of State Colleges and Universities, it was reported that “smaller regional state colleges [including comprehensive universities] face especially tough fiscal challenges” in the months and years ahead (p. 3). As Cole (2009) noted, the financial crisis of 2008 and 2009 caused many states to cut state higher education budgets very deeply, and some of the best public universities are at great risk. Consequently, the role of the presidents at public comprehensive universities is increasingly focused on attracting new sources of private support to meet the growth and operational needs of their institutions (Satterwhite, 2004).

It was further noted in the *State Outlook Report* (American Association of State Colleges and Universities, 2011) that Moody’s Investors Services indicated in its 2011

*Outlook for U.S. Higher Education* that small and mid-sized public colleges and universities still face many challenges leading to continued negative credit conditions. Chief among the many challenges cited was continued pressure on state appropriations for these institutions (American Association of State Colleges and Universities, 2011). Additionally, Mark Yudof, president of the University of California stated in an interview with the *New York Times* (Fain, 2009) that the states, the source of funding for public higher education, are unreliable partners and pointed out that public funding is half of what it was only 20 years ago.

In Pattison and Eckl's (2010) recent report, *A New Funding Paradigm for Higher Education*, they stated, "Although recently improving revenue performance could mitigate the funding squeeze, the environment for state higher education support might be permanently and unalterably different from the past" (p. 1). In short, public universities are faced with a new funding dilemma and the presence of a "new normal" in appropriated support from the states (Pattison & Eckl, 2010, p. 8).

Moody's Investor Service (2010) further stated that, due to the crisis mode of state and federal governments and the overall economy, enrollment demand will increase due to high unemployment; and tuition will rise due to less state appropriations. Therefore, additional funding pressures will occur at public universities, which will require them to focus on better planning, eliminate certain programs, and increase the importance of private fundraising in order to provide additional student aid to address university capital needs, including deferred maintenance.

It is vitally important to note that the American public university system, which educates about 80% of all college students, appears to be in serious trouble due in part to

a 20-year decline in state funding (Ehrenberg, 2006b). These limitations on state funding may restrict student access and the ability to attract and retain faculty and will be a major factor in maintaining institutional quality at public universities (Ehrenberg, 2006b). Dr. John D. Wiley, former chancellor of the University of Wisconsin at Madison, aptly described the current situation as he pointed out that the years after World War II were the period during which America “built the world’s greatest system of higher education” (as cited in Dillon, 2005, p. 1). He added, “we’re now in the process of dismantling all that” (p. 1).

Public colleges and universities are at a pivotal time in their history and face unprecedented and profound challenges due to societal expectations and declining public resources (Altbach et al., 1999). State appropriations have declined significantly during the past 12 years, from \$8035 on a per student basis in 2000 to \$6451 on a per student basis in 2010, a new 30-year low (De Vise, 2011; Ehrenberg, 2006b). Unfortunately, this downward trend appears to be a new norm in public higher education funding (Cheslock & Gianneschi, 2008; Ehrenberg, 2006b). Public colleges and universities, which educate the vast majority of American college students, face new and challenging administrative pressures due to declining state appropriations and the need to raise private funds to fill these gaps (Shea & Boser, 2002). Today’s public university president will have to assume a new role in leading the institution with added fundraising responsibilities, and the pressure in this area continues to grow (Kaufman, 2004; Shea & Boser, 2002).

Interestingly, as presidents deal with these funding matters and seek sources of private monies to fill the gaps, they find the activity of fundraising to be important, “but not essential to success” (Strout, 2005, para. 1). However, in the same study, “53 percent

of presidents said they work on raising money every day” (Strout, 2005, para. 10). Additionally, presidents said that fundraising and fiscal management are their two greatest challenges and also listed fundraising first as the area where they were most unprepared (Strout, 2005). Thus, there is a dichotomy as it relates to the perceived importance of fundraising, the daily requirement for success in this area, and preparedness for these duties.

This exploratory and descriptive study (which will be often referred to as an *exploratory study*) examined the president’s role in fundraising at America’s public comprehensive universities. This study is timely and pertinent since most public university presidents do not come from a fundraising background, and many have little to no training in this area even with newly expanded responsibilities and expectations (Hartley & Godin, 2009; Nesbit, Rooney, Bouse, & Tempel, 2006).

This exploratory study also sought to answer important questions related to public comprehensive university presidents and their background, preparation, training, and involvement in fundraising. Although there is a great deal of research on major private and public college and university presidents and university fundraising in general, there is a limited pool of research concerning public comprehensive university presidents and fundraising roles, duties, responsibilities, expectations, preparation, and training. This exploratory study attempted to fill these gaps to research the president’s involvement and responsibilities in fundraising. In addition, this exploratory study examined the need and desire for additional training and professional development in order to better prepare a new generation of comprehensive public university presidents for their future fundraising roles and responsibilities.

## **The Role and Expectations of the University President**

Today there is a tremendous “juggling act” between being an effective fundraiser and a good internal leader imposed on American university presidents (Kaufman, 2004, para. 1). Kaufman (2004) continued,

Gone are the days when the hire of a university president was based primarily on a lifetime of scholarship and academic credentials that resonated with faculty.

Gone too, are the days when the president was expected to focus on internal governance and maintaining the institution’s status quo. Increasingly, university leaders are under relentless pressure to raise private funds to protect and grow colleges and universities. (para. 1)

Fundraising is one of the most demanding and visible roles of a university president (Kaufman, 2004): “Unfortunately, presidents whose careers have been built as scholars with sterling academic credentials [or who have come from outside higher education] are often unprepared for the task” (para. 2).

Upton Sinclair once described college presidents as spending their time running back and forth between mammon and God (as cited in Nicholson, 2007). Sinclair may have been accurate in his description of the 19<sup>th</sup>- and 20<sup>th</sup>-Century university president, “but 21<sup>st</sup>-Century presidents appear to be driven by mammon alone” (Nicholson, 2007, p. 256). As cited in Nicholson (2007), Cook (1997) suggested that the president’s role as chief fundraiser for his or her university has become the most important role for college and university presidents. Additionally, university presidents “admit that their role is increasingly about mammon and that they are ultimately responsible and accountable for



the bottom line” of their institutions, and this bottom line is “more often than not, fundraising” (Nicholson, 1997, pp. 256-257).

Also, governing boards have a “very high expectation that presidents have to raise funds,” says Charles Reed, chancellor of the California State University system (as cited in Kaufman, 2004, para. 3). Reed continued, “Fees and state funding are no longer enough to ensure quality education. With continued budget reductions and increasing enrollment demands, the need for external support is even greater” (as cited in Kaufman, 2004, para. 3).

The new norm in public higher education is the president as a passionate external leader and fundraiser (Kaufman, 2004). He or she should expect to spend an inordinate amount of his or her time raising private funds (Kaufman, 2004; Nelson, 2009). Shaw (1999) stated, presidents today must take “the show on the road” (p. 21) not only with fundraising initiatives, but with all key external stakeholders. He added, “Very few leaders can be truly successful without the support, collaboration, and goodwill” (p. 21) of external constituencies, including private funding sources.

As Foderaro (2011) pointed out in her recent *New York Times* article, as state legislatures cut back support for higher education, public universities in the United States are turning to alumni “hat in hand, as never before—hiring consultants, hunting down graduates, and mobilizing student phone banks to raise private funds in amounts they once thought impossible” (para. 1).

Cheslock and Gianneschi (2008) examined the replacement of public funds with privately raised funds. Because of the pressure on keeping tuition costs down while dealing with the reality of declines in state appropriations, public colleges and

universities are being forced to look to alumni, friends, corporations, and foundations to supplement their budgets (Cheslock & Gianneschi, 2008).

Finally, college and university presidents must be in the constant “hunt-for-dollars-game” (Nelson, 2009, p. 3). University presidents will have to raise funds for their institutions and maintain a constant and “rolling crusade” of fundraising, as it is an increasing and ever important part of being successful in their job (Nelson, 2009, p. 3). However, it cannot be the only thing they do, and a balance must be found for the good of the institution (Nelson, 2009).

### **Background and Experience of Today’s University President**

Chandler (2006) stated, “Leading the modern college or university is a complicated affair, requiring the organizational affairs of a field marshal, the fiscal acumen of a CPA, the diplomacy of a politician and the vision of a prophet” (p. 25). The American Council on Education has compiled in-depth quantitative research on college and university presidents for many years. In 2007, the sixth such report was published by the American Council on Education. The *American College President Study* (American Council on Education, 2007) is the most comprehensive source of demographic and other empirical data on both public and private college and university presidents. Additionally, in the 2007 study some interesting data about public comprehensive university presidents were outlined. For example, 70.1% of public comprehensive presidents had been either a former university president, chief academic officer (provost), or senior executive in academic affairs in their immediate former position (American Council on Education, 2007). However, only 4.9% of public comprehensive university presidents came from a background of fundraising or external affairs as the immediate prior position (American

Council on Education, 2007). The American Council on Education (2007) pointed out that all presidents, public and private, research level and below, ranked fundraising duties as the most time consuming responsibility, and it was a top three responsibility among all types of universities, public and private.

Interestingly, in the American Council on Education study (2007), nearly 23% of all presidents ranked fundraising as the top area in which they were insufficiently prepared when they assumed their position as president. In regard to long-serving presidents (presidents for 10 or more years), 78.2% said that fundraising duties were requiring more time versus prior years, and 71% said the main factor changing the role of the presidency was the decline in state funding (American Council on Education, 2007).

### **The History of Academic Fundraising**

The philanthropic support of educational institutions is not a new concept (Caboni, 2003). The earliest examples of charitable support to educational institutions date to the Greek philanthropist Cimon's support of the Academy of Socrates and Plato (Caboni, 2003). In addition, Caboni (2003) noted that the history of educational fundraising in the United States is traced back to the early universities in Europe. Caboni (2003) stated, "In these institutions, founders were forced to approach potential donors for money and resources for college operations. Wealthy individuals established endowments to support the universities of Paris, Oxford and Cambridge" (p. 3). These early examples of educational philanthropy in Europe were transferred to the new American colonies in the 17<sup>th</sup> Century. Hillman (2002) pointed out that the first fundraising in the new colonies of America occurred in 1641 at Harvard College when John Harvard left a bequest to this fledgling new college.

Although educational fundraising is not a new concept (Caboni, 2003), during the past three decades “fundraising has grown more sophisticated and reached new heights . . . with billion dollar campaigns planned by specialized staffs equipped with the latest computer technology and multi-million budgets” (Cook & Lasher, 1996, as cited in Caboni, 2003, p. 4). In addition, the development of public college and university fundraising has evolved very quickly because funding needs have increased due primarily to financial pressures brought about by decreases in state appropriations (Satterwhite, 2004). Organized and professional higher education fundraising has become an integral part of most colleges and universities today, and the role of the institutional president has evolved accordingly to meet these new and increased demands (Satterwhite, 2004).

#### **Today’s Declining State Appropriations and Funding Needs**

Recently, according to the State Higher Education Executive Officers, per-student state funding has declined nationwide from \$8035 in 2000 to \$6451 in 2010 (De Vise, 2011). This trend has brought state funding for higher education to a 30-year low and “it’s clearly going to get worse,” as noted by Dan Hurley of the American Association of State Colleges and Universities (as cited in De Vise, 2011, para. 7). In addition, as state legislatures have cut funding to public higher education, the cost is shifting to parents and students as tuition has nearly doubled during the past decade (De Vise, 2011).

Additionally, as state appropriations for higher education decline, tuitions are rising and “private donations and federal grants make up a larger proportion of universities’ revenue . . . [and] more building projects depend on private philanthropy” (Dillon, 2005, p. 2). Also, David Ward, former president of the American Council on Education, argued that the states’ flagship universities can replace some of the cuts in

state appropriations with federal grants and private donations, but the smaller public universities, including public comprehensive universities, cannot: “They [smaller public colleges and universities] cannot survive without public funding” (as cited in Dillon, 2005, p. 2).

As Curris (2005) stated, these “economic difficulties facing higher education these past few years could not have occurred at a more inauspicious time” (p. 13). Globalization and the explosion of college attendance in developing countries, coupled with funding cuts at American public universities and the political polarization as it relates to supporting the mission of public institutions, has “strained the academy’s work and made it distressingly difficult to maintain higher education as a non-partisan enterprise” (Curris, 2005, p. 13).

These funding reductions for public higher education and the pressures on the presidents of America’s public universities to maintain quality and to attract high caliber faculty have increased the importance of institutional fundraising at all public universities, including public comprehensive universities (Altbach et al., 1999; Worth, 2002; Zemsky, Wegner, & Massy, 2005). The role of the president at these public universities is quickly shifting to more external responsibilities as the search for private funds to fill this deepening gap caused by appropriation losses continues to grow (Altbach et al., 1999; Worth, 2002; Zemsky et al., 2005).

In addition, the next decade will continue to see concerning trends in public higher education as state funding continues to decline (Altbach et al., 1999; Ehrenberg, 2006b). Higher tuition and fees will put added pressure on the poorest students when coupled with a continued shift in federal financial aid to loans versus grants. Further, the

demands of a changing workforce and student demographics, as well as the proliferation of for-profit providers, will continue to increase the need to further enhance private support through fundraising (Altbach et al., 1999; Ehrenberg, 2006b).

In Lingenfelter's (2006) research, *The Un-Funding of Higher Education*, he quoted H.G. Wells, "History is becoming more and more a race between education and catastrophe" (p. 1). Lingenfelter (2006) continued:

I think he (Wells) got it right. Nothing is more important to the future of the United States and the world than the breadth and effectiveness of education, especially of higher education . . . . So, the un-funding of higher education, if this is the case, is a very serious matter. (p. 1)

Although academic fundraising can trace its roots to Cimon's support of the Academy of Socrates and Plato around 450 B.C. (Caboni, 2003), never before has there been a period during which private funds are more important and a needed portion of a public university's budget than today (Nelson, 2009). This new higher education reality has provided the platform for this research. Additionally, this study will review the role and duties of public comprehensive university presidents in regard to institutional fundraising and methods to better prepare these leaders for this major responsibility in order that they can be more successful during this period of great uncertainty in state-appropriated funding.

Finally, it is important to note the magnitude of these appropriation cuts to public higher education, as at least 43 states have implemented cuts to public colleges and universities and/or made large increases in tuition to make up for decreased public funding in 2010-2011 (Johnson, Oliff, & Williams, 2011).

## **Preparation for the Presidency**

According to Nesbit et al. (2006), “The increasing costs of higher education and the decreasing willingness of taxpayers to support it have amplified the importance of fundraising in the modern university” (p. 2). Fundraising continues to be a primary responsibility of college and university presidents. In addition, Nesbit et al. (2006) pointed out that, although fundraising is a critical component of a college or university president, “over half of the presidents of public universities would prefer more training in fundraising than additional experience in any other single area” (p. 3).

In Whittier’s (2006) study, she noted that potential presidential candidates need to have role models and mentors who are currently serving as university presidents.

Whittier (2006) continued, “These men and women are the best resources of information on how to get there, what to expect, and how to avoid pitfalls along the way” (p. 3).

This exploratory study, among other things, researched the public comprehensive university president’s background, previous positions held, experience, training in fundraising, importance of fundraising duties and responsibilities, and the actual involvement in the fundraising process. In addition, this study examined the value placed upon mentoring with other university presidents by new and existing presidents as well as the value of additional professional development and training. Additionally, this study explored the value of having a previous position in university fundraising as it relates to the importance of performing a president’s duties.

## **Statement of the Problem**

For the past 30 years, state budgets have been under tremendous pressure as Medicaid expenditures, prison and public safety costs, primary and secondary education

budgets, and other vital social services costs have risen faster than inflation (Cheslock & Gianneschi, 2008). During the past three years, state budgets received an additional shock as the economy suffered through the worst recession since the Great Depression (Pattison & Eckl, 2010). This tremendous pressure on state budgets will continue to cause flat or reduced appropriations for public higher education and is creating a new normal in current and future funding (Ehrenberg, 2006b). Hence, a new and increasing focus will be placed upon all colleges and universities, especially public universities, to increase private support through institutional fundraising (Altbach et al., 1999; Ehrenberg, 2006b). The presidents of public universities will bear most of the direct burden to be successful in these fundraising duties (Kaufman, 2004).

Although a great deal of research exists on private and public university presidents and their many roles and duties in fundraising, little research has been developed concerning public comprehensive university presidents and their responsibilities in institutional fundraising. Also, it is important to note that most university presidents do not come from a fundraising background (American Council on Education, 2007). As noted in the American Council on Education (2007) report, only 4.4% of all university presidents have a background in university fundraising. The American Council on Education (2007) pointed out that, collectively among all presidents, public and private, doctoral research level and below, fundraising duties ranked as the most time consuming responsibility and was among the top three responsibilities in each major category of universities.

As noted in the American Council on Education study (2007), nearly 23% of all presidents ranked fundraising as the number one area where they were insufficiently



prepared when they assumed their position as president. In addition, among master's-level universities, it ranked number one as well at 21.4%, as presidents stated that they were insufficiently prepared for their fundraising duties (American Council on Education, 2007). In regard to long-serving presidents (presidents for 10 or more years), 78.2% said that fundraising duties were requiring more time versus prior years and, hence, indicated a possible need for more preparation and training for fundraising duties and responsibilities (American Council on Education, 2007).

### **The Purpose and Significance of the Study**

The purpose of this exploratory study was to examine the president's role in fundraising at America's 272 public comprehensive universities. In addition, this study explored the president's background, training, duties, and specific involvement in the fundraising process. Also, this study reviewed what background and training would have been helpful prior to and during a presidency in preparation for these fundraising duties and responsibilities. Importantly, this exploratory study provides a platform for new and additional research on this topic.

Additionally, this study complements previous broader research on university presidents and fundraising duties. For example, the American Council on Education (2007) study, the sixth study during the past 25 years on the American college president, pointed out a number of issues in regard to the changing role of the university president in fundraising and the importance of these responsibilities. The American Council on Education (2007) study examined all university presidents from all types of institutions including public and private, associate degree granting to doctoral level research universities, and reviewed responses from 2148 participants. The American Council on

Education (2007) study, although the most comprehensive of its type, demonstrated the need to differentiate the role and needs of university presidents at specific types of institutions, including public comprehensive universities.

The following are significant points from the American Council on Education (2007) research that further confirmed the need for this exploratory study and additional research concerning public comprehensive university presidents and their role in fundraising:

1. Thirty-eight percent of all college and university presidents identified fundraising as the area that consumed most of their time, ranking it number one.
2. Forty-five percent of long-serving college and university presidents stated that fundraising has increased in importance more than any other function during their tenure.
3. Sixty-nine percent of new college and university presidents identified their immediate former position as a president, chief academic officer, or as another senior academic administrator in higher education; therefore, they have had few to no professional positions in institutional fundraising.
  - a. Only 4.4% of all college and university presidents identified fundraising, development, or external affairs as their immediate former position, and only 3.6% identified fundraising, development, or external affairs as their second previous position.

4. The number one area that college and university presidents identified where they were insufficiently prepared was fundraising, as 23% indicated a need for additional training and professional development.

Also, this study conducted an extensive examination of the following areas, among others, in regard to public comprehensive universities and the president's role in fundraising:

1. A review of the profiles, backgrounds, previous positions held, and other distinguishing data concerning public comprehensive university presidents
2. An investigation of fundraising duties and responsibilities of presidents, days spent on fundraising duties each month including travel away from campus, and a self-ranking of the level of importance of fundraising duties among all administrative responsibilities
3. An inquiry of specific fundraising duties and responsibilities and the level of involvement by the president
4. An examination of training and professional development in the field of fundraising that these presidents have received
5. A specific review of various fundraising areas in which public comprehensive university presidents would like more training and professional development
6. A look at what type of fundraising preparation and training prior to and during a university presidency that would have been helpful in carrying out these duties

There are 272 public comprehensive universities in the United States with a Carnegie Classification of Master's Level (small, medium, and large) as of July 1, 2011

(Carnegie Foundation, 2011). This generally includes institutions that award at least 50 master's degrees and fewer than 20 doctoral degrees (including none) in an academic year (Carnegie Foundation, 2011).

Finally, it was the intent of this study to provide a unique insight into the American public comprehensive university and the president's role in fundraising in order to identify distinctive activities and exclusive attributes among these institutions and to explore possible training and professional development programs to assist future and existing leaders of these institutions.

### **Theoretical Framework**

There have been a limited number of studies developed in regard to the role of the president in university fundraising (Satterwhite, 2004). Also, Cook (1994) stated that a specific theory does not exist regarding the president's role in fundraising in higher education (as cited in Satterwhite, 2004). Additionally, in the research for this study, very little information was discovered on public comprehensive universities and fundraising. Therefore, no definite theories exist on this topic. However, this exploratory study, which utilizes descriptive techniques, was framed around research on university presidential leadership, the background and profile of university leaders, and the roles and responsibilities of institutional leaders in fundraising at colleges and universities.

Chapter Two will examine in detail various research on university leadership, public university funding, and institutional fundraising that have shaped this study. It should be pointed out that Cook and Lasher (as cited in Satterwhite, 2004) reported that the university president is "undoubtedly the central player in the fundraising process in

higher education” (p. 31). This exploratory study gives specific focus to this central topic of the president’s role in fundraising at public comprehensive universities.

This study drew upon previous research from the 2007 study on the American college and university president from the American Council on Education titled, *The American College President* (2007). Furthermore, the study by the Council for Aid to Education, *2010 Voluntary Support of Education*, (Kaplan, 2011) study provided additional support in regard to fundraising at public comprehensive universities.

### **Research Questions**

In order to accomplish the purpose of this study, the following thesis statement was examined. The following research questions also were addressed with one primary question and additional secondary questions:

*Thesis statement:* Fundraising is one of the three major responsibilities of the public comprehensive university president.

*Primary question:* What are the key aspects of the president’s responsibilities in fundraising at public comprehensive universities?

*Secondary questions:*

1. How much time does the president devote to fundraising?
2. In regard to all of the president’s duties and responsibilities, is fundraising one of the top duties at his/her university?
3. Has the university president previously worked in fundraising at a college or university?
4. What preparation or training in university fundraising has the president had, if any?

5. What type of preparation and training prior to a university presidency would have been helpful in carrying out fundraising duties?
6. What type of preparation and training during a university presidency would have been helpful in carrying out fundraising duties?

### **Nature of the Study**

Historically, qualitative research methodologists have described three major purposes for research: explore, explain, or describe the phenomenon of interest (Marshall & Rossman, 1999). As the purpose of this study is both exploratory and descriptive, it investigated, described, and explored this topic in order to generate hypotheses for further research (Marshall & Rossman, 1999).

This study used both descriptive and exploratory methodologies in its design. Descriptive research was used to provide specific details of the research topic, including statistical data gathered through various survey methods in order to study the population (Knupfer & McLellan, 1996; Marshall & Rossman, 1999; Shields & Tajalli, 2006). Exploratory research allowed for a further examination of the topic and used qualitative as well as other methods, including interviews and previous studies, to complement the research in order to develop hypotheses for further research (Marshall & Rossman, 1999; Shields & Tajalli, 2006).

This exploratory study utilized survey results from a total population of 272 public comprehensive university presidents, face-to-face or phone interviews with five public comprehensive university presidents, a review of available literature, and an analysis of secondary sources of data from previous research studies. Also, it is appropriate to use both exploratory and descriptive methodologies in the study design due

to the limited available research on this topic; no existing theoretical models exist in this area, and this is not a topic that has been previously explored in a significant manner (Satterwhite, 2004).

The survey instrument developed for this study is composed of 38 questions that asked the potential respondents (public comprehensive university presidents) for information on (a) their educational and professional background, (b) previous university and fundraising positions held, (c) a self-ranking of how presidents view fundraising duties among all administrative responsibilities, (d) how many days in a typical month are spent conducting fundraising duties and responsibilities, (e) how much time is spent away from campus with fundraising duties, (f) reported involvement in specific fundraising duties, (g) previous training and professional development background in fundraising, (h) the desire for additional fundraising training and professional development, and (i) the view of these presidents of what specific background and/or training is needed to assist one with these fundraising duties and responsibilities.

It was the goal of this study to have a minimum 50% response rate (N=136) from the 272 public comprehensive university presidents in order to ensure a high level of confidence that the data is reflective of the total population. Last, the most important task of exploratory and descriptive research is to ensure that the measures that are being used are valid and reliable and that the individuals from whom survey responses are received are “representative of all individuals to whom we wish the results to apply” (Slavin, 2007, p. 100).

### **Definitions**

*Alumnus, alumnae and alumni.* A graduate or attendee of a college or university

*Alumni of record.* The living, contactable (valid addresses and phone numbers) alumni of any college or university

*Alumni participation.* This measure examines the percentage of alumni of record that donate back to the respective university each year.

*American Association of State Colleges and Universities (AASCU).* A Washington, DC-based public college and university advocacy group composed of 420 member institutions

*American Council on Education (ACE).* A Washington, DC-based advocacy group composed of 1600 public and private colleges and universities

*American College President Study (ACPS).* A periodic public and private college and university presidential survey and comprehensive study performed by the American Council on Education (ACE). It is considered the most comprehensive research study of university presidents.

*Appropriations.* Designated public funding received by a state university from the state budget

*Certified Fund Raising Executive (CFRE).* A designation that was started by the Association of Fundraising Professionals and is considered one of the premier certifications in the field of fundraising

*Capital campaigns, comprehensive campaigns, and fundraising campaigns.* A concerted, organized fundraising initiative with a specific start date and ending date, which is typically composed of specific initiatives that are desired to be funded with private resources during this event



*Carnegie Classifications.* The Carnegie Classifications was developed by the Carnegie Foundation, which was founded by philanthropist Andrew Carnegie in 1905. It is the leading classifications system for America's colleges and universities. This classification system was originally developed in 1970 in order to assist in promoting and advocating on behalf of higher education institutions.

*Case statement, case for support, and case.* A specific statement of desired fundraising goals or initiatives by colleges and universities during an organized fundraising campaign or event

*Certificate in Fundraising Management (CFRM).* A certification provided by The Fund Raising School, School of Philanthropy at Indiana University, Indiana University-Purdue University, Indianapolis Campus (IUPUI)

*Chief Development Officer (CDO).* The senior administrative official responsible for all fundraising activities

*Comprehensive University.* These institutions can be either public or private that award up to master's level degrees and may award some doctoral level degrees. Additionally, these institutions have been described as regional or master's level universities. For the purpose of this study, these institutions are defined as Carnegie Classified, public master's level (including all categories—small, medium, and large). This generally includes institutions that award at least 50 master's degrees and fewer than 20 doctoral degrees (including none) in an academic year. There are 272 public comprehensive universities in America as of September 30, 2011.

*Council of Independent Colleges (CIC).* A support and advocacy organization for America's private colleges and universities

*Development, institutional advancement, and advancement.* The act or function of raising private funds (fundraising) from alumni, friends, corporations, and foundations, and in some cases, the broader sense of university fundraising, marketing, communication and alumni activities

*Fundraising.* The act of raising private funds from alumni, friends, corporations, and foundations

*Fundraising effectiveness.* This measure is developed specifically for this study and will take the total voluntary support of education (private fundraising support) that is reported for fiscal year 2010 (ending June 30) for each available institution, which will be divided by the alumni of record in order to indicate how much is being raised in private funds by alumni of record annually on a per alumnus basis, (i.e. fundraising effectiveness).

*Fundraising School at Indiana University.* A unit of the School of Philanthropy at Indiana University, Indiana University-Purdue University, Indianapolis Campus (IUPUI) that awards a Certificate in Fund Raising Management (CFRM)

*Historically Black Colleges and Universities (HBCU).* These are colleges and universities founded after the Civil War and prior to 1964, both public and private, including all classifications of two- and four-year institutions, medical schools, and community colleges among others, with the primary purpose of serving African Americans.

*Higher education and postsecondary education.* Both terms indicate education at a post-high school level at a college or university.

*Long-serving president.* For the purpose of this study, a university president or

chancellor that has served in the position for 10 or more years

*Philanthropy and philanthropic giving.* The act and function of giving or donating private funding to a non-profit organization including a college or university

*President and Chancellor.* The chief executive officer at a college or university

*Private support.* Privately donated funds received by a college or university from alumni, friends, corporations, and foundations

*The Chronicle of Higher Education.* It is the primary news and information resource for colleges and universities, available daily online and in weekly print form.

*Voluntary Support of Education (VSE).* It is an annual survey and report conducted by the Council for Aid to Education, New York, and is the primary source of information of philanthropic support to colleges and universities, as well as primary and secondary schools.

### **Delimitations**

The focus of this exploratory study was specifically on the president's role in fundraising at America's 272 public comprehensive universities. Most of these institutions are dealing with very similar circumstances, which are reported throughout this research, including the precipitous decline in appropriated funding by the states. So, these institutions had similar responses in how they are dealing with this crisis of public funding and their quest for increased private support from alumni, friends, corporations, and foundations.

Additionally, these institutions are faced with ever-growing tuition increases to students and families to fill the gap of declining public funds from the states. These

public comprehensive university presidents who were surveyed and interviewed in this study have similar strategies, responses, and policies in dealing with these matters.

Further, this study focuses solely on 272 public comprehensive universities, which are very different than land grant, public research, or flagship universities, and are unique in comparison to their private university counterparts and are vastly different than for-profit and international universities in regard to fundraising, private support, and public funding.

This study reviewed the president's role in fundraising at 272 public comprehensive universities in America. It also explored a public comprehensive university president's background, experience, fundraising training, involvement in the fundraising process, and how he or she views and handles fundraising duties and responsibilities.

### **Limitations**

This study had certain limitations in regard to the research and corresponding results. First, because this exploratory study focused on 272 public comprehensive universities in America, (all institutions in this category-small, medium, and large) as determined by the Carnegie Classifications of Institutions of Higher Education and developed by the Carnegie Foundation (Carnegie, 2011), these results cannot be generalized to other public or private universities.

Second, since this study focuses on presidents at these 272 public comprehensive universities and their unique experiences, training, backgrounds, specific involvement in the fundraising process, and a stated interest for additional training and professional

development, these results cannot be generalized to other college and university presidents at other types of universities, public or private.

### **Organization of this Study**

This exploratory study is organized as follows: Chapter One includes the introduction, statement of the problem, purpose and significance of the study, theoretical framework, research questions, nature of the study, definitions, delimitations, limitations, and the summary. Chapter Two reviews the literature on the history of academic fundraising, today's declining state appropriations and funding needs, the role and expectations of the university president, background and experience of today's university president, preparation for the presidency, and a summary. Chapter Three explains the research methodology used, including data collection, for this exploratory and descriptive study. Chapter Four describes the study's results and provides an analysis of the data. Chapter Five summarizes the major findings of this exploratory study and makes recommendations for future research.

### **Summary**

Public funding for higher education in America has seen a dramatic decline during the past 30 years (Ehrenberg, 2006b). Specifically, in 2010 the educational appropriation (in constant dollars) per student was at its lowest point in 25 years, dropping from \$7479 in 1985 to \$6451 in 2010 (Schwartz, 2011). At the same time during this 25-year period, the net tuition paid by students and families was at a record high at \$4321, nearly doubling since 1985 (Schwartz, 2011). This shifting of higher education costs and the tremendous decline in public appropriated funding from the states to public universities have forced university presidents to seek private support for their

institutions from alumni, friends, corporations, and foundations in order to fill the increasing gap due to these appropriation losses (Altbach et al., 1999; Dillon, 2005; Ehrenberg, 2006b).

Furthermore, as Dr. John D. Wiley, former chancellor of the University of Wisconsin at Madison, pointed out, the years after World War II were the period during which America “built the world’s greatest system of higher education” (as cited in Dillon, 2005, p. 1). He added, “We’re now in the process of dismantling all that” (p. 1). Hence, the pressure on presidents to respond to this new and growing dilemma of offsetting the decline in public funding and the search for private support is at a new and feverish pace.

It is important to note that most public comprehensive university presidents do not come from a background in fundraising, and most have very little experience in this area (American Council on Education, 2007). For example, 70.1% of public comprehensive presidents had been former university presidents, chief academic officers (provost), or senior executives in academic affairs in their immediate former position (American Council on Education, 2007). In addition, only 4.9% of public comprehensive university presidents came from a background of fundraising or external affairs as the immediate prior position (American Council on Education, 2007).

Due to their professional backgrounds and limited to no experience in university fundraising, nearly 23% of all presidents ranked fundraising as the top area where they were insufficiently prepared when they assumed their position as president (American Council on Education, 2007). In regard to long serving presidents (presidents for 10 or more years), 78.2% indicated fundraising duties were requiring more time versus prior years (American Council on Education, 2007). In addition, as the American Council on

Education (2007) pointed out, all presidents, public and private, research level and below, ranked fundraising duties as the most time consuming responsibility, and it was a top three responsibility among all types of universities, public and private.

In summary, this study, among other things, examined in an exploratory and descriptive manner the unique attributes, distinctive measures, and specific issues facing America's public comprehensive universities and the president's role in fundraising at these institutions. Additionally, this study focused on ways to better prepare public comprehensive university presidents for these new roles and responsibilities in fundraising, including an exploration of the extent of presidential involvement in the fundraising process at these institutions and, finally, a determination of the potential need for new training and professional development programs in this area.

## CHAPTER TWO: REVIEW OF THE LITERATURE

This is a difficult time in American public higher education. Ehrenberg (2006b) stated, “At the start of the 21<sup>st</sup> Century, public higher education appears to be in a state of crisis. The share of state funding going to higher education has declined by more than one-third during the past 30 years” (p. xiii). American public universities are struggling not only with reductions in state appropriations, but with additional governmental intervention limiting how much tuition can be raised, increased competition by for-profit colleges and universities, the competitive battle in student recruiting, a changing profile of the traditional student, the demands of a new workforce, and the impact of globalization among other major issues (Cheslock & Gianneschi, 2008; Ehrenberg, 2006a). Additionally, Newman, Couturier, and Scurry (2004), summed it up as:

This is a demanding, exciting, and risky time for colleges and universities . . . the main force for change flows from a new level of competition and market-orientation among higher education institutions – a competition for students, faculty, research grants, athletic titles, revenue, rankings, and prestige. (p. 1)

Also, public universities are dealing with many great challenges including the debate over current and future funding. Altbach et al. (1999) stated:

Societal expectations and public resources for higher education are undergoing fundamental shifts. Changes both within and outside the academy are altering the nature and makeup of higher education—its students, faculty, governance, curriculum, functions, and its very place in society. (p. 109)

Dr. F. King Alexander, president of California State University-Long Beach, pointed out that the last significant public discussion regarding the role of the federal



government in higher education occurred over 40 years ago in the 1960s and early 1970s (Ehrenberg, 2006b). Therefore, public higher education is ripe for a broad public discussion and new and innovative research to address these critical funding problems facing the finest public universities in the world.

In a 2010 Moody's Investor Service presentation, it was summarized that the United States is in a period of a *new normal* in higher education, which is characterized by declining to stagnant state revenues and decreasing appropriations to public universities. Additionally, this report stated that due to the crisis mode of state and federal governments and the overall economy, enrollment demand will increase due to high unemployment; and tuition will rise due to less state appropriations (Moody's, 2010). Therefore, additional funding pressures will occur at public universities that will require them to focus on better planning, to eliminate certain programs, and to increase the importance of private fundraising in order to provide additional student aid and to address university capital needs including deferred maintenance (Moody's, 2010).

Nevertheless, these great changes are transforming universities, which will require new and dedicated leaders to maneuver through this process. Fisher and Koch (1996) aptly stated, "The stakes are tremendous. Colleges and universities carry with them the best hopes and prospects of a fearful, often confused society that cries out for focus, vision, and leadership" (p. viii). For generations, society has looked to university leaders for this vision and focus as it has dealt with society's many challenges (Fisher & Koch, 1996).

Furthermore, "public higher education's changing financial environment is well documented" (Cheslock & Gianneschi, 2008, p. 208). According to Cheslock and

Gianneschi (2008), “Facing shrinking budgets, competing priorities, public resistance to increase state levies, and prohibitions on deficit spending, state legislators more and more often find themselves in the unenviable position of debating the relative essentiality of state services, including postsecondary education” (p. 208).

The next decade will continue to see disturbing trends in public higher education as state funding pressures continue, higher tuition and fees put added pressure on the poorest students, a continued shift occurs in federal financial aid to loans versus grants, the demands of a changing workforce and student grow, the proliferation of for-profit providers continues, and all of this increases the need to further enhance private support through fundraising (Altbach et al., 1999; Ehrenberg, 2006a). These issues and others can produce needed research and related answers and solutions that would assist college and university presidents, state policy makers, and other key stakeholders in regard to pressing concerns in public higher education.

Again, public colleges and universities are at a pivotal time in their history. State appropriations continue to decline, and the downward trend appears to be a new norm in public higher education funding (Ehrenberg, 2006a). Public colleges and universities, which educate the vast majority of American college students, face new and challenging administrative pressures due to declining state appropriations and the need to raise private funds to fill these gaps (Shea & Boser, 2002). Today’s public university president has been required to assume a new role in leading the institution with added fundraising responsibilities, and the pressure in this area continues to grow (Shea & Boser, 2002).

The following literature review suggests that many public college and university presidents are ill prepared for this new responsibility in fundraising. Most public

university presidents do not come from a fundraising background, and many have little to no training in this area even with newly expanded responsibilities and expectations (Hartley & Godin, 2009; Nesbit et al., 2006). There are competing interests today of managing a public university as state appropriations continue to trend downward, the number of students continues to grow, and the pressure continues to expand to be successful with private fundraising efforts.

Interestingly, Shea and Boser (2002) asked, “But can state universities educate them all?” (p. 65). Public colleges and universities educate approximately 80% of all undergraduates in the United States (Ehrenberg, 2006b). Due to state budget pressures and budget cuts to public higher education, “it is the public schools that are in crisis” (Shea & Boser, 2002, p. 65).

The states’ portion of public university budgets has been slowly shrinking over the past three decades (Shea & Boser, 2002). This has placed a great burden on students and parents and has increased efforts on private fundraising. According to Shea and Boser (2002), “Worried administrators have taken to repeating a common quip: ‘we used to be state supported, then we became state assisted, and now we are state located’” (p. 65). As public universities raise more private funds to support their academic and institutional needs, the question arises: Will these institutions still feel a need to meet the public responsibilities that historically have been a part of America’s great public university system? Shea and Boser (2002) were adamant:

States can’t—or won’t—keep up with rising higher education costs. While the dollar amount that states give to universities has gone up 13 percent since 1980,

some (public) universities receive less than one-fifth of their budget from public funds. (p. 65)

It is very easy to blame state legislatures for this lack of funding, but universities are competing with state healthcare costs such as Medicaid, which “siphons off roughly 28 percent away from state coffers; primary and secondary education; prisons; and other mandatory items” (Shea & Boser, 2002, p. 66). In addition, it has become almost impossible due to public and political pressures for a state legislature to raise taxes to assist with increasing revenues. Thus, public higher education suffers from this widening gap of limited funding.

So, in this era of public higher education funding, private fundraising is becoming a more crucial piece to the budgeting process:

Since 1980, private gifts to public schools [universities] are up 159 percent.

Many large public universities are having billion dollar or multi-billion campaigns to raise private funds. Smaller (public) institutions with little fundraising experience are now learning sophisticated methods of tapping alumni for contributions. (Shea & Boser, 2002, p. 66)

As state appropriated funding declines, enrollments continue to rise: The U.S. Department of Education predicts that during the next several years, 700,000 additional students will be enrolled (Shea & Boser, 2002). In addition, certain states like Florida and Texas are already at maximum capacity and are expecting major increases over the next decade. Katharine Lyall, former president of the University of Wisconsin system, stated, “We cannot continue increasing our enrollments when our base budget is steadily eroded . . . It’s not a question of commitment . . . it’s a question of means” (as cited in

Shea & Boser, 2002, p. 67). Shea and Boser (2002) expertly outlined the dilemma of declining public funds, budget pressures on public colleges and universities, and the necessity of private fundraising to assist with public university funding issues.

Cook (1997) argued that higher education is currently in an era of uncertainty. His research focused on 12 key points, all dealing with the college or university president and his or her ability to deal with financial matters facing the institution, including an in-depth focus on college and university fundraising and the skills that are necessary to advance an institution in this period of uncertainty.

Cook (1997) focused on many important topics including fundraising talents as a key to being hired as a college or university president, skills development in higher education fundraising, compensation factors for presidents with skills in fundraising, the importance of presidential attention to fundraising at their respective institutions, as well as several related topics. Additionally, Cook (1997) reviewed historical information from many private and public colleges and universities, as well as interviews with several college and university presidents. Cook (1997) also reviewed previous research studies and related reports; one seminal research report that was analyzed was the monograph, *The President's Role in Development* from 1975. This report is cited in Cook's (1997) study and was the first major research document on the college or university president's role in fundraising.

Cook (1997) began with a review of this period of uncertainty and detailed state funding cuts, increased competition in higher education, and the need to raise private funds to supplement these factors. Cook (1997) pointed out, "As quarterback, the president is the central player in the fundraising offense and follows instructions from the

head coach (chief development officer) or offensive coordinator (campaign director)” (p. 36). The president’s role in fundraising today is key: “It is not surprising, therefore, that fundraising ability and experience have become increasingly-valued presidential assets in recent years” (Cook, 1997, p. 37). Further, it is not surprising that, when university boards go searching for a new president, fundraising skills are on top of the list of qualifications (Cook, 1997). In this era of uncertainty, the fundraising process has become increasingly important, and the president’s role is vital in the institution’s success in this area.

### **The Role and Expectations of the University President**

According to Worth (2002), “The 1990s were a decade of unprecedented economic growth and new records in philanthropic support for institutions of higher education” (p. ix). Concurrently, the 1990s were a period of great change for public universities as appropriated support declined and challenges were created in institutional funding. Patton outlined the importance of the president in fundraising and pointed out, “For an institution to realize its fundraising potential, the key institutional players—the board of trustees, the president and chief development officer—must clearly understand and effectively interpret their roles” (cited in Worth, 2002, p. 65).

Patton noted, “The president must be at once the interpreter of the educational environment in general and the standard bearer for his or her institution’s unique mission within that environment” (cited in Worth, 2002, p. 67). In addition, Patton addressed the importance of the president’s relationship with key constituencies as well as asserted that his or her relationship with development staff and the chief development officer is pivotal, all of which are key to being successful. Higher education fundraising is very

much a team effort, and in order for the institution to be successful in this area, everyone must know his or her role and execute it with perfection.

Worth (2002) provided an excellent overview of educational fundraising from the historical context, to the role that key individuals play, to specific initiatives that are required for any college or university to be successful in this field. As Patton noted, “[the president] must be both an idealistic visionary and steely-eyed realist – sometimes in the same half-hour” (as cited in Worth, 2002, p. 67).

Today, the new norm in public higher education is the president as a cheerleader and fundraiser. He or she should expect to spend an inordinate amount of his or her time raising private funds. Shaw (1999) stated, presidents must take “the show on the road” (p. 21), and not only with fundraising initiatives, but with all key external stakeholders. He added, “Very few leaders can be truly successful without the support, collaboration, and goodwill” (p. 21) of the external constituencies, including private funding sources.

Fisher, Tack, and Wheeler (1988) foresaw these higher education trends on the horizon and stated, “The college president. A former professor who presides at convocations and faculty meetings, raises money, and creates few waves—a kind of elevated Mr. Chips. This might have been the profile of a college president once, but no more” (p. vii). In fact, according to Fisher et al. (1988), the effective college president should look more like a corporate executive than his or her traditional predecessor.

Wesley (2007) pointed out the tremendous time commitment of fundraising duties. His statement that “presidents can realistically expect to spend up to 70% of their time participating in fundraising initiatives” (p. 4), would be a surprise to many who are not directly involved in college or university fundraising. It is probable, that at no time in

the last 100 years, have private fundraising and the president's role in this process been more important due to the state of the national economy and the competitive pressures of fundraising (Wesley, 2007).

Wesley (2007) utilized a mixed methods approach to his research study. For the quantitative phase, Wesley obtained data through the use of a questionnaire sent to 177 Catholic college and university presidents, and he had a response rate of 68%. For the qualitative portion, Wesley interviewed six Catholic college and university presidents. As Wesley (2007) noted, "The role of Catholic college and university presidents in the 21<sup>st</sup> Century is multi-faceted and complex" (p. vii). He summarized, "Being able to promote remedies and possible solutions, through strategic plans linked to intelligent fundraising, are essential if these leaders want their institutions to thrive and flourish" (Wesley, 2007, p. 32).

According to Slinker (1988), "The role of the college or university president in institutional advancement is one of the fundamental issues in higher education" (p. 1). In the past several years, state legislatures have dramatically changed the traditional funding model for public colleges and universities by shifting much of the funding burden back to the institutions to address with non-appropriated funds. Institutional fundraising is becoming much more important as alumni and friends of the university are asked to play an increasing role in the financial support of their alma mater (Slinker, 1988).

The origin of institutional advancement activities in the United States dates back to the founding of Harvard College in 1636, the first institution of higher education in the American Colonies (Slinker, 1988). Since its beginning, Harvard has been the national leader in capitalizing on institutional advancement initiatives, including fundraising, and



has an endowment today of more than \$25 billion (Harvard Gazette, 2010). Slinker (1988) pointed out the key role of the college or university president in fundraising activities and stated that, although a president does not need a background in this area, it is important for him or her to be at the center of the advancement (fundraising) effort: “suggesting, critiquing, judging, challenging, and performing” (Cheshire, as cited in Slinker, 1988, pp. 16-17).

Slinker (1988) elaborated on the president’s role in institutional advancement as “increased sophistication by the president in institutional advancement (which includes fundraising) is necessary to solve some of the problems in higher education” (p. 18).

Slinker (1998) continued by citing Fisher:

[A] lack of knowledge today on the part of presidents occurs most frequently in the areas of institutional advancement . . . Unless presidents can learn how to relate to external audiences and how to oversee the staffing and organization of an effective advancement effort, their institutions will suffer. The results will be fewer flexible dollars and diminished public understanding at a time when both are needed more than ever. (p. 18)

It is vital for a public university to have a president who understands institutional advancement and specifically, fundraising, in this era of declining state appropriations. Also, Slinker (1988) stated, “College and university presidents are engrossed in innumerable activities and work approximately 50-60 hours per week” (p. 37). In addition, Slinker (1988) noted that 60-70% of a president’s life is devoted to institutional advancement activities, which include fundraising, and as much as 36% of his or her time is devoted to travel and activities away from campus. Obviously, it is key for a president

to have good skills in this area and a proper understanding of the importance of institutional advancement activities that include fundraising responsibilities (Slinker, 1988).

Finally, among other key recommendations in this study, Slinker (1988) pointed out that “[p]roactive and vigorous leadership is required to properly position the college or university” (p. 177). He continued, “Presidents should learn all they can about the importance and primary functions of advancement without trying to be a technician” (p. 177). Additionally, Slinker (1988) pointed out that “[p]residents hired today must be visible leaders who are institutional extroverts rather than academic introverts” (p. 187).

Today, the university president is on stage, playing the advancement role as required. He or she is a leading actor with all of the tools that star performers depend on: a script, direction, staging, a supporting cast and a director, known as the chief development officer (Murphy, 1997).

During the past 50 years, public university presidents have evolved greatly in their fundraising role, especially among comprehensive public universities. For example, in Stokes’ (1959) book, *The American College President*, he alluded to the fact that if one raised outside (private monies), that the legislature in their infinite wisdom might cut appropriations a corresponding amount. Additionally, Stokes (1959) pointed out concerns with private fundraising such as the “distorting effect on the well-rounded development of an institution” (p. 58) and a donor “may attach bizarre or whimsical conditions which, if not actually harmful, can be humiliating” (p. 58). Finally, Stokes (1959) called the fundraising component at a university, “beg[ging] like a college president” (p. 59).

Obviously, a great deal has changed in public higher education since 1959. Society views fundraising activities much more positively today as a necessary component of a successful public university. More importantly, effective fundraising efforts will heighten a university's stature among its peers and in the public's eyes and is a point of pride among key stakeholders.

Also, it is oftentimes the case that a university president will spend more than half of the regular week raising money, especially during a major campaign. The president, as fundraiser-in-chief, must appear to be the tireless and successful champion of his or her institution in order to be successful (Budig, 2002). Public universities and their presidents must aggressively respond to the lack of public funding support by state legislatures. As in fundraising, public university presidents must make their case for support very clearly and concisely to policy makers.

Slinker (1988) noted that institutional advancement activities, which include fundraising, are a key responsibility for a president of a public college or university. A great deal of a president's time will be devoted to institutional advancement activities and will determine much of his or her personal success and the overall accomplishments of a public college or university. Also, proper training, adequate preparation, detailed planning, and a desire and ability to be an out-going institutional leader in this area are key traits for any new university president. Slinker's (1988) study used a mixed methods research approach by interviewing nine university presidents and incorporating a quantitative study of 27 presidents.

Today's expectations for success in fundraising activities place great pressures on the presidents of colleges and universities. Sometimes these pressures cause ethical

dilemmas for the institution and its leaders. Bornstein (2009) outlined the numerous ethical dilemmas she faced during her 14-year tenure as president of Rollins College, including issues focused on fundraising and the president's role in this area. Bornstein (2009) asserted, "I consider ethical behavior to be the first principle of good leadership" (p. 1).

Bornstein (2009) utilized a qualitative study of one expert opinion to outline several ethical and leadership issues faced by one college president. Many of these ethical and leadership concerns deal with fundraising and donor issues and the role of the president in facing these challenges. Bornstein (2009) provided a unique insight into the role of the college or university president in fundraising and the ethical and leadership pressures that one faces today at a college or university, especially in this time of declining state funding support and the need to raise additional private dollars.

One such ethical consideration that Bornstein (2009) pointed out was a specific issue that she faced at Rollins College: "Should the president accept a million dollar gift to establish a new endowed chair for a highly specialized new program in which the institution had no expertise or student interest?" (p. 1). Accepting a gift of such magnitude is a tempting offer since not many seven-figure gifts are presented on a regular basis to a college or university, and endowing faculty positions is quite helpful to the institution. However, questions about how much more it would cost to form this highly technical new academic area should be asked, among others: Is this gift consistent with university priorities? Simply, does it fit the mission of the college or university?

Bornstein (2009) reviewed ethical and leadership issues and concerns at one college. However, Bornstein's (2009) position should not be considered an in-depth

study that has broad ramifications, but simply, insight into one college president and her decisions. Bornstein (2009) pointed out that “[g]ood leaders should be aware that every decision becomes a road map for future action” (p. 3). This statement resonates in university fundraising because once a gift is accepted and new projects or priorities are committed, it is very difficult to change or reverse course, and the acceptance of the gift becomes a permanent decision for the institution and its leadership.

Additionally, Ehrenberg, Cheslock, and Epifantseva (2001) conducted research that reviewed college and university presidents’ compensation and measured it against evaluating factors used by boards of trustees. In short, this study delved into the issue of evaluating what is important to board members as they set institutional pay and incentives for college and university presidents. Ehrenberg et al. (2001) pointed out that, “Surprisingly, very little is known about the compensation structure faced by American college and university presidents” (p. 1). This research explained how college and university presidents are compensated, and what trustees value as important in this process.

This mixed method study utilized a qualitative approach to evaluate the historical data from more than 400 colleges and universities dealing with presidential compensation and benefits. In addition, this study used a quantitative approach for further analysis of the many compensation levels, benefits, and other key variables in drawing conclusions. All data analyzed were from the period 1992-1998 (Ehrenberg et al., 2001).

This study also noted that “the president plays a major role, often the major role, in determining the institution’s fundraising success” (Ehrenberg et al., 2001, p. 16). However, this study concluded that there is only a minimal correlation between

fundraising success by a president and his or her compensation and benefits. Yet, trustees place value on a president's ability to be successful in the area of institutional fundraising, and some suggested that compensation is explicitly tied to fundraising success. Furthermore, Ehrenberg et al. (2001) did not draw strong conclusions or provide in-depth supporting information in regard to direct and explicit links to fundraising success and compensation increases for college or university presidents.

The Ehrenberg et al. (2001) research study did provide some background information and some detail on the linkage of salary and benefits for college and university presidents and related success in fundraising. Finally, this study demonstrated that presidential compensation and benefits might be more subjective than objective; and, at least during the period of this study, length of service by a president at an institution may be the biggest reward for fundraising success versus increases in pay and benefits (Ehrenberg et al., 2001).

### **Background and Experience of Today's University President**

According to Nesbit et al. (2006), "The increasing costs of higher education and the decreasing willingness of taxpayers to support it have amplified the importance of fundraising in the modern university" (p. 2). Fundraising continues to be a primary responsibility of college and university presidents. In addition, Nesbit et al. (2006) pointed out that, although fundraising is a critical component of a college or university president's role, "over half of the presidents of public universities would prefer more training in fundraising than additional experience in any other single area" (p. 3).

Nesbit et al.'s (2006) study utilized a quantitative approach to evaluate research from 1990 to 2000 dealing with 290 public and private university presidents and their

perception of various development (fundraising) functions of their job. For example, from the Nesbit et al. (2006) study, in a typical month in 1990, presidents of both public and private institutions stated that they spent an average (mean) of 30.47 hours on fundraising. This number increased to 37.30 hours in 2000, more than a 22% increase. Further, this study showed that private university presidents spent *less* time in fundraising activities each month in 2000, at 34.42 hours, compared to public university presidents at 39.0 hours, a startling discovery by Nesbit et al. (2006). This study also showed that the hours devoted to fundraising remained flat from 1990 for private university presidents at 34.49 hours, whereas public university presidents' hours devoted to fundraising each month was 28.51, a net increase of over 10 hours per month or an increase of nearly 37% from 1990 to 2000 (Nesbit et al., 2006).

Amazingly, this study showed that in 2000, public university presidents at doctoral institutions spent more time devoted to fundraising than their private university counterparts (Nesbit et al., 2006). In addition, the hours devoted to fundraising remained flat for private university presidents from 1990 to 2000, whereas public university presidents' hours increased dramatically to 39.05 hours each month (Nesbit et al., 2006).

Chandler (2006) conducted a comparative analysis of the major differences between presidents who lead historically black colleges and universities (HBCUs) and those who lead non-historically black colleges and universities (non-HBCUs). Chandler's (2006) study utilized a mixed-method approach that examined historical documents and other available research. The quantitative research primarily examined the data gathered in a major study by the American Council on Education conducted in 2002, whereby 2,380 college presidents responded to a survey about the college or

university presidency. The qualitative research relied upon 20 college or university presidential interviews.

Chandler (2006) identified many differences between the presidents of HBCUs and non-HBCUs, their leadership challenges, their styles, and many other selected leadership issues including institutional fundraising differences. Further, Chandler (2006) stated, “Leading the modern college or university is a complicated affair, requiring the organizational affairs of a field marshal, the fiscal acumen of a CPA, the diplomacy of a politician and the vision of a prophet” (p. 25). Chandler’s (2006) research reviewed the historical role of the college or university president and how it has evolved through the present. In addition, he illustrated the differences between HBCUs and non-HBCUs in many different areas, including fundraising. He noted the difference in donations and alumni support in the two different institutions: “This situation is made clear by the fact that an HBCU president considers a \$10,000 contribution a major gift and the non-HBCU president considers a \$100,000 donation as a major gift” (p. 108). This matter deals primarily with the size, history, private, or public factors of the college or university.

The American Council on Education has for many years compiled in-depth quantitative research on college and university presidents. In 2007, the sixth such report was published (with data ending in 2006) since 1986. *The American College President Study* is the only comprehensive source of demographic and other data on both public and private college and university presidents. Additionally, in the 2007 study, some interesting data about public comprehensive university presidents were outlined. For example, 70.1% of public comprehensive presidents had been a former university



president, chief academic officer (provost), or senior executive in academic affairs in their immediate former position (American Council on Education, 2007). However, only 4.9% of public comprehensive university presidents came from a background of fundraising or external affairs as the immediate prior position (American Council on Education, 2007). However, the American Council on Education (2007) pointed out that all presidents, public and private, research level and below, ranked fundraising duties as the most time consuming responsibility; and it was a top three responsibility among all types of universities, public and private.

Interestingly, in the American Council on Education study (2007), nearly 23% (ranked number one) of all presidents ranked fundraising as the area where they were insufficiently prepared when they assumed their position as president. In regard to long-serving presidents (presidents for 10 or more years), 78.2% said that fundraising duties were requiring more time, not less versus prior years; and 71% said the main factor changing the role of the presidency was the decline in state funding (American Council on Education, 2007).

The American Council on Education (2007) study outlined some very interesting details of the American college president: (a) fundraising duties are increasing and are among the top duties facing a president; (b) most presidents do not come from a university background where they had responsibilities in institutional fundraising; and (c) many presidents felt ill-prepared with fundraising duties in their presidency, therefore ranking it as their number one area of weakness.

## **The History of Academic Fundraising**

According to Caboni (2003), the philanthropic support of educational institutions is not a new concept. The earliest examples of charitable support to educational institutions date back to the Greek philanthropist Cimon's support of the Academy of Socrates and Plato (Caboni, 2003). In addition, Caboni (2003) noted that the history of educational fundraising in the United States is traced back to the early universities in Europe. Caboni (2003) stated, "In these institutions, founders were forced to approach potential donors for money and resources for college operations. Wealthy individuals established endowments to support the universities of Paris, Oxford and Cambridge" (p. 3). Further, the notion of the chief faculty member raising funds for the institution was transferred to the early colonial colleges (Caboni, 2003).

Cook and Lasher (1994) cited Marts (1953), noting that Alexander the Great provided private funds for a new library in Alexandria, Egypt, during the 4th Century, B.C. and is said to have financed the Lyceum of Aristotle, whereby, at one time Aristotle had 1000 men scattered throughout Asia, Egypt, and Greece seeking data for his writings on natural history.

The creation of an organized approach to higher education fundraising did not occur until the 20th Century. Prior to that, college and university fundraising efforts were limited to individual events of wealthy benefactors providing necessary support to their institutions (Caboni, 2003). Caboni continued:

Pray (2003) reports that, in 1936, fewer than 50% of the colleges and universities had alumni (privately raised) funds in place. According to Kelly (1998), 'apart

from a few exceptions related to annual giving—the first full-time staff fundraisers did not appear on the scene until the late 1940's.' (Caboni, p. 3)

Importantly, the evolution of college and university fundraising did not take an organized and coordinated shape until the 1940s. Even as recently as the 1970s, only 25% of institutions had an organized development effort in place, and the majority of this group was private institutions (Caboni, 2003). During the past three decades, “fundraising has grown more sophisticated and reached new heights . . . with billion dollar campaigns planned by specialized staffs equipped with the latest computer technology and multi-million budgets” (Cook & Lasher, 1996, as cited in Caboni, 2003, p. 4).

The evolution of public college and university fundraising has evolved very quickly because funding needs have increased due primarily to financial pressures brought about by decreases in state appropriations. Organized and professional higher education fundraising has become an integral part of most colleges and universities today, and the role of the institutional president has evolved accordingly to meet these new and increased demands.

Lucas (1994) pointed out the impact of the religious influence on the new colonies by describing John Winthrop's sermon as he preached to the future leaders of the Massachusetts Bay Colony aboard the ship *Arbella* in the spring of 1630. John Winthrop prophesized, “Men shall say of succeeding plantations: the Lord make it like that of New England: for we must consider that we shall be a city upon a hill [and] eyes of all people are upon us” (as cited in Lucas, 1994, p. 103). This new “city upon a hill” would be the Puritans' new world, which they knew would be fully supported and created

under God's watchful eye: "As Francis Higginson was to explain in *New-England's Plantation*, 'that we have here the true religion and holy ordinances of Almighty God taught among us'" (Lucas, 1994, p. 103).

In addition, this new society created in America would provide new opportunities, a place to worship safely and freely, and a place in which to "advance learning and perpetuate it to posterity" (Lucas, 1994, p. 104). Lucas (1994) continued, "Accordingly, in October 1636 the general court of Massachusetts—then in only in its 8th year of operations—appropriated funds for the establishment of a college at Newtown (later renamed Cambridge)" (p. 104). This funding would be the first example of a state appropriation for higher education in America. Educational studies were offered soon thereafter, and the untimely death of a benefactor a few months later decided the question of a name for the fledgling new college:

A certain Edward Johnson recounted the story as follows:

This year, although the estates of these pilgrim people were much wasted, yet seeing the benefit that would accrue to the churches of Christ and civil government, by the Lord's blessing, upon learning, they began to erect a college, the Lord by his provident hand giving his approbation to the work, in sending over a faithful and godly servant of his, the Reverend Mr. John Harvard, who joining with the people of Christ . . . suddenly departed life; wherefore the government thought it meet to call it Harvard College in remembrance of him.

(Lucas, 1994, p. 104)

Harvard was the first example of an institution of higher education in America, but the other eight colleges founded in the Colonies prior to the American Revolution had the same broad purposes of educating a new citizenry and preparing a clergy.

In essence, all of these early colleges were places of learning, study, and research, as well as seminaries for this new world being built by those who left England seeking religious freedom. According to Lucas (1994), as the founders of the College of New Jersey (later to become Princeton) phrased it,

Though our great intention was to erect a seminary for educating ministers of the gospel, yet we hope it will be a means of raising up men that will be useful in other learned professions—ornaments of the state as well as the church. (p. 105)

It is important to note that these early American colleges were primarily built with a single benefactor or, at most, just a few loyal supporters who provided the financial support to begin these new institutions being modeled after the great universities of Europe. These first gifts developed new institutions of higher education that would later become some of the finest universities in the world. In addition, these colleges provided the first scholarships in America, which were known as “charity scholarships,” in order that poor students also could attend these institutions (Lucas, 1994, p. 108).

The early American colleges were created as sanctuaries for higher education and a tribute to God as a place to educate new clergy in order to spread the gospel in the new colonies. They were conceived and built by generous benefactors or simply by loyal parishioners and citizens, and their communities have continually supported them. These institutions are the first examples of the tremendous philanthropic support for American colleges and universities that continues today (Lucas, 1994).

Rudolph (1990) pointed out that, although the early American economy could not support widespread philanthropic efforts, individual support was in keeping with English tradition. The Englishman John Harvard, though not the founder, was the major benefactor of the new Harvard College and, hence, began a new system of philanthropic support to American colleges and universities (Rudolph, 1990). Rudolph (1990) stated:

Higher education in America began with Harvard. As the author of *New England's First Fruits* told it in 1643, after erecting shelter, a house of worship, and the framework of government, 'one of the next things we longed for, and looked after, was to advance learning and perpetuate it to posterity . . .' And then, it would seem, almost as a matter of course, there was Harvard. (pp. 3-4)

It is important to recognize that the early American colleges were expressions of Christian charity and provided needy young men an education in a new and aspiring country. Interestingly, the first scholarship fund at an American college was an act of Christian benevolence provided by Lady Anne (Radcliffe) Mowlson (Rudolph, 1990). Thus, although early American colonial life was poor, the roots of Christian benevolent support for education from English roots were continued at these new colleges.

The history of early American colleges is embedded with major benefactors who had a vision of preparing young men as they built a new country. Also, many early American colleges raised additional private funds to endow professorships, support scholarships, and to erect buildings. However, only six endowed professorships existed prior to the American Revolution, and four of them were at Harvard (Rudolph, 1990). Yale holds the record for the oldest continuous alumni fund dating to 1890, and Bowdoin College of Maine created the first formal annual giving program in 1869 (Hillman, 2002).

Although private support was vital in starting the early American colleges, state support was crucial to many of these early institutions as well: “On over one hundred occasions before 1789 the General Court of Massachusetts appropriated funds for Harvard College, which was clearly not capable of taking care of itself” (Rudolph, 1990, p. 185). Rudolph (1990) noted that Harvard, Yale, and Columbia would not have survived their earliest period of development without state support. Further, Rudolph (1990) pointed out that state authorized lotteries were started in several states in order to provide support to their local colleges.

As with older European universities, early American colleges were started to educate a new citizenry and to do social good under a watchful eye of the early American church. These early college fundraising efforts, based primarily on Christian charity, developed many of these early American colleges into the most respected higher educational institutions in the world 200 years later (Caboni, 2003; Lucas, 1994; Rudolph, 1990). Today these premier institutions of higher education, both private and public, rely even more heavily on private support through fundraising efforts to continue to educate the citizenry, conduct important research, promote economic development, and to do social good both in this country and beyond.

Last, in Sherratt’s (1975) seminal research on public universities and institutional fundraising, the importance of understanding the history of fundraising in American higher education was best summarized by former Utah State University President, Dr. Glen L. Taggart:

Those who understand the true nature of the American college and university will know the vital role that private gifts have played in moving the nation’s

institutions of higher learning from essentially aristocratic schools to their current position as an innate expression of American democracy. Educational philanthropists have helped shape the universities as we know them today . . . If we are to come to grips with how and why and with what consequences the American colleges and universities have developed as they have, if we are to enjoy a full appreciation of our national educational heritage, we need to trace the history of educational fundraising and to recognize how penetrating its influence has been in molding the modern format of higher learning. (Sherratt, 1975, p. 11)

### **Today's Declining State Appropriations and Funding Needs**

Lyall and Sell (2006) examined state funding for public higher education during the period from 1991-2004 for all states. They used a qualitative approach for this study by examining historical information provided by the higher education executive officers for each state and compiled by the State Higher Education Finance Survey from 2004. This report indicated an average decline of 12% of state appropriated support during the period of 1991-2004 (Lyall & Sell, 2006). In addition, three-quarters of all states showed a decline in funding for public colleges and universities ranging from a decline of over 42% in Vermont for this period to an increase of 27% in Wyoming (Lyall & Sell, 2006).

Lyall and Sell (2006) provided several major findings of great concern in their evaluation of public funding for public higher education. For example, Lyall and Sell (2006) stated that in the 1980s, public colleges and universities drew more than half of their support from taxpayer funding; this has dropped to nearly 30% in recent years. In addition, it is important to note that public colleges and universities educate 77% of all college students (Lyall & Sell, 2006). Lyall and Sell (2006) also pointed out that cutting



public funding to public colleges and universities has caused a minimal outcry from the public. Therefore, state legislators have faced little pressure and have pointed to alternative funding sources for institutions, primarily tuition increases and the opportunity to raise private and corporate support.

The position of a university president has seen great change during the past 25 years. Public university presidents have seen the greatest change as state appropriated funding to institutions has dramatically declined. This decline in state funding allocated to public universities has caused university presidents to give a new and unique focus to private fundraising to enhance their budgets (Lyll & Sell, 2006).

“These are not the easiest times to be a college president” (Murphy, 1997, p. viii). Legislators seek to set educational policy that should be left to faculties and governing boards, debates over how universities should be financed clouds the importance of access to those that are academically able but needy, not enough attention is given to the performing arts and libraries, and differing views on the role of athletics within and outside the university walls cause many concerns (Murphy, 1997).

Also, public university presidents face a future of declining appropriations from the state and less consensus from policy makers in general. St. John and Parsons (2004) framed the breakdown of the public higher education system as a lack of consensus on the value of public higher education in recent years among liberals and conservatives and their differing views of funding. Hence, funding began to decline as these debates expanded in the 1990s.

Recently, Mark Yudof, president of the University of California, stated in an interview with *The New York Times* (Fain, 2009) that his university has not been pushed

over the edge yet; but they are at the edge, and the challenges of public universities are growing. Additionally, he called the state, the source of public funding, an unreliable partner and pointed out that public funding is half of what it was only 20 years ago (Fain, 2009).

Although all public universities are dealing with a funding crisis, the American Association of State Colleges and Universities reminded readers in its 2009 report, *Leadership for Challenging Times*, that university presidents must “exert forceful leadership” (p. 9) in advocating and stressing to external constituencies the need to support public higher education in order for the United States to remain competitive in this new global marketplace. There are many risks with this model of declining taxpayer support for public colleges and universities, including narrowing missions for these institutions; eliminating important but costly programs; limiting access for low-income students as state aid is declining; and increasing the pressures on many key educational programs that are vital to the economy because public institutions educate the vast majority of our teachers, nurses, social workers, and the like (Lyall & Sell, 2006). Lyall and Sell (2006) stated, “[n]arrowing missions will inevitably limit the role of universities as an instrument for social critique, social justice, and economic change” (p. 10). Additionally, Lyall and Sell (2006) provided a background that indicates the reality of declining state appropriations, the negative effect on operating public colleges and universities, and the pressures on college and university leadership to seek private and corporate support through fundraising efforts to fill in the gaps left open through declining state support.

Cheslock and Gianneschi (2008) aptly noted, “The purchasing power of state appropriations per full-time equivalent student in 2003-04 reached its lowest point in the 30-year period ending that year” (p. 208). Public higher education is going through unique and extraordinary times because its long-time financing model, relying on state appropriations, is rapidly changing as states are pressured to balance budgets and fund many other pressing needs such as Medicaid (Cheslock & Gianneschi, 2008).

Also, Cheslock and Gianneschi (2008) reviewed 30 years of state funding through a qualitative analysis utilizing historical data composed of state appropriations for the period from 1974-2004. In addition, they discussed the high point of state appropriations for public higher education per full-time equivalent student (FTE), which peaked at more than \$9000 per student in the mid-1980s and dropped to a low point of nearly \$6900 in 2004 (Cheslock & Gianneschi, 2008).

Importantly, Cheslock and Gianneschi (2008) reviewed many factors of public funding and private giving during the 30-year period ending in 2004. An extremely concerning observation was that higher education funding by the states is becoming less important and extremely discretionary as state legislators wrestle with other funding priorities that include K-12 education and healthcare-related costs (Cheslock & Gianneschi, 2008).

Cheslock and Gianneschi (2008) also examined the replacement of public funds with privately raised funds. Because of the pressure on keeping tuition costs down while dealing with the reality of declines in state appropriations, public colleges and universities are being forced to look to alumni, friends, corporations, and foundations to supplement their budgets. According to Rooney (1999):

When tuition dollars cannot be increased further, public higher education institutions will become especially reliant upon alternative sources of revenue. Private giving is one of the more promising possibilities. Unlike some other revenue sources, the cost of raising private gifts is typically far lower than the dollars raised. (cited in Cheslock & Gianneschi, 2008, p. 210)

Cheslock and Gianneschi's (2008) study pointed out that private fundraising provides substantial unrestricted or discretionary dollars to the college or university leaders, which allows greater flexibility in managing the institution. Cheslock and Gianneschi (2008) provided a candid discussion of the reality of declining state appropriations to public colleges and universities and the importance of private fundraising that is needed today to supplement strapped institutional budgets.

Public higher education plays a vitally important role in our country, as it educates our citizens, conducts important research, and is a major economic driver in our states and nation (Weerts & Ronca, 2006). However, there is a "freefall in support for higher education," as state appropriations were slashed \$650 per student in the period between FY 2001 and FY 2004 (Weerts & Ronca, 2006, pp. 935-936).

Much of the blame for reduced state appropriations to public higher education is directed toward fiscal recessions during this period (Weerts & Ronca, 2006). However, this study pointed to the conservative shift of the federal government's role during the last 25 years in funding for state and local programs known as the "new federalism" (Weerts & Ronca, 2006, p. 936). This conservative shift in funding also has caused funding cuts to public higher education due to declining appropriations and a reallocation of state budget priorities.

Weerts and Ronca (2006) pointed out that some state legislators argue that public universities have not done enough to control costs and become more efficient in their delivery of educational services. This study examined public funding and the role of state governments in financing public higher education during the late 1990s. Also, Weerts and Ronca (2006) utilized a mixed methodology approach employing both qualitative and quantitative research methods. The quantitative approach examined public funding variables from fiscal year (FY) 1996-97, including per capita taxes and income, state population, specific data from 56 public universities, and other key variables utilizing a regression analysis of related data. These data were supplemented with qualitative case studies of three major public universities using primarily interviews.

The Weerts and Ronca (2006) study provided unique and valuable data and insight into state funding of public higher education, which has provided a strong base for the current research on the president's role in fundraising at public comprehensive universities. State funding for public higher education is being reduced, and the trend is not positive. This decline is happening during a period when "higher education demand has increased by seven-fold since World War II and is expected to continue growing over the next two decades" (Commission on National Investment in Higher Education, 1997, as cited in Weerts & Ronca, 2006, p. 937). All of these factors put new and aggressive pressure on raising private funds to fill these new funding gaps.

"During the last quarter of a century, public higher education institutions have found themselves buffeted by a perfect storm" (Ehrenberg, 2006a, p. 47). This "perfect storm" has occurred due to declines in state appropriations for public higher education and rising costs in other areas of state budgets. This confluence of issues has caused

some institutions to discuss the possibility of privatization as tuitions rise and quality and access are at risk. Ehrenberg (2006a) stated, “a weakening of our public higher education system along either the quality or accessibility dimension would have serious consequences for our nation’s future” (p. 47).

The decline in state appropriations occurred after the Reagan revolution in the 1980s as the country enjoyed new federal and state tax cuts. Then, states began to feel new budget pressures as Medicaid, K-12 education, and the criminal justice system needed additional revenues (Ehrenberg, 2006a). These competing issues of state and federal tax cuts caused declining state revenues, and new budget pressures caused structural imbalances in many state budgets, and in turn caused dramatic reductions in the share of state budgets devoted to higher education.

These state budget pressures mounted due to the rapidly increasing enrollments at public higher education institutions. Enrollments grew from less than 8 million students in 1974 to more than 12 million in 2004, while most states were dealing with declining tax revenues to allocate to public higher education (Ehrenberg, 2006a). According to Ehrenberg (2006a), “Traditionally, public higher education has been viewed as a social good that yields benefits to the nation as a whole” (p. 48). However, policy makers have concluded that the easiest way to deal with these budget pressures is to cut funding to public higher education and require students and families to pay a higher share of the costs as they deal with competing interests and declining budgets.

Public institutions, especially the land grant institutions, have a unique responsibility to serve a broader population than only their students. Whether agricultural, consumer, economic development, or basic research, public higher education

institutions are transmitters of knowledge and deliverers of services to their regions or states. State cutbacks in public higher education cause institutions to reduce or eliminate services or to raise fees and become more entrepreneurial in their approach (Ehrenberg, 2006a). According to Ehrenberg (2006a), with this model it is only natural that public higher education would increase the share of time spent on profit making activities and less on serving the public good.

Taxpayer support for public higher education, as measured per student, has “plunged more precipitously since 2001 than any time in two decades” (Dillon, 2005, p. 1). Many university presidents consider this period the de facto privatization of public higher education, an institution that built the middle class in this country (Dillon, 2005). Further, Graham Spanier, former president of Pennsylvania State University, has called this decline in state appropriation and sky-rocketing tuition “public higher education’s slow slide toward privatization” (as cited in Dillon, 2005, p. 1).

Dr. John D. Wiley, former chancellor of the University of Wisconsin at Madison, said that the years after World War II were the period during which America “built the world’s greatest system of higher education” (as cited in Dillon, 2005, p. 1). He added, “we’re now in the process of dismantling all that” (as cited in Dillon, 2005, p. 1). For example, the average share of public universities’ revenues derived from state and local tax support declined to 64% in 2004, down from 74% in 1991 (Dillon, 2005). At many public colleges and universities the percentages are even smaller (Dillon, 2005). Another measure cited by Dillon (2005) showed public tax revenues devoted to higher education have declined for several decades: “About 6.7 percent of state revenues went to higher

education appropriations in 1977, but by 2000, universities' share had fallen to 4.5 percent, according to the Urban Institute" (p. 3).

In addition, Katherine C. Lyall, an economist and president emeritus of the University of Wisconsin, stated, "At those (funding) levels, we have to ask what it means to be a public institution. America is rapidly privatizing its public colleges and universities, whose mission used to be to serve the public good" (as cited in Dillon, 2005, p. 1). Public universities educate nearly 80% of all college-going students and provide "scientific and technological innovation that has been crucial to America's economic dominance" (Lyall, as cited in Dillon, 2005, p. 2). In describing this funding dilemma and America's higher education system, former Secretary of Education Margaret Spellings said, "We are at a crossroads. The world is catching up" (as cited in Dillon, 2005, p. 2).

As state appropriations for higher education decline, tuitions are rising and "private donations and federal grants make up a larger proportion of universities' revenue . . . more building projects depend on private philanthropy" (Dillon, 2005, p. 2). And, David Ward, former president of the American Council on Education, said that the state's flagship universities can replace some of the cuts in state appropriations with federal grants and private donations, but the smaller public universities cannot: "They [smaller public colleges and universities] cannot survive without public funding" (as cited in Dillon, 2005, p. 2).

### **Preparation for the Presidency**

Levy (2004) reviewed the growth and development of the field of fundraising as a profession. In addition, Levy (2004) reviewed how individuals enter this professional



field and the resources that are available to them. Most importantly, Levy (2004) examined the importance of the fundraising profession as a key component to one's background in nonprofit leadership roles. Levy (2004) provided a qualitative study of historical information on currently available academic programs, textbooks, and related research in the field of fundraising.

Levy (2004) discussed available academic training, library, and other resources for people in the profession of fundraising and provided a good background on this topic for other key leaders such as college and university presidents. Levy (2004) concluded, "Fundraising is becoming a recognized profession, with guided entry, formal standards, ethical codes, and research to better develop and inform its constituents" (p. 23). The field of professional fundraising is becoming vitally important to public colleges and universities as state funding declines and the need to formalize fundraising at an institution grows. It would seem imperative today for any college or university president to have at least a minimal exposure to this professional field as he or she leads the institution.

Levy (2004) pointed to a number of professional training programs and professional certificate programs that provide excellent training to non-fundraising professionals, including the Certificate in Fundraising Management at the Fundraising School at Indiana University. Additional academic resources were identified, such as libraries and databases, including the Payton Philanthropic Studies Library at Indiana University-Purdue University at Indianapolis. As Levy (2004) described, "We are at a new level of sophistication in fundraising, we have a new generation of professionals, and we are embarking on a new paradigm of preparation for success" (p. 29). Levy's

(2004) research pointed to the importance of a solid background in fundraising training for non-profit professionals including higher education leaders.

Levy (2004) analyzed career pathways, educational preparedness, and other demographic information of presidents of colleges and universities who are members of the Council of Independent Colleges (CIC) in Washington, DC. In addition, this study used a mixed methods approach to analyze and collect data from existing studies from the American Council on Education's *American College President Study* surveys. The CIC surveyed and analyzed 301 private institutions, and more than 600 public institutions were reviewed from the American Council on Education research. Further, the American Council on Education periodically surveys presidents of all American higher education institutions, with the last study being completed in 2006.

Further, Hartley and Godin's (2009) study provided unique insight into the background and preparation of private college presidents. Although this study did not provide in-depth research on public college and university presidents, it did contain some research data on this topic. The most interesting component of Hartley and Godin's (2009) study examined which areas of a college president's duties made new presidents feel inadequate. For example, when Hartley and Godin (2009) inquired of new college presidents as to what area that they felt "insufficiently prepared" (p. 2), nearly 20% said fundraising duties, which was the number one response. For private college presidents who were previously chief academic officers, this percentage jumped to 25% (Hartley & Godin, 2009).

Hartley and Godin (2009) pointed out that, of new presidents of smaller public universities, 28% felt inadequately prepared for fundraising activities, which also ranked

number one in this study among this group. Several conclusions were provided in this study including: “Greater emphasis should be placed on preparing chief academic officers to assume the presidency, particularly in fundraising” (Hartley & Godin, 2009, p. 22). This study revealed that fundraising duties is the number one aspect about which new presidents feel inadequate, whether a private college or small public university president. In addition, chief academic officers appear to feel the most inadequate in a new presidency as they evaluate the responsibilities of fundraising activities (Hartley & Godin, 2009).

Each year *The Chronicle of Higher Education* reviews and analyzes over 4000 American colleges and universities, public and private, not-for-profit and for-profit, as it studies trends and key factors in higher education. The 2009-2010 almanac issue reviewed Census Bureau data, information from the Department of Education, and research and data from the American Council on Education, as well as many other sources. The area of fundraising was noted by 22.8% of the presidents as the top area in which they felt insufficiently prepared going into their first presidency. However, 27.5% of the presidents noted that they enjoyed working in fundraising at their college or university, and they ranked fundraising second behind community relations (*The Chronicle of Higher Education*, 2009).

A surprisingly low 3.8% of the presidents came from a development (fundraising) background, and 43.8% came from a background as the chief academic officer or a senior academic administrator (*The Chronicle of Higher Education*, 2009). Also, when asked the question “What areas occupy most of your time?” fundraising was cited by 37.7%,

which was the number one choice, followed by budget and financial management at 34.8% (*The Chronicle of Higher Education*, 2009, p. 29).

The data provided by *The Chronicle of Higher Education* (2009) revealed some very interesting facts about the American university president. As public colleges and universities operate in an environment of declining state funding, increasing costs, and pressures to raise private funds, few presidents are prepared for this responsibility. As noted, 22.8% felt insufficiently prepared for fundraising responsibilities, and only 3.8% came from a development (fundraising) background going into their first presidency (*The Chronicle of Higher Education*, 2009).

Scully (2011) studied vice presidents of advancement and chief development officers becoming college or university presidents and the benefits associated with this phenomenon in higher education today. Due to the change in higher education, especially among public universities due to state funding cuts, the need for a president that understands the importance of fundraising is vitally important. Jean Dowdall, senior vice president with the higher education search firm Witt/Kieffer stated that she has completed more than 60 presidential searches and has observed the change of an added importance to external skills in presidential searches (Scully, 2011). Dowdall added, “as resources become more scarce, the external face of an institution is becoming critical” (as cited in Scully, 2011, p. 18). Dowdall continued by saying it may be a toss-up to which position(s), senior academic positions or advancement positions, may be the best preparation for a new president. But, she stated, “Today, for most institutions, fundraising is the biggest hurdle in accomplishing what they need to do” (as cited in Scully, 2011, p. 19), and advancement professionals may have an edge due to the

increasing clout of boards of trustees who better understand the external components of the university.

### **Summary**

Altbach et al. (1999) pointed out in their research that the long-term prospects for state higher education funding are not favorable. They added that public funds for higher education are in competition with funding for K-12 education, Medicaid, and prisons. As most states deal with ever-increasing Medicaid budgets, new laws increasing the number and severity of crimes, and hence, increasing prison populations, has created an environment in which higher education will be vulnerable for the foreseeable future (Altbach et al., 1999).

In addition, Altbach et al. (1999) stated that federal funding, which is critical to institutional research and student financial aid, is under attack as pressure is placed on balancing the federal budget and direct appropriations (earmarks) are all but eliminated. And, the prospects of raising new state or federal revenues through tax increases are politically unpalatable. The future is extremely uncertain for public higher education as it relates to the reliance on state appropriated funding that finances a great portion of most of our public comprehensive university budgets (Ehrenberg, 2006a).

As Newman et al. (2004) stated, “This is a demanding, exciting, and risky time for colleges and universities. Suddenly, higher education is in the grip of transforming change” (p. 1). Ehrenberg (2006a) put it more bluntly; “At the start of the twenty-first Century, public higher education appears to be in a state crisis” (p. xiii). And, even more direct, Mark Yudof, president of the University of California, stated in a recent interview with *The New York Times* (Fain, 2009) that his university has not been pushed over the

edge yet, but they are at the edge and the challenges of public universities are growing. Additionally, Yudof called the state, the source of public funding, an unreliable partner and pointed out that public funding is half of what it was only 20 years ago (Fain, 2009).

Finally, Sherratt (1975) indicated that state appropriations support the basic needs of public higher education, but the components for enhanced academic excellence must include private support. Specifically, Sherratt (1975) noted a poignant statement in his research by the National Association of State Universities and Land Grant Colleges:

Tax revenues can be used to build and maintain most classrooms, libraries, and laboratories. They can provide average salaries for staff members. But then there are all the enriching features of a sound educational program, that mean the difference between good and great universities; new and challenging courses of study, cultural programs, museum and library collections, continuing research, unusual equipment, student aid, competitive faculty salaries, special buildings. These represent the 'margin of excellence' which depend chiefly on private support. (p. 196)

Sherratt (1975) interviewed Richard Van Almen, Manager of Annual Giving at the University of Michigan, whereby Van Almen aptly stated:

No university has enough money to build the kind of institution it wants to be. Legislative funds are not enough, and neither are student fees, and federal grants. It is the private money that means the distinction between a program that is merely good and one that is truly excellent. (p. 195)

In closing, the public comprehensive university is faced with many funding challenges today, and never has there been a time where more pressure is being placed on the institution's president to be successful in fundraising. Fisher and Koch (1996) stated,

The stakes are tremendous. Colleges and universities carry with them the best hopes and prospects of a fearful, often confused, society that cries out for focus, vision, and leadership. For generations, citizens have looked to the leaders of colleges and universities to supply generous portions of each of these qualities. (p. viii)

Thus, college presidents can make a difference, and they are capable of transforming their institutions in many areas, including the ability to raise private funds during an uncertain period of time in order to advance academic programs, capital projects, and to assist their students with the increasing cost of attendance (Fisher & Koch, 1996).

### CHAPTER THREE: METHODOLOGY

This study employed both descriptive and exploratory methodologies in its design in order to effectively review the president's role in fundraising at American public comprehensive universities. Additionally, this exploratory study utilized ensuing survey results and descriptive techniques from a total population of 272 public comprehensive university presidents, phone interviews with four public comprehensive university presidents, a face-to face interview with one public comprehensive university president, a review of available literature, and an analysis of secondary sources of data including previous research studies.

The five interview candidates were selected from institutions statistically recognized as successful in the field of fundraising as determined by three fundraising indicators. Each of the selected institutions was from a group of 19 public comprehensive universities with above-average fundraising indicators in all three selected statistical categories for fiscal year 2010 (June 30 ending). These indicators are as follows:

1. Total funds raised in fiscal year 2010 (June 30 ending). This information is provided by the Council for Aid to Education, *2010 Voluntary Support of Education* report (Kaplan, 2011). This is the self-reported annual fundraising total for the fiscal year 2010 (ending June 30), which is available for many public comprehensive universities.
2. Alumni participation rate. This measure examines the percentage of alumni of record, defined as living alumni that are contactable by the institutions, who donate back to the respective university each year. This measure is



determined by information provided by the *Voluntary Support of Education* (Kaplan, 2011) report.

3. Fundraising effectiveness measure. This measure was developed specifically for this study and utilized the total voluntary support of education (private support) that is reported for fiscal year 2010 (ending June 30) for each available institution and divided by the alumni of record in order to determine how much is being raised annually in private funds on a per alumnus basis. This measure is determined by information provided by the *Voluntary Support of Education* (Kaplan, 2011) report.

It is important to note that, from the total population of 272 public comprehensive universities, only 19 universities from this population that scored above average in all three fundraising performance categories from information provided by the *Council for Aid to Education* (2011) study. However, the Council for Aid to Education did not report fundraising statistics on the entire population of 272 public comprehensive universities, but on only 141 of these universities.

The purpose of this exploratory study, which utilized descriptive techniques, was to examine the president's role in fundraising at America's public comprehensive universities. Also, this exploratory study provided specific insight into new training and professional development needs to assist this population with future fundraising duties and responsibilities.

Additionally, this study complemented previous broader research on university presidents and fundraising duties. For example, the *American Council on Education* (2007) study, the sixth such study during the past 25 years on the American college

president, pointed out a number of issues in regard to the changing role of the university president in fundraising and the importance of these responsibilities. The American Council on Education (2007) study examined all university presidents from all types of institutions, including public and private, associate degree-granting to doctoral-level, and reviewed responses from 2148 participants in this study. The American Council on Education (2007) study, although the most comprehensive of its type, demonstrated the need to differentiate the role and responsibilities of university presidents at specific types of institutions, including public comprehensive universities.

There are 272 public comprehensive universities in the United States with a Carnegie Classification of Master's Level (small, medium, and large) as of July 1, 2011 (Carnegie Foundation, 2011). This designation generally includes institutions that award at least 50 master's degrees and fewer than 20 doctoral degrees (including none) in an academic year (Carnegie Foundation, 2011).

In addition, the American Council on Education (2007) research examined the changing role of the public comprehensive university president. Schrecker (2011) stated in a recent *The Chronicle of Higher Education* editorial that, due to the current financial environment and the tremendous cutbacks that have occurred in appropriated funding, public colleges and universities are in "triage mode" (para. 1). These cutbacks in state appropriations have been the most significant driver of the change in the role of the university president, as cited by 71% of long-serving presidents (serving 10 years or more) in the recent American Council on Education (2007) study. Due to these funding issues, 78.2% of these long-serving presidents cited their duties and responsibilities in

fundraising as the number one area requiring more of their time each day (American Council on Education, 2007).

Recent studies have pointed to not only continued declines in state appropriations to public universities, but also to an uncertain future as it relates to public funding (Satterwhite, 2004). Latta (2010) described the current funding environment as a “perfect storm” as the need for an educated workforce is increasing in order to be competitive in the new global marketplace, the cost of attending a university is growing, and state funding declines are expected to continue (p. 2).

Finally, it was the intent of this researcher to provide a unique insight into the American public comprehensive university and the president’s role in fundraising. The intended results would identify distinctive activities and exclusive attributes among these institutions, explore possible training and professional development programs, and develop a platform for future research to assist future and existing leaders of these institutions.

### **Theoretical Framework**

There have been a limited number of studies developed in regard to the role of the president in university fundraising (Satterwhite, 2004). Cook (1994) noted that a specific theory does not exist regarding the president’s role in fundraising in higher education (as cited in Satterwhite, 2004). In a review of the literature, very little information was discovered on public comprehensive universities and fundraising. Therefore, no definite theories exist on this topic. However, this exploratory study was framed around extensive research on university presidential leadership, the background and profile of

university leaders, and the roles and responsibilities of institutional leaders in fundraising at colleges and universities.

Chapter Two examined various research on university leadership, public university funding, and institutional fundraising that have shaped this research. Also, it should be pointed out that Cook and Lasher (as cited in Satterwhite, 2004) noted that the university president is “undoubtedly the central player in the fundraising process in higher education” (p. 31). This exploratory study gives specific focus to this central topic of the president’s role in fundraising at public comprehensive universities.

This research drew upon previous research from the 2007 study on the American college and university president from the American Council on Education (2007) report titled, *The American College President*. Finally, the Council for Aid to Education’s 2010 *Voluntary Support of Education* study (Kaplan, 2011) will provide additional support in regard to fundraising at public comprehensive universities.

### **Review of the Problem**

For the past 30 years state budgets have been under tremendous pressure as Medicaid expenditures, prison and public safety costs, primary and secondary education budgets, and other vital social services costs have risen faster than inflation (Cheslock & Gianneschi, 2008). During the past three years, state budgets received an additional shock as the economy suffered through the worst recession since the Great Depression (Pattison & Eckl, 2010). This tremendous pressure on state budgets will continue to cause flat or reduced appropriations for public higher education and is creating a new normal in current and future funding (Ehrenberg, 2006b). Hence, a new and increased focus will be placed upon all colleges and universities, especially public universities, to

increase private support through institutional fundraising (Altbach et al., 1999; Ehrenberg, 2006b). As the leaders of these institutions, the presidents of American public universities will bear most of the direct burden to be successful in these fundraising duties (Kaufman, 2004).

In addition, public colleges and universities are at a pivotal time in their history and face unprecedented and profound challenges due to societal expectations and declining public resources (Altbach et al., 1999). State appropriations have declined by one-third during the past 30 years, and the downward trend appears to be a new norm in public higher education funding (Cheslock & Gianneschi, 2008; Ehrenberg, 2006b). Public colleges and universities, which educate the vast majority of American college students face new and challenging administrative pressures due to declining state appropriations and the need to raise private funds to fill these gaps (Shea & Boser, 2002). Today's public university president will have to assume a new role in leading the institution with added fundraising responsibilities, and the pressure in this area continues to grow (Kaufman, 2004; Shea & Boser, 2002).

Although a great deal of research exists on private and public university presidents and their many roles and duties in fundraising, little has been developed concerning public comprehensive university presidents and their responsibilities in institutional fundraising. It is important to note that most university presidents do not come from a fundraising background (American Council on Education, 2007). As noted in the American Council on Education (2007) report, only 4.4% of all university presidents have a background in university fundraising. Additionally, the American Council on Education (2007) pointed out that, collectively among all presidents, public

and private, doctoral research-level and below, fundraising duties ranked as the most time consuming responsibility and was among the top three responsibilities in each major category of universities from associate degree-granting to public doctoral-granting research universities.

In the examination of this funding dilemma for public comprehensive universities and the president's role in raising funds from private sources (Cheslock & Gianneschi, 2008; Ehrenberg, 2006b; Shea & Boser, 2002), the American Council on Education (2007) study pointed to a concerning fact that nearly 23% of all presidents at all types of universities ranked fundraising as the number one area where they were insufficiently prepared when they assumed their position as president.

Among public comprehensive universities, fundraising ranked as the number one area where presidents cited they were insufficiently prepared, at 21.4% (American Council on Education, 2007). In regard to long-serving presidents (presidents for 10 or more years), 78.2% said fundraising duties were requiring more time versus prior years and, hence indicated a possible need for more preparation and training for fundraising duties and responsibilities (American Council on Education, 2007).

### **Research Design**

This study used both descriptive and exploratory methodologies in its design. Descriptive research will be used to provide specific details on the topic, including statistical data gathered through various survey methods in order to study the population (Knupfer & McLellan, 1996; Marshall & Rossman, 1999; Shields & Tajalli, 2006). Additionally, exploratory research allowed for a further examination of the topic and used qualitative as well as other methods including interviews and previous studies to

complement the study in order to develop hypotheses for future research (Marshall & Rossman, 1999; Shields & Tajalli, 2006).

This exploratory study, which employs descriptive techniques, utilized survey results from a total population of 272 public comprehensive university presidents. In addition, face-to-face and phone interviews with up to five public comprehensive university presidents, a review of available literature, and an analysis of secondary sources of data from previous research studies were used to complement the survey research.

The survey instrument developed for this research was composed of 38 questions that asked the potential respondents (public comprehensive university presidents) for: (a) information on their educational and professional backgrounds, (b) previous university and fundraising positions held, (c) a self-ranking of how presidents view fundraising duties among all administrative responsibilities, (d) how many days in a typical month are spent conducting fundraising duties and responsibilities, (e) how much time is spent away from campus with fundraising duties, (f) reported involvement in specific fundraising duties, (g) previous training and professional development background in fundraising, (h) the desire for additional fundraising training and professional development, and (i) the view of these presidents as to what specific background and/or training is needed to assist one with these fundraising duties and responsibilities.

It was the goal of this study to have a minimum 50% response rate from these 272 public comprehensive university presidents in order to ensure a high level of confidence that the data is reflective of the total population. The most important task of exploratory and descriptive research is to ensure that the measures being used are valid and reliable

and that the individuals from which survey responses are received are “representative of all individuals to whom we wish the results to apply” (Slavin, 2007, p. 100).

### **Research Questions**

In order to accomplish the purpose of this study, the following thesis statement was examined. Also, the following research questions were addressed with one primary question and additional secondary questions:

*Thesis statement:* Fundraising is one of the three major responsibilities of the public comprehensive university president.

*Primary question:* What are the key aspects of the president’s responsibilities in fundraising at public comprehensive universities?

*Secondary questions:*

1. How much time does the president devote to fundraising?
2. In regard to all of the president’s duties and responsibilities, is fundraising one of the top duties at his/her university?
3. Has the university president previously worked in fundraising at a college or university?
4. What preparation or training in university fundraising has the president had, if any?
5. What type of preparation and training prior to a university presidency would have been helpful in carrying out fundraising duties?
6. What type of preparation and training during a university presidency would have been helpful in carrying out fundraising duties?



## **Participants**

The survey component of this exploratory study focused solely on the presidents of the 272 public comprehensive universities in the United States with a Carnegie Classification of Master's Level (small, medium, and large) as of July 1, 2011 (Carnegie Foundation, 2011). This generally includes institutions that award at least 50 master's degrees and fewer than 20 doctoral degrees (including none) in an academic year (Carnegie Foundation, 2011; See Appendix A for a list of these universities). It is important to note that the surveys were conducted on a confidential basis.

The phone and face-to-face interview components of this study were conducted with five public comprehensive university presidents selected from a total population of 19 public comprehensive universities that scored above average among the entire population in each of three statistical fundraising categories. These university presidents were selected through a convenience sample in order to provide a geographic balance. The five presidents that were interviewed represented public comprehensive universities in five states located in different regions of the country. In addition, these interviews were conducted on a confidential basis.

## **Instrumentation**

A confidential survey entitled, *Public Comprehensive University Presidents and Fundraising*, was designed and mailed to 272 public comprehensive university presidents on July 15, 2011 (see Appendix B for the confidential survey instrument). A cover letter (see Appendix C) and all institutional review board approval and consent documents (see Appendix D) accompanied the survey instrument. Further, the cover letter asked for a return of the completed survey by August 5, 2011. The survey mailing included a self-

addressed and stamped envelope to encourage and facilitate an increased response rate and overall participation in the study.

The mailed survey instrument included 38 open-ended and standardized questions in the following six survey categories: (a) profile, background, and experience; (b) responsibilities and duties in fundraising; (c) capital and comprehensive campaign information; (d) governing board; (e) training and professional development; and (f) final comments.

Again, the survey instrument developed for this study asked the potential respondents (public comprehensive university presidents) for information on their educational and professional background, previous university and fundraising positions held, a self-ranking of how presidents view fundraising duties among all administrative responsibilities, how many days in a typical month are spent conducting fundraising duties and responsibilities, how much time is spent away from campus with fundraising duties, reported involvement in specific fundraising duties, previous training and professional development background in fundraising, the desire for additional fundraising training and professional development and the view of these presidents of what specific background and/or training is needed to assist one with these fundraising duties and responsibilities.

The instrument designed for the face-to-face and phone interviews utilized a near-exact format and questions. It also allowed for the opportunity to elaborate on certain questions for the interviews in order to gain a deeper and more thorough understanding of the president's responses in certain areas (see Appendix E).

## **Interviews**

Utilizing a convenience sample, 5 public comprehensive university presidents were chosen from a group of 19 public comprehensive university presidents who represented institutions that scored above average in each of three statistical fundraising categories from the total population of 272 public comprehensive universities in America. The five interviewed presidents will be known as Presidents A, B, C, D, and E. Additionally, four of these interviews were conducted by phone, and one was conducted on a face-to-face basis.

## **Data Collection**

On July 15, 2011, the surveys, accompanied by a cover letter, were mailed to 272 public comprehensive university presidents, which comprised the entire population of public comprehensive universities (Carnegie Foundation, 2011). The surveys and cover letters were mailed with a pre-addressed and stamped return envelope to encourage the response rate. The cover letter asked for the survey to be returned by August 5, 2011; however, surveys were collected through September 30, 2011, and none have been received since that date. The survey was composed of 38 questions, and this data were analyzed and described utilizing both descriptive and exploratory methodologies in order to answer the research questions.

In addition, four phone interviews and a face-to-face interview with the five selected public comprehensive university presidents provided additional data to provide more depth and an opportunity for elaboration to the survey questions. Two phone interviews were conducted on September 21, 2011, and lasted between 40-45 minutes each. Also, two additional interviews were conducted in December 2011 and January

2012. The face-to-face interview was conducted on September 30, 2011, and lasted approximately one hour. The five public comprehensive university presidents are noted in this research study as Presidents A, B, C, D and E, with no noted differentiation between the phone and the face-to-face interviews in order to maintain confidentiality. All interviews were taped and transcribed, and responses were coded for future reporting and explanation in Chapter Four. As a result of this mixed methods approach, providing data from both the surveys and interviews was utilized in order to answer the research questions for this exploratory study.

### **Data Analysis**

The survey portion of this exploratory study provided descriptive statistics including frequencies, means, medians, and other data. It was the goal to have a minimum 50% response rate (N=136) from these 272 public comprehensive university presidents (the entire population of public comprehensive universities) in order to ensure a high level of confidence that the data are reflective of the total population.

In regard to the face-to-face and phone interview portion of this study, all interviews were audio taped and transcribed. The transcriptions were reviewed carefully to ensure that all interviews were documented accurately. The information from the interviews was coded into appropriate categories, and each interviewed president is referenced as President A, B, C, D, and E.

### **Delimitations**

The focus of this exploratory and descriptive study was specifically on the president's role in fundraising at America's 272 public comprehensive universities. Most of these institutions are dealing with very similar circumstances, which are reported

throughout this research, including the precipitous decline in appropriated funding by the states. Thus, these institutions had similar responses in how they are dealing with the crisis of public funding and their quest for increased private support from alumni, friends, corporations, and foundations.

These institutions are faced with ever-growing tuition increases to students and families to fill the gap of declining public funds from the states. Therefore, these public comprehensive university presidents who have been surveyed and interviewed for this exploratory study have similar strategies, responses, and policies in dealing with these matters.

Finally, this study focuses solely on 272 public comprehensive universities, which are very different than land grant, public research, or flagship universities, and are unique in comparison to their private university counterparts. The institutions are vastly different than for-profit and international universities in regard to fundraising, private support, and public funding.

### **Limitations**

This study had certain limitations in regard to the research and corresponding results. First, because the research focused on the 272 public comprehensive universities in America, (all institutions in this category: small, medium, and large) as determined by the Carnegie Classifications of Institutions of Higher Education as developed by the Carnegie Foundation (Carnegie, 2011), the results cannot be generalized to other public or private universities.

Second, since this study focused on presidents at these 272 public comprehensive universities and their unique experiences, training, backgrounds, specific involvement in

the fundraising process, and a stated interest for additional training and professional development, the results cannot be generalized to other college and university presidents at other types of universities, public or private.

### **Summary**

This exploratory study provided an opportunity for an in-depth analysis of the president's role in fundraising at American public comprehensive universities. The study examined the 272 public comprehensive universities in America and the profile, background, and experience of these institutions' presidents; responsibilities and duties in fundraising, training, and professional development needs and desires; among other key topics.

The study design allowed for a thorough examination of the topic, which included a mailed survey to each of these 272 public comprehensive university presidents, four phone interviews, a face-to-face interview, a review of available literature, and an analysis of secondary sources of data including previous research studies. Also, at the conclusion of the development of this study, an extensive data collection and analysis process was conducted in order to answer the research questions for this study, utilizing the descriptive and exploratory methodologies outlined in this chapter. In addition, Chapter Four consists of data analysis and results that outline specific descriptive and exploratory details and ensuing results of the research, including statistical data gathered through various survey and interview methods in order to study this population and develop a basis for future research.

Additionally, this study outlined three areas that are recommended for further empirical research and four additional recommendations that have an immediate and

practical impact on the president's role in fundraising at public comprehensive universities. These recommendations will be outlined in detail in Chapter Five. Finally, this exploratory study is very timely since a new and increasing focus will be placed upon all colleges and universities, especially public universities, to increase private support through institutional fundraising (Altbach et al., 1999; Ehrenberg, 2006b; Kaufman, 2004).

## CHAPTER FOUR: RESULTS

This exploratory study utilized survey results from 142 respondents (52.21% response rate) from a total population of 272 public comprehensive university presidents, face-to-face or phone interviews with 5 public comprehensive university presidents, a review of available literature, and an analysis of secondary sources of data from previous research studies.

A confidential survey, entitled *Public Comprehensive University Presidents and Fundraising*, was designed and mailed to 272 public comprehensive university presidents on July 15, 2011 (See Appendix B for the confidential survey instrument). A cover letter (See Appendix C) and all institutional review board approval and consent documents (See Appendix D) accompanied the survey instrument. The cover letter asked for a return of the completed survey by August 5, 2011. The mailing included a self-addressed and stamped envelope to encourage and facilitate an increased response rate and overall participation in the study.

The mailed survey instrument included 38 open-ended and standardized questions in the following six survey categories: (a) profile, background, and experience; (b) responsibilities and duties in fundraising; (c) capital and comprehensive campaign information; (d) governing board; (e) training and professional development; and (f) final comments.

This study examined the changing role of the public comprehensive university president. As stated previously, Schrecker (2011) argued in a recent *The Chronicle of Higher Education* editorial that, due to the current financial environment and the tremendous cutbacks in appropriated funding, public colleges and universities are in



“triage mode” (para. 1). These cutbacks in state appropriations have been the most significant driver of the change in the role of the university president, as cited by 71% of long-serving presidents (serving 10 years or more) in the recent American Council on Education (2007) study. In addition, due to these funding issues, 78.2% of these long-serving presidents cited their duties and responsibilities in fundraising as the number one area requiring more of their time each day (American Council on Education, 2007). It was the intent of this study to provide a unique insight into the president’s role in fundraising at American public comprehensive universities in order to identify distinctive activities and exclusive attributes, to explore possible training and professional development programs, and to develop a platform for future research to assist new and existing leaders of these institutions.

### **Survey Instrument**

The survey instrument developed for this study is the primary research source for the results outlined in this chapter. The survey instrument is composed of 38 questions and asked the potential respondents (public comprehensive university presidents) for information on (a) their educational and professional background, (b) previous university and fundraising positions held, (c) a self-ranking of how presidents view fundraising duties among all administrative responsibilities, (d) how many days in a typical month are spent conducting fundraising duties and responsibilities, (e) how much time is spent away from campus with fundraising duties, (f) reported involvement in specific fundraising duties, (g) previous training and professional development background in fundraising, (h) the desire for additional fundraising training and professional

development, and (i) the view of these presidents of what specific background and/or training is needed to assist one with these fundraising duties and responsibilities.

### **Interviews**

The selected interviews of five public comprehensive university presidents provided complementary and supporting data for this study and assisted in providing a more in-depth response to certain questions and a unique richness to this research.

### **Research Questions**

In order to accomplish the purpose of this study, the following thesis statement was examined. Also, the following research questions were addressed with one primary question and additional secondary questions:

*Thesis statement:* Fundraising is one of the three major responsibilities of the public comprehensive university president.

*Primary question:* What are the key aspects of the president's responsibilities in fundraising at public comprehensive universities?

*Secondary questions:*

1. How much time does the president devote to fundraising?
2. In regard to all of the president's duties and responsibilities, is fundraising one of the top duties?
3. Has the university president previously worked in fundraising at a college or university?
4. What preparation or training in university fundraising has the president had, if any?

5. What type of preparation and training prior to a university presidency would have been helpful in carrying out fundraising duties?
6. What type of preparation and training during a university presidency would have been helpful in carrying out fundraising duties?

This chapter will break down the responses into nine broad categories associated directly with the research questions for this study. Chapter Four will be organized under these nine categories to provide an ease of presentation of all corresponding results from the survey and interviews for this study. The results of this research will provide statistical frequency of responses, percent of frequency, cumulative frequency, cumulative percent, minimum, maximum, median, and mean among other descriptive statistics utilizing SAS statistical software, version 9.2. The results from the five face-to-face and phone interviews were professionally transcribed and then coded by this researcher and provide complementing and supporting data to the statistical survey responses where appropriate.

### **Profile, Background, and Experience of the Respondents**

The survey asked certain demographic, profile, background, and experience questions that provided a backdrop for this study. Following are descriptive statistics of the respondents (n = 142) for profile, background, and experience information provided from responses to survey questions 2, 3, 4, 5, 6, 7, and 8.

First, from the survey responses of the public comprehensive university presidents, 78.26% were male and 21.74% were female (Table 1). As Table 2 illustrates, the average age of the respondents was 62.42 years old, and the median age was 63. Additionally, the respondents ranged in age from 44 to 77; and, interestingly, only 14

(10.61%) were 55 years old or younger, 44 (33.33%) were 65 years old or older, and 4 (3.03%) were 75 years old or older (Table 4).

In regard to length of service as a public comprehensive university president in their current position, the range was a few days in the position to 24.33 years (Table 2). The mean tenure was 6.44 years and the median was 5 years in their current presidency (Table 2). In addition, Table 3 illustrates that 71.67% of respondents were in their first university presidency, whereas 20.83% were in their second presidency (including their current presidency), and 7.5% had served 2 or more previous presidencies (Table 3). Interestingly, one respondent stated that he/she had served in 5 previous university presidencies (now in the 6<sup>th</sup> presidency; see Table 3).

Table 1

*Gender*

Q3	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Male	108	78.26	108	78.26
Female	30	21.74	138	100.00

Table 2

*Age, How Long in Presidency, and How Many Presidencies Prior to this Position?*

	Label	Minimum	Maximum	N	N Miss	Mean	Median
Q2	Age	44.00	77.00	132	10	62.42	63.00
Q6	How long in Presidency?	0.00	24.33	132	10	6.44	5.00
Q7	How many prior Presidencies?	0	5.00	120	22	0.40	0

Table 3

*How Many Presidencies Prior to this Position?*

Q7	Frequency	Percent	Cumulative Frequency	Cumulative Percent
0	86	71.67	86	71.67
1	25	20.83	111	92.50
2	6	5.00	117	97.50
3	2	1.67	119	99.17
5	1	0.83	120	100.00

Table 4

*Age and Frequency*

Q2	Frequency	Percent	Cumulative Frequency	Cumulative Percent
44	1	0.76	1	0.76
45	1	0.76	2	1.52
46	1	0.76	3	2.27
50	2	1.52	5	3.79
51	2	1.52	7	5.30
52	2	1.52	9	6.82
53	1	0.76	10	7.58
55	4	3.03	14	10.61
56	4	3.03	18	13.64
57	1	0.76	19	14.39
58	2	1.52	21	15.91
59	9	6.82	30	22.73
60	12	9.09	42	31.82
61	9	6.82	51	38.64
62	11	8.33	62	46.97
63	13	9.85	75	56.82
64	13	9.85	88	66.67
65	9	6.82	97	73.48
66	11	8.33	108	81.82
67	6	4.55	114	86.36
68	3	2.27	117	88.64
69	4	3.03	121	91.67
70	2	1.52	123	93.18
71	3	2.27	126	95.45
73	2	1.52	128	96.97

Table 4 (Continued)

Q2	Frequency	Percent	Cumulative Frequency	Cumulative Percent
75	1	0.76	129	97.73
76	2	1.52	131	99.24
77	1	0.76	132	100.00

Concerning the background information on the 142 survey respondents, 75.57% had a Ph.D. as their highest degree earned, and 12.21% had a Doctorate of Education (EdD; see Table 5). The remaining 12.22% had a Juris Doctor (JD), Master's degree, or other (Table 5). Additionally, 127 of the survey respondents, or 96.21%, were in the position of president of their public comprehensive university on a permanent basis, whereas 3.79% were in a temporary or interim appointment.

As illustrated in Table 6, of the 131 respondents to survey question 8 concerning the immediate previous position held prior to their current presidency, 22.14% stated they had been a previous university president; 38.17% had been the vice president of academic affairs, provost, or chief academic officer; and 5.34% had been a vice president of development or chief development officer. The finding that only 5.34% (Table 6) of public comprehensive university presidents had been a vice president of development or chief development officer as their immediate previous position is consistent with the American Council on Education (2007) study, which found that only 4.4% of all college and university presidents identified fundraising, development, or external affairs as their immediate former position.

Table 5

*Highest Degree Earned*

	Q4	Frequency	Percent	Cumulative Frequency	Cumulative Percent
PhD		99	75.57	99	75.57
EdD		16	12.21	115	87.79
JD		7	5.34	122	93.13
MA		7	5.34	129	98.47
Other		2	1.53	131	100.00

Table 6

*Immediate Previous Position*

	Q8	Frequency	Percent	Cumulative Frequency	Cumulative Percent
President of Another		29	22.14	29	22.14
VP of AA, Provost or Similar		50	38.17	79	60.31
VP Admn Svc (CFO) or Similar		6	4.58	85	64.89
VP Stu Affairs or Similar		8	6.11	93	70.99
VP of Development, CDO, or Similar		7	5.34	100	76.34
Other VP		2	1.53	102	77.86
Assoc/Asst VP		2	1.53	104	79.39
Dean		11	8.40	115	87.79
Other		16	12.21	131	100.00

### Summary of Profile, Background, and Experience

The average profile, background, and experience of America's public comprehensive university president is that 78.26% are male with a mean age of 62.42 and a median age of 63 years old; 71.67% are in their first university presidency for a mean



tenure of 6.43 years and a median tenure of 5 years. Additionally, 75.57% reported having a Ph.D. as their highest degree earned, and 96.21% were in their position on a permanent basis, meaning not an interim or temporary appointment. The respondents noted that 22.14% had previously been a university president in their immediate previous position; and 38.17% had been a vice president of academic affairs, provost, or chief academic officer.

**Primary Research Question: What Are the Key Aspects of the President’s Responsibilities in Fundraising at Public Comprehensive Universities?**

Survey question 17 queried a president’s specific involvement with making the actual fundraising ask of a donor (Table 7), and question 18 had 13 sub-components in regard to specific aspects of the fundraising process and the president’s involvement in these areas of university fundraising. Survey question 17 asked for an involvement rating on a four-part scale: *never involved*, *involved*, *somewhat involved*, and *very involved*.

- Survey Question 17: To what extent are you involved in making fundraising “asks” (actual requests for a gift) with your donors?

In regard to question 17, 82.17% of respondents stated they were involved or very involved in the process of asking for donations (Table 7). Only 2 presidents (1.55%) said they were never involved (Table 7).

- Survey Question 18: To what extent are you involved in each of the following (13 specific fundraising duties)?

Survey question 18 had 13 sub-components of specific activities of the fundraising process. These 13 sub-components included the following:

1. Closing major gifts after the donor is properly cultivated

2. Campaign and fundraising planning
3. Visiting with major donors in order to make the ask
4. Facilitation of the entire development process
5. Cultivation and meetings with new donors and prospects
6. Visiting and stewardship (thank you process) of existing donors
7. Working with major donors and prospects
8. Attending or hosting special events (receptions, dinners, ball games, etc.)
9. Visiting new prospects for cultivation purposes
10. Working with estate and planned gifts (and with advisors to families)
11. Athletic fundraising activities
12. Developing naming opportunities for donors and prospects
13. Developing specific proposals for donors and prospects

The survey results to this question found that 71.52% of presidents were involved or very involved in each of these 13 areas of fundraising on average. However, the involvement level range (includes involved to very involved) was 21.54% to 96.15%, with one major outlier; whereby only 21.54% of presidents were involved or very involved in working with estate and planned gifts. The highest involvement level occurred with attending or hosting special events, at 96.15%. Eight of the 13 sub-components of fundraising involvement had a level (involved to very involved) of 70% or higher, as rated by the respondents.

Table 7

*Involvement with Fundraising Asks*

Q17	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Never Involved	2	1.55	2	1.55
Somewhat Involved	21	16.28	23	17.83
Involved	58	44.96	81	62.79
Very Involved	48	37.21	129	100.00

Survey questions 20-23 examined the public comprehensive university’s plans in regard to starting (or currently involved with) a comprehensive or capital campaign and the president’s involvement in this process:

- Survey Question 20: Is your university currently involved (including quiet phase), or have you just completed within the past 12 months, a major fundraising campaign?
- Survey Question 21: Do you anticipate beginning the process of a major fundraising campaign during the next 12 months?
- Survey Question 22: Are you involved in the fundraising planning (i.e., readiness study) for a new campaign?
- Survey Question 23: Are you using or do you plan to use a professional fundraising consultant in your campaign?

Interestingly, from survey question 20, 60.47% of the respondents said they were currently involved with a comprehensive or capital campaign (including the quiet phase) or had just completed a major campaign during the previous 12 months. Survey question 21 found that an additional 55.37% of respondents anticipated beginning the process of a major fundraising campaign during the next 12 months.

Survey question 22 illustrated that 73.60% of the respondents were involved in the fundraising planning (including involvement in a readiness study) for a new fundraising campaign. Further, 56.20% of the respondents stated in survey question 23 that they are using or would use an outside professional fundraising consultant to assist them with a major campaign.

### **Summary of Primary Research Question**

In regard to the primary research question, 82.17% of the respondents stated they were involved or very involved in the asking process of university fundraising. Additionally, the mean response for all 13 subcomponents of survey question 18 was that 71.52% of presidents reported being involved or very involved in each of the component areas of fundraising at their university. The highest involvement component (involvement level of involved or very involved) was attending or hosting special events (receptions, dinners, ball games, etc.), at 96.15%, whereas the lowest involvement component was working with estate and planned gifts, with only 21.54% involved or very involved.

Also, 60.47% of the respondents were involved with a comprehensive or capital campaign or had just completed a major fundraising campaign in the previous 12 months. In addition, 55.37% stated they anticipated beginning the process of a major campaign during the next 12 months. Also, 73.60% of the respondents said they were involved in the fundraising planning (including involvement in a readiness study), and 56.20% indicated they would use a professional fundraising consultant to assist them with a major campaign.

## **Secondary Research Question One: How Much Time Does the President Devote to Fundraising?**

Survey questions 14, 15, 16, and 19 explored how much time in a typical month the public comprehensive university president devoted to his or her fundraising duties and responsibilities.

- Survey Question 14: In a typical month, how many days do you spend with your fundraising responsibilities and duties?

In response to survey question 14, during a typical month the respondents stated they spend an average of 6.70 days with fundraising duties and responsibilities, with a median response of 5 days (Table 8). Additionally, the range of this response was 1 to 21 days per month (Table 8).

- Survey Question 15: About how many days are spent away from campus each month in traveling and conducting fundraising duties?

Survey question 15 reviewed the number of days the president traveled away from campus each month conducting fundraising duties and responsibilities. The mean number of days was 3.85, and the median was 3 days (Table 8). The range of this response was 1 to 20 days per month (Table 8).

- Survey Question 16: How often do you meet or talk with your chief development officer?

In order to further examine presidential involvement in the fundraising process, survey question 16 looked at how often the president met or talked with his or her chief development officer. Over 19.69% of respondents stated that they met or talked with their chief development officer on a daily basis (Table 9). An additional 56.69% said

they met or talked with their chief development officer 2-3 times per week, 14.96% met or talked on a weekly basis, and 8.66% met or talked 2-3 times per month or occasionally as needed (Table 9). Thus, 91.34% talked to their chief development officer once a week or more (Table 9).

- Survey Question 19: How many days each month do you spend hosting major donors and prospects at university events such as dinners, ballgames, concerts, receptions and other social and special events?

Survey question 19 explored how many days each month the president spent hosting major donors and prospects at university events such as dinners, ballgames, concerts, receptions, and other social and special events. The mean for this response was 5.27 days with a median of 4 days (Table 8). However, the range of days spent performing these duties and responsibilities were a minimum of 1 to a maximum of 20 days (Table 8).

Table 8

*Days Fundraising, Days Away from Campus, and Days Hosting Major Donors*

Variable	Label	Minimum	Maximum	N	Mean	Median
Q14	Days fundraising?	1.00	21.00	121	6.70	5.00
Q15	Days away from campus?	1.00	20.00	117	3.85	3.00
Q19	Days spent each month?	1.00	20.00	113	5.27	4.00

Table 9

*How Often Do You Meet/Talk with Your Chief Development Officer?*

Q16	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Daily	25	19.69	25	19.69
2-3 per week	72	56.69	97	76.38
Once per week	19	14.96	116	91.34
2-3 per month	7	5.51	123	96.85
Occasionally as needed	4	3.15	127	100.00

**Summary of Secondary Research Question One**

In response to secondary research question one, during a typical month the respondents stated they spend an average of 6.70 days with fundraising duties and responsibilities, with a median of 5 days. Additionally, the respondents reported a mean of 3.85 days were spent away from campus each month in traveling and conducting fundraising duties, with a median of 3 days.

In an additional measure of presidential involvement in the fundraising process, 56.69% met or talked with their chief development officer 2-3 times per week, and an additional 19.69% met or talked on a daily basis. Importantly, 91.34% talked or met with their chief development officer once per week or more. Further, the respondents stated they spend a mean of 5.27 days each month and a median of 4 days each month, hosting major donors and prospects at university events such as dinners, ball games, concerts, receptions, and other social and special events.

**Secondary Research Question Two: In Regard to all of the President's Duties and Responsibilities, Is Fundraising One of the Top Duties at His/Her University?**

- Survey Question 13: In regard to all of your duties and responsibilities as president (budget, academic/faculty, student affairs, strategic planning, athletics, policy/governmental, community relations, personnel, governing board matters, capital improvement projects, enrollment management, alumni, media/public relations, etc.) how do you rank your fundraising duties? (Rank 1 = top priority, 2 = next important, etc.)

Survey question 13 requested that the respondent rank the importance of fundraising duties and responsibilities among all job related duties and responsibilities. Arguably, this was the single most important question asked on the survey instrument since it required the president to rank his or her top job priorities including fundraising duties and responsibilities among all others. The mean response to this question was 3.09, the median was 3, and the mode was 3. The responses ranged from 1 to 10 (Table 10). There were 74.58% of all respondents who ranked their fundraising duties and



responsibilities among their top 3 as a president of a public comprehensive university (Table 11).

Additionally, 37.29% of respondents stated that fundraising responsibilities ranked either number 1 or 2 among all of their job duties (Table 11). Additionally, 10.17% of the respondents ranked their fundraising duties and responsibilities at a level of 5 or higher (Table 11).

Survey questions 24, 25, 26, and 27 reviewed the governing board's involvement in discussing and stressing fundraising duties and responsibilities with the president prior to his or her hiring and to what extent, if any.

- Survey Question 24: When you were hired for this presidency, did the governing board of your university discuss the importance of fundraising?
- Survey Question 25: Was the possibility of a major fundraising campaign discussed with you by the governing board prior to your hiring?
- Survey Question 27: Did your governing board discuss specific institutional fundraising goals before you were hired?

Survey question 24 queried whether the governing board stressed the importance of fundraising before they hired the respondent. There were 71.32% of the respondents who stated that the governing board discussed the importance of fundraising; however, from survey question 27, 84.38% said that specific goals were not discussed prior to hiring. Also, from survey question 25, over half said the possibility of a major comprehensive or capital campaign was not discussed by the governing board prior to hiring.

- Survey Question 26: When you were hired for this presidency, was your background/experience in fundraising a major factor in the decision to hire you?

Additionally, from survey question 26, 62.40% said their background or experience in fundraising (if any) was not a factor in their hiring.

Table 10

*Ranking of Fundraising Duties*

Minimum	Maximum	N	Mean	Median	Mode
1.00	10.00	118	3.09	3.00	3.00

Table 11

*Frequency of Ranking of Fundraising Duties*

Q13	Frequency	Percent	Cumulative Frequency	Cumulative Percent
1	9	7.63	9	7.63
1.5	1	0.85	10	8.47
2	34	28.81	44	37.29
2.5	2	1.69	46	38.98
3	42	35.59	88	74.58
3.5	1	0.85	89	75.42
4	17	14.41	106	89.83
5	6	5.08	112	94.92
6	1	0.85	113	95.76
8	1	0.85	114	96.61
10	4	3.39	118	100.00

### **Summary of Secondary Research Question Two**

In regard to secondary research question two, 74.58% of all respondents stated their fundraising duties and responsibilities were among their top three. In addition, 37.29% said fundraising duties were their number one or two responsibility. The response to survey question 13 ranked fundraising duties and responsibilities with a mean of 3.09 and a median of 3.

Additionally, when respondents were asked about their hiring for this presidency and if the governing board discussed the importance of fundraising, 71.32% indicated the governing board discussed the importance of fundraising, but 84.38% said no specific goals were discussed. In addition, 52.71% said the possibility of a major comprehensive or capital campaign was not discussed by the governing board prior to hiring. Interestingly, 62.40% of the respondents stated their fundraising background or experience, if any, was not a factor in their hiring.

### **Secondary Research Question Three: Has the University President Previously Worked in Fundraising at a College or University?**

Survey questions 9, 10, 11, and 12 examined the professional background of the respondents. Specifically, these survey questions explored previous professional fundraising positions in a university and, if so, what specific positions. Survey question 11 asked if the respondent had held professional fundraising positions outside a college or university, and survey question 12 asked if they held a Certified Fund Raising Executive (CFRE) designation or a Certificate in Fund Raising Management in order to gauge this specific type of professional experience, development, or training.

- Survey Question 9: In your career, prior to your presidency, have you ever held a professional position in university fundraising or development?
- Survey Question 10: What previous development or fundraising position(s), if any, have you held at a university? (Check all that apply; 9 fundraising positions were listed as options, and a 10th option of *none* was included)

Survey question 9 found that 85.94% of the respondents held no previous university fundraising position. Survey question 10 contained 10 subcomponents to determine the specific university fundraising position of the 14.06% of respondents answering in the affirmative they had held a previous university fundraising position. Also, 15 respondents indicated they had been the vice president of development, chief development officer, or had held a similar title. In addition, 9 respondents indicated they had held another university fundraising position in their career.

- Survey Question 11: In your career, prior to your presidency, have you ever held a professional position in fundraising outside of academia?
- Survey Question 12: Do you hold a Certified Fund Raising Executive (CFRE) designation or a Certificate in Fund Raising Management?

In response to survey questions 11 and 12, an additional 3.94% of the respondents indicated they had held a professional fundraising position outside a college or university setting. No respondents (0%) had the CFRE designation or a Certificate in Fund Raising Management.

### **Summary of Secondary Research Question Three**

Most significantly, survey questions 9, 10, 11, and 12 found that 85.94% of the respondents had no previous experience in university fundraising and that no respondent held the CFRE designation or a Certificate in Fund Raising Management.

### **Secondary Research Question Four: What Preparation or Training in University Fundraising Has the President Had, if Any?**

Survey questions 28, 29, 30, 31, and 32 examined fundraising training and professional development.

- Survey Question 28: Have you ever had course(s), training, or professional development focused on university fundraising?
- Survey Question 29: Was this course or training during your current presidency?
- Survey Question 30: Was this course or training in preparation for the duties and responsibilities of your new university presidency?
- Survey Question 31: Who sponsored the course(s)? (Check all that apply; the respondents were given six options of training providers)
- Survey Question 32: Are you familiar with any training programs in university fundraising/development specifically for university presidents?

As depicted in Table 12, responses to survey question 28, revealed 39.53% of the respondents had not had a course, training, or professional development in fundraising. Additionally, in response to survey question 29, 60.47% have had a fundraising course, 32.08% said the fundraising course or training was during their current presidency (Table 13).

As illustrated in Table 14 and in response to survey question 30, 84.11% of the respondents stated that their courses or training were not in preparation for duties and responsibilities for a new presidency.

Relative to survey question 31, the respondents stated that, of the fundraising courses they had received, 43 had attended courses from the Council for the Advancement and Support of Education (CASE), 37 listed American Association of State Colleges and Universities (AASCU), 28 noted other, 15 said their training was sponsored by the American Council on Education (ACE), 7 listed the Association of Fundraising Professional (AFP), and 5 noted The Fund Raising School, Indiana University (IUPUI Campus).

Finally, in regard to survey question 32, there were 37.80% who stated they were not familiar with university development and fundraising programs specifically for university presidents (Table 15).

Table 12

*Have You Ever Had a Course(s), Training, or Professional Development Focused on University Fundraising?*

Q28	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Yes	78	60.47	78	60.47
No	51	39.53	129	100.00

Table 13

*Was this Course or Training During Your Current Presidency?*

Q29	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Yes	34	32.08	34	32.08
No	72	67.92	106	100.00

Table 14

*Was this Course or Training in Preparation for the Duties and Responsibilities of Your New Presidency?*

Q30	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Yes	17	15.89	17	15.89
No	90	84.11	107	100.00

Table 15

*Are You Familiar with any Training Programs in University Fundraising/Development Specifically for University Presidents?*

Q32	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Yes	79	62.20	79	62.20
No	48	37.80	127	100.00

#### **Summary of Secondary Research Question Four**

In regard to secondary research question four, 39.53% of the respondents have not had a course, training, or professional development in fundraising. Additionally, of the 60.47% of the respondents that had attended a fundraising course, the Council for the Advancement and Support of Education (CASE) and the American Association of State Colleges and Universities (AASCU) were the number one and two choices, respectively.

Also, 32.08% of the respondents indicated that the fundraising course or training was during their current presidency; however, 84.11% stated that the course or training was not in preparation for duties and responsibilities for a new presidency. Most important, 37.80% stated they were not familiar with university development and fundraising programs specifically designed for university presidents.

#### **Secondary Research Question Five: What Type of Preparation and Training Prior to a University Presidency Would Have Been Helpful in Carrying out Fundraising Duties?**

Survey question 37 explored what type of preparation and training prior to a university presidency would have been helpful in carrying out fundraising duties and responsibilities.



- Survey Question 37: What type of preparation and training prior to a university presidency would have been helpful in carrying out your fundraising duties? (Please mark the response that best describes your position.)
  - A. Specific course(s) or training in university fundraising
  - B. Having held a former position in university development or fundraising
  - C. Mentoring with another president

This survey question allowed for three specific responses (A, B, or C) and a 4-point scale of importance (*not important, somewhat important, important, very important*) for each of the three responses. The three responses and rating scale of importance are outlined in Tables 16, 17, and 18.

This question gauged preparation and training needs and preferences for public comprehensive university presidents for their upcoming and pending fundraising duties and responsibilities in a new presidency. For the top response to survey question 37, ranking option A as important or very important, 55.56% stated that a specific course(s) or training in university fundraising would be the most important preparation or training for fundraising duties and responsibilities prior to a university presidency (Table 16). However, 14.29% said fundraising courses or training were not important (Table 16).

In regard to option B of survey question 37, only 17.74% stated that a previous position in university fundraising/development was important or very important in preparation for fundraising duties and responsibilities prior to a university presidency (Table 17). A majority of respondents, 54.03%, stated that a fundraising/development position was not important in preparation for these duties and responsibilities prior to a

university presidency (Table 17). Last, in regard to option C, 53.97% of respondents said that mentoring with another president would have been important or very important in preparation for their duties and responsibilities prior to a university presidency (Table 18). Additionally, 15.08% indicated that mentoring with a university president was not important in preparation for these fundraising duties prior to a university presidency (Table 18).

Table 16

*Specific Course(s) or Training in University Fundraising*

Q37a	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Not Important	18	14.29	18	14.29
Somewhat Important	38	30.16	56	44.44
Important	57	45.24	113	89.68
Very Important	13	10.32	126	100.00

Table 17

*Having Held a Former Position in University Development or Fundraising*

Q37b	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Not Important	67	54.03	67	54.03
Somewhat Important	35	28.23	102	82.26
Important	17	13.71	119	95.97
Very Important	5	4.03	124	100.00

Table 18

*Mentoring with Another President*

Q37c	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Not Important	19	15.08	19	15.08
Somewhat Important	39	30.95	58	46.03
Important	52	41.27	110	87.30
Very Important	16	12.70	126	100.00

**Summary of Secondary Research Question Five**

In regard to secondary research question five, 55.56% of the respondents stated that a specific course(s) or training in university fundraising would be the most important preparation or training for fundraising duties and responsibility prior to a university presidency. This response was ranked *important* or *very important*. Additionally, 17.74% stated that having held a previous position in university development/fundraising was important or very important; however, 82.26% indicated this was not important or only somewhat important in carrying out their fundraising duties and responsibilities. Also, 53.97% of the respondents said mentoring with another president would have been important or very important in preparation for their duties and responsibilities prior to a university presidency.

**Secondary Research Question Six: What Type of Preparation and Training During a University Presidency Would Have Been Helpful in Carrying out Fundraising Duties?**

Survey question 38 explored what type of preparation and training during a university presidency would have been helpful in carrying out fundraising duties and responsibilities.

- Survey Question 38: What type of preparation and training during a university presidency would have been helpful in carrying out your fundraising duties? (Please mark the response that best describes your position.)
  - A. Specific course(s) or training in university fundraising
  - B. Having held a former position in university development or fundraising
  - C. Mentoring with another president

This survey question allowed for three specific responses (A, B, or C) and a 4-point scale of importance (*not important, somewhat important, important, very important*) for each. These responses and rating scale are outlined in Tables 19, 20, and 21. The purpose of this question was to understand preparation and training needs and preferences of public comprehensive university presidents for fundraising duties and responsibilities during a university presidency.

The top response to survey question 38 was option C, mentoring with another university president, as 55.91% rated it as important or very important in preparation and training during a university presidency for fundraising duties and responsibilities (Table 21). Specific course(s) or training was selected by 51.93% as important or very important in preparation and training for fundraising duties and responsibilities during a

university presidency (Table 19). In addition, 85.48% stated that a previous position in university development/fundraising was not important or only somewhat important for preparation and training during a university presidency in order to carry out fundraising duties and responsibilities (Table 20).

Table 19

*Specific Courses or Training in University Fundraising*

Q38a	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Not Important	15	11.63	15	11.63
Somewhat Important	47	36.43	62	48.06
Important	51	39.53	113	87.60
Very Important	16	12.40	129	100.00

Table 20

*Having Held a Former Position in University Development/Fundraising*

Q38b	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Not Important	76	61.29	76	61.29
Somewhat Important	30	24.19	106	85.48
Important	12	9.68	118	95.16
Very Important	6	4.84	124	100.00

Table 21

*Mentoring with Another President*

	Q38c	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Not Important		21	16.54	21	16.54
Somewhat Important		35	27.56	56	44.09
Important		54	42.52	110	86.61
Very Important		17	13.39	127	100.00

**Summary of Secondary Research Question Six**

In response to secondary research question six, 55.91% stated that mentoring with another president during a university presidency was important or very important. There were 51.93% who responded that it was important or very important to have specific course(s) or training during a university presidency in preparation for their fundraising duties and responsibilities. Also, 85.48% stated that a previous position in university development/fundraising was not important or only somewhat important in carrying out their fundraising duties and responsibilities during a university presidency.

**Future Training and Professional Development**

The final component of this study examined future training and professional development programs in fundraising desired by public comprehensive university presidents. Survey questions 33, 34, 35, and 36 explored this area of future training and professional development in university fundraising. Survey question 34 queried 12 major university fundraising areas for specific interest in regard to future training and professional development.

- Survey Question 33: Would you attend a fundraising training program specifically designed for public university presidents?

In regard to survey question 33, 64.80% stated they would attend a fundraising training program specifically designed for public university presidents (Table 22).

Table 22

*Attend a Fundraising Training Program for Public University Presidents*

Q33	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Yes	81	64.80	81	64.80
No	44	35.20	125	100.00

- Survey Question 34: What areas of fundraising would you like more training or professional development? (Please rate each, if none desired list *None*.)

This question contains 12 subcomponents—listed below—of specific university fundraising areas in which university presidents may have a desire for additional training and professional development.

- Planning and managing a major campaign
- Major gifts fundraising
- Prospect management and research
- Stewardship activities
- Estate and gift planning
- Making the formal ask
- Annual fund, direct mail and phon-a-thon activities
- Athletic giving



- i. Prospect management and research
- j. Basic principles and techniques of fundraising
- k. Social media in fundraising
- l. Corporate and foundation fundraising

In regard to survey question 34, the range of responses for interested and very interested ranged from 23.53% for training and professional development in the annual fund, direct mail, and phon-a-thon areas (Table 23) to 63.87% for major gifts fundraising (Table 23).

Other areas that respondents scored highly (near or above 50%) for fundraising training and professional development with an *interested* or *very interested* ranking were planning and managing a major campaign, at 47.90%, resulting in the formal ask at 57.50%, athletic giving at 45.46%, and social media in fundraising at 51.66% (Table 23).

- Survey Question 35: If you could attend a fundraising course to enhance your skills, would you prefer to attend with only public university presidents?
- Survey Question 36: If you could attend a fundraising course to enhance your skills, would you prefer a general overview course that included many basics or a specific topical course? (select one)

Survey question 36 asked about training and professional development in a slightly different way in order to cross-reference the results with survey question 34 responses. Survey question 36 asked the respondent if he/she could attend a fundraising course to enhance one's skills in fundraising: Would you prefer a general overview course that included many basics, a specific topical course, or no desire to attend any course?

In regard to survey question 36 and as Table 25 illustrates, 59.68% stated they would prefer a topical course. Additionally, 19.35% of the respondents stated they

preferred a general overview course (Table 25), and 20.97% (Table 25) had no desire to attend any course or professional development in fundraising. Last, in regard to survey question 35, the respondents were equally divided at 50% on both potential responses on whether to attend fundraising training courses with only public university presidents (Table 24).

Table 23

*What Area of Fundraising Would You Like More Training or Professional Development?*

Question	Response	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Q34a: Planning and managing a major campaign	None	31	26.05	31	26.05
	Somewhat Interested	31	26.05	62	52.10
	Interested	42	35.29	104	87.39
	Very Interested	15	12.61	119	100.00
Q34b: Major gifts and fundraising	None	21	17.65	21	17.65
	Somewhat Interested	22	18.49	43	36.13
	Interested	49	41.18	92	77.31
	Very Interested	27	22.69	119	100.00
Q34c: Prospect management and research	None	40	33.90	40	33.90
	Somewhat Interested	46	38.98	86	72.88
	Interested	27	22.88	113	95.76
	Very Interested	5	4.24	118	100.00
Q34d: Stewardship Activities	None	30	24.79	30	24.79
	Somewhat Interested	46	38.02	76	62.81
	Interested	37	30.58	113	93.39
Q34e: Estate and gift planning	Very Interested	8	6.61	121	100.00
	None	29	24.17	29	24.17
	Somewhat Interested	50	41.67	79	65.83
	Interested	29	24.17	108	90.00
	Very Interested	12	10.00	120	100.00

Table 23 (Continued)

Question	Response	Frequency	Percent	Cumulative Frequency	Cumulative Percent
	None	27	22.50	27	22.50
Q34f: Making the formal ask	Somewhat Interested	24	20.00	51	42.50
	Interested	35	29.17	86	71.67
	Very Interested	34	28.33	120	100.00
	None	49	41.18	49	41.18
Q34g: Annual fund, direct mail, and phon-a- thon	Somewhat Interested	42	35.29	91	76.47
	Interested	24	20.17	115	96.64
	Very Interested	4	3.36	119	100.00
	None	28	23.14	28	23.14
Q34h: Athletic Giving	Somewhat Interested	38	31.40	66	54.55
	Interested	48	39.67	114	94.21
	Very Interested	7	5.79	121	100.00
	None	35	29.66	35	29.66
Q34i: Prospect management and research	Somewhat Interested	42	35.59	77	65.25
	Interested	37	31.36	114	96.61
	Very Interested	4	3.39	118	100.00
	None	42	35.59	42	35.59
Q34j: Basic principles and techniques of fundraising	Somewhat Interested	36	30.51	78	66.10
	Interested	27	22.88	105	88.98
	Very Interested	13	11.02	118	100.00
	None	21	17.50	21	17.50
Q34k: Social media in fundraising	Somewhat Interested	37	30.83	58	48.33
	Interested	37	30.83	95	79.17
	Very Interested	25	20.83	120	100.00

Table 23 (Continued)

Question	Response	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Q341: Corporate and foundation fundraising	None	22	18.33	22	18.33
	Somewhat Interested	23	19.17	45	37.50
	Interested	47	39.17	92	76.67
	Very Interested	28	23.33	120	100.00

Table 24

*Course Only with Public Universities*

Q35	Frequency	Percent	Cumulative Frequency	Cumulative Percent
Yes	63	50.00	63	50.00
No	63	50.00	126	100.00

Table 25

*What Type of Course Would You Prefer?*

Q36	Frequency	Percent	Cumulative Frequency	Cumulative Percent
No desire	26	20.97	26	20.97
General Overview - basics	24	19.35	50	40.32
Specific Topical Course	74	59.68	124	100.00

**Summary of Future Training and Professional Development**

This area of the study was very important, as it examined future training and professional development desired by the respondents. This component of the study gave

great insight to potential needs in fundraising training and professional development for comprehensive university presidents.

First, 64.80% of the respondents stated they would attend a fundraising training program specifically designed for public university presidents. These results indicated a strong desire to gain more training in university fundraising/development. However, when asked the follow-up question in regard to attending with only public university presidents or all college and university presidents, the respondents were evenly split at 50% for their desire to attend fundraising training courses with only public university presidents.

When the respondents were asked the specific questions of what areas of university fundraising they would like more training or professional development, the responses for interested and very interested for specific training areas ranged from 23.53% to 63.87%. In addition, the number one area for desired training and professional development, ranked very interested or interested, was major gifts fundraising, at 63.87%. Other key component areas of fundraising the respondents ranked very highly (near or above 50%) were planning and managing a major campaign at 47.90%, making the formal ask at 57.50%, athletic giving at 45.45%, and social media in fundraising at 51.66%.

To delve into the respondents' desires for future training and professional development, 59.58% indicated they would prefer a specific topical course in a selected area to enhance their skills in university fundraising. Only 19.35% stated they would prefer a general overview course, and 20.97% had no desire to attend any course.

## Interview Results

The phone and face-to-face interview component of this study was conducted with five public comprehensive university presidents selected from a total population of only 19 public comprehensive universities that scored above average for 2010 (ending June 30) in each of three statistical fundraising categories among the entire population of public comprehensive universities. Since only 19 public comprehensive universities scored above average during 2010 in each of these three fundraising performance measures, these institutions and their presidents were considered to be successful in the area of fundraising for the purpose of this study. The five presidents selected to be interviewed were representative of the 19 institutions and were indicators of successful public comprehensive universities in the area of fundraising, as they all scored above average in all three selected performance measures as described below:

1. Total funds raised in fiscal year 2010 (June 30 ending). This information is provided by the Council for Aid to Education, *Voluntary Support of Education* report (Kaplan, 2011). This is the self-reported annual fundraising total for the fiscal year 2010 (ending June 30) that is available for many public comprehensive universities.
2. Alumni participation rate. This measure examines the percentage of alumni of record, defined as living alumni that are contactable by the institutions, that donate back to the respective university each year. This measure is determined by information provided by the *Voluntary Support of Education* report (Kaplan, 2011).

3. Fundraising effectiveness measure. This measure was developed specifically for this study and will take the total voluntary support of education (private support) that is reported for fiscal year 2010 (ending June 30) for each available institution and divided by the alumni of record in order to indicate how much is being raised annually in private funds by alumni of record on a per alumnus basis. This measure is determined by information provided by the *Voluntary Support of Education* report (Kaplan, 2011).

The five university presidents, who will be known as Presidents A, B, C, D, and E, were selected through a convenience sample in order to provide a geographic balance. Those chosen to be interviewed represented public comprehensive universities in five states located in five different regions of the country. In addition, the interviews were conducted on a confidential basis.

The face-to-face and phone interviews with these five university presidents focused on several questions in regard to the American public comprehensive university and the president's role in fundraising (Appendix E). All interviews were recorded, transcribed, and coded into five broad areas and utilized eight key survey questions. For the purpose of this research, eight survey questions from the interviews will be utilized and further organized into five broad areas in order to supplement the survey portion of this exploratory study and the related descriptive statistics.

The eight survey questions will be organized into the following five areas in order to further explore the American public comprehensive university and the president's role in fundraising: (a) profile, background, and experience; (b) defining the president's role



in fundraising; (c) ranking of fundraising duties and responsibilities; (d) time spent with fundraising duties and responsibilities; and (e) recommended preparation and training.

1. First, you have had a successful tenure at this university in the area of fundraising. In 3-4 sentences, how would you define a president's role in fundraising and what components are necessary for success?
2. In regard to all of your duties and responsibilities as president, how do you rank your fundraising duties? (Rank 1 = top priority, 2 = next, etc.) Please elaborate and answer why.
3. In a typical month, how many days do you spend with your fundraising responsibilities and duties?
4. About how many days are spent away from campus each month in traveling and conducting fundraising duties?
5. How many days each month do you host major donors and prospects at university events such as dinners, ballgames, concerts, receptions, and other social and special events?
6. Have you ever had course(s), training, or professional development focused on university fundraising?
7. What type of preparation and training prior to and during a university presidency would have been helpful in carrying out fundraising duties?
8. Finally, what additional thoughts do you have in regard to recommendations for future training and preparation for university presidents, before a new presidency, to better prepare them for their fundraising duties?

Following are excerpts from these face-to-face and phone interviews in regard to the president's role in fundraising:

### **Profile, Background, and Experience**

The five public comprehensive university presidents interviewed for this study were from five states located in different geographical regions of the country. The five presidents were all male, had a mean age of 61.4 years old, and had been in their positions from 1 year to almost 14 years, with an average tenure of 6.60 years.

### **Defining the President's Role in Fundraising**

Each of the five interviewed presidents was asked the following question in regard to how they would define the president's role in fundraising and what components are necessary for a president to be successful.

*Question: First, you have had a successful tenure at this university in the area of fundraising. In 3-4 sentences, how would you define a president's role in fundraising and what components are necessary for success?* All five of the interviewed presidents reflected on the difficult economic period we are currently experiencing as a country, how their university is dealing with appropriated funding cuts, and, subsequently, how these funding reductions have caused an increased need for private fundraising in order to adapt to this change. President A stated:

This is my second presidency at a public institution, and there has been significant demand on the president's time, mine in particular, to create relationships that help the university achieve its mission. With the intentional, I think, disinvestment in public education from the states, there needs to be revenue streams that come in to improve access, affordability, and quality. And when you

keep that in mind, one must then act much differently in a leadership role as it relates to outside fundraising.

Further, President A described his institution's budget reductions and how it is changing the way he manages his university:

I'm acting like a private institution. My current student funding level took a 22% budget cut, and I'm one of the lowest funded institutions in the state as a public institution. And, I can't whine about it [the current economic situation], it's just the way it . . . so, let's operate as we must, and you know, that's okay, there's no problem in it, I get yelled at because I have to raise tuition, but I try and keep that down. But nonetheless, we need to understand the evolving roles, and that's why I would say a generation ago, fundraising wasn't there, it was the intellectual president . . . now it's more the entrepreneurial president.

President A described the benefits of the American Council on Education Fellows program and the importance of establishing alumni and donor relationships:

I found when I was working at another institution as an American Council on Education Fellow with a former president, he was very entrepreneurial and said early on . . . of how important it was to create those [alumni and donor] relationships to achieve the mission with a donor community that would provide confidence. This is vital to success in fundraising.

President B described the difficulty of balancing budget cuts from the state and fundraising. President B added that the comprehensive university president's job is now more external than internal:

To go in another direction for just a second, I think fundraising at a public comprehensive university can be difficult. Because your alumni base is not normally used to providing funds to help you even with enhanced programs, because they figure you are funded by the state. So that is the first hurdle you have to overcome, to let them know exactly where you stand financially, and in the last nine years our funding has been cut 36% by the state. That's the first kind of thing you've got to let them know.

I think of necessity in these economic times, that's where it's headed, more external than internal, because state support is shrinking and likely to continue to shrink. So the external has to be, both with the folks who control the funding with the state, so external with the legislator, with the governor, with influencers, and then to make up for what you may not be getting from the state or other places, you have to be...I think public university presidents have to be increasingly involved in fundraising.

President C added that the comprehensive university president must have a solid understanding of the fundraising process and have good professionals in the development area in order to be successful. President C added that it is key for a comprehensive university to understand their strengths and let the senior administrators and faculty do their jobs:

Well, first of all, I do understand that dynamic [fundraising] and that world, and so I know when a development office or vice president for advancement is doing the right things or not, so there's not much faking me out on what needs to occur. But to give you a more direct answer, I hired a vice

president in 1998 that was a serious player in institutional advancement circles who came in and knew what to do, and he was completely empowered and turned loose to do it, and I supported him not only in initiating a capital campaign, but getting the development related infrastructure in place and pursuing the annual fund as much as anything.

But in my opinion, what is key for any president is to understand his or her strengths, and work and live within those strengths in the context of this job, and a leader has got to know his or her limitations, and I came up through the advancement arena, and we played to that strength quite well.

I enjoy the external variables, and in my opinion, and this is a little bit getting to your question of the comprehensive university president of the future, I believe that the comprehensive university and most universities will begin to reflect the model of the leader who understands the financial variables, the external variables, the political variables and the environmental . . . meaning the physical plant and beyond . . . variables of the job, and hire a provost who understands the academic variables and can lead the faculty, because I think institutions . . . a generalization of course . . . but I think more and more institutions are beginning to understand that the effective presidents who stay in their positions the longest trust the faculty to handle the rightful domain of the faculty . . . the curriculum, tenure, the general education requirements . . . and stay the heck out of the way.

President D stressed that a president's job is to create a favorable environment to encourage private fundraising:

The president's role, in my judgment, is a leadership role, leadership being establishing a situation . . . a context within which fundraising can be successful, and then creating a context in which university supporters can invest themselves in the institution. Obviously people want to invest where they think a payoff is going to occur, whether you are doing private or public investing, so I think the president's role is to create an environment where that is possible.

President E stated that a president's role is to provide a vision and trust in the institution in order to facilitate fundraising:

I think the president's role . . . it is providing a vision, another would be establishing trust, I think those are two key pieces, and then maybe I would throw in a philosophy of how to deal with donors and contributors to the institution, how do you honor them and recognize them and engage them, you know, engage in a variety of ways. I think the president really has to set that direction, and those are probably three very key areas.

### **Ranking of Fundraising Duties and Responsibilities**

The five interviewed presidents were asked to rank their fundraising duties and responsibilities as they related to all of their presidential duties and responsibilities. All of the interviewed presidents are successful leaders and fully understood the role of fundraising at their respective institutions. All five public comprehensive university presidents ranked their fundraising duties and responsibilities as one of their top and most important duties. Three presidents ranked their fundraising duties and responsibilities either number 1 or 2 among all that they are faced with in their role. In addition, one

president succinctly stated that fundraising is at the top of his list; another simply stated that it was a top five responsibility.

The following question was asked pertaining to this topic:

***Question: In regard to all of your duties and responsibilities as president, how do you rank your fundraising duties? (Rank 1 = top priority, 2 = next, etc.) Please elaborate and answer why.*** The presidents' responses are noted below:

President A: Well, at this point, one [ranking] . . . it must be because pretty much everything that I do . . . But we manage that, because it comes down to relationships and the confidence that the donor or prospective donor has.

President B: I'd say it's probably one-A [ranking], because one is budget, but then the fundraising part of it really is going to help us make up, I hope, for some shortfalls in the budget.

President C: I wouldn't rank it at the top, because I would put leadership, inspiration, vision, campus esprit de corps, as the first and foremost responsibility as a president . . . defining and sustaining a bold vision and pushing the campus toward it, that's what a president's primary job is, in my opinion. Now, a lot of people might approach that in different ways, but beyond that, I put fundraising as second, maybe a co-second here for me because it was expected of me 14 years ago and continues to be expected of me today, given my background coming into this job.

President D: When President D was asked this question, he very matter-of-factly stated, "Oh, it would be in the top five, there's no question about it."

President E: Well, it's just got to be right at the top of the list in many ways, and

if you are not fundraising, you are doing something that will help fundraising. So, I do many [events] . . . public speaking, my support and my visibility at athletic events . . . I enjoy that, but the truth is that is where the donors are.

### **Time Spent with Fundraising Duties and Responsibilities**

The five interviewed presidents spend a great deal of time with their fundraising duties, and the range of time varied greatly. One president stated that his fundraising duties consumed 25% of his time, another spent two days a week, and another stated he was gone 200 nights per year.

*Question: In a typical month, how many days do you spend with your fundraising responsibilities and duties?* The presidents' responses are noted below:

President A: I'm out over 200 nights a year. I'm thankful for a spouse that also enjoys the affiliations that we have. But we are out that often, you know . . . six nights, sometimes two events . . . like tonight I have two events. I'm going to a reception first, and then it's a dinner for the next one.

President C: In a typical month, if you say a month is four weeks, I would say probably a week . . . 25% of my time. We have a good number of prospects here locally, but of that, I would probably say a third to half of that 25% would be traveling.

President E: I'd say it's probably two days a week, just like the last two days, I went to a [major business] to see the CEO who is a graduate of ours. I went to a [major athletic event] last night with a donor. And then today I spent time with the governor, and we think of the governor and the legislature as being a donor.



*Question: About how many days are spent away from campus each month in traveling and conducting fundraising duties?* It was difficult for the interviewed presidents to quantify the answer to this question; however, it appeared from their responses that a considerable amount of their time is spent away from campus with fundraising duties. Two presidents responded with “5-10% of their time” (President D) and “at least five days per month” (President E).

President B: We did a couple things in the first few months after I took over. We went around to . . . my wife and I went around to the three areas in the state that had the highest concentration of our alumni and sort of had introductory meetings with larger groups, and I just sort of told them a little bit about myself and what we were thinking in this new role.

President B continued: Also, this year, we started something that we hope will become more of a tradition. We went around the state again to celebrate Founders Day. [Our university] was founded in 18[XX], so we wanted to go out to these larger alumni concentrations and have . . . it wasn't formal, but more of a structured setting where we would have either a cocktail party or dinner, and I gave a more structured presentation about where we are now as a university and where we hoped to go in the future.

President D: When I was first getting started, it was a lot more, now it's a lot less . . . if you are beginning a presidency, you are going to spend a lot more time away from campus for building relationships that will eventually bear fruit into fundraising. So right now, it's 5 to 10% maybe.

President E: At least . . . I would say at least five [days per month], you know,

last month I drove to Oklahoma City to have breakfast with a guy . . . he told me that we will get a three million dollar payout in 2013 and then I thought, well, I am at the right place having breakfast . . . then I came back by and had lunch with someone in another city, a donor prospect, and then came back to campus. But, that's just the way it works. That's the only way you can do it in my mind, you build personal relationships.

***Question: How many days each month do you host major donors and prospects at university events such as dinners, ballgames, concerts, receptions, and other social and special events?*** Again, it was difficult for the interviewees to fully quantify the response to this question in the face-to-face or phone interviews, but it appeared that each spend a considerable amount of their time hosting major donors and prospects at various university events. One president stated he spent two to three days per month (President B), and another said he spent 40-50% of his time on fundraising duties (President C).

In addition, President B spends a great deal of time hosting donors, prospects, and alumni; however, he stated that he expects this work to double in the coming months.

President B: I would say in the previous 15 months, I probably averaged a total of maybe two to three days a month is all . . . and I think that's probably going to at least double in the next 15 months.

President C spends 40-50% of his time in this area and expects the fundraising staff to take the lead to assist him in managing his time and coordinating the donor and alumni process and related functions of fundraising:

I go to alumni events when I'm asked to do so, and I trust the Vice President for Development & Alumni Relations, but I trust them to put me in

front of donor prospects. I don't mind making a cold call if we are introducing ourselves to somebody we've just discovered in our data base, but by and large put in situations where I can close gifts, knowing that we've achieved some steps that get us to a point where we are reasonably close to closing a gift.

And, I prefer to have at least six-figure variables in play if I'm going to make the call, although I'm certainly involved in 10, 25 and 50 thousand dollar asks, but I want the development staff to try to reserve me for bigger shots than that simply because I want their sights to be raised, and it's a better use of my time to be involved with six and seven figure gift discussions and closures than something smaller.

Well, if your time is 24 hours a day, seven days a week, then I would probably say 40-50% of that, you know . . . my calendar is full for the rest of the semester and has been for the last month, and you know, tonight I will go to a soccer game from 6 to 7:15 and be at an orchestra performance at 7:30. We would have guests for functions either in the president's home or at a function, if there are 30 days in a month, at least a dozen of those days, 12 to 15 days, and half of those days we would be doing something with guests of the university in some context.

President D: 10 to 15% [of my time] . . . you know, those are usually after hours functions, so it's hard to guestimate that . . . we've got a function tonight . . . I think maybe three to five days a month is probably a pretty generous estimate.

President E: We have alumni events around the country . . . . And the other thing . . . some of that [alumni events] is done on campus, but I think it is so

important to go . . . and yesterday morning when I was in that hospital [with hospital administrator and alumnus], that guy said, “I’m so glad you’ve come out to see me.” And I said, “I learn a lot when I come out to people’s businesses, you run a complex organization and I do too, you’ve got a view of the world, and I’ve got a view of the world, and it helps me do my job to see what you are thinking and hearing.” And, you know, it honors them, and it shows that you are interested in them, which we are, and you get a chance . . . everybody loves to kind of show off where they are and what they are doing.

### **Recommended Preparation and Training**

Most of the interviewed presidents discussed past and future training and professional development and how it enhances a president’s skills in the area of fundraising. All discussed the importance of fundraising training in regard to conducting their duties and responsibilities, and four had some type of previous training. One had not had any type of training in fundraising.

*Question: Have you ever had course(s), training or professional development focused on university fundraising?* President A stressed his need for additional fundraising training, especially in certain areas of the fundraising process. Additionally, President A pointed out the importance of the ACE Fellows program and strategic planning as key components to successful fundraising:

What I’m finding now, and not that I need the training, but I need to understand how important social media [as an example] is as we push forward, especially in anticipation of funding based upon alumni who, as I said, are younger. Also, the ACE Fellows program was very important to me in this role

as president, because I could see in the public sector how this was going to be a critical role and responsibility of leaders in higher education. So I would say, yes, the ACE Fellows training, because it then prompted me to focus in with another university president in that area [fundraising].

The other area that I think of keen importance here when it comes to development is strategic planning. One needs to not just have a plan that goes on the shelf, but here we have very active participation across the entire university, which was not here when I arrived here, quite frankly. But it's now embedded, and we have placed strategically.

President B commented on his lack of fundraising training and his needs of the basics in this area:

I have not [had fundraising training], and I think it would be valuable, particularly because I am such a neophyte at this . . . I would say I need the fundamentals, the passing, dribbling, shooting for sure, but we are in the silent phase of a campaign, so I would need some education in that as well.

President D stressed the value of the American Association of State Colleges and Universities' (AASCU) new president's workshop:

I would say this, I found the AASCU New President's Workshop to be very helpful, not so much in fundraising specifically, although I believe my recollection now is that certainly that was a factor that was talked about, but in helping the president to understand the environment that he's moving into or she's moving into, talking about the different constituencies and the support of different constituencies. The president must . . . if he or she is going to be a successful

fundraiser, they must balance all these constituencies in a reasonable way. So I would simply say the AASCU New President's Workshop I found very helpful.

President E elaborated on the benefits of training once he assumed his new presidency:

I've had a little bit [of training]. When we first hired the development officers and really began to think more strategically about fundraising, we had a guy (professional consultant) come in . . . he did a lot of presentations at national conferences on giving, and the art of the ask, the number of touches and kinds of touches that people need, and that was extremely good information. And I think it has caused me to not have to go through a lot of growing pains . . . That was extremely, extremely helpful.

*Question: What type of preparation and training prior to and during a university presidency would have been helpful in carrying out fundraising duties?* All of the presidents discussed the importance of training and learning the basic skills of university fundraising. In addition, one president stated the importance of establishing a mentor relationship, whereas two other presidents cited actual fundraising experience in previous university positions. Finally, two of the presidents specifically noted higher education support groups and their related training programs as key professional development in preparation for their duties as a president.

President A: Being instinctive. And we have tried to fuel that culture by training, not just me, but I attended, and others on my development team and others in the faculty and staff too, to create student philanthropy to instill that early on so that we could continue to grow the alumni base over the next 25 years.

President B: I think all of those [fundraising training courses, mentoring with another president and experience in a professional development role] would have been helpful. I think my first thought would be a fairly intense course on what the role of the president is at a public university in fundraising, and what a public university has to do in this kind of fundraising. And after that course, probably then having a mentor relationship with someone who has been successful at this who might be able to give some guidance as well.

President C: The best preparation for me coming into this job was my last four years at another major university, I was there 11 years, but the last 4 I became Vice President for Administration and Advancement, and I was given all of the business and finance functions, physical plant functions . . . I already had the advancement functions plus legislative.

President C continued: That experience was the best experience coming into this job, and the seven years prior to that position in a private university in fundraising and alumni affairs roles, had a big influence . . . and that's the other thing I preach almost daily on this campus, we will control our own destiny, we are not going to whine about what the state can or cannot do for us, we are not going to whine about what's happening or isn't happening in Washington, we are not going to worry about what goes on at any other campus in our state, we are not going to look to our left, to the right, nor south . . . we are focused on us, our vision and what are we doing to achieve it.

President E: I went to the new president's academy that AASCU runs; that was a top-notch experience. I came back with a four-page list of action items

that I felt like I needed to think about and put into place and am still working on that.

President E continued: Also, it would be helpful certainly to have the background in development in coming into the president's office, but I'll tell you what I think right now is helping us more than anything else, and it's really generating a lot of excitement and enthusiasm . . . and this will sound boring, but it's our campus master plan . . . in order to build a 10-year plan for capital projects, facility projects on campus . . . I think you need to have a really good handle on planning and strategic view of the campus and how to lay out the kinds of projects or efforts that initially you want to put into place . . . having enough that people see that you've got a rich vision, a very robust vision.

***Question: Finally, what additional thoughts do you have in regard to recommendations for future training and preparation for university presidents, before a new presidency, to better prepare them for their fundraising duties?*** All of the interviewed presidents stated the importance of training and learning the basics of fundraising before assuming (or soon thereafter) a new comprehensive university presidency. Additionally, two reflected on the importance of having a mentor to talk with on a periodic basis.

The interviewees used this final question to offer concluding and general thoughts on the public comprehensive university president's role in fundraising, what it takes to be successful in this area, and what donors want from them as the leaders of their respective institutions. The topics of the importance of donor relationships, donor trust, donor confidence in the president and university, a president's visibility to the alumni and



donors, celebrating fundraising successes, ensuring that you have a good development team in place, and a vision for the institution were all key points stressed by the interviewees in order to be successful in fundraising.

President A stressed the importance of fundraising training and the factor that establishing alumni, donor, and prospect relationships are key to the fundraising process. Additionally, President A discussed the importance of mentorship and learning from those who have been a former or current university president. Last, President A pointed out a key ingredient of the fundraising process; establishing confidence in the institution:

You need to spend your time strategically and as we said early on, building the [fundraising] base for us is of strategic importance. [Fundraising] coursework can be appropriate. What I did from time to time was when there was some programmatic efforts either with ACE or AGB that focused in a little bit more on fundraising; I'd go to that particular session during the annual meetings, just to see what's out there.

But I wouldn't spend an inordinate amount of time with training courses, because I think, as I said, it's more instinctive and relational than it is the technical application of the skill set in fundraising. Sixty percent plus [of fundraising] is all relational. I think one just needs to understand how important those relationships are, and it's not course work related, in my opinion.

I think the idea of the mentorship is important, that's why I mentioned a former president that I worked with a few times . . . . He was the consummate person when it came to those relationships and results.

Well, a couple things, I'd say first have fun . . . So that's important. The other . . . and I think I said it before, one needs to anticipate as clearly as he or she can, and given the rapid changes around us that we need to embrace, one needs also to have somewhat of a . . . I would call it a paradox that one needs to operate on, especially when it comes to development.

What the donors want is confidence that you are going to fulfill your promises, and I will share with you a story about that in a second, and therefore creating stability. But at the same time you have to be innovative and create the agency so that people in the donor community want to come and support you. That's the comprehensive model that we brought here five years ago. So, I'd say anticipate clearly and create stability and confidence in the donor base, because that will reap you benefits in the long run.

President B said:

I don't think you necessarily [as president] have to be an alum, but I think you have to be very visible to alums, and find every way you can to get out to them and to use social media, use other means to make sure they understand what's going on at the school now, and more important than that probably is, where the school wants to go in the future and how they can help.

President C stressed that a comprehensive university president has to understand the art and science of the fundraising process. President C noted, "It's asking, it's engaging and asking." Additionally, President C pointed out to hire a "well-credentialed" chief development officer and let them do their work. Finally, President C responded that

a president must love their fundraising work and celebrate the success for the benefit of the institution and to show appreciation to the donor:

In regard to fundraising, and you have to do your homework, and you have to understand the science, and then you do your cultivation, and when a donor's inclination reaches his level of known capacity, that's when you close the gift, and you just have to know when to perform the art and when to apply the science . . . And a lot of it is you've got to have some guts, and you've got to ask, and you have to be bold in the ask . . . So, It's asking, it's engaging and asking.

Well, the celebrating and the public awareness of it strengthens the brand of the institution and just builds confidence and builds energy. Everybody wants to be a part of a successful enterprise. And, when you are announcing million dollar gifts and you're rocking and rolling, people take notice, your own alumni take notice, [and] your faculty takes notice.

People have to know you love what you do, they have to see you having fun with it, students need to see it . . . the energy of a president has as much to do with the psyche of a campus and the personality of an institution as anything . . . universities take on the personality of their leader, I'm absolutely convinced of that, and I want that to be high energy, high confidence, ambitious and fun, and I think that's to a large measure our personality of the university.

Finally, hire a well-credentialed, well-experienced vice president [chief development officer] and trust them. Also, have the confidence to make the ask and relish in the closing of the gift.

Enjoy it [fundraising], make sure that the individual who is making the gift knows you enjoy it and make them enjoy it . . . celebrate it (the gift), have fun with it, yeah, yeah, and then the third thing is listen, you've got to listen, you've got to know how to pick up on things . . . but I'm going to have four. Find the right balance between patience and persistence. You have to be persistent, and sometimes you just need to be patient, but sometimes not too patient, because sooner or later you've got to get down to business and make the ask.

President D stated:

Every new president obviously has a honeymoon period, and that's a wonderful grace period where you are forgiven almost everything, one hopes. But it's an opportunity to build relationships, and you have to do them, in my judgment and my opinion, you have to do them in at least those three constituencies. The donors will take more time, effort, energy and relationship building than the faculty or your board. The board hired you, so the relationship is already there . . . and that's not to say you can take it for granted. The faculty have had an opportunity for input in your selection, and they are more than happy to give you the benefit of the doubt starting out, but your donors really don't know you, and your potential donors, your community supporters, and the only thing I can say is to plan on spending a lot of time maintaining all three of those constituency relationships, particularly developing and expanding the donor base, the donor relationship base . . . time, effort and energy.

President E stated:

And you know, whether it's 10 thousand or a million dollar [gift], there's just certain things that are consistent, and that is this trust factor, that they believe you have a vision. Donors often ask me how long I'm staying . . . they want to know that I'm going to be here to see to the projects that they are involved in. So it's a few things . . . really the scale doesn't matter so much.

### **Summary of Face-to-Face and Phone Interviews**

The five selected public comprehensive university presidents for the face-to-face and phone interviews were from five different states located in different geographical regions of the country. All five presidents were male, with a mean age of 61.4 years and a mean tenure in their current position of 6.60 years.

All five interviewees delved into state appropriation cuts to their institutions, the impact that it has had on planning and managing their respective universities, and the enhanced focus on fundraising duties and responsibilities. In addition, President A summed up this period of declining funding as, "I'm acting like a private institution. My current student funding level took a 22% budget cut, and I'm one of the lowest funded institutions in the state as a public institution."

President B summarized,

I think of necessity in these economic times, that's where it's headed, more external than internal, because state support is shrinking and likely to continue to shrink. So the external has to be, both with the folks who control the funding with the state, so external with the legislator, with the governor, with influencers, and then to make up for what you may not be getting from the state or other places,

you have to be . . . I think public university presidents have to be increasingly involved in fundraising.

In regard to time spent with fundraising duties and responsibilities, the responses ranged from 25% of their time to over 200 nights per year. When asked specifically about how many days each month are spent hosting major donors and prospects at university events, the responses ranged from 2-3 days per month to 40-50% of the time. President C stated that time management and good planning by his staff are vitally important due to an already very busy schedule. President C summed it up this way,

I go to alumni events when I'm asked to do so, and I trust the Vice President for Development & Alumni Relations, but I trust them to put me in front of donor prospects. I don't mind making a cold call if we are introducing ourselves to somebody we've just discovered in our data base, but by and large put in situations where I can close gifts, knowing that we've achieved some steps that get us to a point where we are reasonably close to closing a gift.

In regard to preparation and training in university fundraising, all stressed that good preparation in this area was important. As President B stated,

I have not [had fundraising training], and I think it would be valuable, particularly because I am such a neophyte at this . . . I would say I need the fundamentals, the passing, dribbling, shooting for sure, but we are in the silent phase of a campaign, so I would need some education in that as well.

When asked about the type of preparation and training prior to and during a university presidency that would have been helpful in carrying out fundraising duties and responsibilities, President B summed it up as,

I think all of those [fundraising training courses, mentoring with another president and experience in a professional development role] would have been helpful. I think my first thought would be a fairly intense course on what the role of the president is at a public university in fundraising, and what a public university has to do in this kind of fundraising. And after that course, probably then having a mentor relationship with someone who has been successful at this who might be able to give some guidance as well.

President C stated that his former background and training in university fundraising was extremely valuable. “The best preparation for me coming into this job was my last four years at another major university, I was there 11 years, but the last four I became Vice President for Administration and Advancement.”

In regard to final thoughts and recommendations for future presidents at public comprehensive universities, President A indicated that “building the fundraising base” is of strategic importance and added that “60% plus [of fundraising] is all relational. I think one just needs to understand how important those relationships are, and it’s not course work related, in my opinion.” President A added, “mentorship” with another president is very important to one’s success.

President A, succinctly summed up his advice to future presidents as, “What the donors want is confidence—that you are going to fulfill your promises . . . and therefore creating stability. But at the same time you have to be innovative and create the agency so that people in the donor community want to come and support you. That’s the comprehensive model that we brought here five years ago.” President A continued, “So, I’d say anticipate clearly and create stability and confidence in the donor base, because

that will reap you benefits in the long run”. Additionally, President E stressed the importance of two key components in order to be successful with one’s fundraising duties and responsibilities. “One is providing a vision, another would be establishing trust.”

President C said,

And you have to do your homework, and you have to understand the science, and then you do your cultivation, and when a donor’s inclination reaches his level of known capacity, that’s when you close the gift, and you just have to know when to perform the art and when to apply the science . . . And a lot of it is you’ve got to have some guts, and you’ve got to ask, and you have to be bold in the ask . . . So, It’s asking, it’s engaging and asking.

President C concluded,

Well, the celebrating and the public awareness of it strengthen the brand of the institution and just builds confidence and builds energy. Everybody wants to be a part of a successful enterprise. And, when you are announcing million dollar gifts and you’re rocking and rolling, people take notice, your own alumni take notice, your faculty takes notice.

Chapter Four reviewed and outlined all of the results from this exploratory study comprised of survey responses from 142 respondents (52.21% response rate) from a total population of 272 public comprehensive university presidents, as well as face-to-face or phone interviews with 5 public comprehensive university presidents. Chapter Five will provide a discussion concerning these findings and provide recommendations for further research and additional recommendations as a result of this study on the president’s role in fundraising at public comprehensive universities.



## **CHAPTER FIVE: DISCUSSION AND CONCLUSION**

This exploratory study examined the president's role in fundraising at America's 272 public comprehensive universities. Fundraising is one of the most demanding and visible roles of a university president, and he or she should expect to spend an inordinate amount of time raising private funds (Kaufman, 2004; Nelson, 2009). These fundraising duties and responsibilities faced by public comprehensive university presidents are due in large part to the decline in state appropriations supporting higher education (Cheslock & Gianneschi, 2008; Ehrenberg, 2006b). Therefore, the role of the president at public universities is quickly shifting to more external responsibilities as the search for private funds continues to grow to fill this deepening gap caused by appropriation losses (Altbach et al., 1999; Worth, 2002; Zemsky et al., 2005). Hence, this study is timely since most public university presidents do not come from a fundraising background, and many have little to no training in this area even with newly expanded responsibilities and expectations (Hartley & Godin, 2009; Nesbit et al., 2006).

Cutbacks in state appropriations have been the most significant driver of the change in the role of the university president, as cited by 71% of long-serving presidents (serving 10 years or more) in the recent American Council on Education (2007) study. Due to these funding issues, 78.2% of these long-serving presidents cited their duties and responsibilities in fundraising as the number one area requiring more of their time each day, which indicates a possible need for more preparation and training in this area as these obligations continue to increase (American Council on Education, 2007). Further, the American Council on Education (2007) study pointed to a concern that nearly 23% of

all presidents at all types of universities ranked fundraising as the number one area where they were insufficiently prepared when they assumed their position.

This exploratory study answered important questions related to public comprehensive university presidents and their background, preparation, training, and involvement in fundraising. Although there is a great deal of research on major private and public college and university presidents and university fundraising in general, there is a limited pool of research concerning public comprehensive university presidents and fundraising roles, duties, responsibilities, expectations, preparation, and training.

Finally, this study attempted to fill the gaps in the research about the president's involvement and responsibilities in fundraising. Additionally, it examined the need and desire for additional training and professional development in order to better prepare a new generation of comprehensive public university presidents for their future fundraising roles and responsibilities.

### **The Purpose and Significance of the Study**

The purpose of this research was to examine the president's role in fundraising at America's 272 public comprehensive universities. In addition, this study explored the president's background, training, duties, and specific involvement in the fundraising process. Also, this study reviewed what background and training would have been helpful prior to and during a presidency in preparation for these fundraising duties and responsibilities. Importantly, this exploratory study provides a platform for new and additional research on this topic.

The researcher's intent was to provide a unique insight into the president's role in fundraising at America's public comprehensive universities in order to identify

distinctive activities and exclusive attributes among this group and to explore possible training and professional development programs to assist future and existing leaders of these institutions.

### **Discussion of the Findings**

The findings will be organized by each research question and by other major areas examined. Additionally, in order to accomplish the purpose of this study, the following thesis statement was explored: Fundraising is one of the three major responsibilities of the public comprehensive university president. Last, the recommendations associated with this study will be presented in a final section of this chapter.

### **Profile, Background, and Experience**

Based on the 142 survey responses, the average profile, background, and experience of this study's population of America's public comprehensive university president is 78.26% male with a mean age of 62.42 years, median age of 63 years, in which 71.67% are in their first university presidency for a mean tenure of 6.43 years and a median tenure of 5 years. Also, 75.57% of the survey respondents reported having a Ph.D. as their highest degree earned, and 96.21% were in their position on a permanent basis, meaning they were not in an interim or temporary appointment.

Concerning the immediate previous position held prior to their current presidency, 22.14% of the respondents stated they had been a previous university president; 38.17% had been the vice president of academic affairs, provost, or chief academic officer; whereas only 5.34% had been a vice president of development or chief development officer.

Based on the research and related findings, there needs to be a focus on preparing and training more university administrators, besides those in academic affairs, to seek a university presidency. As discovered by this research, only 5.34% of the survey respondents had been a vice president of development or chief development officer prior to their current university presidency. American public comprehensive universities and public higher education interest groups, such as the American Association of State Colleges and Universities (AASCU) and the American Council on Education (ACE) among others, should review possible opportunities to train and develop potential candidates for public comprehensive university presidencies.

Based on the survey research from this study, the reported mean age of 62.42 years indicates there will be a considerable amount of turnover in the presidency of public comprehensive universities during the next 10 years; and governing boards, public higher education interest groups, and interested administrators need to be prepared for this anticipated change in potentially available positions at public comprehensive universities.

### **Research Questions**

The research questions for this exploratory study will be discussed utilizing the descriptive statistical information derived from the survey research. The survey research is based on statistical information developed from the 142 respondents to the survey instrument. In addition, all recommendations for this exploratory study will be based exclusively on the findings from the survey research.

Although extremely valuable and complementary to this overall study, the phone and face-to-face interview research obtained from five public comprehensive university

presidents was not statistically quantified in this final discussion and subsequent recommendations due to the limited number of interviewees. However, the information provided by the phone and face-to-face interviews from the selected five public comprehensive university presidents was consistent with the survey research and did not conflict with any findings or recommendations. In addition, the face-to-face and phone interview findings was used as supporting and complementary data for all final recommendations of this exploratory study.

**Primary Research Question: What are the key aspects of the president's responsibilities in fundraising at public comprehensive universities?** In regard to the primary research question of this exploratory study, 82.17% of the survey respondents indicated they were involved or very involved in the asking process of university fundraising. The mean response for all 13 components of survey question 18 revealed that 71.52% of presidents reported being involved or very involved in each of the 13 component areas of fundraising at their university.

The highest involvement component was attending or hosting special events (receptions, dinners, ball games, etc.), at 96.15%. However, the involvement level range (includes *involved* to *very involved*) was 21.54% to 96.15%, with one major outlier, whereby only 21.54% of presidents were involved or very involved in working with estate and planned gifts. Also, 60.47% of the survey respondents were involved with a comprehensive or capital campaign or had just completed a major fundraising campaign in the previous 12 months. In addition, 55.37% of the survey respondents stated they anticipated beginning the process of a major campaign during the next 12 months. In addition, 73.60% of the survey respondents said they were involved in the fundraising

planning (including involvement in a readiness study), and 56.20% stated they would use a professional fundraising consultant to assist them with a major campaign.

Based on the research, public comprehensive university presidents need to be more involved with estate and planned giving at their institution. Only 21.54% stated they were involved or very involved in this area of university fundraising. This area should be explored further for possible training opportunities to ensure that public comprehensive university presidents are comfortable with and have adequate training in working with these types of gifts.

**Secondary Research Question One: How much time does the president devote to fundraising at his/her university?** In response to secondary research question one of this exploratory study, the survey respondents stated they spend an average of 6.70 days with fundraising duties and responsibilities, with a median of 5 days during a typical month. The range of responses was 1 to 20 days each month. In addition, the survey respondents reported that a mean of 3.85 days were spent away from campus each month in traveling and conducting fundraising duties, with a median of 3 days.

In an additional measure of presidential involvement in the fundraising process, 56.69% met or talked with their chief development officer 2-3 times per week, and 19.69% met or talked on a daily basis. Importantly, 91.34% of the survey respondents talked or met with their chief development officer once per week or more. Further, they spend a mean of 5.27 days each month and a median of 4 days each month hosting major donors and prospects at university events such as dinners, ball games, concerts, receptions, and other social and special events.

As found in this study, some public comprehensive university presidents are spending time far beyond the mean with their fundraising duties and responsibilities. For example, President A shared,

I'm out over 200 nights a year. I'm thankful for a spouse that also enjoys the affiliations that we have. But we are out that often . . . six nights, sometimes two events . . . like tonight I have two events. I'm going to a reception first, and then it's a dinner for the next one.

**Secondary Research Question Two: In regard to all of the president's duties and responsibilities, is fundraising one of the top duties at his/her university?** In regard to secondary research question two of this exploratory study, 74.58% of all survey respondents stated that their fundraising duties and responsibilities were among their top three duties. In addition, 37.29% of the survey respondents said that fundraising duties were their number one or two responsibilities. The mean response to survey question 13, ranked fundraising duties and responsibilities with a mean of 3.09 and a median of 3.

When the survey respondents were asked about the hiring process for this presidency and if the governing board discussed the importance of fundraising, 71.32% indicated that the governing board discussed the importance of fundraising, but 84.38% said no specific goals were discussed. Interestingly, 62.40% of the survey respondents stated their fundraising background or experience, if any, was not a factor in their hiring.

**Secondary Research Question Three: Has the university president previously worked in fundraising at a college or university?** Most significant, this research question found that 85.94% of the survey respondents had no previous experience in university fundraising, and no respondent held the CFRE designation or a Certificate in

Fund Raising Management. Based on this information, public comprehensive universities, higher education interest groups, and those who may seek a public comprehensive university presidency need to consider more specific experience and training in the fundraising area to prepare for future duties and responsibilities.

**Secondary Research Question Four: What preparation or training in university fundraising has the president had, if any?** In regard to secondary research question four, 39.53% of the respondents have not had a course, training, or professional development in fundraising. Additionally, of the 60.47% who had attended a fundraising course, the Council for the Advancement and Support of Education (CASE) and the American Association of State Colleges and Universities (AASCU) were the number one and two choices, respectively. Also, 32.08% of the survey respondents indicated the fundraising course or training was during their current presidency; however, 84.11% responded that the course or training was not in preparation for duties and responsibilities for a new presidency. Interestingly, 37.80% stated they were not familiar with university development and fundraising programs specifically designed for university presidents.

Nearly 40% of the survey respondents of this study have not had a course, training, or professional development in fundraising. Based on the research, it is apparent that with the changing fiscal landscape of public comprehensive universities, higher education interest groups and those interested in a public comprehensive university presidency must strongly consider future fundraising training and professional development in order to prepare for future duties and responsibilities.

**Secondary Research Question Five: What type of preparation and training prior to a university presidency would have been helpful in carrying out fundraising**



**duties?** In regard to secondary research question five, 55.56% of the survey respondents stated that a specific course(s) or training in university fundraising would be the most important preparation or training for fundraising duties and responsibility prior to a university presidency. They ranked this response as important or very important. Additionally, 17.74% stated that having held a previous position in university development/fundraising was important or very important; however, 82.26% stated this was not important or only somewhat important in carrying out their fundraising duties and responsibilities. Also, 53.97% of the survey respondents stated that mentoring with another president would have been important or very important in preparation for their duties and responsibilities prior to a university presidency.

Based on the findings, higher education interest groups should develop and offer more courses and training to potential public comprehensive university presidents in preparation for their future fundraising duties and responsibilities. This is confirmed by 55.56% of the survey respondents, who stated that more fundraising training prior to a presidency is important or very important.

The development of a more formal mentoring program by universities and higher education interest groups would be beneficial to those seeking a public comprehensive university presidency. This is confirmed by 53.97% of the survey respondents, who stated that mentoring with another president would have been important or very important in preparation for their duties and responsibilities prior to a university presidency.

**Secondary Research Question Six: What type of preparation and training during a university presidency would have been helpful in carrying out fundraising**

**duties?** In regard to secondary research question six of this exploratory study, 55.91% of the survey respondents noted that mentoring with another president during a university presidency was important or very important, and 51.93% said that it was important or very important to have specific course(s) or training during a university presidency in preparation for their fundraising duties and responsibilities.

Based on this research, university boards should encourage mentoring relationships, and higher education interest groups need to develop formal mentoring relationship programs for new public comprehensive university presidents. This was acknowledged by 55.91% of the survey respondents who stated that mentoring with another president during a university presidency was important or very important.

The establishment of new and additional training and professional development for university presidents is important. Again, 51.93% of the survey respondents stressed that it was important or very important to have specific course(s) or training during a university presidency in preparation for their fundraising duties and responsibilities.

### **Future Training and Professional Development**

This area of the study was very important because it examined future training and professional development desired by the survey respondents. First, 64.80% of the survey respondents stated they would attend a fundraising training program specifically designed for public university presidents. This indicated a strong desire to gain more training in university fundraising/development. However, when asked the follow-up question in regard to attending with only public university presidents or all college and university presidents, the survey respondents were evenly split at 50% each in regard to their desire to attend fundraising training courses with only public university presidents.

When asked the specific questions of what areas of university fundraising in which they would like more training or professional development, the survey responses for the categories of interested and very interested for specific training areas ranged from 23.53% to 63.87%. The number one area for desired training and professional development, ranked very interested or interested, was major gifts fundraising at 63.87%. Other key component areas of fundraising that the survey respondents ranked very highly (very interested or interested responses were near or above 50%) were planning and managing a major campaign at 47.90%, making the formal ask at 57.50%, athletic giving at 45.45%, and social media in fundraising at 51.66%.

In regard to the survey respondents' desires for future training and professional development, 59.58% of the survey respondents stated that they would prefer a specific topical course in a selected area in order to enhance their skills in university fundraising. Only 19.35% of the survey respondents stated they would prefer a general overview course, and 20.97% of the survey respondents had no desire to attend any course.

Based on the results of this exploratory study, an increased focus needs to be placed on the development and promotion of new and additional fundraising courses, training, and professional development programs. These courses should be created by higher education interest groups in order to better train and prepare future public university presidents for their future and existing duties and responsibilities in the area of institutional fundraising.

### **Delimitations**

The focus of this exploratory study was specifically on the president's role in fundraising at America's 272 public comprehensive universities. Most of these

institutions are dealing with very similar circumstances, which are reported throughout this study, including the precipitous decline in appropriated funding by the states. Thus, these institutions had similar responses in how they are dealing with this crisis of public funding and their quest for increased private support from alumni, friends, corporations, and foundations.

In addition, these institutions are faced with ever-growing tuition increases to students and families to fill the gap of declining public funds from the states. Therefore, the public comprehensive university presidents who were surveyed and interviewed for this exploratory study had similar strategies, responses, and policies in dealing with these matters. Further, this exploratory study focused solely on 272 public comprehensive universities, which are very different from land grant, public research, or flagship universities. These institutions are unique in comparison to their private university counterparts and are vastly different from for-profit and international universities in regard to fundraising, private support, and public funding.

### **Limitations**

This study had certain limitations in regard to the research and corresponding results. First, because this exploratory study was focused on the 272 public comprehensive universities in America (all institutions in this category: small, medium, and large), as determined by the Carnegie Classifications of Institutions of Higher Education as developed by the Carnegie Foundation (Carnegie, 2011), these results cannot be generalized to other public or private universities. Second, since this study focused on presidents at these 272 public comprehensive universities and their unique experiences, training, backgrounds, specific involvement in the fundraising process, and a

stated interest for additional training and professional development, the results cannot be generalized to other college and university presidents at other types of universities, public or private.

### **Recommendations for Further Research**

Several areas discovered by this exploratory study need additional empirical research in order to further examine the president's role in fundraising at American public comprehensive universities. Following are three questions that will further explore this area and complement this study:

1. Is there a statistical correlation between one or more of the following three components and a president's success (or not) in fundraising at public comprehensive universities?
  - a. Having held a previous fundraising position at a university?
  - b. Having had a course(s), training, or professional development in fundraising?
  - c. Mentoring with another president as one assumed a new public comprehensive university presidency?
2. Is there a correlation between a president's ranking of fundraising duties and responsibilities at a public comprehensive university and a president's success in this area (i.e., is there a difference in the fundraising success of a president who ranks fundraising duties and responsibilities at the mean or below [ranking of 1-3, mean is 3]) and one who ranks these duties above the mean?

3. Is there a correlation between the number of days a public comprehensive university president spends with fundraising duties and responsibilities each month and fundraising success?

### **Additional Recommendations**

A number of items discovered by this exploratory study have an immediate practical application in order to assist existing and future presidents in the field of fundraising at public comprehensive universities. Following are four recommendations:

1. Fundraising Training and Professional Development Opportunities for Future Public Comprehensive University Presidents

The mean age of a public comprehensive university president is 62.42 years. During the next 5 to 10 years, a considerable amount of turnover will occur in public comprehensive university presidencies. Therefore, an opportunity exists to develop and provide specific training programs and professional development opportunities by higher education interest groups for prospective presidents.

These possible new professional development and training opportunities should include specific preparation on the president's role and responsibilities in fundraising. As this study found, 85.94% of the survey respondents had no previous experience in university fundraising. Additionally, 55.56% of the survey respondents (ranked *important* or *very important*) stated that a specific course(s) or training in university fundraising would be the most important preparation or training for fundraising duties and responsibility prior to a university presidency.

## 2. Fundraising Training and Professional Development Opportunities for Existing Public Comprehensive University Presidents

First, this researcher understands that some professional development opportunities for future and existing public universities presidents exist today. However, as presented in this research, 39.53% of the survey respondents have not had a course, training, or professional development in fundraising. Also, 37.80% of the survey respondents were not familiar with any fundraising training programs for presidents, 55.56% of the survey respondents stated that specific courses or training in university fundraising would have been the most important preparation for their fundraising duties and responsibilities as a public comprehensive university president, and 64.80% of the survey respondents stated that they would attend a fundraising training program specifically designed for public comprehensive university presidents. Therefore, an opportunity exists for higher education interest groups to develop training programs and other professional development offerings in regard to fundraising for public comprehensive university presidents.

## 3. A Mentoring Network for Existing and Future Public Comprehensive University Presidents

Interestingly, this study discovered that 55.91% of the survey respondents stated that mentoring with another university president would have been important or very important during a university presidency in order to carry out their fundraising duties during a public comprehensive presidency. Additionally, 53.97% of the survey respondents stated that mentoring with another president

would have been important or very important before assuming a university presidency. In addition, Whittier's (2006) study noted that potential presidential candidates need to have role models and mentors who are currently serving as university presidents. Whittier (2006) continued, "These men and women are the best resources of information on how to get there, what to expect, and how to avoid pitfalls along the way" (p. 3).

Therefore, an opportunity exists for higher education interest groups to develop a formal mentoring program for new public comprehensive university presidents with other retired or seasoned university presidents.

#### 4. Training and Professional Development for Governing Boards

There appears to be a training and professional development opportunity by higher education interest groups for governing boards in regard to understanding and addressing future fundraising duties and responsibilities as they interview and hire new presidents. This study found that when the survey respondents were asked about their own hiring process for a public comprehensive university presidency and whether the governing board discussed the importance of fundraising, 71.32% of the survey respondents stated that the governing board discussed the importance of fundraising, but 84.38% of the survey respondents said no specific goals were discussed. Interestingly, 62.40% of the survey respondents stated that their fundraising background or experience, if any, was not a factor in their hiring.



## **Conclusion**

As previously stated in this exploratory study, the funding model for public comprehensive universities has been altered immensely during the past 30 years by a precipitous decline in state appropriations that has caused the president's role in fundraising to change in order to fill these funding gaps (Kaufman, 2004; Ehrenberg, 2006b; Pattison & Eckl, 2010). Also, Latta (2010) described the current funding environment as a "perfect storm," as the need for an educated workforce is increasing in order to be competitive in the new global marketplace, the cost of attending a university is growing, and state funding declines are expected to continue (p. 2). In short, public universities are faced with a new funding dilemma and the presence of a "new normal" in appropriated support from the states (Pattison & Eckl, 2010, p. 8). These cutbacks in state appropriations have been the most significant driver of the change in the role of the university president, as cited by 71% of long-serving presidents (serving 10 years or more) in the recent American Council on Education (2007) study.

This exploratory study was an examination of the president's role in fundraising at America's public comprehensive universities. The study is timely since most public university presidents do not come from a fundraising background, and many have little to no training in this area even with newly expanded responsibilities and expectations (Hartley & Godin, 2009; Nesbit et al., 2006).

Additionally, this study answered important questions related to public comprehensive university presidents and their background, preparation, training, and involvement in fundraising. Also, this exploratory study examined the need and desire for additional training and professional development for existing public comprehensive

university presidents and the need to better prepare and train a new generation of presidents for their future fundraising roles and responsibilities.

Importantly, the thesis statement and related research questions for this exploratory study caused the researcher to closely examine the topic of the president's role and responsibilities in fundraising at public comprehensive universities. Also, this study confirmed that fundraising was one of the three major responsibilities of public comprehensive university presidents. Specifically, 74.58% of all survey respondents for this study stated that their fundraising duties and responsibilities were among their top three duties. Also, 37.29% of the survey respondents said that fundraising duties were their number one or two responsibilities. The mean response to survey question 13, which explored this thesis statement, ranked fundraising duties and responsibilities with a mean of 3.09 and a median of 3.

As the research questions for this exploratory study were examined, several recommendations have been advanced in this chapter in order to better prepare and train existing public comprehensive university presidents for their role in fundraising. In addition, this study has developed recommendations for future training and professional development needs for administrators desiring to become a public comprehensive university president, as well as recommendations for governing boards related to the hiring of future presidents.

Finally, several recommendations have been addressed in this chapter for future empirical research in regard to the president's role in fundraising at America's public comprehensive universities. This exploratory study has provided a base of knowledge and a platform for new research that will enable future researchers to examine this topic

more closely and produce additional results that will benefit new and existing public comprehensive university presidents in performing their duties and responsibilities in fundraising.

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## APPENDIX A: AMERICAN PUBLIC COMPREHENSIVE UNIVERSITIES

Public Comprehensive University	City	State
1. Adams State College	Alamosa	CO
2. Alabama A & M University	Normal	AL
3. Alabama State University	Montgomery	AL
4. Albany State University	Albany	GA
5. Alcorn State University	Alcorn State	MS
6. Angelo State University	San Angelo	TX
7. Appalachian State University	Boone	NC
8. Arkansas State University-Main Campus	Jonesboro	AR
9. Arkansas Tech University	Russellville	AR
10. Armstrong Atlantic State University	Savannah	GA
11. Auburn University at Montgomery	Montgomery	AL
12. Augusta State University	Augusta	GA
13. Austin Peay State University	Clarksville	TN
14. Bemidji State University	Bemidji	MN
15. Black Hills State University	Spearfish	SD
16. Bloomsburg University of Pennsylvania	Bloomsburg	PA
17. Boise State University	Boise	ID
18. Bridgewater State University	Bridgewater	MA
19. California Polytechnic State University-San Luis Obispo	San Luis Obispo	CA
20. California State Polytechnic University-Pomona	Pomona	CA
21. California State University-Bakersfield	Bakersfield	CA
22. California State University-Channel Islands	Camarillo	CA
23. California State University-Chico	Chico	CA
24. California State University-Dominguez Hills	Carson	CA
25. California State University-East Bay	Hayward	CA
26. California State University-Fresno	Fresno	CA
27. California State University-Fullerton	Fullerton	CA
28. California State University-Long Beach	Long Beach	CA
29. California State University-Los Angeles	Los Angeles	CA
30. California State University-Monterey Bay	Seaside	CA
31. California State University-Northridge	Northridge	CA
32. California State University-Sacramento	Sacramento	CA
33. California State University-San Bernardino	San Bernardino	CA
34. California State University-San Marcos	San Marcos	CA
35. California State University-Stanislaus	Turlock	CA
36. California University of Pennsylvania	California	PA
37. Cameron University	Lawton	OK
38. Central Connecticut State University	New Britain	CT
39. Central Washington University	Ellensburg	WA
40. Cheyney University of Pennsylvania	Cheyney	PA
41. Chicago State University	Chicago	IL
42. Christopher Newport University	Newport News	VA
43. Citadel Military College of South Carolina	Charleston	SC
44. Clarion University of Pennsylvania	Clarion	PA
45. Coastal Carolina University	Conway	SC
46. College of Charleston	Charleston	SC
47. Colorado State University-Pueblo	Pueblo	CO
48. Columbus State University	Columbus	GA
49. Coppin State University	Baltimore	MD
50. CUNY Bernard M Baruch College	New York	NY
51. CUNY Brooklyn College	Brooklyn	NY

52. CUNY City College	New York	NY
53. CUNY College of Staten Island	Staten Island	NY
54. CUNY Hunter College	New York	NY
55. CUNY John Jay College Criminal Justice	New York	NY
56. CUNY Lehman College	Bronx	NY
57. CUNY Queens College	Flushing	NY
58. Dakota State University	Madison	SD
59. Delaware State University	Dover	DE
60. Delta State University	Cleveland	MS
61. East Central University	Ada	OK
62. East Stroudsburg University of Pennsylvania	East Stroudsburg	PA
63. Eastern Connecticut State University	Willimantic	CT
64. Eastern Illinois University	Charleston	IL
65. Eastern Kentucky University	Richmond	KY
66. Eastern Michigan University	Ypsilanti	MI
67. Eastern New Mexico University-Main Campus	Portales	NM
68. Eastern Oregon University	La Grande	OR
69. Eastern Washington University	Cheney	WA
70. Edinboro University of Pennsylvania	Edinboro	PA
71. Emporia State University	Emporia	KS
72. Fairmont State University	Fairmont	WV
73. Fashion Institute of Technology	New York	NY
74. Fayetteville State University	Fayetteville	NC
75. Ferris State University	Big Rapids	MI
76. Fitchburg State University	Fitchburg	MA
77. Florida Gulf Coast University	Fort Myers	FL
78. Fort Hays State University	Hays	KS
79. Framingham State University	Framingham	MA
80. Francis Marion University	Florence	SC
81. Frostburg State University	Frostburg	MD
82. Georgia College & State University	Milledgeville	GA
83. Georgia Southwestern State University	Americus	GA
84. Governors State University	University Park	IL
85. Grambling State University	Grambling	LA
86. Grand Valley State University	Allendale	MI
87. Henderson State University	Arkadelphia	AR
88. Humboldt State University	Arcata	CA
89. Indiana University-Northwest	Gary	IN
90. Indiana University-Purdue University-Fort Wayne	Fort Wayne	IN
91. Indiana University-South Bend	South Bend	IN
92. Indiana University-Southeast	New Albany	IN
93. Jacksonville State University	Jacksonville	AL
94. James Madison University	Harrisonburg	VA
95. Johnson State College	Johnson	VT
96. Kean University	Union	NJ
97. Keene State College	Keene	NH
98. Kennesaw State University	Kennesaw	GA
99. Kutztown University of Pennsylvania	Kutztown	PA
100. Langston University	Langston	OK
101. Lincoln University	Jefferson City	MO
102. Lincoln University of Pennsylvania	Lincoln University	PA
103. Lock Haven University	Lock Haven	PA
104. Longwood University	Farmville	VA
105. Louisiana State University-Shreveport	Shreveport	LA
106. Mansfield University of Pennsylvania	Mansfield	PA
107. Marshall University	Huntington	WV

108. McNeese State University	Lake Charles	LA
109. Metropolitan State University	Saint Paul	MN
110. Midwestern State University	Wichita Falls	TX
111. Millersville University of Pennsylvania	Millersville	PA
112. Minnesota State University-Mankato	Mankato	MN
113. Minnesota State University-Moorhead	Moorhead	MN
114. Minot State University	Minot	ND
115. Mississippi University for Women	Columbus	MS
116. Mississippi Valley State University	Itta Bena	MS
117. Missouri State University	Springfield	MO
118. Montana State University-Billings	Billings	MT
119. Montclair State University	Montclair	NJ
120. Morehead State University	Morehead	KY
121. Murray State University	Murray	KY
122. Naval Postgraduate School	Monterey	CA
123. New Jersey City University	Jersey City	NJ
124. New Mexico Highlands University	Las Vegas	NM
125. New Mexico Institute of Mining and Technology	Socorro	NM
126. Nicholls State University	Thibodaux	LA
127. Norfolk State University	Norfolk	VA
128. North Carolina Central University	Durham	NC
129. North Georgia College & State University	Dahlonega	GA
130. Northeastern Illinois University	Chicago	IL
131. Northeastern State University	Tahlequah	OK
132. Northern Kentucky University	Highland Heights	KY
133. Northern Michigan University	Marquette	MI
134. Northwest Missouri State University	Maryville	MO
135. Northwestern Oklahoma State University	Alva	OK
136. Northwestern State University of Louisiana	Natchitoches	LA
137. Pennsylvania State University - Penn-State Erie-Behrend College	Erie	PA
138. Pennsylvania State University - Penn-State Great Valley	Malvern	PA
139. Pennsylvania State University - Penn-State Harrisburg	Middletown	PA
140. Peru State College	Peru	NE
141. Pittsburg State University	Pittsburg	KS
142. Plymouth State University	Plymouth	NH
143. Prairie View A & M University	Prairie View	TX
144. Purdue University-Calumet Campus	Hammond	IN
145. Radford University	Radford	VA
146. Ramapo College of New Jersey	Mahwah	NJ
147. Rhode Island College	Providence	RI
148. Rowan University	Glassboro	NJ
149. Rutgers University-Camden	Camden	NJ
150. Saginaw Valley State University	University Center	MI
151. Saint Cloud State University	Saint Cloud	MN
152. Salem State University	Salem	MA
153. Salisbury University	Salisbury	MD
154. San Francisco State University	San Francisco	CA
155. San Jose State University	San Jose	CA
156. Shepherd University	Shepherdstown	WV
157. Shippensburg University of Pennsylvania	Shippensburg	PA
158. Slippery Rock University of Pennsylvania	Slippery Rock	PA
159. Sonoma State University	Rohnert Park	CA
160. Southeast Missouri State University	Cape Girardeau	MO
161. Southeastern Louisiana University	Hammond	LA
162. Southeastern Oklahoma State University	Durant	OK
163. Southern Arkansas University Main Campus	Magnolia	AR

164. Southern Connecticut State University	New Haven	CT
165. Southern Illinois University Edwardsville	Edwardsville	IL
166. Southern Oregon University	Ashland	OR
167. Southern Polytechnic State University	Marietta	GA
168. Southern University and A & M College	Baton Rouge	LA
169. Southern University at New Orleans	New Orleans	LA
170. Southern Utah University	Cedar City	UT
171. Southwest Minnesota State University	Marshall	MN
172. Southwestern Oklahoma State University	Weatherford	OK
173. Stephen F Austin State University	Nacogdoches	TX
174. Sul Ross State University	Alpine	TX
175. SUNY at Fredonia	Fredonia	NY
176. SUNY at Geneseo	Geneseo	NY
177. SUNY College at Brockport	Brockport	NY
178. SUNY College at Buffalo	Buffalo	NY
179. SUNY College at Cortland	Cortland	NY
180. SUNY College at New Paltz	New Paltz	NY
181. SUNY College at Oneonta	Oneonta	NY
182. SUNY College at Oswego	Oswego	NY
183. SUNY College at Plattsburgh	Plattsburgh	NY
184. SUNY College at Potsdam	Potsdam	NY
185. SUNY Empire State College	Saratoga Springs	NY
186. SUNY Institute of Technology at Utica-Rome	Utica	NY
187. Tarleton State University	Stephenville	TX
188. Tennessee Technological University	Cookeville	TN
189. Texas A & M International University	Laredo	TX
190. Texas A & M University-Texarkana	Texarkana	TX
191. Texas State University-San Marcos	San Marcos	TX
192. The College of New Jersey	Ewing	NJ
193. The Evergreen State College	Olympia	WA
194. The Richard Stockton College of New Jersey	Pomona	NJ
195. The University of Tennessee at Chattanooga	Chattanooga	TN
196. The University of Tennessee-Martin	Martin	TN
197. The University of Texas at Brownsville	Brownsville	TX
198. The University of Texas at Tyler	Tyler	TX
199. The University of Texas of the Permian Basin	Odessa	TX
200. The University of Texas-Pan American	Edinburg	TX
201. Thomas Edison State College	Trenton	NJ
202. Towson University	Towson	MD
203. Troy University	Troy	AL
204. Truman State University	Kirksville	MO
205. University of Alaska Anchorage	Anchorage	AK
206. University of Alaska Southeast	Juneau	AK
207. University of Arkansas at Monticello	Monticello	AR
208. University of Baltimore	Baltimore	MD
209. University of Central Arkansas	Conway	AR
210. University of Central Missouri	Warrensburg	MO
211. University of Central Oklahoma	Edmond	OK
212. University of Colorado at Colorado Springs	Colorado Springs	CO
213. University of Guam	Mangilao	GU
214. University of Houston-Clear Lake	Houston	TX
215. University of Houston-Victoria	Victoria	TX
216. University of Illinois at Springfield	Springfield	IL
217. University of Louisiana Monroe	Monroe	LA
218. University of Mary Washington	Fredericksburg	VA
219. University of Maryland Eastern Shore	Princess Anne	MD

220. University of Maryland-University College	Adelphi	MD
221. University of Massachusetts-Dartmouth	North Dartmouth	MA
222. University of Michigan-Dearborn	Dearborn	MI
223. University of Michigan-Flint	Flint	MI
224. University of Minnesota-Duluth	Duluth	MN
225. University of Montevallo	Montevallo	AL
226. University of Nebraska at Kearney	Kearney	NE
227. University of North Alabama	Florence	AL
228. University of North Carolina at Pembroke	Pembroke	NC
229. University of North Carolina at Wilmington	Wilmington	NC
230. University of North Florida	Jacksonville	FL
231. University of Northern Iowa	Cedar Falls	IA
232. University of South Florida Sarasota-Manatee	Sarasota	FL
233. University of South Florida-Polytechnic	Lakeland	FL
234. University of South Florida-St. Petersburg	St. Petersburg	FL
235. University of Southern Indiana	Evansville	IN
236. University of Southern Maine	Portland	ME
237. University of the District of Columbia	Washington	DC
238. University of Washington-Bothell Campus	Bothell	WA
239. University of Washington-Tacoma Campus	Tacoma	WA
240. University of West Alabama	Livingston	AL
241. University of West Georgia	Carrollton	GA
242. University of Wisconsin-Eau Claire	Eau Claire	WI
243. University of Wisconsin-Green Bay	Green Bay	WI
244. University of Wisconsin-La Crosse	La Crosse	WI
245. University of Wisconsin-Oshkosh	Oshkosh	WI
246. University of Wisconsin-Platteville	Platteville	WI
247. University of Wisconsin-River Falls	River Falls	WI
248. University of Wisconsin-Stevens Point	Stevens Point	WI
249. University of Wisconsin-Stout	Menomonie	WI
250. University of Wisconsin-Superior	Superior	WI
251. University of Wisconsin-Whitewater	Whitewater	WI
252. Valdosta State University	Valdosta	GA
253. Virginia State University	Petersburg	VA
254. Washburn University	Topeka	KS
255. Wayne State College	Wayne	NE
256. Weber State University	Ogden	UT
257. West Chester University of Pennsylvania	West Chester	PA
258. West Texas A & M University	Canyon	TX
259. Western Carolina University	Cullowhee	NC
260. Western Connecticut State University	Danbury	CT
261. Western Illinois University	Macomb	IL
262. Western Kentucky University	Bowling Green	KY
263. Western New Mexico University	Silver City	NM
264. Western Oregon University	Monmouth	OR
265. Western Washington University	Bellingham	WA
266. Westfield State University	Westfield	MA
267. William Paterson University of New Jersey	Wayne	NJ
268. Winona State University	Winona	MN
269. Winston-Salem State University	Winston-Salem	NC
270. Winthrop University	Rock Hill	SC
271. Worcester State University	Worcester	MA
272. Youngstown State University	Youngstown	OH



## APPENDIX B: CONFIDENTIAL SURVEY INSTRUMENT

### Public Comprehensive University Presidents and Fundraising

#### 1. Confidential Survey

*Thank you for participating in this confidential survey as part of a research project conducted through Western Kentucky University concerning public comprehensive university presidents and their role in fundraising at their institutions.*

*All responses are confidential and overall results will be used in a doctoral research project and related dissertation.*

*By completing and returning this survey, you have granted the right to use this information for this research project as indicated.*

*The average time to complete this survey is approximately 10 minutes.*

*Again, thank you.*

#### 2. Profile, Background & Experience

1. Date: \_\_\_\_\_
2. Your Birth Year: \_\_\_\_\_
3. Gender:     Male     Female
4. What is your highest earned academic degree?  
\_\_\_\_\_
5. Is this an interim or temporary appointment?     Yes     No
6. How long have you held your current presidency? (years and months, i.e. 4 years and 7 months)  
\_\_\_\_\_
7. How many university presidencies have you held prior to this position? \_\_\_\_\_
8. What was your immediate previous position before this presidency? (Select one)
  - President of another college or university
  - Vice President of Academic Affairs, Provost or similar title
  - Vice President of Administrative Services (CFO) or similar title
  - Vice President of Student Affairs or similar title
  - Vice President of Development, Chief Development Officer or similar title
  - Other Vice President
  - Associate/Assistant Vice President
  - Dean of an academic college/school
  - Other

## Public Comprehensive University Presidents and Fundraising

9. In your career, prior to your presidency, have you ever held a professional position in university fundraising or development?  Yes  No
10. What previous development or fundraising position(s), if any, have you held at a university? (Check all that apply).
- I have held no college or university development or fundraising positions
  - Vice President of Development or similar title
  - Chief Development Officer
  - Associate Vice President of Development or similar title
  - Director of Development of an academic unit
  - Director of Annual Fund or similar title
  - Director of Athletic Fundraising
  - Director of Planned Giving or similar title
  - Manager of Phon-a-thon or similar title
  - Other development position
11. In your career, prior to your presidency, have you ever held a professional position in fundraising outside of academia?  Yes  No
12. Do you hold a Certified Fund Raising Executive (CFRE) designation or a Certificate in Fund Raising Management?  Yes  No

### 3. Responsibilities & Duties in Fundraising

13. In regard to all of your duties and responsibilities as president (budget, academic/faculty, student affairs, strategic planning, athletics, policy/governmental, community relations, personnel, governing board matters, capital improvement projects, enrollment management, alumni, media/public relations, among all others) how do you rank your fundraising duties? (Rank 1 being your top priority, 2 being next important, etc.)  
\_\_\_\_\_
14. In a typical month, how many days do you spend with your fundraising responsibilities and duties? \_\_\_\_\_
15. About how many days are spent away from campus each month in traveling and conducting fundraising duties? \_\_\_\_\_
16. How often do you meet or talk with your chief development officer?
- Daily
  - 2-3 times per week
  - Once per week
  - 2-3 times per month
  - Occasionally as needed
  - Rarely, if ever

## Public Comprehensive University Presidents and Fundraising

17. To what extent are you involved in making fundraising "asks" (actual requests for a gift) with your donors? (Select one).

- Never involved
- Somewhat involved
- Involved
- Very involved

18. To what extent are you involved in each of the following? (If not applicable, check N/A).

	Never Involved	Somewhat Involved	Involved	Very Involved	N/A
Closing major gifts after the donor is properly cultivated	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Campaign and fundraising planning	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Visiting with major donors in order to make the "ask".	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Facilitation of the entire development process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cultivation and meetings with new donors and prospects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Visiting and stewardship (thank you process) of existing donors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Working with major donors and prospects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Attending or hosting special events (receptions, dinners, ball games etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Visiting new prospects for cultivation purposes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Working with estate and planned gifts (and with advisors to families)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Athletic fundraising activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Developing naming opportunities for donors and prospects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Developing specific proposals for donors and prospects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

19. How many days each month do you spend hosting major donors and prospects at university events such as dinners, ballgames, concerts, receptions and other social and special events? \_\_\_\_\_

## Public Comprehensive University Presidents and Fundraising

### 4. Capital / Comprehensive Campaign Information

20. Is your university currently involved (including quiet phase) or have you just completed within the past 12 months a major fundraising campaign?  Yes  No
21. Do you anticipate beginning the process of a major fundraising campaign during the next 12 months?  Yes  No
22. Are you involved in the fundraising planning (i.e. a readiness study) for a new campaign?  
 Yes  No
23. Are you using or do you plan to use a professional fundraising consultant in your campaign?  Yes  No

### 5. Governing Board

24. When you were hired for this presidency, did the governing board of your university discuss the importance of fundraising?  Yes  No
25. Was the possibility of a major fundraising campaign discussed with you by the governing board prior to your hiring?  Yes  No
26. When you were hired for this presidency, was your background/experience in fundraising a major factor in the decision to hire you?  Yes  No
27. Did your governing board discuss specific institutional fundraising goals before you were hired?  
 Yes  No

### 6. Training & Professional Development

28. Have you ever had course(s), training, or professional development focused on university fundraising?  Yes  No
29. Was this course or training during your current presidency?  Yes  No
30. Was this course or training in preparation for the duties and responsibilities of your new university presidency?  Yes  No
31. Who sponsored the course(s)? (Check all that apply)
- American Association of State Colleges and Universities (AASCU)
  - American Council on Education (ACE)
  - Indiana University - The Fund Raising School (IUPUI Campus)
  - Council for Advancement and Support of Education (CASE)
  - Association of Fundraising Professionals (AFP)
  - Other
32. Are you familiar with any training programs in university fundraising/development specifically for university presidents?  Yes  No

## Public Comprehensive University Presidents and Fundraising

33. Would you attend a fundraising training program specifically designed for public university presidents?  Yes  No

34. What areas of fundraising would you like more training or professional development? (Please rate each, if None desired list None)

	None	Somewhat Interested	Interested	Very Interested
Planning and managing a major campaign	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Major gifts fundraising	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Prospect management and research	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Stewardship activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Estate and gift planning	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Making the formal ask	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Annual fund, direct mail and phon-a-thon activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Athletic giving	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Prospect management and development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Basic principles and techniques of fundraising	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Social media in fundraising	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Corporate and foundation fundraising	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

35. If you could attend a fundraising course to enhance your skills, would you prefer to attend with only public university presidents?  Yes  No

36. If you could attend a fundraising course to enhance your skills, would you prefer a general overview course that included many basics or a specific topical course? (Select one)

- No desire to attend
- General overview course - the basics
- Specific topical course in a selected area

37. What type of preparation and training prior to a university presidency would have been helpful in carrying out your fundraising duties? (Please mark the response that best describes your position)

	Not important	Somewhat important	Important	Very important
Specific course(s) or training in university fundraising	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Having held a former position in university development/fundraising	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Mentoring with another president	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Public Comprehensive University Presidents and Fundraising

38. What type of preparation and training during a university presidency would have been helpful in carrying out fundraising duties? (Please mark the response that best describes your position)

	Not Important	Somewhat Important	Important	Very Important
Specific course(s) or training in university fundraising	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Having held a former position in university development/fundraising	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Mentoring with another president	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

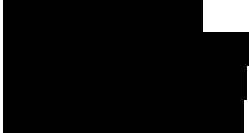
### 7. Final Comments & Thank You

39. Is there any additional information that you would like to add that may be helpful to existing or future public comprehensive university presidents as they carry out their fundraising duties? PLEASE LIST ANY ADDITIONAL COMMENTS:

**APPENDIX C: COVER LETTER TO SURVEY POPULATION**

Robert L Jackson  
1108 County Cork Drive  
Murray, Kentucky 42071  
270.809.3033 - office  
270.556.9517 - cell

July 15, 2011



Dear [REDACTED],

I am engaged in a doctoral research project involving a selected number of university presidents relating to public comprehensive universities and fundraising. Please find enclosed a confidential survey as part of this research project conducted through Western Kentucky University.

All responses are confidential and overall results will be used in a doctoral research project and related dissertation, which is titled, *The American Public Comprehensive University: An Exploratory Study of the President's Role in Fundraising*. Also, enclosed is the *Implied Consent Document* for your review.

Please complete the enclosed survey at your convenience and return to me in the enclosed self-addressed and stamped envelope. It will only take 10-12 minutes to complete this survey and your participation will be a tremendous help in this research project. A reply by August 5, 2011 would be greatly appreciated.

If you have questions in regard to this research or survey instrument, please call me at 270.809.3033 (office) or 270.556.9517 (cell).

Thank you for your assistance and participation in this project. I will be happy to share the results of this research in a few months. Again, I sincerely appreciate your help and support.

Sincerely,

Robert L Jackson

## APPENDIX D: INSTITUTIONAL REVIEW BOARD (IRB) APPROVED FORMS



A LEADING AMERICAN UNIVERSITY WITH INTERNATIONAL REACH  
HUMAN SUBJECTS REVIEW BOARD

In future correspondence, please refer to HS11-304, June 15, 2011

Robert L. Jackson  
c/o Dr. Randy Caps  
Educational Leadership  
WKU

Robert L. Jackson  
& Dr. Randy Caps:

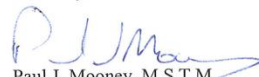
Your research project, *The American Public Comprehensive University: An Exploratory Study of the President's Role in Fundraising*, was reviewed by the IRB and it has been determined that risks to subjects are: (1) minimized and reasonable; and that (2) research procedures are consistent with a sound research design and do not expose the subjects to unnecessary risk. Reviewers determined that: (1) benefits to subjects are considered along with the importance of the topic and that outcomes are reasonable; (2) selection of subjects is equitable; and (3) the purposes of the research and the research setting is amenable to subjects' welfare and producing desired outcomes; that indications of coercion or prejudice are absent, and that participation is clearly voluntary.

1. In addition, the IRB found that you need to orient participants as follows: (1) signed informed consent is required; (2) Provision is made for collecting, using and storing data in a manner that protects the safety and privacy of the subjects and the confidentiality of the data. (3) Appropriate safeguards are included to protect the rights and welfare of the subjects.

**This project is therefore approved at the Expedited Review Level until May 1, 2012.**

2. Please note that the institution is not responsible for any actions regarding this protocol before approval. If you expand the project at a later date to use other instruments please re-apply. Copies of your request for human subjects review, your application, and this approval, are maintained in the Office of Sponsored Programs at the above address. Please report any changes to this approved protocol to this office. A Continuing Review protocol will be sent to you in the future to determine the status of the project. Also, please use the stamped approval forms to assure participants of compliance with The Office of Human Research Protections regulations.

Sincerely,

  
Paul J. Mooney, M.S.T.M.  
Compliance Manager  
Office of Research  
Western Kentucky University



IRB APPLICATION # 11-304  
APPROVED 6/15/11 to 5/1/12  
EXEMPT EXPEDITED FULLBOARD  
DATE APPROVED 6/15/11

cc: HS file number Jackson HS11-304

*The Spirit Makes the Master*

Office of Sponsored Programs | Western Kentucky University | 1906 College Heights Blvd. #11026 | Bowling Green, KY 42101-1026  
phone: 270.745.4652 | fax: 270.745.4211 | email: paul.mooney@wku.edu | web: <http://www.wku.edu/Dept/Support/SponsPrg/grants/index.php?page=research-compliance>  
Equal Education and Employment Opportunities • Printing paid from state funds, KRS 57.375 • Hearing Impaired Only: 270.745.5389



INFORMED CONSENT DOCUMENT



**Project Title:** The American Public Comprehensive University: An Exploratory Study of the President's Role in Fundraising

**Investigator:** Robert L (Bob) Jackson, Doctoral Candidate  
robert.jackson143@wku.edu  
270-556-9517

**Department of Educational Leadership, Western Kentucky University:**  
Dr. Randy Capps, Committee Chair  
randy.capps@wku.edu  
270-846-1922

You are being asked to participate in a research project conducted through Western Kentucky University. This confidential survey is part of a research project concerning public comprehensive university presidents and their role in fundraising at their institutions.

All responses are confidential and overall results will be used in a doctoral research project and related dissertation.

The University requires that you give your signed agreement to participate in this project.

The investigator will explain to you in detail the purpose of the project, the procedures to be used, and the potential benefits and possible risks of participation. You may ask him/her any questions you have to help you understand the project. A basic explanation of the project is written below. Please read this explanation and discuss with the researcher any questions you may have.

If you then decide to participate in the project, please sign on the last page of this form in the presence of the person who explained the project to you. You should be given a copy of this form to keep.

1. **Nature and Purpose of the Project:** This research project and related dissertation is titled: **The American Public Comprehensive University: An Exploratory Study of the President's Role in Fundraising**

This research is part of a comprehensive study utilizing a mixed methods research approach that will quantitatively examine public comprehensive university presidents and their role in fundraising at their respective universities. These public comprehensive university presidents will be surveyed during the fall of 2011.

In addition, a qualitative component of this research will utilize phone and face-to-face interviews of selected public comprehensive university presidents.

With this informed consent document you are being asked to participate in a phone or face-to-face interview.

2. **Explanation of Procedures:**

- a. A 30-45 phone or face-to-face interview utilizing a list of standard interview questions concerning the president's role in fundraising at public comprehensive universities.
- b. In addition, these phone or face-to-face interviews will be audio taped in order to provide an accurate account and a correct transcription of the information provided for this research project.

IRB APPLICATION # 11-307  
APPROVED 6/15/11 to 5/1/12  
EXEMPT EXPEDITED FULLBOARD  
DATE APPROVED 6/15/11

3. **Benefits:**

This research study will examine the backgrounds, experience and training of public comprehensive university presidents in the area of institutional fundraising and result in recommendations concerning new and additional fundraising training programs for these individuals.

4. **Anticipated Risks:**

While there are no anticipated risks in conducting this research, you understand that it is not possible to identify all potential risks in a research project of this nature, and reasonable safeguards have been taken to minimize both the known and potential (but unknown) risks.

5. **Confidentiality:**

All responses are confidential and overall results will be used in a research project and related doctoral dissertation.

6. **Refusal/Withdrawal:**

Refusal to participate in this study will have no effect on any future services you may be entitled to from the University. Anyone who agrees to participate in this study is free to withdraw from the study at any time with no penalty.

*In addition, with this consent to interview, you are granting specific approval for the researcher to audio tape the interview for research purposes.*

\_\_\_\_\_  
Signature of Participant for audio recording

\_\_\_\_\_  
Date

*General Consent*

\_\_\_\_\_  
Signature of Participant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Investigator

\_\_\_\_\_  
Date

THE DATED APPROVAL ON THIS CONSENT FORM INDICATES THAT  
THIS PROJECT HAS BEEN REVIEWED AND APPROVED BY  
THE WESTERN KENTUCKY UNIVERSITY INSTITUTIONAL REVIEW BOARD



Paul Mooney, Human Protections Administrator  
Western Kentucky University  
TELEPHONE: (270) 745-4652

IRB APPLICATION # 11-30Y  
APPROVED 6/25/11 to 5/1/12  
EXEMPT EXPEDITED FULLBOARD  
DATE APPROVED 6/27/11



## IMPLIED CONSENT DOCUMENT

**Project Title:** The American Public Comprehensive University: An Exploratory Study of the President's Role in Fundraising

**Investigator:** Robert L (Bob) Jackson, Doctoral Candidate  
robert.jackson143@wku.edu  
270-556-9517

**Department of Educational Leadership, Western Kentucky University:**  
Dr. Randy Capps, Committee Chair  
randy.capps@wku.edu  
270-846-1922

You are being asked to participate in a research project conducted through Western Kentucky University. This confidential survey is part of a research project concerning public comprehensive university presidents and their role in fundraising at their institutions.

All responses are confidential and overall results will be used in a doctoral research project and related dissertation.

**By completing and returning this survey, you have granted the right to use this information for this research project as indicated.**

1. **Nature and Purpose of the Project:** This research project and related dissertation is titled: **The American Public Comprehensive University: An Exploratory Study of the President's Role in Fundraising**

This research is part of a comprehensive study utilizing a mixed methods research approach that will quantitatively examine public comprehensive university presidents and their role in fundraising at their respective universities. In addition, a qualitative component of this research will utilize phone and face-to-face interviews of selected public comprehensive university presidents.

2. **Benefits:**

This research study will examine the backgrounds, experience and training of public comprehensive university presidents in the area of institutional fundraising and result in recommendations concerning new and additional fundraising training programs for these individuals.

3. **Anticipated Risks:**

While there are no anticipated risks in conducting this research, you understand that it is not possible to identify all potential risks in a research project of this nature, and reasonable safeguards have been taken to minimize both the known and potential (but unknown) risks.

IRB APPLICATION # 11-304  
APPROVED 6/15/11 to 5/1/12  
EXEMPT EXPEDITED FULLBOARD  
DATE APPROVED 6/15/11

4. **Confidentiality:**

All responses are confidential and overall results will be used in a research project and related doctoral dissertation.

5. **Refusal/Withdrawal:**

Refusal to participate in this study will have no effect on any future services you may be entitled to from the University. Anyone who agrees to participate in this study is free to withdraw from the study at any time with no penalty.

***Your continued cooperation with the following research survey implies your consent.***

THE DATED APPROVAL ON THIS CONSENT FORM INDICATES THAT  
THIS PROJECT HAS BEEN REVIEWED AND APPROVED BY  
THE WESTERN KENTUCKY UNIVERSITY INSTITUTIONAL REVIEW BOARD

Paul Mooney, Human Protections Administrator  
Western Kentucky University  
TELEPHONE: (270) 745-4652



IRB APPLICATION # 11-304

APPROVED 6/15/11 to 5/1/12

EXEMPT EXPEDITED FULLBOARD

DATE APPROVED 6/15/11

**APPENDIX E: CONFIDENTIAL INTERVIEW INSTRUMENT**

**Public Comprehensive University Presidents & Fundraising**  
Face-to-Face Interview or Phone Interview Questions  
Robert L (Bob) Jackson

**Profile, Background & Experience**

1. Date: \_\_\_\_\_
2. First, you have had a successful tenure at this university in the area of fundraising.

In 3-4 sentences, how would you define a president's role in fundraising and what components are necessary for success?

---

---

3. Your Birth Year: \_\_\_\_\_
4. Gender: \_\_\_\_\_
5. What is your highest earned academic degree? \_\_\_\_\_
6. Is this an interim / temporary appointment?
  - o Yes
  - o No
7. How long have you held your current presidency? (years and additional months, i.e., 4 years and 7 months) \_\_\_\_\_
8. How many university presidencies have you held prior to this position?  
\_\_\_\_\_

9. What was your immediate previous position before this presidency? (Select one)

- President of another college or university
- Vice President of Academic Affairs, Provost (CAO) or similar title
- Vice President of Administrative Services (CFO) or similar title
- Vice President of Student Affairs or similar title
- Vice President of Development, Chief Development Officer or similar title
- Other Vice President
- Associate/Assistant Vice President
- Dean of an academic college/school
- Other

10. In your career, prior to your presidency, have you ever held a professional position in university fundraising or development?

- Yes
- No

11. What previous development or fundraising position(s), if any, have you held at a university? (Check all that apply).

- I have held no college or university development or fundraising positions
- Vice President of Development or similar title
- Chief Development Officer
- Associate/Assistant Vice President of Development or similar title
- Director of Development of an academic college/school/department
- Director of Annual Fund or similar title
- Director of Athletic Fundraising

- Director of Planned Giving or similar title
- Manager of Phon-a-thon or similar title
- Other development position
- **If any development positions: Did this position prepare you for your current presidential fundraising duties?**

\_\_\_\_\_

12. In your career, prior to your presidency, have you ever held a professional position in fundraising outside of academia?

- Yes
- No
- **If YES: Did this position prepare you for your current presidential fundraising duties?** \_\_\_\_\_

13. Do you hold a Certified Fund Raising Executive (CFRE) designation or a Certificate in Fund Raising Management?

- Yes – Did this training assist you with your current presidential fundraising duties? \_\_\_\_\_

**If YES: Where did you get this training?** \_\_\_\_\_

- No

### **Responsibilities & Duties in Fundraising**

14. In regard to all of your duties and responsibilities as president (budget, academic/faculty, student affairs, strategic planning, athletics, policy/governmental, community relations, personnel, governing board matters, capital improvement projects, enrollment management, alumni, media/public

relations, among all others) how do you rank your fundraising duties? (Rank 1 being your top priority, 2 being next important, etc.)

\_\_\_\_\_

Can you elaborate - why?\_\_\_\_\_

15. In a typical month, how many days do you spend with your fundraising responsibilities and duties?\_\_\_\_\_
16. About how many days are spent away from campus each month in traveling and conducting fundraising duties?\_\_\_\_\_
17. How often do you meet or talk with your chief development officer?
- Daily
  - 2-3 times per week
  - Once per week
  - 2-3 times per month
  - Occasionally as needed
  - Rarely, if ever
18. To what extent are you involved in making fundraising "asks" (actual requests for a gift) with your donors? (Select one).
- Never involved
  - Somewhat involved
  - Involved
  - Very involved



19. How would you describe your role in fundraising at your university? (For following items) Never involved, Somewhat involved, Involved, Very involved, N/A

- Closing major gifts after the donor is properly cultivated
- Campaign and fundraising planning
- Visiting with major donors in order to make the "ask"
- Facilitator of the entire development process
- Cultivation and meetings with new donors and prospects
- Visiting and stewardship (thank you process) of existing donors
- Working with major donors and prospects
- Attending or hosting special events (receptions, dinners, ball games etc.)
- Visiting new prospects for cultivation purposes
- Working with estate and planned gifts
- Athletic fundraising activities
- Developing naming opportunities for donors and prospects
- Developing specific proposals for donors and prospects

20. How many days each month do you host major donors and prospects at university events such as dinners, ballgames, concerts, receptions and other social and special events?\_\_\_\_\_

### **Capital / Comprehensive Campaign Information**

21. Is your university currently involved (including quiet phase) or have you just completed within the past 12 months a major capital or comprehensive fundraising campaign?
- Yes
  - No
22. Do you anticipate beginning the process of a major fundraising campaign during the next 12 months?
- Yes
  - No
23. Are you involved in the fundraising planning (i.e. a readiness study) for a new campaign?
- Yes
  - No
24. Are you using or do you expect to use a professional fundraising consultant in your campaign?
- Yes
  - No

## **Governing Board**

25. When you were hired for this presidency, did the governing board of your university discuss the importance of fundraising?

- Yes
- No

26. Was the possibility of a major fundraising campaign discussed with you by the governing board prior to your hiring?

- Yes
- No

27. When you were hired for this presidency, was your background/experience in fundraising a major factor in the decision to hire you?

- Yes
- No

28. Did your governing board discuss specific institutional fundraising goals before you were hired?

- Yes
- No

## **Training & Professional Development**

29. Have you ever had course(s), training or professional development focused on university fundraising?

- Yes
- No

If YES – Elaborate \_\_\_\_\_

30. Was this course or training during your current presidency?

- Yes
- No

31. Was this course or training in preparation for the duties and responsibilities of your new university presidency?

- Yes
- No

32. Who sponsored the course(s)? (Check all that apply)

- American Association of State Colleges and Universities (AASCU)
- American Council on Education (ACE)
- Indiana University - The Fund Raising School (IUPUI Campus)
- Council for Advancement and Support of Education (CASE)
- Association of Fundraising Professionals (AFP)
- Other

33. Are you familiar with any training programs in university fundraising/development specifically for university presidents?

- Yes
- No

If YES, which ones: \_\_\_\_\_

34. Would you attend a fundraising training program specifically designed for public university presidents?

- Yes
- No

**Elaborate**\_\_\_\_\_

35. What areas of fundraising would you like more training or professional development, if any? (Please rate each, if None desired list None) None, Somewhat interested, Interested, Very interested

- Planning and managing a major campaign
- Major gifts fundraising
- Prospect management and research
- Stewardship activities
- Estate and gift planning
- Making the formal ask
- Annual fund, direct mail and phon-a-thon activities
- Athletic giving
- Prospect management and development
- Basic principles and techniques of fundraising
- Social media in fundraising
- Corporate and foundation fundraising

**Elaborate:**\_\_\_\_\_

36. If you could attend a fundraising course to enhance your skills, would you prefer to attend with only public university presidents?

- Yes
- No

**Elaborate:** \_\_\_\_\_

37. If you could attend a fundraising course to enhance your skills, would you prefer a general overview course that included many basics or a specific topical course? (Select one).

- No desire to attend
- General overview course - the basics
- Specific topical course in a selected area

38. What type of preparation and training prior to a university presidency would have been helpful in carrying out your fundraising duties? (Select one)

- Specific course(s) or training in university fundraising
- Having held a former position in university development/fundraising
- Mentoring with another president
- Other – elaborate...

39. Reflecting back, what was most important or beneficial to you in your presidential fundraising duties?

40. What type of preparation and training during a university presidency would have been helpful in carrying out fundraising duties? (Select one).

- Specific course(s) or training in university fundraising
- Having held a former position in university development/fundraising
- Mentoring with another president
- Other – elaborate...

41. Reflecting back, what was most important or beneficial to you in your presidential fundraising duties?

42. You have been successful at your university in the field of fundraising, what factor (s) do you attribute to this success? \_\_\_\_\_

43. In regard to all things discussed today and all experiences previous to your role as president, what has best prepared you for your duties in fundraising?

\_\_\_\_\_

44. Finally, what additional thoughts do you have in regard to recommendations for future training and preparation for university presidents, before a new presidency and during a presidency, to better prepare them for their fundraising duties?

### **Final Comments & Thank You**

**Is there any additional information that you would like to add that may be helpful to existing or future public comprehensive university presidents as they carry out their fundraising duties? PLEASE LIST ANY ADDITIONAL COMMENTS.**



