To the Graduate Council:

I am submitting herewith a dissertation written by Glen Wayne Stout entitled "A Study of Fund-Raising Programs at Selected Public Multicampus Universities." I recommend that it be accepted in partial fulfillment of the requirements for the degree of Doctor of Education, with a major in Educational Administration and Supervision.

Robert K. Roney

Robert K. Roney, Major Professor

We have read this dissertation
and recommend its acceptance:

Accepted for the Council:

L. Evans Beck

Vice Chancellor
Graduate Studies and Research

A STUDY OF FUND-RAISING PROGRAMS AT SELECTED PUBLIC MULTICAMPUS UNIVERSITIES

A Dissertation

Presented for the

Doctor of Education

Degree

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Glen Wayne Stout

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ABSTRACT

Two of the most significant and far-reaching changes in public higher education in the United States during the decade spanning the late 1960's and the early 1970's were the rise of sophisticated fund-raising programs at public institutions and the emergence of the public multicampus university system. This study was designed to deal with both of the major changes.

The study addressed the problem of how public multicampus universities could best organize and manage their fund-raising programs to maximize financial support. The specific purposes of the investigation were to examine existing patterns of organization and management practices and to determine the relative effectiveness, as perceived by chief development officers, of certain practices relating to sources, constituencies, methods, and techniques used at their institutions.

The study was delimited to sixteen public multicampus university systems and the flagship campus of each from the entire geographical area of the United States. Criteria for selection were that each system have more than one four-year campus, a clearly identifiable flagship or prominent "main" campus, and a systemwide executive with the title of president or chancellor, who was not specifically responsible for one of the campuses.

The questionnaire was the principal means of data collection, and responses were received from thirty-one of the thirty-two

institutions, with an overall response rate of 96.88 percent.

Findings and conclusions of the study were that: (1) no specific "best" organizational structure for fund raising could be evolved that would appropriately fit all public multicampus universities; organizational structures and campus-system relationships depended upon whether a statewide coordinated or individual campus approach to fund raising was used and whether a separate foundation existed; (2) many development officers did not perceive themselves to have a role in administrative policy determination in fund-raising matters; (3) nearly half (48.39 percent) of the respondents felt that the multicampus organization promoted a "giving climate" among constituents; (4) no clear relationship existed between institutional size and the staffing pattern of the development offices; each organization reflected considerable variation; (5) principal fund sources were annual giving (both alumni and non-alumni) and business corporations, with system and campus chief executive officers perceived as the most effective individuals in cultivating constituencies; (6) the greatest increase in contributions by source from FY 1971-72 to FY 1975-76 was reflected in non-alumni annual giving (a gain of 89.72 percent); (7) an average of approximately 5 percent of total voluntary contributions was used in administering the fund-raising programs; (8) personal visits and phonathons were perceived to be the most effective methods of solicitation, with the most effective technique being the use of volunteers; and (9) practices in recognizing donors varied greatly.

Recommendations included the suggestion that each multicampus university system conduct periodic reviews of its fund-raising organization and consider whether it should have a separate foundation. Other principal recommendations were that chief development officers be given a direct role in the determination of policies pertaining to fund raising, that training workshops and seminars be conducted for volunteer workers, that costs of fund-raising programs be kept at a relatively low percent of total contributions, and that systemwide studies be conducted to determine what recognition would be appropriate for each type of donation and donor in order to standardize practices throughout each multicampus system.

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CHAPTER I

INTRODUCTION

I. BACKGROUND OF THE PROBLEM

The decade spanning the late 1960's and the early 1970's brought numerous changes to public higher education in the United States. Two of the most significant and far-reaching changes were the rise of sophisticated fund-raising programs at public institutions and the emergence of the public multicampus university system.

With respect to fund-raising programs, private and church-supported colleges and universities had traditionally been noted for energetically soliciting voluntary financial support and had been the recipients of heavy contributions from private philanthropy. On the other hand, public institutions of higher education, while often receiving some private financial support, had generally been expected to rely principally upon public funds or tax assessments to sustain their programs and operations.[1] In the last decade, however, the ever-increasing cost of education, an inflated American economy, and a steady decline in the dollar value of endowments have raised complex financial problems for both private and public educational institutions. Private higher education has, in many cases, sought public funds and financial assistance through state and federal governments. At the same time,

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[1]"College Financing," Education for a Nation (Washington, D.C.: Congressional Quarterly, Inc., 1972), p. 12.

public institutions of higher education have found themselves in keen competition, not only with private institutions but also with other state interests (welfare programs, road construction, crime prevention, etc.), for financial support.[2]

In this climate, many public colleges and universities have begun to emulate private educational institutions in launching elaborate fund-raising drives for donated dollars. Development offices and sometimes separate endowment organizations or foundations, patterned after those at private institutions, have been established to attract increased financial support from alumni, friends, and business corporations in order to insure high quality educational programs. As Howard R. Bowen, former President of the University of Iowa, commented in 1969:

> Legislators do not look with favor on the extras that will make the difference between adequacy and excellence. The public institutions, which wish to strive for exceptional performances, are therefore forced to look to private sources for the funds needed to lift them above the commonplace or the mediocre.[3]

Attesting to this situation in the University of Tennessee system, Dr. Edward J. Boling, president of the system, later stated:

> The need for private support of "public" higher education is graphically revealed in annual budget figures. In 1971-72, the University of Tennessee received only 36.9 percent of its operating budget from state appropriations, leaving 63.1 percent to come from other sources, such as endowments, student fees, auxiliary enterprises, federal appropriations and private gifts, grants, and contracts. . . . The importance of private support to UT is emphasized by the fact that

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[2]Earl F. Cheit, The New Depression in Higher Education (New York: McGraw-Hill Book Company, 1971), p. 9.

[3]Howard R. Bowen, quoted in Margin for Excellence and Opportunity (Washington, D.C.: Office of Institutional Research, National Association of State Universities and Land-Grant Colleges, August, 1969), p. 1.

16 percent of the institution's operating budget in 1971-72 came from this source.[4]

The second major change--the emergence of the multicampus university system--began in the United States shortly after World War II. This grouping of individual campuses under a common framework of governance is a phenomenon that particularly marks public higher education, but is not, however, unknown in the private sector. This method of organization continued into the 1970's to be a rapidly growing pattern of organization in higher education, and today multicampus systems are among the most visible and influential public educational institutions. Yet, with the exception of two Carnegie Commission on Higher Education studies by Eugene C. Lee and Frank M. Bowen, there is little meaningful research in the whole area of multicampus organization.[5]

In the first study in 1971, Lee and Bowen examined the academic governance existing in nine of the state multicampus university systems. In a 1975 sequel to the study, the authors examined the management of the same institutions. They found that, because the institutions were public, they usually interacted closely with public policymakers and were highly sensitive to changes in the economic status of their particular states and the nation. The multicampus universities had also

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[4]Edward J. Boling, quoted in New Directions in University Management (Knoxville, Tenn.: The University of Tennessee, 1973), p. 19.

[5]Eugene C. Lee and Frank M. Bowen, The Multicampus University: A Study of Academic Governance (New York: McGraw Hill Book Company, 1971); and Managing Multicampus Systems: Effective Administration in an Unsteady State (San Francisco: Jossey-Bass Publishers, 1975).

faced the same complex financial problems that had perplexed much of higher education, but internal differences among campuses had helped some institutions to survive the recent uncertain times. For example, young campuses had borrowed prestige and stability from older ones, and financially pressed campuses had received help from those in the university system that were more abundantly endowed. Additionally, educational fund raising had become a major function within the framework of the multicampus organization.

Lee and Bowen did not dwell on the management of fund-raising programs at multicampus universities. They simply pointed to a lack of research in this area and the need for improvement of professional skills in fund-raising management. The view was also shared by Clark Kerr, who in the "Foreword" to the 1975 study by Lee and Bowen, posited the need for special attention to the problems of multicampus institutions. He stated:

> It is wise when higher education generally finds itself in circumstances markedly different from those it has been accustomed to, to give multicampus institutions special attention. We are now in such a period. After years of rapid enrollment growth . . . higher education faces declining rates of enrollment and decreasing financial resources. . . . Future changes in higher education must take place in the context of limited growth.[6]

This study was concerned with both of the foregoing major changes in public higher education in the United States.

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[6]Clark Kerr, "Foreword" to Managing Multicampus Systems, op. cit., p. ix.

II. STATEMENT OF THE PROBLEM

The specific problem of the study was the question as to how public multicampus universities could best organize and manage their fund-raising programs to maximize voluntary financial support. With the prospects of declining enrollments--fewer students and less tuition--and increased competition for the public dollar, funds to finance some existing activities, new courses of study, cultural programs, museums, library collections, continuing research, and other priority needs at public multicampus universities may not be available in future years without aggressive fund-raising programs. The difference between "excellence and mediocrity" in the public multicampus university could well be determined by the management of these fund-raising efforts.

III. PURPOSE OF THE STUDY

The purpose of this study was twofold:

1. To determine the predominant patterns of relationship that existed between campus and system level development programs in the area of fund raising at selected, tax-assisted, public multicampus universities, as reflected by organizational structure and certain management practices; and to analyze the management practices for both similarities and differences.

2. To determine the perceptions held by chief development officers in the same institutions of higher education, both at flagship campuses and at the system level, as to the effectiveness of certain

practices relating to fund-raising sources and constituencies and to methods and techniques used in their fund-raising programs.

IV. IMPORTANCE OF THE STUDY

Many well-established multicampus systems were still seeking organizational and management patterns to enhance their fund-raising capability.[7] At the same time, some newer multicampus systems were experiencing pangs of frustration in attempting to "get started" and were looking to relatively successful multicampus systems for methods and techniques that might be applicable to their particular systems and best fitted to their own institutional conditions.[8] Accordingly, the study was designed to present a variety of descriptive data to assist development personnel in the multicampus system in planning and executing their own fund-raising programs. While it was recognized that no single program might be applicable to all institutions, it was felt that development personnel might profit from the experiences of another campus in the unique multicampus setting and save valuable time, funds, and effort.

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[7]Based on personal correspondence between Mr. Paul Christopulos, Director of Development and Special Programs, University of California Systemwide Administration, and the writer, February 9 to February 17, 1977; between Mr. Robert G. Smith, Vice President for University Development, University of Maryland Central Administration, and the writer, February 9 to February 14, 1977; between Mr. Harry H. Murphy, Jr., Director of Public Information, University System of Georgia, and the writer, February 9 to February 15, 1977; and between Mr. John A. Richardson, Assistant Chancellor, Oregon State System of Higher Education, and the writer, February 9 to February 28, 1977.

[8]Based on personal correspondence between Mr. W. Arthur Grant, Director of System Administrative Services, University of New Hampshire, and the writer, February 9 to March 17, 1977.

The study also appeared important because of the size alone of the public multicampus system of organization in higher education. Forty percent of all students in colleges and universities in the United States attended classes conducted at multicampus institutions, and over three-fourths of the students in public universities were enrolled in such systems. Further, more than one-fifth of all campuses in the United States were constituent elements of these higher education conglomerates.[9]

Finally, a survey of the current literature revealed very little relevant research in the area of fund raising and little effort to describe systematically the similarities and differences in practices at public universities. The survey also failed to reveal any other study relating to this particular facet of institutional development in the multicampus university--either public or private. This study thus appeared to have the potential to contribute to a better understanding of the value and scope of fund raising at public institutions, as well as to focus particular attention on the public multicampus system in higher education.

V. ASSUMPTIONS

The following assumptions were accepted prior to the undertaking of the study:

1. Public multicampus universities may legitimately seek support from private philanthropic sources.

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[9]Lee and Bowen, The Multicampus University, op. cit., p. xi.

2. The flagship or main campus of each multicampus university was representative of the best conditions that existed throughout the particular system.

3. The chief development officers surveyed would give honest assessments of their development programs, within the scope of their own experiences and knowledge.

VI. DELIMITATIONS OF THE STUDY

The following delimitations of the study were made:

1. The multicampus university systems selected for examination in this study were the sixteen systems, from the entire geographical area of the United States, that were at that time the only multicampus systems that met the following four specific and structural criteria:

A. Each system was a part of public, tax-assisted, statewide higher education, with more than one four-year campus.

B. Each system had a clearly identifiable "flagship" or prominent "main" campus.

C. Each system had a systemwide executive with the title of president or chancellor.

D. The systemwide executive was not specifically responsible for one of the campuses.

2. The study examined only those practices, methods and techniques that were actually used in fund raising by one of the sixteen systems and/or one of the sixteen flagship campuses of each of the systems.

VII. LIMITATIONS OF THE STUDY

The study was limited by:

1. The quality of the perception of the chief development officers completing the questionnaire.

2. The accuracy of the data reported by the chief development officers and the information contained in the surveys of such national organizations as the Council for Financial Aid to Education (CFAE).

VIII. RESEARCH QUESTIONS

The following research questions were examined:

1. What specific relationships with respect to organization and management practices existed between campus and system development offices in the area of fund raising?

2. How had the multicampus organization affected fund-raising programs at the institutions involved?

3. Was there a relationship between institutional size (student enrollment) and the staffing patterns (for fund-raising purposes) in the institutional development offices?

4. What were the principal sources of fund solicitation; and what individuals or groups, as perceived by chief development officers, were most effective in cultivating prospective donors?

5. From what constituencies were funds for the multicampus universities usually solicited, and how did special gift organizations (such as Century Clubs, President's Clubs, etc.) assist in solicitations?

6. What was the effectiveness of solicitation ratio, as

determined by dividing the number of contributors by the number solicited, at each multicampus university for FY 1971-72 and FY 1975-76?

7. What fund-raising sources reflected the greatest increases in contributions from FY 1971-72 to FY 1975-76?

8. What percent of total voluntary contributions was used in administering the fund-raising programs of each institution?

9. What fund-raising methods and techniques, as perceived by chief development officers, were most effective in helping public multicampus universities to meet fund-raising goals?

IX. PROCEDURES

Selection of Multicampus Universities

The multicampus university systems that were selected for examination in this study were the sixteen systems, from the entire geographical area of the United States, which met the four specific criteria outlined in the delimitations section of this chapter. The adherence to criteria was based on the Department of Health, Education and Welfare (DHEW) publication: Education Directory: Colleges and Universities, 1975-76, edited by Arthur Podolsky and Carolyn R. Smith; and the Marquis Yearbook of Higher Education, 1976-77.[10] The designation of flagship or prominent "main" campuses for each of the systems

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[10]Arthur Podolsky and Carolyn R. Smith, gen. ed., Education Directory: Colleges and Universities, 1975-76 (Washington, D.C.: U.S. Government Printing Office, 1976), pp. 1-475; and Yearbook of Higher Education, 1976-77. Eighth Edition (Chicago: Marquis Academic Media, 1976), pp. 5-513.

was based on the 1973 American Council on Education publication: American Universities and Colleges, Eleventh Edition, edited by W. Todd Furniss, and the 1975 study by Lee and Bowen.[11]

Each system was listed at random and designated alphabetically with the letters A through P. Additionally, each system was labeled with the numeral "1" immediately following the letter (e.g., "A1"). The flagship campus of each system received the same letter designation as its own system but was labeled with the numeral "2" immediately following the letter (e.g., "A2"). The State University System of _____, then, received the designation "Institution A1" and its flagship campus was designated "Institution A2." Separate foundations used for fund-raising purposes within a multicampus system were identified by the code letter for the system followed by the letter "F" (e.g., "AF").

Instrumentation

The questionnaire method of research was the principal means of data collection. The questions related to the actual organization, management practices, and methods and techniques used by the systems and campuses in their fund-raising programs, as well as the chief development officers' perceptions of the effectiveness of certain practices. Responses were tabulated, compared and/or contrasted, and analyzed; but no information was attributed to any particular

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[11]W. Todd Furniss, gen. ed., American Universities and Colleges, Eleventh Edition (Washington, D.C.: American Council on Education, 1973), pp. 103-1749; and Lee and Bowen, Managing Multicampus Systems, op. cit., pp. 4-15.

institution, development officer or other individual contributing data through the questionnaire.

The questionnaire was examined for clarity of understanding, objectivity, terminology, and question procedure by a panel composed of five experienced professional development staff members of the University of Tennessee Central Administration (system) at Knoxville. No panel members were among the chief development officers who actually participated in the study survey (see Appendix B).

This procedure for use of the panel was in keeping with a suggestion by R. L. Thorndike and E. Hagen, who expressed concern that misunderstanding might occur either in the interpretation of the question or in the interpretation of the response.[12] To reduce the possibility of misunderstanding to a minimum, the panel members were asked to respond to all items in the questionnaire as if they had actually received it in the mail and also to offer constructive criticism of the instrument on a specially prepared "Evaluation Form for the Questionnaire" (Appendix C). Evaluation of the panel's criticism served as the basis for final revision of the questionnaire prior to its being mailed to the selected multicampus systems and flagship campuses.

The questionnaire, accompanied by a cover letter from the Council for Advancement and Support of Education (Appendix D), was mailed to the president/chancellor at each system and the chief executive officer at each flagship campus (see Appendix E). A stamped, self-addressed

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[12]R. L. Thorndike and E. Hagen, Measurement and Evaluation in Psychology and Education (New York: Wiley and Sons, 1969), p. 372.

envelope was included. The presidents/chancellors and campus chief executive officers were asked to refer the questionnaire to the chief development officers of their particular systems or campuses for reply (see Appendix F for writer's initial and follow-up letters).

The questionnaire consisted of three parts. Part I dealt with the relationship of the campus and the system level development programs in the area of fund raising, as reflected by organizational structure and management practices. Part II pertained to fund-raising sources and constituencies, and Part III addressed the methods and techniques of fund raising used at the selected public multicampus universities. Respondents were asked to complete all questions that pertained to their particular system office or campus.

Additional Data

The research methods recommended by Robert C. Angell and Ronald Freedman[13] were also used, to gather data pertinent to fund-raising programs at multicampus universities, during the review of literature. Accordingly, a variety of descriptive data was reviewed. Materials examined included printed records and reports; copies of correspondence, speeches, and other documents from university officials, development councils, and such agencies as the Council for Financial Aid to Education (CFAE) and the Council for Advancement and Support of

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[13]Robert C. Angell and Ronald Freedman, "The Use of Documents, Records, Census Materials, and Indices," Research Methods in the Behavioral Sciences, ed. Leon Festinger and Daniel Katz (New York: Holt, Rinehart and Winston, 1966), pp. 300-326.

Education (CASE); as well as books, pamphlets, articles from periodicals and bibliographies.

Treatment of the Questionnaire Data

The questionnaire data were manually classified and processed. Percentages were calculated to compare and contrast data relating to specific research questions; and figures and tables were used as appropriate in presentation of the data. An effectiveness of solicitation rating was determined for each institution directly involved in fund solicitation. The rating was calculated by dividing the number of prospective donors solicited by the number of actual contributors for each of the two fiscal years surveyed. Respondents were also asked to evaluate the effectiveness of certain individuals or methods used in fund raising at their institutions. Weighted ratios were used to compare these responses. Additionally, percentage comparisons were made to determine the proportion of total voluntary contributions used in administering the fund-raising programs of several of the institutions. In these cases, the operating budget for a particular year was divided by the total support reported to obtain the percentage. Charts outlining each institution's development organization were included to assist in examining staffing patterns and relationships that existed with respect to organization and management practices at system and campus development offices.

X. DEFINITION OF TERMS

Definition of terms included the following:

Alumni are individuals who have attended, whether having been

graduated or not, an institution of higher education.[14]

Annual giving refers to funds and resources made available to institutions by alumni or non-alumni on a continuing yearly basis.[15]

An annuity trust is a trust created by a donor irrevocably transferring money or securities for the benefit of the charitable organization (in this case the university) in exchange for a fixed dollar amount to be paid at least annually to a designated beneficiary or beneficiaries for their lifetimes. At the death of the donor or last surviving beneficiary, the trust terminates and the assets of the funds are transferred to the designated organization.[16]

Capital funds are monies for expenditures for equipment, buildings, grounds, and other projects which do not consume all benefits within a current fiscal year.[17]

The central administration is composed of administration officials responsible for the overall operation of a statewide university system that involves several campuses. Administrative officials are designated by various titles, such as presidents, vice presidents, chancellors, vice chancellors, etc.[18]

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[14]The University of Tennessee National Alumni Association, 1975-76 Annual Fund Report (Knoxville, Tenn.: The University of Tennessee, 1976), pp. 2-3.

[15]Ibid.

[16]National Association of College and University Business Officers, College and University Business Administration (Washington, D.C.: National Association of College and University Business Officers, 1974), p. 143.

[17]Ibid., p. 187.

[18]Lee and Bowen, The Multicampus University, op. cit., p. 139.

Corporate and foundation giving is composed of funds, grants, and other resources such as land, buildings, securities, and trusts that are provided for institutional use by business, philanthropic, or research organizations.[19]

Current operating funds are monies for expenditures for specific fiscal year periods. These monies will include those restricted for physical plant, research, student aid, faculty compensation, and other designated current projects, as well as unrestricted funds expendable for the purposes of operating.[20]

Deferred giving refers to funds and resources made available to institutions upon the demise of the donor or his beneficiaries; often included in a will or trust agreement.[21]

The development office is the agency charged with contributing to an institution through planning and administering fund-raising programs and related activities.[22]

A flagship campus is the commonly recognized main or principal campus of each multicampus university system; it is also often collocated with the central administration of the statewide system.[23]

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[19]National Association of College and University Business Officers, op. cit., pp. 40-41.

[20]Ibid., p. 186.

[21]Irving R. Warner, The Art of Fund Raising (New York: Harper and Row, Publishers, 1975), pp. 137-138.

[22]National Association of College and University Business Officers, op. cit., p. 5.

[23]Lee and Bowen, The Multicampus University, op. cit., p. 18.

A multicampus university system is the grouping of several individual university campuses under a common framework of governance.[24]

Philanthropic financial support is voluntary financial or resource contributions in the form of gifts or grants from private donors.[25]

A public university is an institution of higher education, offering a program of studies beyond the bachelor or equivalent degree, which has a governing board that is responsible to, composed of, or answerable to public officials; and it is supported by or substantially assisted financially by public tax funds.[26]

A separate university corporation or foundation is an organization, free from customary state fiscal controls, that accepts and carries out sponsored programs and financial transactions as a corporate entity related to, but legally independent of, the university.[27]

A special giving program seeks one-time gifts, that may be either restricted or unrestricted as to purpose, from private philanthropic foundations or individuals, usually in amounts of $100 or more. Objects of art and other gifts-in-kind also fall into the special-gifts category.[28]

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[24]Ibid., p. 1.

[25]F. Emerson Andrews, Philanthropic Giving (New York: Russell Sage Foundation, 1950), pp. 21-22.

[26]Algo D. Henderson and Jean Glidden Henderson, Higher Education in America (San Francisco: Jossey-Bass Publishers, 1975), pp. 3-4.

[27]National Association of College and University Business Officers, op. cit., p. 37.

[28]Stanley R. McAnally, Major Gift Societies (Washington, D.C.: American Alumni Council, 1970), p. 5.

XI. ORGANIZATION OF THE STUDY

The study was organized into four chapters, in addition to a bibliography.

Chapter I provides an introduction, to include background of the problem, a statement of the problem, purpose of the study, importance of the study, assumptions, delimitations of the study, limitations of the study, research questions, procedures, definition of terms, and organization of the study.

Chapter II presents a review of related research and recent pertinent literature dealing with educational fund raising.

Chapter III contains a presentation, analysis, and interpretation of data obtained from the questionnaire. The chapter is organized into three parts corresponding to the three parts of the questionnaire.

Chapter IV contains a summary of the findings in the form of a brief reconsideration of the nine research questions, conclusions, and recommendations.

CHAPTER II

REVIEW OF SELECTED RELATED LITERATURE AND RESEARCH

I. INTRODUCTION

The study addressed a problem that has become increasingly acute in higher education in recent years: how public multicampus universities can best organize and manage their fund-raising programs to maximize voluntary financial support. The specific purpose of this chapter was to review selected literature on educational philanthropy and the multicampus university and on research related to the study.

Merle Curti pointed out that the subject of fund raising has been a somewhat neglected area in the history of philanthropy. In fact, Curti referred to Scott Cutlip's book, Fund Raising in the United States, as the first detailed and scholarly investigation of the history of fund raising in the United States.[1] Similarly, literature concerning the multicampus university is extremely limited, with only the two previously mentioned Carnegie Commission studies presenting detailed examinations of governance and management of the systems. Both studies touch on business affairs, but do not explore fund-raising aspects of financial management.

With respect to related research, the listings of doctoral dissertations up to 1959 indicate that no study up to that time had

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[1]Merle Curti, "Foreword," in Scott Cutlip's Fund Raising in the United States: Its Role in America's Philanthropy (New Brunswick, N.J.: Rutgers University Press, 1965), p. xi.

educational fund raising as its principal focus. A number of doctoral dissertations, particularly in the public relations area, had referred to fund raising, but none had treated the subject in depth. The portion of this overview of literature relating to research in educational fund raising at public multicampus universities was, therefore, necessarily limited to studies dating from 1959.

In later years as more and more colleges and universities have organized fund-raising programs, publications dealing with various procedures, "gimmicks," or recommended practices have virtually flooded the market. Some are simply handbooks on general fund raising that may have applicability for educational institutions, as well as hospitals, churches, welfare agencies, and other charitable organizations. Other books and college brochures sometimes specialize in a particular aspect of institutional development (alumni giving, annual funds, special gift clubs, record keeping, etc.). Still other publications are reports on various successful fund-raising campaigns. Often magazines and pamphlets also include such reports. In toto, literature on fund-raising programs in general is voluminous. But serious, scholarly research is less abundant; and research on fund raising at multicampus universities appears still to be virtually non-existent.

The literature selected for review in this chapter is especially germane to educational fund raising. The chapter was organized into four principal sections. First, literature concerning the historical roots of educational philanthropy is surveyed. Next, literature pertaining to management practices, methods, and techniques of fund raising used at institutions of higher education is reviewed. This is followed

by a discussion of literature relating specifically to the multicampus university and the implications of governance and financial management for fund raising. The final principal section is devoted to a review of related research projects. A brief summary concludes the chapter.

II. HISTORICAL ROOTS OF EDUCATIONAL PHILANTHROPY

M. M. Chambers stated that the concept of charity became viable some centuries before the idea of tax-supported education took root.[2] Supporting this position, F. Emerson Andrews traced the origin of educational philanthropy to the time of the death of Plato in 347 B.C. Plato had directed that after his death, the "income from his fields" was to be received by the Academy, the world's first university, at Athens, for its support.[3] History also records that Alexander the Great, because of his affection for learning established a library in Northern Egypt; and his benevolence financed Aristotle's Lyceum, the world's second university (ca. 335 B.C.), so generously that Aristotle was able to have a thousand men scattered throughout Greece and Asia Minor doing research in natural history.[4]

These examples illustrate the value of private philanthropy to

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[2]M. M. Chambers, Higher Education: Who Pays? Who Gains? (Danville, Illinois: The Interstate Printers and Publishers, Inc., 1968), p. 129.

[3]F. Emerson Andrews, Corporation Giving (New York: Russell Sage Foundation, 1952), p. 193.

[4]Meyer Reinhold, Essentials of Greek and Roman Classics (Great Neck, N.Y.: Barron's Educational Series, Inc., 1959), pp. 218-245.

the advancement of education, but in the earliest cases gift solicitations were probably unknown. Clara McMahon, a noted historian from Johns Hopkins University, has speculated that one of the first instances of formal gift solicitation for education probably took place during the fifteenth century in England at Oxford University, when appeals were made to graduates, friends and almost anyone who had worldly goods, soliciting funds for the erection of new buildings. Some of the gifts, McMahon stated, were in the form of a charitable or an annuity trust, and the charitable trust of England became a forerunner of the educational foundations and university corporations later established in America. By law, in both England and the United States, such endowments or trusts were deemed by the courts to be "charitable" and accorded exemption from taxation, a privilege not enjoyed by profit-motivated trusts.[5]

Arnaud Marts, in his book Philanthropy's Role in Civilization, remarked that the development of higher education in the United States was to a large extent attributable to private initiative and private funds. He pointed out that benefactions to higher education, through personal efforts and private gifts had been instrumental in founding such outstanding institutions as Harvard in 1636; Yale in 1701; Dartmouth in 1769; Amherst in 1821; Washburn in 1865; and Pomona in 1887.[6]

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[5]Clara P. McMahon, "College Drives--Five Hundred Years Old," School and Society, 70 (December, 1949), 423.

[6]Arnaud C. Marts, Philanthropy's Role in Civilization (New York: Harper and Brothers, 1953), p. 10.

F. Emerson Andrews, however, reported that gifts to early American colleges were generally small, when compared to giving practices of later years; and that the gifts were not always in the form of money. For example, Reverend John Harvard contributed only 375 pounds and his library to the establishment of Harvard. Other gifts at Harvard included a number of sheep bequeathed by one man, a quantity of cotton cloth worth nine shillings was presented by another donor, and a pewter flagon worth ten shillings was contributed by a third man.[7]

Until 1890, fund raising for higher education in the United States was largely the responsibility of the college president. In that year, however, with the establishment of the Yale Alumni Fund, a new idea concerning fund raising for colleges and universities appears to have been born. Harold Flack called this project the first systematic endeavor on the part of alumni to increase the resources of a university. He also remarked that the next significant event in fund raising in American colleges occurred in 1904-1905 at Harvard. In response to a plea by President Eliot that the University direly needed $2.5 million for faculty salaries, the alumni raised the money in a period of one year.[8]

Initially, most of the gifts to higher education were made to private colleges and universities. In time, however, state governments

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[7]F. Emerson Andrews, Philanthropic Giving (New York: Russell Sage Foundation, 1950), pp. 189-190.

[8]Harold Flack, "A History of Fund Raising," An Alumni Fund Survey (Washington, D.C.: American Alumni Council, 1932), pp. 2-3.

began to play a more extensive role in higher education, and public educational institutions began to grow in number. State governments, in accordance with theory under the United States Constitution, assumed responsibility for the financing of public higher education in actual practice. But the financing of private higher education continued to rely principally upon private philanthropy for support, which apparently accounts for the historical precedent of private education being the recipient of much of the money, gifts, grants and bequests provided by private donors. In later years, though, as Thad Hungate pointed out, public institutions began to receive an increasing share of voluntary contributions.[9]

Corroborating this statement, M. M. Chambers stated that by 1968 nearly all state and municipal universities were public corporations capable of receiving and executing charitable trusts and of receiving almost any type of private gift. Further, Chambers remarked that many public universities had also procured the incorporation of one or more "accessory" private charitable corporations to receive and execute gifts on behalf of the university. Some donors, he said, were hesitant to make a gift to a public corporation. He also observed that at times excessive regulation of the university's fiscal affairs by the state has created difficulties and uncertainties in the administration of charitable gifts.[10]

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[9]Thad L. Hungate, Financing the Future of Higher Education (New York: Bureau of Publications, Teachers College, Columbia University, 1946), p. 135.

[10]Chambers, op. cit., p. 130.

In summary, educational philanthropy can be traced from ancient history to modern institutions of higher education. The years have, however, brought significant changes in society and in man's pursuit of knowledge and intellectual advancement. At the same time and in like manner, management practices and fund-raising methods and techniques have been developed, extended, and refined in consonance with societal changes.

III. MANAGEMENT PRACTICES, METHODS, AND TECHNIQUES IN FUND RAISING

Organized, continuing funding-raising programs at institutions of higher education are comparatively recent developments. College presidents and members of governing boards have, of course, been asking for money for many years; but solicitations were usually sporadic and stimulated by an urgent need for new facilities or to avert some financial crisis. In emphasizing how relatively recent the educational development field really is, Margaret Fellows and Stella Koenig, in a 1959 publication, defined a fund-raising expert as a man "who knows how little he knows and is always ready to profit by the other fellow's hard knocks."[11] With respect to the word "expert" as applied to the fund raiser, Harold Seymour also remarked, "The old pros eschew the 'expert' image . . . because the more any man deserves to be rated that way, the more he becomes aware of his ignorance."[12] Ironically,

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[11]Margaret M. Fellows and Stella A. Koenig, Tested Methods of Raising Money (New York: Harper and Brothers, 1959), p. viii.

[12]Harold J. Seymour, Designs for Fund Raising (New York: McGraw-Hill Book Company, 1966), p. 187.

however, Seymour, since the publication of his book, Designs for Fund Raising, in 1966, has been looked upon by many as being an expert himself in fund raising; and his book has become an authoritative source in the "how to" of fund raising.[13]

In his book, Seymour declared his belief that the development office at colleges and universities should be a full-time and vital activity and not seen and heard from only when the need for fund raising becomes obvious, desperate, and demanding. Rather, he said, the development office is "a thing of our time and a part of our future. And the broader its tasks and the higher its institutional level, the better job it will do."[14]

He also emphasized that the word "development," which he quoted Scott Cutlip as saying was first used in fund raising by President Ernest Burton of the University of Chicago in 1924, should not be interpreted as merely another word for "raising money." Instead, he said, development should be viewed as a "broad term for the planned promotion of understanding, participation and support."[15]

Getting down to specifics, Seymour stated that the purpose of institutional development personnel should be simply to develop support by service and gifts. He continued:

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[13]Statement by Charles F. Brakebill, Assistant Vice President for Development, University of Tennessee Central Administration, personal interview, Knoxville, Tennessee, February 3, 1977.

[14]Seymour, op. cit., p. 116.

[15]Ibid., p. 115.

> The direct role in the area of fund raising itself is to promote all three legs of the fund-raising tripod--occasional capital campaigns, consistent annual giving by all elements of the constituency, and the promotion of deferred giving through bequests and living trusts. The indirect role in the area of public relations--because it is development's very lifeblood--is to sustain a critical awareness and a lively concern for the ways in which the institution deals with the arts and graces of appreciation, hospitality, responses to suggestions and criticisms, and all the other major processes of dealing with its constituency.[16]

In matters of management, Seymour felt that development officers must have quick and easy access to the president and other key administrative officials of the college, the trustees, organized units of the constituency, and all institutional bulletins and publications. This access, he said, must not be just by unspoken consent but as a matter of serious policy. Additionally, he contended that development officers should attend trustee meetings and participate in all institutional policy discussions, primarily for their own information and grasp of background.[17]

Complementing the position of Seymour, Thomas Blackwell in College and University Administration, stressed the desirability of organizing fund solicitations on a permanent, continuing basis. He observed that many large universities with successful fund-raising programs have employed professional staffs to work under competent directors. Their organizational charts, he stated, often include assignments of full-time personnel with responsibility for a bequest program, foundation and corporation support, alumni giving,

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[16]Ibid., pp. 116-117.

[17]Ibid.

non-alumni giving, special gifts, and voluntary labor support.[18]

Additionally, Blackwell pointed out that professional money-raising organizations were being employed increasingly by colleges and universities for brief periods to provide advice and management for special efforts such as capital fund-raising drives. He commented that some public, tax-assisted educational institutions had been prohibited by statute from expending public funds for such purposes, but he personally endorsed the practice for obtaining expert advice on techniques in organizing high-intensity drives and in training volunteer solicitors. The more responsible firms, he speculated, will decline to work on a commission basis (their fee will not be dependent upon the amount raised); and, before accepting responsibility for a campaign, the agency will usually insist upon a preliminary survey of the institution and its standing in the community.[19]

In another matter, Blackwell noted that in seeking to persuade others to donate to colleges and universities, fund raisers must be prepared to advise on the tax implications of gifts. He remarked that many colleges have prepared booklets in which the needs of the colleges are stated and in which tax legislation, regulations, rulings and court decisions are discussed in relation to gifts. Sample cases are also often included to assist a prospective donor in visualizing the

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[18]Thomas E. Blackwell, College and University Administration (New York: The Center for Applied Research in Education, Inc., 1966), pp. 99-100.

[19]Ibid., p. 99.

tax implications of his own possible gifts.[20]

With respect to tax deductions, the Filer Commission, which was organized in 1973 and privately funded by a citizens' panel to study the role of philanthropy in the United States, concluded that the charitable deduction was a primary means of encouraging private giving. This deduction permits a taxpayer to subtract the amount of his or her giving from the total income upon which taxes are computed. The Commission felt it appropriate for the person who earns $55,000 per year and gives $5,000 to charitable organizations to be taxed in the same manner as one who earns $50,000 and makes no charitable contributions.[21]

The tax deduction status of charitable contributions has, however, stirred some controversy. Stanley Surrey has argued that present tax laws authorizing charitable deductions are inequitable and are in reality a method of federal assistance to charities. In 1970, while protesting the Tax Reform Act of 1969 that strengthened the incentive effect for charitable contributions by increasing existing allowances on deductions from 30 percent to 50 percent, Surrey claimed that, although the deduction is "privately directed--government funds are paid to particular institutions at the direction of private persons.

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[20]Ibid., p. 100.

[21]Wade Green, Giving in America: Toward a Stronger Voluntary Sector, Report of the Commission on Private Philanthropy and Public Needs, John H. Filer, chairman ([n.p.]: Commission on Private Philanthropy and Public Needs, 1975), pp. 127-128.

Moreover, the assistance is blanket, automatic, no-strings attached, open-ended aid."[22]

Others, however, such as William D. Andrews, have agreed with the philosophy of the Filer Commission and taken issue with Surrey's protests of the deduction. Andrews wrote in the Harvard Law Review that anomalies may occasionally arise out of the allowance of a deduction for the fair market value of appreciated property without any offsetting recognition of gain. He commented, however, that the charitable deduction certainly appears sensible when cash contributions are considered. He pointed out that the practice, in his view, is not inconsistent with a system of graduated taxation of net income; and he cites a further argument that the less gifts cost the giver, the larger his gifts will probably be. For example, Andrews said that if the donor contributed $100 and could deduct $50, the gift had only cost him $50.[23]

This view was also shared by Boris Bittker, who in a similar vein has written that a taxpayer who can transfer one dollar to his favorite charity at a cost to himself of only fifty cents will be much more inclined to make the gift than one who must lay out a full one dollar to transfer that amount.[24] The conclusions of both Andrews and

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[22]Stanley S. Surrey, "Federal Income Tax Reform," Harvard Law Review, 84 (December, 1970), 384-385.

[23]William D. Andrews, "Personal Deductions in an Ideal Income Tax," Harvard Law Review, 86 (December, 1972), 345.

[24]Boris Bittker, "Charitable Contributions: Tax Deductions on Matching Grants," Taxation Law Review, 28 (Fall, 1972), 52.

Bittker were, thus, that the incentive effect of charitable contributions is particularly substantial for high income taxpayers and encourages larger voluntary contributions to higher education.

In addition to the foregoing literature, there are materials pertaining to practices, methods, and techniques of fund raising that are published periodically by several organizations. For example, the Association of Fund-Raising Directors, the Direct Mail Advertising Association, the Hundred Million Club, and the Council for Financial Aid to Education (CFAE) are such organizations, all with headquarters in New York City. Another, the Council for Advancement and Support of Education (CASE), has its principal office in Washington, D.C. Some of the organizations hold monthly meetings at which speakers offer insights into the mechanics of fund raising. Others maintain libraries of materials, samples of printed appeals for contributions, and even mailing lists for members. Often, the materials may be ordered or used by non-members.[25]

Particularly valuable in documenting the case for giving to a college or university are the efforts of CFAE. This organization is sustained by grants from several foundations and offers a number of informative pamphlets. One popular and extremely useful publication, The Survey of Voluntary Support of Education, provides an analysis of educational philanthropy nationwide. It has been published sixteen

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[25]Based on personal correspondence between Mr. J. Moreau Brown, Vice President of the Council for Financial Aid to Education, and the writer, February 15, 1977 to February 24, 1977.

times by CFAE since 1954.[26]

The 1975-75 Survey illustrates the scope and type of information that is presented and analyzed. The number of participating colleges and universities was 986, including both public and private institutions.[27]

The Survey revealed that the total voluntary support of all of the represented institutions of higher education had declined 3.6 percent in 1974-75 from the 1973-74 results. The estimated total voluntary support was $2.16 billion in 1974-75, as compared to $2.24 billion in 1973-74. CFAE pointed out that this decrease marked only the second occasion since 1957-58 when voluntary support recorded a decrease and, like the previous downturn in 1969-70, coincided with a recession in the national economy. Significantly, most of the overall decrease in support was reported by major private universities, and public institutions actually reported the receipt of 9.4 percent more support in 1974-75 than in 1973-74.[28]

CFAE also reported that the dollar decrease in 1974-75 was principally accounted for by reduced support from foundations and individual donors, both alumni and non-alumni. As indicated in Table I, there was a small increase in the amount received from business corporations and from "other" sources.[29]

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[26]CFAE Division of Research, Voluntary Support of Education, 1974-75 (New York: Council for Financial Aid to Education, 1976), p. 2.

[27]Ibid.

[28]Ibid., p. 7.

[29]Ibid., p. 4.

TABLE I

ESTIMATED TOTAL VOLUNTARY SUPPORT OF PUBLIC AND PRIVATE EDUCATIONAL INSTITUTIONS (MILLIONS)

Source and Purpose	1973-74	1974-75	% Change
Foundations	$535	$497	-7.1
Non-Alumni Individuals	556	516	-7.2
Alumni	509	486	-4.5
Business Corporations	354	357	+0.8
Religious Denominations	116	112	-3.4
Other	170	192	+12.9
Total Voluntary Support	$2,240	$2,160	-3.6
Current Operations	$1,300	$1,370	+5.4
Capital Purposes	940	790	-16.0

Source: CFAE Division of Research, Voluntary Support of Education 1974-75 (New York: Council for Financial Aid to Education, 1976), p. 4.

Such information has been extremely valuable to development officers, alumni secretaries, and others who are designing programs or planning policies for educational support. In recent years, the Council for Advancement and Support of Education, as well as the National Association of Independent Schools, has jointly sponsored this survey prepared by CFAE. CASE (which resulted from the merger in 1974 of the American Alumni Council and the American College Public Relations Association) is composed mainly of college and university personnel in public relations, development, and alumni work.[30] It sponsors seminars and workshops designed for development officers of educational institutions and often provides current information in fund raising.[31]

CASE also sponsored one of the most recent publications, Handbook of Institutional Advancement, which touches on many diverse areas in the entire field of institutional advancement.[32] The book's announced purpose was to provide information that would enhance public confidence in colleges and universities and insure continued financial support. Organized into six parts, it treats a major aspect of institutional advancement in each sub-division. College and university relations, fund raising, alumni relations, government relations,

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[30]Ibid., p. 2.

[31]Based upon correspondence between Dr. W. Michael Born, Vice President of the Council for Advancement and Support of Education, and the writer, November 19, 1976 to May 2, 1977.

[32]A. Westley Rowland, general ed., Handbook of Institutional Advancement (San Francisco: Jossey-Bass Publishers, 1977).

publications, and executive management are the topics covered. The section dealing with fund raising, edited by Richard D. Cheshire, contains ten short essays by writers who have experience in various areas of institutional development in higher education, such as the management of volunteer workers, record keeping, annual giving, and capital campaigns. The essays are essentially general in nature and written for the layman's appreciation, but they contain some details which in many instances have the potential to be helpful to the relatively inexperienced fund raiser.

To summarize this section of the review of literature relating to management practices, methods and techniques, it appears obvious that much of the existing literature deals with fund raising in general but that it frequently has applicability for fund raising in higher education. Like recipes from a cookbook where success with the menu depends on the cook and the diners, the ultimate effectiveness of educational fund-raising programs is dependent upon the solicitors and the prospective donors. Tastes, values, and circumstances vary; and procedures and practices must be viewed in the fitting perspective and used at a fitting time in a fitting place. Consequently, the next section reviews the literature dealing with the multicampus university with a focus on the unique implications of governance and financial management of fund raising in this particular setting.

IV. THE MULTICAMPUS UNIVERSITY: IMPLICATIONS OF GOVERNANCE AND FINANCIAL MANAGEMENT FOR FUND RAISING

As pointed up by Eugene Lee and Frank Bowen in their 1971 publication, The Multicampus University: A Study of Academic

Governance, the "campuses" of a multicampus university have alumni. "Alumni loyalties run to ivy-covered academic halls, not to the systemwide administrative building," they commented.[33]

The authors discovered that in the nine systems they examined, only in Illinois had a strong multicampus alumni organization concerned with development and fund-raising emerged. Further, they found that only the State University of New York was at that time making a substantial effort to build an alumni organization at the system level. Yet, in all of the systems, there appeared to be no question among administrative officials that alumni administration and other development functions would eventually become part of the central administrative structure and be integrated with it.[34]

Lee and Bowen felt that the basic rationale for the multicampus university was to promote specialization, diversity, and cooperation in a coordinted, intercampus context. They recognized the values of pluralistic approaches, in both academic planning and financial management, and endorsed the notion of separate institutions that retained some measure of autonomy. On the other hand, they saw need for the "pluralism controls" that the multicampus system appeared to have the potential to supply after the institutions were joined.[35]

The multicampus university was observed often to be in a better

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[33]Eugene C. Lee and Frank M. Bowen, The Multicampus University: A Study of Academic Governance (New York: McGraw-Hill Book Company, 1971), p. 345.

[34]Ibid., pp. 346-347.

[35]Ibid., pp. 8-9.

position than individual campuses to develop staff specialists to deal with specific problem areas or legal matters, such as those involved in tax deduction, estate planning, and deferred giving programs. In addition, the system executive seemed able to maintain a harder, more tough-minded approach to resource allocation than a campus chief executive who was subject to pressures from deans, department heads, and faculty. Economies and advantages of scale that the multicampus university possessed were found to take numerous forms. For example, the authors stated that a single campus that builds a main library resembles a homeowner who constructs a new residence. "Neither is likely to undertake the same time of construction again in the near future." But, they speculated, the multicampus university that builds the same type of buildings more than once will usually profit from its experience. Realistically, however, they also pointed out that a danger of overstandardization was always present. The building might not be aesthetically or functionally suitable for all locations.[36]

They further commented that the multicampus organization "can be an obstacle to efficient financial management rather than an agent of progressive change." They felt that multicampus systems were sometimes slow in recognizing decentralized practices and might insist on detailed review of campus fund-management programs, even in minor matters, long after such review was necessary. Also they saw another danger that the flagship campus and its system administration might be so closely identified with each other that the flagship campus could

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[36]Ibid., p. 350.

unduly impose its financial approaches upon the system as a whole. Thus, experimentation and innovation on the part of smaller, less prestigious campuses with different staffing and financial support patterns might be discouraged.[37]

In 1971, the authors concluded that: "The multicampus university can meet challenges of the 1970's only if, in fact as in theory, it can develop as a system. More than in the past, the multicampus university must be greater than the sum of its parts."[38] Four years later, in 1975, after revisiting the nine systems, they felt that the multicampus organization had definitely made a positive difference in academic planning, program reviews, and in some cases even survival as educational institutions.[39]

In retrospect in 1975, they also noted that multicampus systems, sometimes in the face of strong pressure to centralize, had been unusually sensitive to the values of individual campuses. Often systemwide activity had focused on improving the quality of campus decision making, not on preempting judgments at systemwide level. They further contended that system administrators were usually in a better position to deal with the legislature and state agencies. In essence, they appeared to feel that it was a necessity for the central

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[37]Ibid., p. 250.

[38]Ibid., p. 433.

[39]Eugene C. Lee and Frank M. Bowen, Managing Multicampus Systems: Effective Administration in an Unsteady State (San Francisco: Jossey-Bass Publishers, 1975), p. 146.

administration to maintain the potential of an "iron hand within a velvet glove."[40]

Another significant facet of multicampus systems was observed to lie in the area of the value and use of grants from private funding agencies to public institutions of higher education. Lee and Bowen referred to grants totaling $1 million from the Carnegie Corporation and Ford Foundation for assistance in establishing Empire State College in the State University of New York system. They also cited a Carnegie Corporation grant of over $450,000 to the California State University and College system. In both cases, they said these private grants solicited through the multicampus systems "undoubtedly encouraged subsequent state funding for innovation."[41]

They also observed that the central administration's authority to move funds among programs and campuses was valuable for "putting out fires." They further noted that in California and in Missouri this authority had proved to be an effective tool for maintaining progress toward long-range goals. In both systems such flexibility had prevented the layoff of tenured faculty at specific campuses where enrollments had declined, resulting in the reduction of state budget funds.[42] The implication here is clearly that the central administration might be effective in maintaining progress in long-range, fund-raising programs or other endeavors because of this flexibility in organizational structure.

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[40]Ibid., p. 147.

[41]Ibid., pp. 71-72.

[42]Ibid., p. 66.

Lee and Bowen's 1975 overall assessment of multicampus systems was that the institutions were in midstream. The authors commented:

> The expansionist dreams of the 1960's have been left behind and the harsh reality of the 1980's lies ahead. But a major objective of multicampus administration has emerged from the experience of the past five years: for the foreseeable future, creative use must be made of the unique organizational structure that combines coordination and governance. Coordination implies a continuing high level of campus autonomy--the prerogative of the campuses to promote their own institutional stamp and style. Governance, on the other hand, implies that central administration has direct operational responsibility and is accountable to the state for the sum of activity across campuses.[43]

Lee and Bowen went on to suggest that a delicate balance between centralization and campus activity, which would understandably vary from system to system, must be maintained. With respect to the specific area of fund raising, they recognized that campus loyalties were not likely to shift perceptively to system administrative offices. But the authors apparently felt that, in matters involving capital campaigns, deferred giving and estate planning, and in solicitations from corporations and foundations, the central administration might prove better equipped to provide personnel with specialized expertise and to furnish the overall policy guidance and planning requisite for maximizing voluntary contributions. On the other hand, the authors concluded that it might prove desirable to rely on campuses for at least certain functions in the execution of fund-raising programs. For example, in obtaining volunteers for fund solicitations and in

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[43]Ibid., p. 148.

annual giving programs, the campuses might lead the way. In other words, the maintaining of a proper balance between centralization and campus authority might permit the achievement of the "best in two possible worlds."[44]

In summary, the two publications by Lee and Bowen contain the most detailed coverage of the multicampus university existing at the time of this study. Numerous implications for fund-raising programs are found in their examinations of governance and financial management, and one of their significant observations concerns the lack of strong multicampus alumni organizations and of centralized management of institutional development functions. This section of the chapter also points up the need for further formal research projects related to multicampus universities.

V. RELATED RESEARCH PROJECTS

A comprehensive review of literature failed to reveal any study conducted along the specific lines delineated by the statement of the problem of this study. No evidence of scholarly research on fund raising at multicampus universities was found, and the fund-raising studies that existed dealt either with private institutions of higher education or with specific problem areas peculiar to certain public colleges or to the geographical areas in which the public colleges were located. Further, of those studies, one of the earliest was completed in 1959.

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[44]Lee and Bowen, The Multicampus University, op. cit., pp. 347-348.

George Langeler appears to be a pioneer with his 1959 University of Michigan study of financial development programs at fifteen selected, small, private, liberal arts, coeducational colleges. All of the colleges that he studied were located in four midwestern states--Illinois, Indiana, Michigan, and Ohio. Langeler concluded that the colleges did not have adequately planned and executed financial development programs and that presidents of many of the institutions did not seem to offer the requisite leadership and guidance in establishing sound development programs.[45]

In the course of his analysis, Langeler developed criteria for judging a development program. He set forth twenty-one criteria which were sufficiently general in nature to have wide applicability for development programs at numerous types of educational institutions.

Criteria that related to fundamental planning were:

1. The college's objectives and needs have been examined thoroughly for the next ten years and are presented in a written report which has been accepted by the trustees.

2. Plans of a general nature for obtaining the funds needed to achieve these objectives have been developed and are outlined in a report.

With respect to constituents, Langeler's criteria were:

3. The college has identified all major constituents and publics and has determined what it should be doing for each in the way of service.

4. The college has determined what role each constituent and public group might play in relation to the college and its support.

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[45] George H. Langeler, "Financial Development Programs in Institutions of Higher Education with Special Reference to Selected Colleges" (unpublished Ph.D. dissertation, University of Michigan, 1959), pp. 161-162. (Library of Congress Microfilm Copy No. 59-2145.)

5. A survey of each of the constituent and public groups has been made to determine what kind of relationship exists between the members of the group and the colleges; e.g., feeling toward the college, understanding of its objectives, willingness to work for the college and to give.

6. In light of the knowledge of the constituent and public groups, plans for cultivating each group have been devised.

7. A communication program aimed at cultivating each constituent and public group is in operation. Such a program would include a well-thought out publicity program, group meetings, and films.

Concerning cooperation and the exchange of ideas among colleges, his criteria were:

8. The college is working cooperatively with other colleges in soliciting funds and in finding solutions to the problem of raising funds. (Membership in state college fund-raising associations or organizations such as the Council for Advancement and Support of Education would indicate such cooperation.)

9. The president and the development officer have studied the development programs of other colleges.

In the areas of personnel and organization, Langeler's criteria were:

10. The details of the development program have been examined or planned by a person of considerable experience in the field of college financial development or with the aid of professional counsel.

11. The college has a full-time development officer who guides and helps carry out the program of financial development.

12. Over the past ten years additional staff members have been added in the development area or a re-definition of duties has been carried out, such as the assignment of constituents and publics to certain people.

13. Members of the constituency have been involved in certain phases of the development program, both in its planning and in its execution.

In the execution of the development program, his criteria were:

14. The college has determined what kinds of appeals better adapt to the various constituents and publics.

15. Appeals made to the constituents and publics are made in a systematic, well-timed, well-organized fashion. (In order for this to be the case, a plan for each appeal has been outlined.)

16. The college has complete and up-to-date records on its constituents and prospects.

17. The college has records on past and present services rendered to corporations, community, church, alumni; e.g., number of alumni who are employees of a company, number of teachers in the local community, placement office services, services of students in the community, and services to local industry.

18. The president is willing to and does give considerable time to the cultivation and solicitation of major gifts.

19. The trustees of the college are interested and active in the development program. They work in the program, as well as give.

Concerning evaluation and results of the development program, Langeler stated two criteria:

20. A constant evaluation is made of the entire development program by the chief development officer and is presented to interested parties for review; e.g., the president, trustees, faculty, and development council.

21. Present financial goals are being reached and the sum of solicited funds over the past several years is significantly greater than that of a period ten years ago.[46]

The results of Langeler's research are not fundamentally different from the ideas later expressed by Abel Hanson, who published an experientially derived guide to successful fund raising, based on

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[46]Ibid., pp. 96-98.

projects in graduate seminars at Columbia University.[47] Further, the previously mentioned ideas expressed by Harold Seymour in his 1966 publication, Designs for Fund Raising, appear closely akin to Langeler's basic findings.[48]

In 1961 and 1962 at the University of Denver, Kenneth Armstrong focused his doctoral dissertation on the fund-raising program at Pasadena College, Pasadena, California. From a review of relevant literature and interviews at sixteen small, private colleges, Armstrong developed eleven basic fund-raising principles which he used as bases for a critical evaluation of the fund-raising program at Pasadena College.[49] The principles, which again at times appear to echo the criteria that Langeler had developed were:

1. There should be a definition and ranking of the needs of the institution.

2. There should be a definition of the publics of the institution and a ranking of them as resources.

3. There should be a balanced and autonomous program related to these needs and resources.

4. In the development of a program, the objectives of the institution must be kept in mind.

5. The program must be communicable and must be communicated.

6. The program must be placed in operation by an organization that is structurally efficient.

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[47]Abel A. Hanson, Guides to Successful Fund Raising (New York: Bureau of Publications, Teachers College, Columbia University, 1961), pp. 1-2.

[48]Seymour, op. cit., pp. 131-169.

[49]Kenneth S. Armstrong, "A Critical Evaluation of the Fund Raising Program of Pasadena College," Dissertation Abstracts, XXII (1962), 3478 (University of Denver).

7. There should be development of personnel related to the development of the program.

8. There should be financial efficiency in the operation of the administrative funds and manpower use.

9. There should be wide lay participation and maximum involvement of the publics.

10. There should be a time schedule related to institutional needs and the developed or projected program.

11. There should be continuous evaluation and reassessment of the institution's needs, program and operation.[50]

Armstrong concluded that the principles could be extended to other educational institutions with similar governance and management.

In approximately the same timeframe, William Bakrow confined his fund-raising study at Indiana University to private colleges and universities. He obtained data through questionnaires sent to 175 selected educational institutions, which included private men's colleges, private women's colleges, small coeducational colleges, large coeducational colleges, and private universities. Based on the responses received from 117 institutions, Bakrow concluded that there was a marked difference in what practices and procedures were effective at one type of institution, as contrasted with another type of college; for example, small coeducational colleges as opposed to private men's colleges. Staffing practices and even the titles assigned to fund-raising personnel varied appropriately by institution, he observed, just as other more functional practices often vary.[51]

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[50]Ibid.

[51]William J. Bakrow, "The Relative Effectiveness of Certain Procedures and Practices in Funding Raising in Selected Private

Bakrow further concluded that there were some fund-raising practices which appeared from the results of the study to be universal in their applications. He emphasized, however, that his evidence indicated that there was no single program for effective fund raising that could be evolved that would be applicable to all institutions of higher learning.[52]

In 1967, William Britt conducted a study of the functions performed by development offices at land-grant institutions. Sixty-two of ninety-seven institutions responded to his questionnaire, and Britt's conclusion was that the evidence clearly indicated that the activities of most development offices included much more than simply fund-raising. Some of the other functions frequently mentioned were physical plant expansion, alumni relations, public affairs, and legislative relations.[53]

Also in 1967, Luther Smith analyzed the efforts of the same ninety-seven land-grant institutions to attract corporate support. Based on the responses of seventy-five of the public educational institutions, Smith concluded that fund-raising techniques required greater sophistication, more complete study, and better appreciation by key college and university officials. He recommended that a carefully

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Colleges and Universities" (unpublished Ed.D. dissertation, Indiana University, 1961), p. 159. (Microfilm Order No. 62-177.)

[52]Ibid.

[53]William M. Britt, "The Office for Development at Selected State Institutions of Higher Education" (unpublished Ed.D. dissertation, University of Tennessee, 1967), pp. 101-103.

planned and meticulously executed program be organized by the institutions concerned for the specific purpose of maximizing corporate support.[54]

Ray Beckett completed a study, in 1973 at the University of Utah, of the deferred giving programs at twelve public college and universities in the Intermountain West. States represented were Colorado, Idaho, Montana, Utah, Wyoming and Washington. Comparing the programs, he found that trusts and estate planning were not being completely accepted as fund-raising techniques. He attributed this situation to a lack of knowledge and staff expertise in administering deferred giving programs. He concluded that greater effort should be made to inform college administrative officials of the potential benefits of such programs; to make more effective use of presidents, trustees, faculty and students in establishing institutional development goals; and to make more extensive use of volunteers in identifying prospective deferred givers and in their cultivation.[55]

In the same year at the University of Tennessee, Thomas England investigated the influence of student protest upon philanthropic support of selected public and private colleges and universities during the period from 1960 to 1970. England concluded that the major

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[54]Luther Smith, Jr., "Guidelines for Efforts of Public Universities to Attract Corporate Support" (unpublished Ph.D. dissertation, Florida State University, 1967), p. 182.

[55]Ray H. Beckett, Jr., "The Meaning, Management, and Benefits of a Deferred Gifts Program for Public Institutions of Higher Learning in the Intermountain West" (unpublished Ph.D. dissertation, University of Utah, 1973), pp. 261-262. (Microfilm Order No. 73-23107.)

incidents of student unrest did not have significant adverse effect upon the philanthropic financial support of the higher educational institutions examined.[56]

In 1974, three studies concerning specific facets of fund raising were completed. John Dane analyzed financial support of higher education by philanthropic foundations.[57] Michael Luck, in a Ph.D. dissertation at Southern Illinois University, examined the use of institutional corporations or foundations organized by two-year community colleges,[58] and Ronald Perrote conducted a study of the development programs at five public universities in the state of Michigan.[59] Dane found, by studying the giving records of the twenty largest philanthropic foundations in the United States, that their support for higher education had steadily increased from 1955 to 1970. He concluded that the pattern of increase appeared likely to continue throughout the 1970's.[60] Luck, on the other hand, concluded

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[56]Thomas G. England, "Influence of Student Protest Upon Philanthropic Support of Selected Institutions of Higher Education" (unpublished Ed.D. dissertation, University of Tennessee, 1973), pp. 92-93.

[57]John H. Dane, "An Analysis of the Trends of Financial Support by Philanthropic Foundations to General Programs in U.S. Higher Education, 1955-1970" (unpublished Ph.D. dissertation, University of Pittsburgh, 1974). (Microfilm Order No. 74-21670.)

[58]Michael F. Luck, "The Characteristics of Foundations and Fund Raising in Public Comprehensive Two-Year Colleges," Dissertation Abstracts International, XXXV (1974), 7685-A (Southern Illinois University).

[59]Ronald J. Perrote, "Fund Raising in Higher Education in the United States with Special Reference to Selected Institutions in the State of Michigan" (unpublished Ph.D. dissertation, 1974), pp. 1-136. (Microfilm Order No. 74-27468.)

[60]Dane, op. cit., pp. 184-185.

that public community colleges had not yet begun to utilize fully the potential of college corporations and foundations and that more time was needed for community colleges to arrive at definite guidelines and rules for planning fund-raising programs and financial management.[61] In the third study, Perrote's evidence pointed to a number of both strengths and weaknesses in the fund-raising efforts of the Michigan institutions. A positive relationship was found to exist between the amount of support provided for the development programs in terms of budget and staff (investment) by the institution and the productivity in terms of money raised (return) by the development program. Common strengths of the programs were excellent volunteer participation, professional staffs, and supportive alumni.[62]

Two further studies on fund-raising programs were conducted in 1975 by Paul Gabrielsen and Gerald Sherratt. Gabrielsen, at the United States International University in San Diego, California, compared the programs of two successful small, private colleges and developed a set of generalizations which he felt could be used as a model for designing programs for other small colleges. He realistically pointed out that considerable modification might be required to adapt the model to some institutions.[63] Sherratt's investigation concerned the fund-raising

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[61]Luck, op. cit.

[62]Perrote, op. cit., pp. 132-133.

[63]Paul T. Gabrielsen, "Increasing Financial Support of Small Private Colleges Through Model Fund-Raising Programs," Dissertation Abstracts International, XXXVI (1975), 1915-A (United States International University).

efforts of eight public universities in the Midwest that had successful programs, as evidenced by their ratings revealed by data collected through surveys of the Council for Financial Aid to Education (CFAE). His primary objective was to develop a reservoir of resource materials, by gathering as much descriptive data as possible about each of the programs. He concluded that any development program should be designed to meet the specific requirements and needs of the particular institution and that a successful fund-raising effort requires careful record keeping, adequate planning, dynamic leadership, and sufficient funding.[64]

In conclusion of this section, the twelve doctoral research projects discussed span the years from 1959 to 1975. As reflected by the studies, during this period fund raising in higher education became an organized effort at many institutions nationwide. Interest and research in voluntary financial support also appeared to be stimulated, as evidenced by the increased number of formal studies conducted in the 1970's.

VII. SUMMARY

In overall summation of the chapter, the introductory section emphasized that while literature concerning fund-raising programs in general was voluminous, scholarly research was less abundant.

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[64]Gerald R. Sherratt, "A Study of the Methods and Techniques Used in Fund Raising at Selected Public Universities" (unpublished Ph.D. dissertation, Michigan State University, 1975), pp. 348-349. (Microfilm Order No. 75-27330.)

The second section traced the historical roots of educational philanthropy from ancient civilizations to modern America. Then literature relating to management practices, methods and techniques in fund raising was reviewed for relevance to institutions of higher education. In the fourth section, the multicampus university and the implications that its governance and financial management had with respect to fund raising were considered. The fifth section dealt with related research projects, and the chapter was concluded with these brief remarks. This comprehensive review of literature was necessary to provide background for understanding the presentation and analysis of the questionnaire data pertaining to the unique fund-raising programs at the study's selected public multicampus universities.

CHAPTER III

PRESENTATION, ANALYSIS AND INTERPRETATION OF DATA

I. INTRODUCTION

The specific problem addressed by this study was the question as to how public multicampus universities could best organize and manage their fund-raising programs to maximize voluntary financial support. The overall purpose of the study was twofold: (1) to determine predominant patterns of relationship that existed between campus and system-level development programs in the area of fund raising and (2) to examine the perceptions held by chief development officers at the institutions as to the effectiveness of certain practices relating to sources and constituencies and to methods and techniques used in their fund-raising programs. The purpose of this chapter is to present, analyze, and interpret the data collected by questionnaire.

The questionnaire (Appendix A) was forwarded to the chief executive officers of sixteen multicampus university systems and their flagship campuses, which met the four criteria outlined in the delimitations section of Chapter I. The chief executive officers were asked to refer the questionnaires to their chief development officers for reply. Responses were received from thirty-one of the thirty-two institutions, an overall response rate of 96.88 percent.

The one system chief executive officer who declined to permit his system chief development officer to participate explained that all

fund-raising activities in the system were conducted at campus level. The flagship campus development officer in his response, however, did provide some information pertinent to the overall campus-system relationship and fund-raising practices within the system.

To achieve the above response rate, the follow-up letter (Appendix F) which was accompanied by a second copy of the questionnaire was sent to eighteen of the institutions. A third questionnaire was also sent to three of the institutions at which the first two copies had been misplaced. Numerous telephone calls to institutional officials were necessary to urge participation and to clarify some of the data.

This chapter is organized into three divisions corresponding to the three parts of the questionnaire. First, data relating to the campus-central administration (system) relationship and the organization and management of the fund-raising programs are presented, analyzed, and interpreted. Next, fund-raising sources and constituencies are treated. This is followed by consideration of data relating to fund-raising methods and techniques.

The questionnaires were the sources for all data, not otherwise credited, used in this chapter.

II. CAMPUS-CENTRAL ADMINISTRATION RELATIONSHIP: ORGANIZATION AND MANAGEMENT OF FUND-RAISING PROGRAMS

Table II presents an overview of the management categories that the chief development officers felt best described their campus-central

TABLE II

OVERVIEW OF SYSTEM-CAMPUS FUND-RAISING MANAGEMENT

Institution[a]	Systemwide Coordinated Approach	Campus-Level Approach	Other	Foundation
A1		X		No
A2		X		No
B1		X		No
B2		X		Yes[b]
C1			X[c]	Yes[d]
C2			X[c]	No
D1	X			Yes[d]
D2	X			No
E1	X			No
E2	X			No
F1			X[e]	No
F2			X[e]	No
G1		X		No
G2		X		Yes[b]
H1		X		No
H2		X		Yes[f]
I1		X		No
I2		X		No
J1		X		No
J2		X		No
K1	X			Yes[d]
K2	X			No
L1		X		Yes[f]
L2		X		Yes[f]

TABLE II (continued)

Institution[a]	Systemwide Coordinated Approach	Campus-Level Approach	Other	Foundation
M1	X			Yes[d]
M2	X			No
N1		X		No
N2		X		No
O1		X		Yes[d]
O2		X		No
P1	X			Yes[d]
P2	X			No

[a]Number 1 following institutional code letter indicates system; number 2 indicates flagship campus.

[b]Each campus had one foundation.

[c]Colleges and departments raised funds and dealt directly with the system foundation.

[d]Entire system had one foundation.

[e]Both system and campus independently raised funds.

[f]System/campus had multiple foundations.

administration relationship in fund-raising matters and data relating to the existence of separate university foundation. In all cases, chief development officers at both system and campus levels agreed as to the best way to describe their system's fund-raising approach. The fact that the system and campus-level officers unanimously agreed implies that each echelon knew the general concept of organization and where its own office and functions were expected to fit into the structure. In two of the systems multiple foundations existed. In one of these, several foundations handled fund-raising programs for more than one campus, and an athletic fund-raising foundation co-existed with the other "general-purpose" institutional foundations. In the other system, several foundations for specific purposes were found at each campus.

Table III provides a comparison of the descriptions of system-campus fund-raising management as perceived by the chief development officers. Over half (56.25 percent) of the systems were described as having a campus-level approach to fund-raising. Five (31.25 percent) of the systems used a systemwide coordinated approach, and two (12.50 percent) described their approach as "other." In one of the "other" approaches, fund-raising was handled by colleges and departments of the university. The colleges and departments dealt directly with the system foundation. In the second of the two systems, both system and campus independently raised funds and dealt with foundations at their own levels.

Table IV indicates the number of systems using separate foundations for fund-raising purposes and provides a comparison of the

TABLE III

COMPARISON OF DESCRIPTIONS OF SYSTEM-CAMPUS FUND-RAISING MANAGEMENT

Description	Number of Systems (N=16)	Percent
Systemwide Coordinated Approach	5	31.25
Campus-Level Approach	9	56.25
Other	2	12.50

TABLE IV

COMPARISON OF SYSTEMS' USAGE OF SEPARATE FOUNDATIONS

Description	Number of Systems (N=16)	Percent
One Foundation for Entire System	6	37.50
One or More Foundations for Each Campus	4	25.00
Total	10	62.50
No Foundation	6	37.50

percent using one foundation, one or more for each campus (or serving several campuses), and no foundations in the survey population where the total number of systems was sixteen.

Ten of sixteen systems (62.50 percent) used separate foundations. With six of the ten using one foundation for the entire system, a tendency to prefer centralized control of management but decentralized fund-raising operations is visible. The preference for one foundation for the entire system could reflect the desire of the system president/chancellor to maintain close supervision over campus fund-raising activities. Similarly, the finding that six of the systems had no foundations could connote the reluctance of the system president/chancellor to release a portion of his control over financial matters to a separate agency that might not always be completely responsive to his wishes.

Several advantages and disadvantages were cited for the particular fund-raising organization used by the various institutions. Data from the questionnaire, supported by telephone interviews with development officials indicated that a number of respondents felt that the centralized approach--the alignment of all fund-raising activities under a single manager--was a desirable practice in public multicampus systems. The centralized approach was believed by some of the officials to provide more flexibility in using resources efficiently and ease of coordination of efforts, decreasing the probability of duplication in gift solicitation. Also noted was the opinion that the approach helped to centralize accountability; encouraged systematic planning, implementation and evaluation of programs, and

in some instances expedited communications. On the other hand, one respondent remarked that he considered the centralized approach to have the disadvantages of sometimes stifling campus participation and of creating a bureaucratic organization that tended to penalize some campuses while favoring others.

An advantage pointed out for the individual campus fund-raising approach was that donors usually had confidence in, and loyalty to, a campus rather than a system and were more likely to make contributions to a campus representative than to a system solicitor. Others expressed the opinion that the development of creative, imaginative ways to further the understanding and support of the university was more likely in a close, intimate campus atmosphere.

The use of a separate foundation, whether fund-raising management was centralized at the system level or left to the individual campuses, was considered by several of the development officers to be a distinct advantage. In some instances, respondents felt that the separate foundations served to protect private voluntary contributions to public institutions from control by the state and the danger that the gift money, once it had become a public fund, could be expropriated by act of the legislature, by the governor, or by the state budget director. The gift money might be rechanneled to another institution or to an altered use. The respondents further remarked that unrestricted gifts received by a foundation could be spent as directed by the foundation's officers and not be subject to state regulations such as the requirement for bidding in the purchase of good and services.

Other advantages cited for use of the separate foundation were that it provided a method for maximizing the effective use of resources, enhanced flexibility and control in business management, and helped to derive good results from endowments and investments of voluntary contributions.

Irrespective of these advantages, however, some of the chief development officers felt that the private nature of a separate foundation offered a number of disadvantages. They favored conducting their institution's development program directly under the auspices of the university. Some of the respondents noted that while it appeared unlikely that a foundation would insist upon making an expenditure for a purpose that the university opposed, it could if it wished. They remarked that most foundations make many of their expenditures on their own initiative and do not necessarily make all expenditures that the universities request of them. To this lack of control by the university over the private voluntary contributions, the chief development officers added another possible disadvantage of the separate foundation. They commented that there was sometimes confusion relative to the distinction between the foundation and the university, that the fund-raising constituencies of the institution were not always fully informed as to the reasons for the creation of the foundation, and that the existence of the foundation at times actually impeded gift solicitation.

Still another disadvantage cited was the continuing concern that had to be given to the tax-exempt status of the separate foundation. The respondents observed that careful consideration of all

activities, including proper acceptance of gifts and grants, avoidance of unrelated business activities, and strict conformance with all rules and regulations of the federal government were prerequisites for maintaining the tax-exempt status.

With respect to organizational structure, the specific structure found in each of the sixteen systems is shown in the figures in Appendix G. Four basic organizational patterns for fund raising were found to exist at the public multicampus universities surveyed. Figure 1 shows the basic structural pattern found when a systemwide coordinated approach to fund raising was used and no separate foundation existed. Only one of the sixteen systems used this particular organizational structure. (Refer to Table II, page 55, for an overview of the type of fund-raising approach and data relating to the existence of separate foundations within the systems.)

Figure 2 shows a second basic organizational pattern found when an individual campus approach to fund raising was used and no separate foundation existed. Four of the sixteen systems used this basic structural pattern with modifications to suit particular institutions.

A point that surfaced in the organizational review was that people as well as structure were key factors, and often organizations were modified to conform to the methods and abilities of available personnel. Unsound or unclear structure and failure to respect lines of communication or authority could, of course, result in confusion or inefficiency. But the purpose of organizational structure was to assist people in accomplishing organizational goals and objectives.

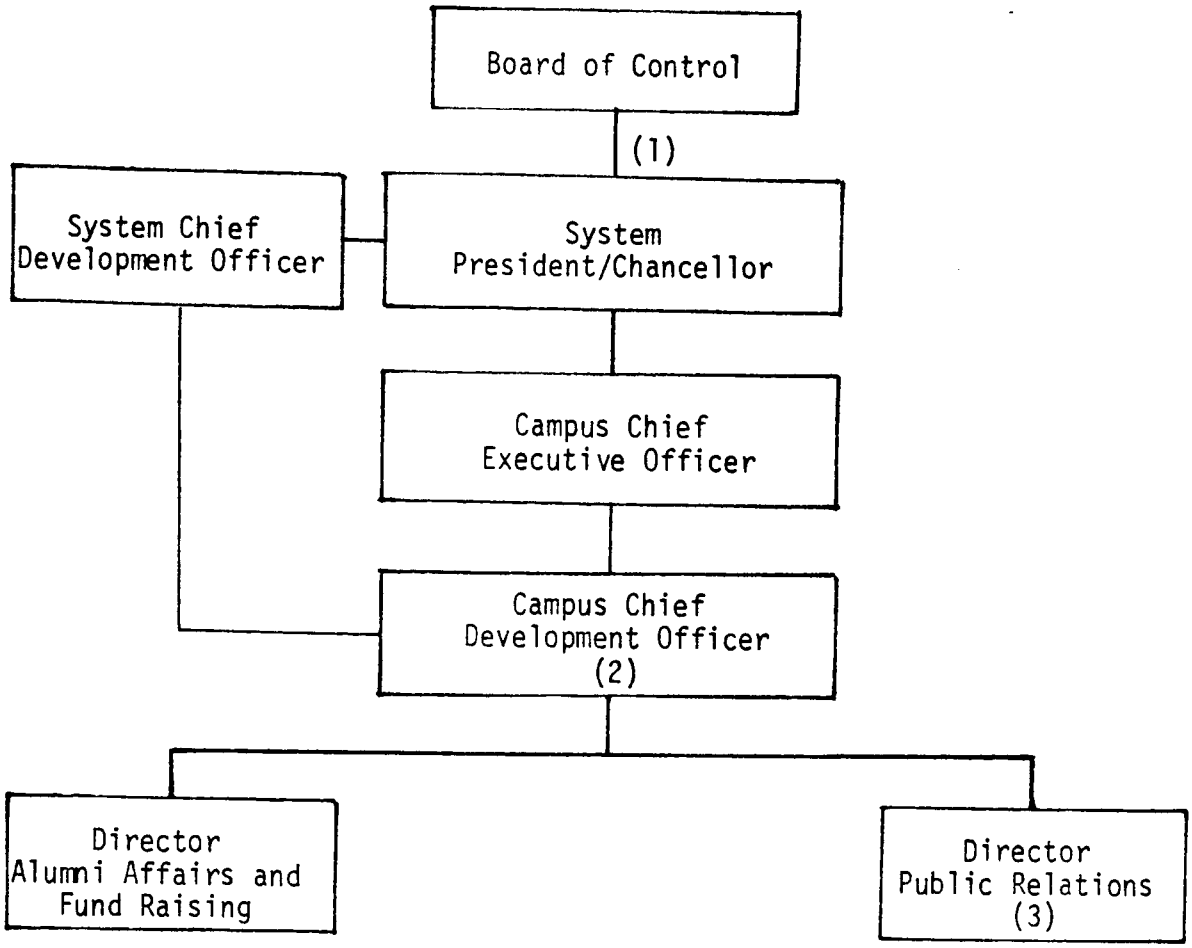


Figure 1. Basic Fund-Raising Organizational Chart: Systemwide Coordinated Approach Without a Separate Foundation.

(1) Legend: _____ indicates direct control.

(2) Campus chief development officer has dual controls. He is responsible both to the campus chief executive officer and to the system chief development officer for institutional development matters.

(3) The functions performed often include informational services and publications, sometimes directly under campus chief executive officer.

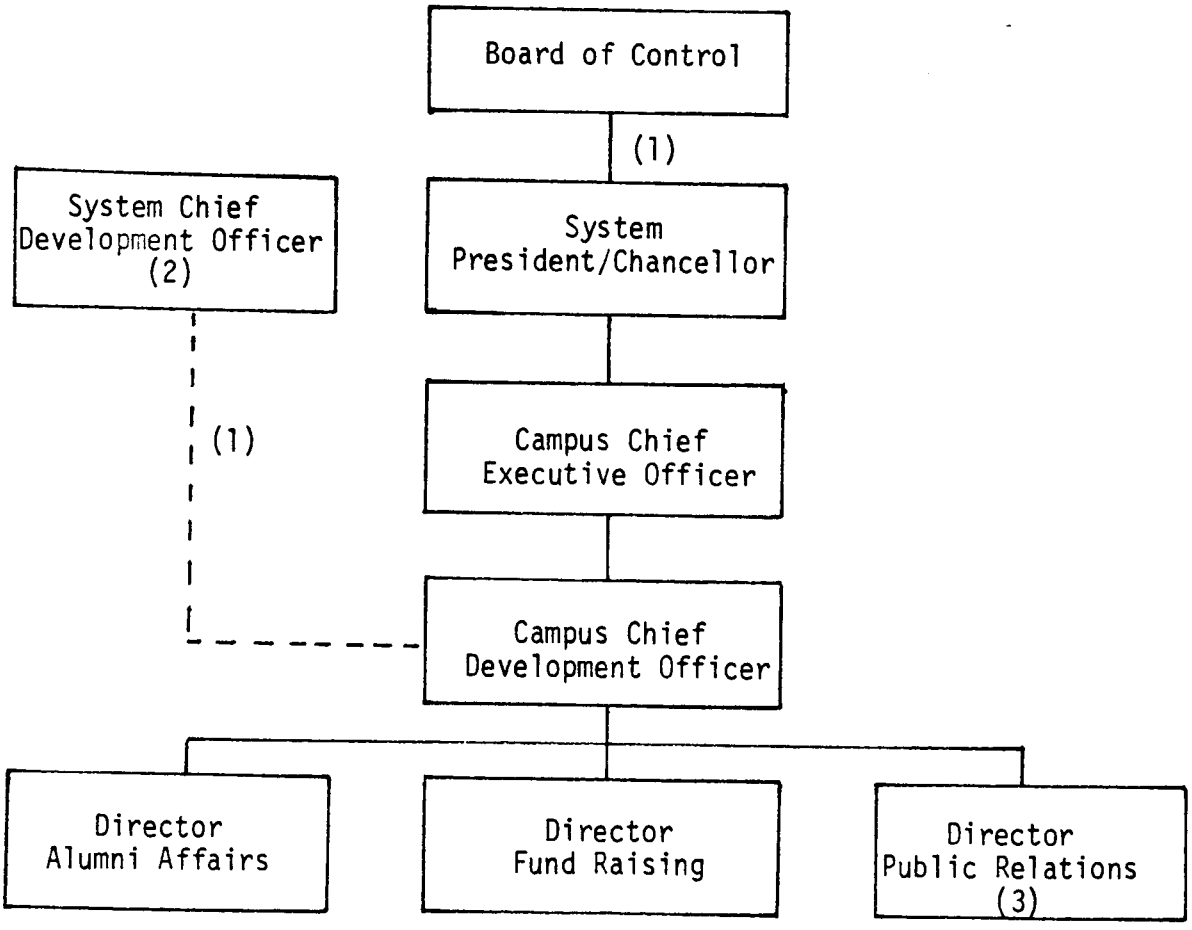


Figure 2. Basic Fund-Raising Organizational Chart: Individual Campus Approach Without a Separate Foundation.

(1) Legend: _____ indicates direct control; ----- indicates coordination.

(2) System chief development officer informally coordinates with campus development staff, providing overall system policies and suggested guidance.

(3) The functions performed often include informational services and publications, sometimes directly under campus chief executive officer.

This point was also emphasized by a Vice President for Development of a major state university system in a discussion with the writer.[1]

The organizational patterns in Figures 1 and 2 reflect a conventional "chain of command" type organization with a vertical hierarchial structure. The patterns may be particularly adaptable to the needs of public multicampus systems where fund raising is sometimes a less highly developed activity than at private multicampus universities. For public universities the primary source of building and operating funds is usually appropriations from the state legislature, and the chief goals of advancement programs are to create and maintain favorable climates for increased appropriations and understanding of the state institution's educational programs.[2] In this respect, in Figures 1 and 2, public relations and alumni affairs were on comparable levels with fund raising, and emphasis could be placed on the activities requiring the most effort and attention.

A third basic organizational pattern for fund raising is shown in Figure 3. Here one separate foundation served the entire system. Six of the sixteen systems used this basic pattern with individual modifications as appropriate.

Figure 4 shows a fourth basic organizational structure found

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[1]Statement by Dr. Joseph E. Johnson, Vice President for Development, University of Tennessee Central Administration, personal interview, Knoxville, Tennessee, December 3, 1976.

[2]Steven Muller, "The Definition and Philosophy of Institutional Advancement," Handbook of Institutional Advancement (San Francisco: Jossey-Bass Publishers, 1977), p. 5.

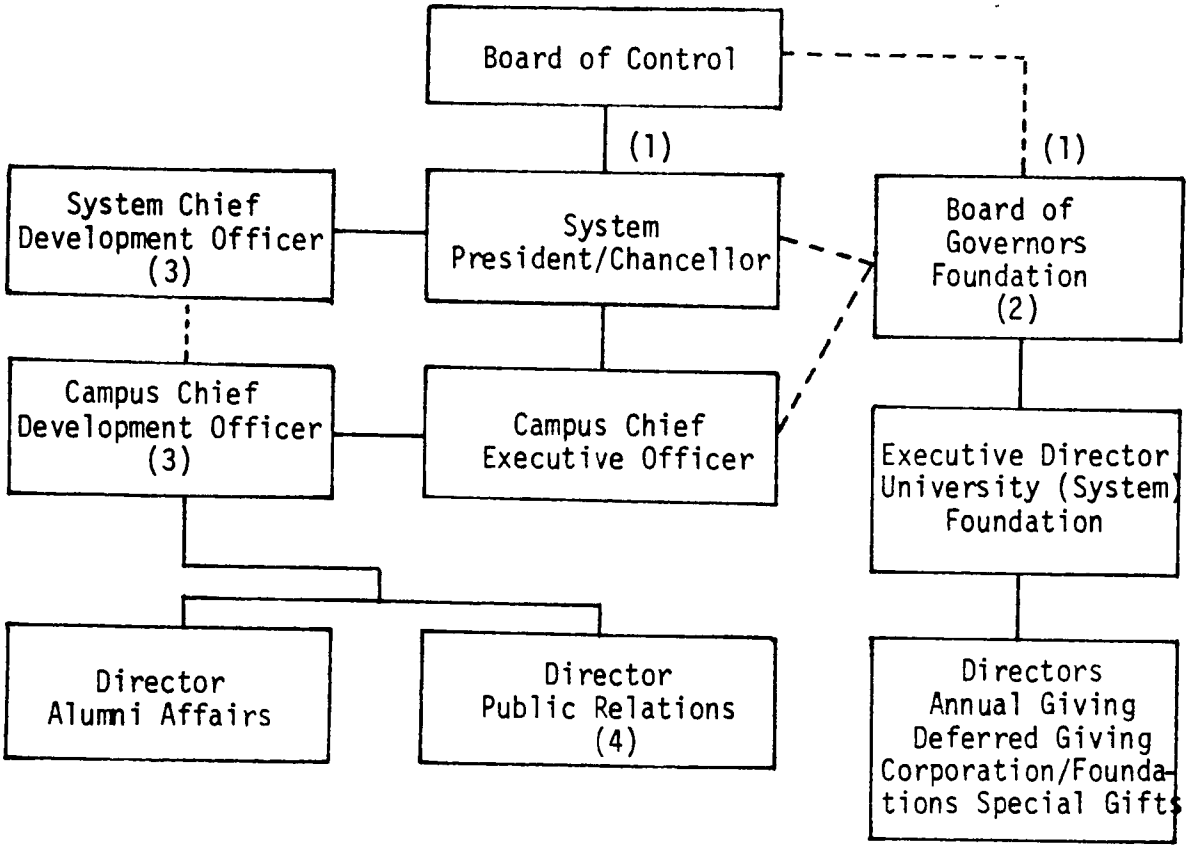


Figure 3. Basic Fund-Raising Organizational Chart: One Foundation Serving System.

(1) Legend: _____ indicates direct control; ---- indicates coordination.

(2) The Board of Governors of the Foundation often has representation from the Board of Control in its membership; the system president/chancellor and the campus chief executive officer are usually members of the Board of Governors.

(3) System and campus chief development officers are sometimes members of the Board of Governors.

(4) The functions performed often include informational services and publications, sometimes directly under campus chief executive officer.

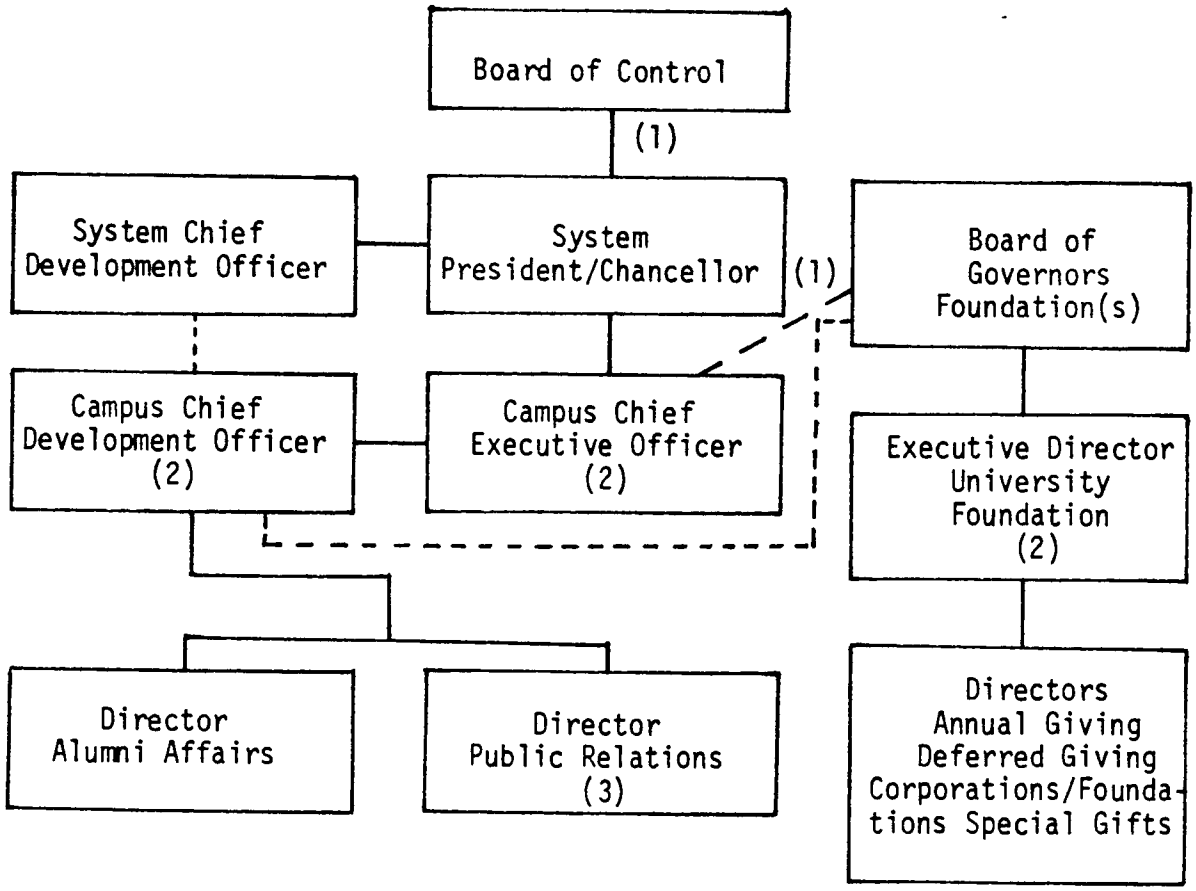


Figure 4. Basic Fund-Raising Organizational Chart: Foundation(s) at Individual Campus Level.

(1) Legend: _____ indicates direct control; ---- indicates coordination.

(2) Campus chief executive officer and campus chief development officer are usually members of the Board of Governors of the Foundation. Campus chief development officer is sometimes executive director of the university foundation.

(3) The functions performed often include informational services and publications, sometimes directly under campus chief executive officer.

when a foundation or multiple foundations existed at individual campuses. Four of the sixteen systems used this basic pattern with individual modifications.

Figures 3 and 4 reflect organizational patterns in which fund raising is treated as a function apart from alumni affairs and public relations. These structures do not imply that alumni affairs and public relations are unimportant and unrelated to fund-raising programs. Rather they separate the numerous services provided for alumni and the various community contacts of the university from the specific fund-raising function. Coordination between the university administration and the separate foundation is critical in fund-raising efforts, especially when volunteers for fund-raising campaigns, publicity for program objectives, and contacts with business corporations must be dealt with effectively and without duplication of effort.

In one instance, multiple foundations existed at both system and campus levels. This structure is not presented as a basic pattern, however, since it represented an extremely complicated system that (according to explanatory material accompanying the returned questionnaire) was in the process of being gradually phased out. The respondent indicated that adoption of a basic pattern resembling Figure 4 was anticipated.

The organizational structures used for fund raising did not appear to be affected by the actual size of the system or flagship campuses. The Spring, 1977, enrollments (full-time equivalents) of systems and flagship campuses are shown in Table V. The percent of

TABLE V

TOTAL SYSTEM AND FLAGSHIP CAMPUS ENROLLMENTS

Institution[a]	Enrollment (FTE)[b]	Percent
A1	16,152	
A2	6,000	37.15
B1	365,000	
B2	12,500	3.42
C1	56,140	
C2	31,678	56.43
D1	38,922	
D2	16,678	42.85
E1	40,590	
E2	28,000	68.98
F1	46,330	
F2	35,890	77.47
G1	120,540	
G2	29,730	24.66
H1	92,525	
H2	20,536	22.20
I1	86,000	
I2	40,000	46.51
J1	47,640	
J2	21,896	45.96
K1	74,050	
K2	27,509	37.15
L1	123,771	
L2	35,500	28.68
M1	45,000	
M2	24,500	54.44

TABLE V (continued)

Institution[a]	Enrollment (FTE)[b]	Percent
N1	17,893	
N2	11,208	62.64
O1	29,659	
O2	23,500	79.23
P1	47,000	
P2	30,975	65.90

[a]Number 1 following institutional code letter indicates system; number 2 indicates flagship campus.

[b]FTE = Full-Time Equivalent.

students in each system who were enrolled at the flagship campus of the system varied from a high of 79.23 to a low of 3.42. No relationship was discernible between the percent of students enrolled at the flagship campus and the total enrollment of the system. (A comparison is made later in the study of institutional size and fund-raising staff size.)

Responses as to whether the systems and flagship campuses had direct fund-raising responsibilities (FRR) and the number of personnel (professional and clerical) employed at each level for fund-raising purposes are presented in Table VI. Staff sizes varied from zero where no fund-raising functions were performed at a particular level or where the full-time equivalent of personnel performing the function was less than one to an office staff of nine full-time professionals and eighteen clerical personnel at one of the system development offices.

The data in Table VI suggest that overall staff sizes for development offices may be related to whether or not the particular development offices had direct FRR. The item on the questionnaire asked the specific number of personnel employed for full-time fund-raising activities, and as shown in Table VI it appears that when an institution had fund-raising responsibility it had a number of both professional and clerical personnel for that purpose. Foundations with direct FRR were also observed to have even larger numbers of personnel for that purpose than the institutional development offices. For example, foundations handling fund-raising functions for the entire system had very large staffs. CF had ten professionals and

TABLE VI

OVERVIEW OF INSTITUTIONS/FOUNDATIONS HAVING DIRECT FUND-RAISING RESPONSIBILITIES AND STAFF SIZES

Institution/ Foundation[a]	Has Direct FRR[b]	Staff Size	
		Professional	Clerical
A1	Yes	0	0
A2	Yes	1	1
B1	No	0	0
B2	Yes	3	3
BF[c]	No	0	0
C1	No	0	0
C2	No	0	0
CF[c]	Yes	10	12
D1	Yes	3	5
D2	No	0	0
DF[c]	Yes	4	6
E1	Yes	9	18
E2	Yes	2	5
F1	Yes	3	1
F2	Yes	2	1
G1	No	0	0
G2	Yes	N/A[d]	N/A[d]
GF[c]	Yes	7	15
H1	No	0	0
H2	Yes	3	4
HF[c]	Yes	N/A[d]	N/A[d]
I1	Yes	2	3
I2	Yes	5	6
J1	No	0	0
J2	Yes	4	7

TABLE VI (continued)

Institution/ Foundation[a]	Has Direct FRR[b]	Staff Size	
		Professional	Clerical
K1	Yes	N/A[d]	N/A[d]
K2	No	0	0
KF[c]	Yes	12	30
L1	No	0	0
L2	Yes	1	1
LF[c]	Yes	5	4
M1	Yes	2	3
M2	Yes	1	2
MF[c]	No	0	0
N1	No	0	0
N2	Yes	4	4
O1	No	0	0
O2	Yes	3	4
OF[c]	No	0	0
P1	No	0	0
P2	No	0	0
PF[c]	Yes	9	14

[a]Number 1 following institutional code letter indicates system; number 2 indicates flagship campus.

[b]FRR = Fund-Raising Responsibilities.

[c]Foundations identified by code letter for system followed by letter "F."

[d]Data not available because no distinction made in development office among various functions, such as alumni affairs, fund-raising activities, and public relations.

twelve clerical personnel; KF had twelve professionals and thirty clerical; and PF had nine professionals and fourteen clerical personnel.

A comparison of institutions and foundations that had direct FRR and the overall percent of "yes" responses, categorized by system, campus or foundation, is shown in Table VII. Seventy-five percent of the flagship campuses as compared to 43.75 percent of the system development offices had direct FRR. Seven of the ten institutions having separate foundations were revealed to be using the foundations for direct fund raising.

Some of the flagship campuses that had direct FRR also had campus or system foundations that planned their programs and managed the funds received through their campus offices. Two of the three foundations that did not have direct FRR had responsibility for handling financial management for their entire systems (MF and OF). The foundation designated "BF" represented multiple foundations (one at each campus), and each of the separate foundations only managed the funds after receiving them from its campus.

In another matter, the determination of overall administrative policy for fund-raising programs was revealed to be shared by various officials at the surveyed institutions. Respondents were requested to indicate as many officials as appropriate according to the practices of their institution. Sixty-two responses were received from the thirty-one respondents. Table VIII records the responses and provides the percent of respondents whose institutions used certain officials to

TABLE VII

COMPARISON OF INSTITUTIONS/FOUNDATIONS HAVING DIRECT FUND-RAISING RESPONSIBILITIES

Institutions/ Foundations	Direct FRR[a] Yes	No	Percent of "Yes" Responses
Total Systems (N=16)	7	9	43.75
Total Flagship Campuses (N=16)	12	4	75.00
Foundations (N=10)	7	3	70.00

[a]FRR = Fund-Raising Responsibilities.

TABLE VIII

DETERMINATION OF OVERALL ADMINISTRATIVE POLICY FOR FUND-RAISING PROGRAMS

Official	Number of Responses[a]	Percent of Respondents
Campus president/chancellor	20	64.52
System president/chancellor	16	51.61
Governing board members	13	41.94
System chief development officer	6	19.35
Campus chief development officer	5	16.13
Foundation officials	2	6.45
Total	62	

[a]N=31 because there were respondents from thirty-one institutions, some with multiple responses.

determine the fund-raising policy. In almost two-thirds of the institutions the campus chief executive officer played a direct role in the determination of overall administrative policy relating to fund-raising programs, but in only 6.45 percent of the institutions were foundation officials perceived to have an active role in policy determination. Chief development officers at both system and campus levels perceived themselves in only a few cases to be involved in the determination of overall fund-raising policy.

The system president/chancellor, although receiving the second highest rating (51.61 percent), was perceived to be considerably less involved in administrative policy determination than the campus chief executive officer. A possible interpretation might be that at public multicampus universities the system president/chancellor chooses to spend much of his time in the actual cultivation of constituents and in public relations matters, leaving administrative matters to campus officials. It could also, of course, be that the system chief executive officers do not always fully appreciate the value of voluntary support and sometimes look almost exclusively to state legislatures for public funds.

The relatively low ratings of development officers and foundation officials could imply that these personnel were supervised rather closely by other university or foundation officials and had only limited opportunity to try innovative fund-raising methods and techniques. The ratings could suggest that the talents of these individuals were not being fully utilized.

The data indicated that chief development officers were divided

in their opinions as to whether their multicampus organization should be considered as having a positive or negative effect on fund-raising efforts. Table IX lists the responses on this matter and reflects that less than one-half of the thirty-one chief development officers felt that the multicampus organizational structure actually promoted a "giving climate" among their constituents. Only three (9.68 percent), all from flagship campuses, felt the multicampus organizational structure impeded a "giving climate." The rest felt it had no effect or they were undecided.

Responses as to the practice of projecting fund-raising goals and institutional needs for several years and providing them in a written report to the governing board are contained in Table X. The table indicates that the practice was not being used as extensively as either George Langeler or Abel Hanson would have visualized as necessary in their criteria for fund-raising programs.[3] (See Chapter II, pp. 42-46). Nearly one-half (48.39 percent) of the respondents did not use such a practice and no written reports were required for either the central administration or the governing board. Of those institutions that did report to the governing board in writing, however, the most common practice was to consolidate the projections of goals and needs at the central administration and submit them in one document for the entire system. Twelve institutions

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[3]George H. Langeler, "Financial Development Programs in Institutions of Higher Education with Special Reference to Selected Colleges" (unpublished Ph.D. dissertation, University of Michigan, 1959), pp. 161-162. (Library of Congress Card No. Microfilm 59-4125); and Abel A. Hanson, Guides to Successful Fund Raising (New York: Bureau of Publications, Teachers College, Columbia University, 1961), pp. 1-2.

TABLE IX

EFFECT OF MULTICAMPUS ORGANIZATION ON
FUND-RAISING PROGRAM

Effect	Number of Responses (N=31)[a]	Percent
Promotes a "giving climate" among constituents	15	48.39
Impedes a "giving climate" among constituents	3[b]	9.68
Other	13	41.93
Has no effect	(7)	(22.58)
Don't know	(6)	(19.35)
Total	31	

[a]N=31 because there were thirty-one institutions responding, with one response each.

[b]All three negative responses were from flagship campuses.

TABLE X

PRACTICE OF PROJECTING FUND-RAISING GOALS AND INSTITUTIONAL NEEDS

Description of Practice	Number of Responses (N=31)[a]	Percent
Projections are by individual campus; submitted directly in separate written documents to the governing board.	4	12.90
Projections are consolidated by the central administration; submitted in one written document to the governing board.	12	38.71
Projections of fund-raising goals and institutional needs are left strictly to campus discretion; no written reports are required for the central administration or the governing board.	15	48.39
Total	31	

[a]N=31 because there were thirty-one institutions responding, with one response each.

(38.71 percent) used this practice of consolidating the reports, and four (12.90 percent) of the institutions made projections at campus level and submitted them directly to the governing board.

With respect to record keeping, Table XI presents the questionnaire data concerning this practice and reflects the percent of institutions maintaining the alumni records at specific locations. Only a very small percent (6.45 percent) of the institutions maintained records at both system and campus levels. The individual campus was found to be the location of almost two-thirds (61.29 percent) of the alumni records. The location of the records is perhaps not as important as the availability of the data when they are needed. Since 75.00 percent of the total flagship campuses were found to have direct fund-raising responsibilities, the implication is that the locations of the records at campus level were generally appropriate. Only 25.81 percent, however, had records located at the central administration which indicated that many multicampus systems may be overlooking the possibilities of using a network of electronic data processing (EDP) in their fund-raising programs.

Table XII contains a comparison of institutional size (enrollments) and the fund-raising staff size of those institutions that were found to have direct fund-raising responsibilities (both system and campus institutions). Nineteen institutions were revealed to have direct fund-raising responsibilities. The institutions were categorized by size, with four having enrollments of 6,000 to 19,999; six having enrollments of 20,000 to 29,999; seven having enrollments of 30,000 to 49,999; and two having enrollments of over 50,000.

TABLE XI

LOCATION OF ALUMNI RECORDS

Location	Number of Responses (N=31)[a]	Percent
Individual campus	19	61.29
Central administration	8	25.81
Other	4	12.90
Both System and Campus	(2)	(6.45)
Independent Alumni Foundation	(2)	(6.45)
Total Responses	31	

[a]N=31 because there were thirty-one institutions responding, with one response each.

TABLE XII

COMPARISON OF INSTITUTIONAL SIZE (ENROLLMENTS) AND FUND-RAISING STAFF SIZE

Institutional Enrollments[a] (FTE)[b]	Staff Size	
	Professional	Clerical
6,000 - 19,999		
A1	0	0
A2	1	1
B2	3	3
N2	4	4
20,000 - 29,999		
E2	2	5
G2	N/A[c]	N/A[c]
H2	3	4
J2	4	7
M2	1	2
O2	3	4
30,000 - 49,999		
D1	3	5
E1	9	18
F1	3	1
F2	2	1
I2	5	6
L2	1	1
M1	2	3
50,000 and Over		
I1	2	3
K1	N/A[c]	N/A[c]

[a]Number 1 following institutional code letter indicates system; number 2 indicates flagship campus.

[b]FTE = Full-Time Equivalents.

[c]Data not available.

Staff sizes were not available for two of the institutions having direct FRR.

The institutional size did not appear to affect the size of the fund-raising staff of development offices. When categorized by institutional enrollment, the institutions failed to reflect any definite size pattern for either professional or clerical personnel. Generally, however, the number of clerical personnel was slightly larger than the number of professional employees in each office.

In summary, this division of the chapter presented, analyzed and interpreted data relating to the campus-central administration (system) relationship and the organization and management of fund-raising programs at the selected public multicampus universities surveyed in the study. The data covered responses obtained from the first ten questions of the questionnaire. The next division of the chapter covers data obtained from responses to questions eleven through sixteen of the questionnaire.

III. FUND-RAISING SOURCES AND CONSTITUENCIES

The chief development officers at both systems and flagship campuses were asked to respond to all parts of the questionnaire that were applicable to their system or campus development office. Several of the respondents did not complete all questions of Parts II and III of the questionnaire and left blank the items on which they did not have data available or preferred not to answer. Consequently, the number of respondents (N) used to calculate percentages for purposes of comparison varied.

In the comparison of the principal sources of fund solicitation shown in Table XIII, twenty-five of the thirty-one respondents completed the questionnaire item. All respondents listed annual giving as a principal source of fund solicitation at their institutions, but non-alumni sources outranked alumni sources with a rating of 96 percent as compared to 88 percent for alumni sources. This was followed by business corporations with 84 percent. Special gift sources (16 percent) were perceived as being the least important of source categories, and slightly over half of the respondents (56 percent) regarded deferred giving as a principal source of fund solicitation.

Chief development officers were asked to evaluate the effectiveness of the assistance that they received from certain individuals and groups in cultivating prospective donors. Table XIV provides a comparison of their perceptions of the effectiveness of those individuals/groups. The number completing the question was twenty-five of the thirty-one or 80.65 percent of the respondents.

Respondents were asked to indicate the degree of effectiveness using the following scale: 4-Very effective, 3-Relatively effective, 2-Relatively ineffective, and 1-Ineffective. A weighted average or mean effectiveness score was calculated for each of the individuals/groups. The weight assigned to each response corresponded to each respondent's choice of degree of effectiveness; the value of each response was multiplied by the number of respondents choosing that value. The total value of the sum of all responses was then divided by the sum of the respondents to obtain the weighted average score.

TABLE XIII

COMPARISON OF PRINCIPAL SOURCES OF FUND SOLICITATION

Source	Number of Institutions Using (N=25)[b]	Percent
Annual Giving	25	100.00
Alumni	(22)	(88.00)
Non-Alumni	(24)	(96.00)
Business Corporations	21	84.00
Foundations	19	76.00
Deferred Giving	14	56.00
Special Sources	4	16.00
Civic Organizations	(2)	(8.00)
Campus Organizations	(2)	(8.00)

[a]N=25 because twenty-five of the thirty-one or 80.65 percent of the responding institutions completed this question.

TABLE XIV

COMPARISON OF PERCEPTIONS OF EFFECTIVENESS OF INDIVIDUALS/ GROUPS IN SOLICITING FUNDS

Individuals/Groups	Responses (N=25)[a] and Degree of Effectiveness 4	3	2	1	Weighted Ave. Score[b]
System president/ chancellor	14	10	0	1	3.48
Campus president/ chancellor	12	10	3	0	3.36
Alumni	8	14	3	0	3.20
Faculty	3	6	12	4	2.32
Members of governing board	3	5	13	4	2.28
Students	1	6	5	13	1.80
Staff	1	2	0	0	0.40
Friends	1	1	0	0	0.28

[a]N=25 because twenty-five of the thirty-one or 80.65 percent of the responding institutions completed this question.

[b]The weighted average score is obtained by dividing the sum of the total value of all responses by the sum of the respondents. The higher the weighted average score, the more effective the individuals/groups are perceived to be. The maximum score is 4.00.

The effectiveness of the system president/chancellor was perceived to rate the highest with a score of 3.48 where the maximum possible value was 4.00. The campus president/chancellor and alumni were also found to have a high rating with a score of 3.36 and 3.20, respectively.

Students were rated as relatively ineffective overall with a weighted average score of 1.80. This suggests that training programs for volunteer fund-raising workers might be helpful. Such programs could include students. Apparently seven of the respondents had observed successful student fund solicitation. One respondent rated students as "Very effective" (rating of 4), and six rated students as "Relatively effective" (rating of 3).

Table XV presents the responses with respect to whether or not the institutions used special gift organizations in their solicitation efforts. Twenty-two (84.62 percent) of the twenty-six responding institutions were found to be utilizing this practice in dealing with constituencies. These "clubs" ranged from President's Clubs with $10,000 contributions to Century Clubs with $100 contributions. One institution noted that it used such an organization for fund raising for athletic purposes only. Three institutions (11.54 percent) did not use special gift organizations in any form.

Eligibility for membership was based on contributions of a specified size, but a related value of such clubs was that they appeared to help the institutions to maintain friendly contacts with most segments of their constituencies. The gift organizations were also regarded as a reflection of members' confidence in the institution

TABLE XV

COMPARISON OF INSTITUTIONS HAVING SPECIAL GIFT ORGANIZATIONS

Description	Number of Institutions (N=26)[a]	Percent
Various organizations based on the amount of the gift[b]	22	84.62
Athletic club only	1	3.85
Do not have	3	11.54
Total	26	

[a]N=26 because twenty-six of the thirty-one or 83.87 percent of the respondents completed this question.

[b]Examples were organizations whose eligibility for membership was determined by a contribution of a specified size, such as President's Club $10,000, Chancellor's Circle $5,000, Gold Cup $500, Silver Cup $250, and Century Club $100.

and assisted in the cultivation of other prospective donors.

Twenty-five of the thirty-one, or 80.65 percent of the responding institutions, completed the question concerning constituencies from which funds were solicited. Table XVI lists the constituencies and shows a comparison of the percent soliciting funds from each constituency. One hundred percent perceived alumni as being part of their constituency from which funds were solicited, and this was trailed closely by corporations and friends of the university with 92 percent each. Only 40 percent, however, identified parents as constituents from whom funds were solicited.

The comparison of constituencies indicates that the respondents considered the six listed constituents as fairly all-inclusive, with only one additional group (civic organizations) as a write-in. Conspicuously missing from the list, however, were the students currently enrolled at the university. Students often do not have large personal sums to contribute, but they could assist in parent solicitation programs and also act as volunteer workers in fund-raising campaigns. Regarding the students as constituents and soliciting even small amounts from them as students might provide exposure to fund-raising efforts and perhaps help to motivate increased giving later when they become alumni.

To analyze the effectiveness of solicitation efforts at the institutions, a solicitation ratio was utilized to determine the percent of those who actually contributed when asked to do so. The percent was obtained by dividing the number who contributed by the number solicited for fiscal years 1971-72 and 1975-76. Table XVII

TABLE XVI

COMPARISON OF CONSTITUENCIES FROM WHICH FUNDS WERE SOLICITED

Constituency	Number of Responses[a]	Percent of Respondents
Alumni	25	100.00
Business corporations	23	92.00
Friends	23	92.00
Foundations	17	68.00
Faculty	15	60.00
Parents	10	40.00
Civic organizations	2	8.00
Total	115	

[a]N=25 because twenty-five of the thirty-one or 80.65 percent of the responding institutions completed this question, with multiple responses.

TABLE XVII

SOLICITATION EFFECTIVENESS OF ANNUAL GIVING CAMPAIGNS[a]

Institution[b]	Solicitation Ratio[c]		Percent Contributing	
	1971-72	1975-76	1971-72	1975-76
A2	800/ 10,000	1,500/ 16,000	8.00	9.38
B2	N/A[d]	4,000/ 40,000	N/A	10.00
C1	13,806/180,000	12,125/222,450	7.67	5.45
D1	10,000/ 65,000	12,500/ 80,000	15.38	15.62
E1	14,952/ 73,000	20,629/ 84,000	20.48	24.56
F1	4,521/ 79,933	5,226/ 95,000	5.65	5.50
G1	17,022/323,376	53,147/433,610	5.26	12.26
G2	10,864/180,000	21,124/225,000	6.04	9.39
H2	10,284/ 49,567	10,223/ 69,017	20.75	14.81
J2	8,700/ 95,840	9,913/103,546	9.08	9.57
K1	19,195/115,222	18,775/135,782	16.66	13.83
L1	17,004/130,000	17,699/140,000	13.08	12.64
M1	9,945/ 57,496	7,723/ 67,565	17.30	11.43
N1	N/A[d]	9,559/ 64,810	N/A	14.75
O2	4,656/ 14,876	11,200/ 45,000	31.30	24.89
P1	7,317/ 65,000	16,364/ 96,628	11.26	16.94

TABLE XVII (continued)

[a]Institutions not completing this question were omitted from the table.

[b]Number 1 following institutional code letter indicates system; number 2 indicates flagship campus.

[c]Solicitation Ratio is the number of donors divided by the number solicited in the Annual Giving Campaign. Figures for fiscal years are used.

[d]N/A indicates that this information was not available.

shows these data for each of the respondents.

The table reflects that only sixteen institutions provided data for the computation of a solicitation ratio for one or both of the two fiscal years. The ratio was higher in FY 1975-76 than in FY 1971-72 at only seven of the sixteen reporting institutions. In most cases the number of donors was greater in the later year, but the percent of effectiveness was lower suggesting that some annual giving programs may need increased attention. Another possible explanation is that institutions were being attracted by the prospects for larger contributions from corporations and foundations and had begun to place less emphasis on the smaller amounts usually involved in individual annual gifts.

Table XVIII contains the amount by source of voluntary contributions received through development offices for each institution responding for FY 71-72, along with the sum of the total voluntary support and the operating budget for the development office for that fiscal year. Table XIX contains the same information for FY 1975-76. Institutions not completing this question were omitted from the two tables. Eighteen, or 58.06 percent, of the respondents completed the question for FY 1971-72 and seventeen, or 54.84 percent, for FY 1975-76.

Table XX shows a comparison by source of the total voluntary contributions for institutions reporting data for both fiscal years and the percent of change from FY 1971-72 to FY 1975-76. The total amounts contributed by all sources increased from FY 1971-72 to FY 1975-76. The most impressive gain was in the area of non-alumni

TABLE XVIII

VOLUNTARY CONTRIBUTIONS BY SOURCE RECEIVED THROUGH DEVELOPMENT OFFICES IN FISCAL YEAR 1971-72, IN THOUSANDS OF DOLLARS[a]

Institution[b]	Annual Giving		Corporation	Foundation	Deferred Gifts	Special Gifts	Total	Operating Budget
	Alumni	Non-Alumni						
B2	$ 44	N/A[c]	$ 112	$ 93	N/A	$ 161	$ 410	N/A
C1	2,659	$ 581	2,387	952	N/A	3,535	10,114	$ 435
D1	474	174	273	420	$ 366	410	2,117	180
E1	667	N/A	1,433	312	1,608	2,310	6,330	89
E2	N/A	N/A	N/A	N/A	N/A	N/A	2,622	72
F1	177	1,580	320	331	N/A	518	2,926	146
G1	2,005	8,649	5,393	13,425	N/A	5,997	35,469	1,127
G2	414	1,464	1,280	3,312	N/A	591	7,061	219
H2	N/A	N/A	N/A	N/A	N/A	N/A	4,901	245
I1	1,301	0[d]	5,123	22,007	0	4,706	33,137	1,500
I2	N/A	N/A	N/A	N/A	N/A	N/A	10,304	463

TABLE XVIII (continued)

Institution[b]	Annual Giving Alumni	Annual Giving Non-Alumni	Corporation	Foundation	Deferred Gifts	Special Gifts	Total	Operating Budget
J1	$ 676	$1,270	$ 554	$ 371	$ 0	$ 389	$ 3,260	$ 293
J2	601	311	178	102	167	80	1,439	133
K1	3,587	471	797	2,891	N/A	3,603	11,349	386
L1	3,569	1,760	4,618	4,716	N/A	5,301	19,964	1,400
L2	2,141	N/A	764	N/A	489	N/A	3,394	254
M1	407	110	1,885	885	0	540	3,827	191
P1	387	453	1,958	876	0	3,138	6,812	340

[a]Institutions not completing this question were omitted from the table.

[b]Number 1 following institutional code letter indicates system; number 2 indicates flagship campus.

[c]N/A indicates that this information was not available.

[d]A zero (0) indicates that the institution had no record of receiving funds through this source.

TABLE XIX

VOLUNTARY CONTRIBUTIONS BY SOURCE RECEIVED THROUGH DEVELOPMENT OFFICES IN FISCAL YEAR 1975-76, IN THOUSANDS OF DOLLARS[a]

Institution[b]	Annual Giving		Corporation	Foundation	Deferred Gifts	Special Gifts	Total	Operating Budget
	Alumni	Non-Alumni						
B2	$ 154	$ 26	$ 103	$ 23	N/A[c]	$ 117	$ 423	N/A
C1	2,993	4,879	6,332	1,709	N/A	4,652	20,565	$ 650
D1	627	243	373	226	$1,904	240	3,613	220
E1	781	294	1,077	1,433	969	839	5,393	80
E2	N/A	N/A	N/A	N/A	N/A	N/A	3,092	78
F1	910	609	2,382	1,285	N/A	467	5,653	311
G1	4,530	18,393	5,813	19,854	N/A	8,890	57,480	1,907
G2	886	3,041	1,065	3,829	N/A	568	9,389	469
H2	1,992	842	1,000	2,637	N/A	492	6,963	350
J1	566	269	1,766	596	0[d]	4,909	8,106	730
J2	467	233	647	326	6	382	2,061	203

TABLE XIX (continued)

Institution[b]	Annual Giving Alumni	Annual Giving Non-Alumni	Corporation	Foundation	Deferred Gifts	Special Gifts	Total	Operating Budget
K1	$3,166	$ 810	$1,189	$3,416	N/A	$7,558	$16,139	$ 726
L1	4,885	2,747	4,171	6,271	N/A	4,268	22,342	1,564
L2	3,922	N/A	1,886	N/A	250	N/A	6,058	358
M1	768	189	3,106	1,504	0	289	5,856	351
N1	637	331	88	60	0	40	1,156	58
P1	217	504	1,855	1,337	0	1,128	5,041	302

[a]Institutions not completing this question were omitted from the table.

[b]Number 1 following institutional code letter indicates system; number 2 indicates flagship campus.

[c]N/A indicates that the information was not available.

[d]A zero (0) indicates that the institution had no record of receiving funds through this source.

TABLE XX

COMPARISON OF VOLUNTARY CONTRIBUTIONS BY SOURCE, FY 1971-72 AND FY 1975-76, FOR INSTITUTIONS REPORTING DATA FOR SOURCE FOR BOTH YEARS, IN THOUSANDS OF DOLLARS

Institution[a]	FY 1971-72	FY 1975-76	Percent Change
	A. Alumni Annual Giving (N=11)		
C1	$ 2,659	$ 2,993	+ 12.56
D1	474	627	+ 32.28
F1	177	910	+414.12
G1	2,005	4,530	+125.93
G2	414	886	+114.01
J1	676	566	- 16.27
J2	601	467	- 22.30
K1	3,587	3,166	- 11.74
L1	3,569	4,885	+ 36.87
M1	407	768	+ 88.70
P1	387	217	- 43.93
Total	$14,956	$20,015	+ 33.83
	B. Non-Alumni Annual Giving (N=11)		
C1	$ 581	$ 4,879	+739.76
D1	174	243	+ 39.66
F1	1,580	609	- 61.46
G1	8,649	18,393	+112.66
G2	1,464	3,041	+107.72
J1	1,270	269	- 78.82
J2	311	233	- 25.08
K1	471	810	+ 71.97
L1	1,760	2,747	+ 56.08
M1	110	189	+ 71.82
P1	453	504	+ 11.26
Total	$16,823	$31,917	+ 89.72

TABLE XX (continued)

Institution[a]	FY 1971-72	FY 1975-76	Percent Change
	C. Corporation (N=14)		
B2	$ 112	$ 103	- 8.04
C1	2,387	6,332	+165.27
D1	273	373	+ 36.63
E1	1,433	1,077	- 24.84
F1	320	2,382	+644.38
G1	5,393	5,813	+ 7.79
G2	1,280	1,065	- 16.80
J1	554	1,766	+218.77
J2	178	647	+263.48
K1	797	1,189	+ 49.18
L1	4,618	4,171	- 9.68
L2	764	1,886	+146.86
M1	1,885	3,106	+ 64.77
P1	1,958	1,855	- 5.26
Total	$21,952	$31,765	+ 44.70
	D. Foundation (N=13)		
B2	$ 93	$ 23	- 75.27
C1	952	1,709	+ 79.52
D1	420	226	- 46.19
E1	312	1,433	+359.29
F1	331	1,285	+288.22
G1	13,425	19,854	+ 47.89
G2	3,312	3,829	+ 15.61
J1	371	596	+ 60.65
J2	102	326	+219.61
K1	2,891	3,416	+ 18.16
L1	4,716	6,271	+ 32.97
M1	885	1,504	+ 69.94
P1	876	1,337	+ 52.63
Total	$28,686	$41,409	+ 45.75

TABLE XX (continued)

Institution[a]	FY 1971-72	FY 1975-76	Percent Change
	E. Deferred Gifts (N=4)		
D1	$ 366	$ 1,904	+402.22
E1	1,608	969	- 39.74
J2	167	6	- 96.41
L2	489	250	- 48.88
Total	$ 2,630	$ 3,129	+ 18.97
	F. Special Gifts (N=13)		
B2	$ 161	$ 117	- 27.33
C1	3,535	4,652	+ 31.60
D1	410	240	- 41.46
E1	2,310	839	- 63.68
F1	518	467	- 9.85
G1	5,997	8,890	+ 48.24
G2	591	568	- 3.89
J1	389	4,909	+1,161.95
J2	80	382	+377.50
K1	3,603	7,558	+109.77
L1	5,301	4,268	- 19.49
M1	540	289	- 46.48
P1	3,138	1,128	- 64.05
Total	$26,573	$34,307	+ 29.10

[a]Number 1 following institutional code indicates system; number 2 indicates flagship campus.

annual gifts which increased from $16,823,000 to $31,917,000 (a gain of 89.72 percent). But during the same period, alumni annual giving increased by 33.83 percent, corporation gifts by 44.70 percent, foundation gifts by 45.75 percent, deferred gifts by 18.97 percent, and special gifts by 29.10 percent.

Table XXI shows a comparison of the total voluntary contributions and operating budgets of development offices at both system and flagship campus levels for all nineteen institutions providing either complete or partial data for FY 1971-72 and FY 1975-76. The relative cost of donated dollars was calculated by dividing the operating budget by the total voluntary contributions and obtaining a percentage cost for each institution for the two fiscal years. The percents ranged from a high of 9.24 to a low of 1.41 in FY 1971-72 and a high of 9.85 to a low of 1.48 in FY 1975-76. The mean or average percent for seventeen institutions reporting for FY 1971-72 was revealed to be 5.20 percent. This represented an operating cost of 5.20 cents per dollar of contribution received. For FY 1975-76 the mean for the sixteen reporting institutions was found to be 5.33 percent, representing an operating cost of 5.33 cents per dollar of contribution. The slight increase in the overall operating cost of the fund-raising programs could perhaps be attributed to the nation's inflated economy during the five-year period.

In summary, this division of the chapter presented, analyzed, and interpreted data relating to the fund-raising sources and constituencies at the institutions surveyed in the study. The data

TABLE XXI

COMPARISON OF TOTAL VOLUNTARY CONTRIBUTIONS AND OPERATING BUDGETS OF DEVELOPMENT OFFICES IN FY 1971-72 AND FY 1975-76, IN THOUSANDS OF DOLLARS

Institution[a]	FY 1971-72 Total Contributions	FY 1971-72 Operating Budget	FY 1971-72 Percent	FY 1975-76 Total Contributions	FY 1975-76 Operating Budget	FY 1975-76 Percent
B2	$ 410	N/A	N/A	$ 423	N/A	N/A
C1	10,114	$ 435	4.30	20,565	$ 650	3.16
D1	2,117	180	8.50	3,613	220	6.09
E1	6,330	89	1.41	5,393	80	1.48
E2	2,622	72	2.75	3,092	78	2.52
F1	2,926	146	4.98	5,653	311	5.50
G1	35,469	1,127	3.18	57,480	1,907	3.32
G2	7,061	219	3.10	9,389	469	4.99
H2	4,901	245	4.99	6,963	350	5.03
I1	33,137	1,500	4.53	N/A	N/A	N/A
I2	10,304	463	4.49	N/A	N/A	N/A

TABLE XXI (continued)

Institution[a]	FY 1971-72 Total Contributions	FY 1971-72 Operating Budget	Percent	FY 1975-76 Total Contributions	FY 1975-76 Operating Budget	Percent
J1	$ 3,260	$ 293	8.98	$ 8,106	$ 730	9.01
J2	1,439	133	9.24	2,061	203	9.85
K1	11,349	386	3.40	16,139	726	4.49
L1	19,964	1,400	7.01	22,342	1,564	7.00
L2	3,394	254	7.48	6,058	358	5.91
M1	3,827	191	4.99	5,856	351	5.99
N1	N/A	N/A	N/A	1,156	58	5.01
P1	6,812	340	4.99	5,041	302	5.99
	Mean (FY 1971-72) = 5.20			Mean (FY 1975-76) = 5.33		

[a]Number 1 following the institutional code letter indicates system; number 2 indicates flagship campus.

covered responses obtained from questions eleven through sixteen of the questionnaire. The next division of the chapter covers data obtained from responses to questions seventeen through twenty of the questionnaire.

IV. FUND-RAISING METHODS AND TECHNIQUES

The last principal division of this chapter deals with the effectiveness of certain fund-raising methods and techniques, as perceived by the chief development officers. Table XXII compares the relative effectiveness of certain methods of solicitation in meeting overall fund-raising goals. A weighted average score was obtained by first multiplying an assigned value for each rank by the number of respondents using that rank for the method. Then the sum of the total values was divided by the sum of the respondents. Personal visits were ranked first by twenty-two of the twenty-six respondents, with a weighted average score of 3.73; phonathons next with a score of 2.62; and direct mail ranked third with a score of 2.08. "Write-in" methods, although not having high scores, offered indications that innovative and creative methods were being explored by many of the respondents. These included the use of printed materials, written proposals, estate planning seminars, bazaars, and fund-raising dinners.

With respect to techniques or approaches to be used in employing the methods, respondents were asked to identify techniques that they had found to be particularly effective in helping them to meet their fund-raising goals. Table XXIII records these data. The comparison of fund-raising techniques did not use a weighted average score, but rather a percent of the number using each technique was calculated.

TABLE XXII

RELATIVE EFFECTIVENESS OF CERTAIN FUND-RAISING METHODS

Methods	Responses (N=26)[a] and Degree of Effectiveness[b] (Weight) (Rank) 4 (1)	3 (2)	2 (3)	1 (4)	Weighted Ave. Score[c]
Personal visits	22	3	0	0	3.73
Phonathon	3	15	4	3	2.62
Direct mail	1	7	14	1	2.08
Printed materials			3		0.23
Written proposals		1		2	0.19
Estate planning seminars			2	1	0.19
Bazaars			2	1	0.19
Fund-raising dinners ($100 a plate)			1	2	0.15
Advertising in newspapers				1	0.04

[a]N=26 because twenty-six of the thirty-one or 83.87 percent of the responding institutions completed this question.

[b]Respondents were asked to rank the methods in order of importance with number 1 as most important. Weights were assigned by the writer with 4 being the highest value corresponding to the rank of number 1.

[c]The weighted average score was obtained by dividing the sum of the total value of all responses by the sum of the respondents. The higher the weighted average score, the more effective the method was perceived to be. The maximum score was 4.0.

TABLE XXIII

COMPARISON OF FUND-RAISING TECHNIQUES

Technique	Number Using (N=25)[a]	Percent
Use of volunteers for solicitation	17	68.00
Suggesting the amount of the gift that the solicitor would like to obtain from the donor	16	64.00
Providing free estate planning services to potential deferred gift donors	7	28.00
Use of outside professional counsel	6	24.00
Use of outside professional managers	2	8.00
Publicizing university activities	2	8.00
Use of training seminars for volunteers	1	4.00
Establishing personal contact with business corporation officials	1	4.00

[a]N=25 because twenty-five of the thirty-one or 80.65 percent of the responding institutions completed this question.

Seventeen of the twenty-five, or 68 percent, of the respondents advocated the use of volunteers, followed closely by 64 percent favoring the technique of suggesting the amount of the gift that the solicitor would like to obtain from the donor. Providing free estate planning services to potential deferred gift donors and the use of outside professional counsel were also frequently mentioned techniques.

The relatively low percent using outside professional management suggests that many of the multicampus universities may have professional management staff members available, particularly for planning annual giving campaigns and continuing solicitations. The "write-in" technique of using training seminars appears worthwhile. The training of volunteers could perhaps be achieved by on-campus training workshops, in regional meetings, and by means of printed handbooks. The publicizing of university activities appears to be another note-worthy suggestion. Though perhaps not a direct technique of fund raising, it offers a good approach for use in cultivating constituencies and might pay dividends in long-range fund-raising efforts.

The last two questions on the questionnaire dealt with specific techniques used in recognizing donors and administration of the voluntary funds. Table XXIV reflects that nine of the twenty-five (36.00 percent) of the respondents stated that they extended no special benefits, services, or special recognition to donors. Many respondents, however, did extend some sort of recognition and the "write-in"

TABLE XXIV

COMPARISON OF SPECIAL BENEFITS, SERVICES OR RECOGNITION EXTENDED TO DONORS

Description	Number Using (N=25)	Percent
Recognition ceremonies, luncheons and dinners	10	40.00
None	9	36.00
Reserved parking	6	24.00
Plaques	5	20.00
Athletic ticket priorities	4	16.00
Free athletic tickets	3	12.00
Letters of thanks	3	12.00
Membership in advisory groups	3	12.00
Naming of buildings	2	8.00
Certificates	1	4.00
School pins	1	4.00

[a]N=25 because twenty-five of the thirty-one or 80.65 percent of the responding institutions completed this question.

benefits were led by recognition at dinners, luncheons, and ceremonies, followed by reserved parking, the giving of university plaques, and offering athletic ticket priorities. The data suggest that institutions may need more emphasis on this practice, however. Once the gift had been received, a number of institutions apparently did not follow-up with any form of recognition.

The specific technique of requiring that overhead funds (for administering scholarship and loan programs) be paid by the sponsoring donors was found not to be in use at the responding institutions. One chief development officer noted that the technique was at that time before his board of control for approval but that action was still pending. The obvious rationale for rejection of this technique was related to the possibility of offending or confusing donors with overhead and operational costs taken out of their contributions. Some institutional officials state that the entire gift of the donor goes for the purpose for which it was contributed and that public funds are used for current operations in all university programs.

Data relating to the fund-raising methods and techniques used at the selected public multicampus universities have been presented, analyzed, and interpreted. The data covered in this section pertained to questions seventeen through twenty of the questionnaire.

V. SUMMARY

This chapter was organized into three principal divisions corresponding to the three parts of the questionnaire. After the introduction, data obtained from the questionnaires were presented, analyzed, and interpreted. Tables and figures were used as appropriate for presentation and analysis, and percentages and weighted average scores were used to compare perceptions of practices and the relative effectiveness of certain methods and techniques used at the different institutions.

The concluding chapter, Chapter IV, summarizes the results and findings of the study, enabling the presentation of overall conclusions and recommendations based on the study. The summary is in the form of a brief reconsideration of the nine research questions listed in Chapter I.

CHAPTER IV

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

I. INTRODUCTION

The study addressed the problem of how public multicampus universities could best organize and manage their fund-raising programs to maximize voluntary financial support. The basic purposes of the investigation were (1) to determine the pattern of relationship that existed between campus and system-level development programs in the area of fund raising and to analyze the management practices for similarities and differences and (2) to determine the perceptions held by chief development officers in the same institutions, both at flagship campuses and at the system level, as to the effectiveness of certain practices relating to fund-raising sources and constituencies and to methods and techniques used in their fund-raising programs.

The questionnaire was the principal means of data collection and was designed to approach the study's problem by examining existing organizational structure and management practices at the institutions. It also used perceptions of the chief development officers as the criteria for establishing the relative effectiveness of the organizations and practices at their own institutions.

The study was delimited to sixteen multicampus university systems from the entire geographical area of the United States that met the following four criteria:

A. Each system was a part of public, tax-assisted, statewide higher education, with more than one four-year campus.

B. Each system had a clearly identifiable "flagship" or prominent "main" campus.

C. Each system had a systemwide executive with the title of president or chancellor.

D. The system executive was not specifically responsible for one of the campuses.

The questionnaire was mailed to the president/chancellor at each of the selected public multicampus systems and the chief executive officer at each flagship campus of the systems. They were asked to refer the questionnaire to their chief development officers for reply. Responses were obtained from thirty-one of the thirty-two institutions, an overall response rate of 96.88 percent.

In the first chapter of this study, nine research questions that were to be examined in accomplishing the purposes of the study were listed. The research questions all related to fund-raising programs at the selected public multicampus universities and were addressed by specific questions in the questionnaire. A summary based on the data collected and keyed to the research questions is contained in this chapter. Additionally, conclusions are drawn, and recommendations are delineated.

II. SUMMARY OF THE FINDINGS

The First Research Question

> What specific relationships with respect to organization and management practices existed between campus and system

development offices in the area of fund raising?

Four basic organizational patterns for fund raising were found to exist in the sixteen systems, with modifications adapting the patterns for specific institutions. The organizational structures conformed to the approach used by the particular university in its management of the fund-raising function. Five of the systems were found to use a systemwide coordinated approach, four a campus-level approach, and two were described as "other." One of the two that described its approach as "other" utilized its colleges and departments to raise funds, and these divisions of the university dealt directly with one separate system foundation. In the second case, both system and campus development officers reported raising funds independently with little coordination in planning, execution, or management of the fund-raising programs.

The organizational structure was also found to be influenced by the existence or non-existence of a separate foundation. Ten of the sixteen (62.50 percent) systems were found to have separate foundations; six (37.50 percent) had one separate foundation for the entire system; and four (25.00 percent) had one or more foundations at each campus.

Numerous advantages and disadvantages were cited for the particular fund-raising organization used by the different institutions. Chief development officers considered the systemwide coordinated approach to be flexible and an enhancement to control and coordination efforts, decreasing the probability of duplication and inefficiency in gift solicitations. A dissenting opinion was that the

centralized approach sometimes stifled campus participation and created a bureaucratic organization at the system level that tended to penalize some of the campuses while favoring others.

Advantages proffered for the campus-level approach to fund raising were that the campus' closeness to alumni and its capability to inspire loyalty and confidence exceeded the potential possessed by systems. A disadvantage cited was the possibility of resource limitations and a lack of flexibility in permitting the initiation of new and innovative fund-raising methods and techniques.

The use of a separate foundation, whether fund-raising management was described as a systemwide or individual campus approach, was generally considered a sound business practice. The practice was suspect, however, to some respondents who found foundations confusing for their constituencies and a source of interference in the system or campus chief executive officer's control over financial matters.

With respect to the management practice of projecting fund-raising goals and institutional needs and providing them in a written report to the governing board, almost one-half or fifteen of the thirty-one respondents (48.39 percent) did not use such a practice.

Responsibility for the determination of overall administrative policy for fund-raising programs was found to be shared by various officials at the surveyed institutions. In almost two-thirds of the institutions the campus chief executive officer was perceived to play a direct role in the determination of overall administrative policy relating to fund-raising programs. System presidents/chancellors were perceived to have a role in administrative policy determination less

often, and development officers in only a few cases felt that they were directly involved in that function.

The practice of maintaining alumni records at individual campuses was found to be in use at almost two-thirds of the reporting institutions. Only two, or 6.45 percent, of the institutions reported maintaining duplicate records at both the system and flagship campus.

In the overall comparison of institutions/foundations having direct fund-raising responsibilities, 75.00 percent of the flagship campuses, 43.75 percent of the system development offices, and 70.00 percent of the foundations were found to have direct fund-raising responsibilities.

The Second Research Question

> How had the multicampus organization affected fund-raising programs at the institutions involved?

Chief development officers were divided in their opinions as to whether the multicampus organization had a positive or negative effect on fund-raising efforts. Fifteen (48.39 percent) respondents felt their organization promoted a "giving climate" among constituents. Thirteen (41.93 percent) felt it had no effect or were undecided, and three (9.68 percent) felt it impeded a "giving climate."

The Third Research Question

> Was there a relationship between institutional size (student enrollment) and staffing patterns (for fund-raising purposes) in the institutional development offices?

There were no clear relationships found to exist between the

institutional size and the staffing patterns for their development offices. Staff size for fund-raising purposes appeared dependent upon the type of organization used in the system. Foundations having direct fund-raising responsibilities reflected larger full-time staffs than institutional development offices where individual personnel often had several major responsibilities. There was, however, considerable variation in this regard within each organizational pattern.

The Fourth Research Question

> What were the principal sources of fund solicitation; and what individuals or groups, as perceived by the chief development officers, were most effective in cultivating prospective donors?

Principal sources of fund solicitation were found to be annual giving (to include individuals who were both alumni and non-alumni), business corporations, foundations, deferred giving, and special sources (such as civic and campus organizations).

System presidents/chancellors, campus chief executive officers, alumni, faculty, and members of governing boards were perceived (in that order) to be most effective in cultivating prospective donors.

The Fifth Research Question

> From what constituencies were funds for the multicampus universities usually solicited, and how did special gift organizations (such as President Clubs, Century Clubs, etc.) assist in solicitations?

The chief development officers identified five primary constituencies from which their multicampus university usually solicited funds. The constituencies in order of those identified by the greatest number

of respondents were alumni, business corporations, friends, foundations, faculty members, parents, and civic organizations.

Special gift organizations based on a contribution of specified size were used by almost 85 percent of the responding institutions. While the practice assisted in increasing the total amount of voluntary support, it was also found to be useful in reflecting members' confidence in the institution and in assisting in the cultivation of other prospective donors.

The Sixth Research Question

> What was the effectiveness of solicitation ratio, as determined by dividing the number of contributors by the number solicited, at each multicampus university for FY 1971-72 and FY 1975-76?

The effectiveness of solicitation ratio for each of the responding institutions varied in FY 1971-72 from a high of 31.30 to a low of 5.26. In FY 1975-76, they varied from a high of 24.89 to a low of 5.45. The number of donors and the number solicited were generally higher at each institution in FY 1975-76, but the percent of effectiveness was lower at a number of institutions suggesting that some annual giving programs might need increased attention. It is also possible that institutions were being attracted by the prospects of larger contributions from corporations and foundations and had begun to place less emphasis on individual annual gifts.

The Seventh Research Question

> What fund-raising sources reflected the greatest increases in contributions from FY 1971-72 to FY 1975-76?

When comparing data from institutions that reported voluntary contributions by source for both years, greatest increases were

reflected in non-alumni annual giving (+89.72 percent) and foundations (+45.75 percent). Other fund-raising sources reporting increases during the period were corporations (+44.70 percent), alumni annual giving (+33.83 percent), special giving (+29.10 percent), and deferred gifts (+18.97 percent).

The Eighth Research Question

> What percent of total voluntary contributions was used in administering the fund-raising programs?

The percent of total voluntary contributions used in administering (operating budgets, not including salaries) the fund-raising programs for responding institutions varied in FY 1971-72 from a high of 9.24 cents to a low of 1.41 cents and in FY 1975-76 from a high of 9.85 cents to a low of 1.48 cents per dollar. The average cost in FY 1971-72 was 5.20 cents per dollar, and in FY 1975-76 the average cost was 5.33 cents per dollar.

The Ninth Research Question

> What fund-raising methods and techniques, as perceived by chief development officers, were most effective in helping public multicampus universities to meet fund-raising goals?

Chief development officers felt personal visits, phonathons, and direct mail (in that order) were the most effective methods in helping to meet their fund-raising goals.

The most effective techniques were perceived to be the use of volunteers for solicitation and the practice of suggesting the amount of the gift that the solicitor would like to obtain from the donor. The technique of requiring the overhead funds (for administering scholarships and loan programs) to be paid by the sponsoring donors

was not found to be in use at any of the responding institutions. Finally, the technique of extending some recognition to donors (a letter, plaque, invitation to ceremonies, etc.) was found to be practiced at many, but not all, multicampus universities responding in the study.

III. CONCLUSIONS

The findings of the study were the bases for the following conclusions:

1. No specific "best" organizational structure applicable to all public multicampus universities could be evolved from the results of this study because specific structure of each system depended upon the approach (systemwide coordinated or individual campus) taken to fund raising and whether or not a separate foundation existed.

2. Although management practices varied, a need existed at both system and campus levels for the chief development officers to have a greater direct role in overall policy determination.

3. In a number of multicampus systems, the boards of control and central administrations did not monitor fund-raising programs closely enough, as exemplified by failure to require projection of fund-raising goals and institutional needs and submission of a written plan.

4. Alumni records were appropriately located, in most cases at campus level, for fund-raising purposes.

5. There was a need for greater effort to cultivate parents and civic organizations.

6. There was a need for training workshops and seminars on methods and techniques that could be helpful in raising effectiveness of solicitation ratios.

7. Special gift organizations were valuable as a reflection of members' confidence in the institution.

8. The operating cost of fund-raising programs was relatively low in proportion to the voluntary contributions received.

9. Deferred giving was developing as one of the principal voluntary fund sources for public multicampus universities.

10. Multicampus universities need a guide to standardize recognition practices for various types of donations and donors.

IV. RECOMMENDATIONS

The findings and conclusions of the study suggested the following recommendations:

1. Each multicampus system should periodically review its organizational structure for fund raising and include a study of its basic approach and whether or not a separate foundation would be beneficial in that specific system and/or at its campuses.

2. Chief development officers at both system and campus levels should be given a direct role in administrative policy determination for fund-raising functions. They should be invited to attend meetings and to participate in policy discussion at planning sessions and decision briefings in which fund-raising matters are considered.

3. Multicampus system officials should require each campus to submit in writing its annual fund-raising goals and institutional

needs. The written plans should be consolidated and submitted to the board of control. The desirability of including the consolidated fund-raising programs as part of the system's long-range or master plan should be investigated, in systems where this is not already a practice.

4. The feasibility of using a network of electronic data processing (EDP) for alumni record keeping (if not already in use) should be studied, with a view toward making alumni information from each campus readily retrievable throughout the system.

5. Multicampus universities should sponsor campus visits, "open-house" days at the university, and similar activities to cultivate parents and civic organizations, to stimulate interest and confidence in the universities, and to demonstrate institutional needs.

6. Multicampus systems should conduct periodic (perhaps before each annual giving campaign) training workshops and seminars for volunteer fund raisers to standardize procedures throughout the system and to keep all workers informed as to new or revised methods, techniques, and policies. The volunteer fund raisers should include students, who constitute a ready source of workers as well as a pool of future alumni.

7. Special gift organizations should be encouraged, and systemwide investigations should be made as to the services and benefits desired by members of these organizations.

8. Concerted efforts should be made to keep the cost of administering fund-raising programs at a relatively low percent of the total voluntary contributions (perhaps 5 percent or below).

If state statutes do not preclude the use of public funds for the administering of fund-raising programs, public multicampus universities should consider using current operating funds for the entire budget of the development offices and use 100 percent of the contributions for the purpose for which the donor intended the money.

9. Deferred giving should receive continued emphasis in all multicampus systems, and professional counsel or lawyers knowledgeable and skilled in estate planning and tax legislation should be readily available to assist volunteers and other solicitors. Whenever possible such professionally trained personnel should be hired as full-time staff members for development offices.

10. Multicampus systems should conduct a study to determine what recognition is appropriate for each type of donation and donor. A standing operating procedure should be prepared as a guide for use throughout the system to standardize recognition practices and to avoid duplication of recognition and other unimpressive practices that result when officials at both system and campus levels (and sometimes at various offices at the same level) extend appreciation courtesies to donors.

11. The use of volunteers at all levels should be expanded and those practices found effective with particular constituencies, at particular locations, should be emphasized. Fund-raising programs should be tailored to suit the constituencies and to accomplish the fund-raising objectives of the various institutions in consonance with the overall goals of the multicampus system to which they belong.

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APPENDICES

APPENDIX A

QUESTIONNAIRE

Code Number _____

Q U E S T I O N N A I R E

FUND-RAISING PROGRAMS AT SELECTED PUBLIC MULTICAMPUS UNIVERSITIES
(No information collected by this questionnaire will be attributed to any institution, office, or individual.)

INSTRUCTIONS TO RESPONDENTS. (1) Complete the questionnaire and return it in the self-addressed, stamped envelope provided. (2) Leave blank any items which do not pertain to your system office or campus. (3) If you elect not to participate, please return the blank questionnaire. Otherwise, follow-up communication will be initiated. (4) If additional elaboration is desired, attach a separate sheet. (5) Check below as to whether you wish a summary of the findings, after completion of the study. Yes____ No____

PART I. CAMPUS-CENTRAL ADMINISTRATION RELATIONSHIP, ORGANIZATION AND MANAGEMENT OF FUND-RAISING PROGRAMS.

1. How can management of the fund-raising function of your development program best be described?

   a. ___Fund-raising management involves a system-wide coordinated effort.

   b. ___Fund raising is handled at the individual campus level.

   c. ___Other (Please specify)_____
   _____

2. Who determines overall administrative policy for your fund-raising program? (Check appropriate responses.)

   a. ___System president/chancellor.

   b. ___System chief development officer.

   c. ___Campus president/chancellor.

   d. ___Campus chief development officer.

   e. ___Governing board for development office.

   f. ___Other (Please specify)_____
   _____

3. Is your development office organized as a separate corporation or foundation?

a. ___Yes, for the entire system.

b. ___Yes, for each campus separately.

c. ___No, a separate corporation/foundation does not exist.

d. ___Other (Please specify)_____

_____

4. Reference Question 3 above, what advantages and disadvantages do you feel your particular type of organization offers?

a. Advantages:_____

_____

b. Disadvantages:_____

_____

5. Where are alumni records maintained? (Check the appropriate responses.)

a. ___Central administration.

b. ___Individual campus.

c. ___Other (Please specify)_____

_____

6. Are fund-raising goals and institutional needs projected for several years and provided in a written report to the governing board?

a. ___Yes, they are projected individually by campus and submitted directly to the governing board.

b. ___Yes, they are projected, consolidated by the central administration, and presented in one written document to the governing board.

c. ___No, fund-raising projections are matters left strictly to individual campus discretion.

d. ___Other (Please specify)_____

_____

7. How do you feel your multicampus organization affects your fund-raising program? Please explain.

a. ___Promotes a "giving climate" among constituents.

b. ___Impedes a "giving climate" among constituents.

c. ___ Other (Please specify)_____

_____

Explanation:_____

_____

_____

8. What is the number of personnel employed in your development office for fund-raising purposes?

   a. Professional staff_____

   b. Clerical/supportive personnel_____

9. What is the current enrollment (full-time equivalent) of your institution or system?_____

10. In the space below, please provide a sketch of your specific development organization. Show, as appropriate, the relationship of the governing board, the central administration, the alumni office, and the development office. If a printed organizational chart is available, please attach to this questionnaire and omit the sketch. Explain any unique relationship that exists. A printed organizational chart is attached. Yes____ No____

DO YOU HAVE DIRECT FUND-RAISING RESPONSIBILITIES? YES____ NO____

Code Number_____

FUND-RAISING PROGRAMS AT SELECTED PUBLIC MULTICAMPUS UNIVERSITIES

PART II. FUND-RAISING SOURCES AND CONSTITUENCIES.

11. What are your principal sources of fund solicitation? (Check appropriate responses.)

    a. ___Annual giving. (__Alumni) (__Non-Alumni)

    b. ___Business corporations.

    c. ___Foundations.

    d. ___Deferred giving.

    e. ___Special (Other-Please specify)_____
    _____

12. If your institution has established special gift organizations in which membership is based on giving levels (Century Clubs, President's Clubs, etc.), please explain your program. N/A_____

    Explanation:_____
    _____

13. During the two listed fiscal years, what were the total number of people solicited in your Annual Giving Campaign and the total number who contributed?

	Fiscal Years 1971-72	1975-76
a. No. solicited	_____	_____
b. No. of contributors	_____	_____

14. From what constituencies do you solicit funds? (Check all appropriate responses.)

    a. ___Alumni
    b. ___Parents
    c. ___Faculty
    d. ___Corporations
    e. ___Foundations
    f. ___Friends of the University
    g. ___Other (Please specify)
    _____

15. In cultivating prospective donors, how would you evaluate the effectiveness of the assistance you receive from certain individuals and groups? (Circle one of the four numbers to indicate the degree of effectiveness; 4-Very effective, 3-Relatively effective; 2-Relatively ineffective; and 1-Ineffective.)

a.	System president/chancellor	4	3	2	1
b.	Campus president/chancellor	4	3	2	1
c.	Members of governing board	4	3	2	1
d.	Alumni	4	3	2	1
e.	Faculty	4	3	2	1
f.	Students	4	3	2	1
g.	Others (Please specify)				
	_____	4	3	2	1
	_____	4	3	2	1
	_____	4	3	2	1

Questions relating to the study should be addressed to the Project Director, Glen Wayne Stout, at the University of Tennessee, Knoxville. Telephone: Office (615) 974-2214, Home (615) 696-7660.

16. What was the amount by source received through your development office for the two listed fiscal years? the total voluntary support? the operating budget for your development office?

		Fiscal Years 1971-72	1975-76
a.	Annual Giving		
	Alumni	$_____	$_____
	Non-Alumni	$_____	$_____
b.	Corporations	$_____	$_____
c.	Foundations	$_____	$_____
d.	Deferred giving	$_____	$_____
e.	Special (Other)	$_____	$_____

Total Voluntary Contributions	$_____	$_____
Operating Budget	$_____	$_____

PART III. FUND-RAISING METHODS AND TECHNIQUES.

17. What fund-raising methods do you feel are most effective in helping you to meet overall fund-raising goals? (Please number methods in order of importance, with number 1 as most important.)

a. ___Personal visits

b. ___Phonathons

c. ___Direct Mail

d. Other (Please specify)

_____ _____

_____ _____

18. What techniques have you found to be particularly effective in helping you to meet fund-raising goals?

a. ___Using outside professional counsel.

b. ___Using outside professional managers.

c. ___Suggesting the amount of the gift that you would like to obtain from the donor.

d. ___Using volunteers for solicitation.

e. ___Providing free estate planning services to potential deferred gift donors.

f. ___Other (Please specify)_____

_____

19. What special benefits, services or recognition do you extend to donors?

a. ___None

b. ___Free athletic tickets

c. ___Reserved parking

d. ___Other (Please specify)

_____

_____

20. If you require that overhead funds (for administering scholarships and loan programs, etc.) be paid by the sponsorship donors, how has this technique affected your fund-raising efforts? Please explain. (___N/A; do not require.)
Explanation:_____

_____

THANK YOU!

APPENDIX B

PANEL FOR EVALUATION OF QUESTIONNAIRE

PANEL FOR EVALUATION OF QUESTIONNAIRE

Stanley R. McAnally.	Assistant Vice President for Alumni Affairs and Annual Giving, The University of Tennessee Central Administration.
Henry E. Guigou, Jr.	Director of Corporate Relation, The University of Tennessee Central Administration.
B. H. Pentecost.	Director of Estate Planning and Deferred Gifts, The University of Tennessee Central Administration.
Anne W. Dale.	Director of Annual Giving, The University of Tennessee Central Administration.
Carley E. Bilbrey, III.	Director of Special Gifts, The University of Tennessee Central Administration.

APPENDIX C

EVALUATION FORM FOR QUESTIONNAIRE

EVALUATION FORM FOR QUESTIONNAIRE

FUND-RAISING PROGRAMS AT SELECTED PUBLIC MULTICAMPUS UNIVERSITIES

The attached questionnaire has been approved, with minor revision, by a doctoral committee at the University of Tennessee, Knoxville for submission to the chief development officers of 16 public multicampus university systems and the 16 flagship campuses of the same institutions. The institutions were selected from the entire geographical area of the United States.

Your assistance is requested in rating the level of clarity-ambiguity of each of the 20 questions, as well as the instructions to the 32 respondents. Any additional suggestions as to terminology, question procedure, etc., will be appreciated.

Five experienced professional development staff members of the University of Tennessee Central Administration (system) are being asked to examine the questionnaire. Evaluation of this criticism will serve as the basis for final revision of the questionnaire. No information submitted in criticism of the questionnaire will be attributed to any individual, office, or institution. Further, the questionnaire when completed by the respondents in the basic study will be classified, and no information will be attributed to the institution, development office, foundation, or individual.

The study is being completed with the cooperation of the Council for Advancement and Support of Education (CASE).

Please rate the clarity-ambiguity level, using the following scale: 1-Clear; 2-Undecided; and 3-Ambiguous (Please explain).

A. Instructions to Respondents:

B. Questions:

1.	6.	11.	16.
2.	7.	12.	17.
3.	8.	13.	18.
4.	9.	14.	19.
5.	10.	15.	20.

C. Other Suggestions:

Name of Evaluator_____

Position _____

Researcher: Glen Wayne Stout
Department of Educational Administration and Supervision
College of Education
Henson Hall 323
Office: 974-2214; Home: 693-7660

APPENDIX D

COVER LETTER FROM THE COUNCIL FOR ADVANCEMENT AND SUPPORT OF EDUCATION (CASE)

C A S E

COUNCIL FOR ADVANCEMENT AND SUPPORT OF EDUCATION

May 6, 1977

Dear CASE Member:

The Council for Advancement and Support of Education has reviewed Mr. Stout's proposal for the doctoral dissertation in which your assistance is being requested. We have also provided Mr. Stout with a few suggestions regarding the questionnaire and the conduct of the survey. We concluded that the study holds the potential for providing valuable information and new and useful insights into current management practices, methods, and techniques of fund raising at public multi-campus universities nationwide.

Educational fund raising is generally recognized as one of the newer advancement professions. Its importance in obtaining increased financial support for colleges and universities is, however, well known; and the need for relevant research in this area of development is apparent. Accordingly, we enthusiastically endorse this research effort and encourage each president or chancellor to have the questionnaire completed and returned to Mr. Stout.

Questions relating to the study should be addressed to the researcher at the University of Tennessee, Knoxville.

I shall personally appreciate your cooperation.

Sincerely yours,

W. Michael Born, Ph.D.
Vice President

Suite 530, One Dupont Circle, Washington, D. C. 20036

Telephone 202-659-3820

APPENDIX E

MAILING LIST FOR QUESTIONNAIRES

MAILING LIST FOR QUESTIONNAIRES

1. Dr. David S. Saxon, President
University of California Central Office
2200 University Avenue
Berkeley, California 94720

2. Dr. Albert H. Bowker, Chancellor
University of California at Berkeley
Berkeley, California 94720

3. Dr. John C. Corbally, President
University of Illinois Central Office
Urbana, Illinois 61801

4. Dr. Jack W. Peltason, Chancellor
University of Illinois Urbana Campus
Urbana, Illinois 61801

5. Dr. John W. Ryan, President
Indiana University Central Office
Bryan Hall 200
Bloomington, Indiana 47401

6. Dr. Herman Wells, Chancellor
Indiana University at Bloomington
Bloomington, Indiana 47401

7. Dr. Martin D. Woodin, President
Louisiana State University Central Office
University Station
Baton Rouge, Louisiana 70803

8. Dr. Paul W. Murrill, Chancellor
Louisiana State University at Baton Rouge
Baton Rouge, Louisiana 70803

9. Mr. Patrick E. McCarthy, Chancellor
University of Maine Central Office
107 Maine Avenue
Bangor, Maine 04401

10. Dr. Howard R. Neville, President
University of Maine at Orono
Orono, Maine 04473

11. Dr. Wilson H. Elkins, President
University of Maryland System Office
College Park, Maryland 20742

12. Dr. Robert L. Gluckstern, Chancellor
University of Maryland College Park Campus
College Park, Maryland 20742

13. Dr. Robert C. Wood, President
University of Massachusetts Central Office
One Washington Mall
Boston, Massachusetts 02108

14. Dr. Randolph W. Bromery, Chancellor
University of Massachusetts Amherst Campus
Amherst, Massachusetts 01002

15. Dr. James C. Olson, President
University of Missouri Central Office
University Hall
Columbia, Missouri 65201

16. Dr. Herbert W. Schooling, Chancellor
University of Missouri at Columbia
Columbia, Missouri 65201

17. Dr. Ronald W. Roskens, President
University of Nebraska System Office
3835 Holdrege Avenue
Lincoln, Nebraska 68508

18. Dr. Roy A. Young, Chancellor
University of Nebraska at Lincoln
Lincoln, Nebraska 68508

19. Dr. Neil D. Humphrey, Chancellor
University of Nevada System Office
405 Marsh Avenue
Reno, Nevada 89502

20. Dr. Max Milam, President
University of Nevada at Reno
Reno, Nevada 89557

21. Dr. James F. Kelly, Acting Chancellor
State University of New York System Office
99 Washington Avenue
Albany, New York 12210

22. Dr. Emmett B. Fields, President
State University of New York at Albany
1400 Washington Avenue
Albany, New York 12222

23. Mr. William Friday, President
University of North Carolina Central Office
Box 2688
Chapel Hill, North Carolina 27514

24. Dr. N. Ferebee Taylor, Chancellor
University of North Carolina at Chapel Hill
Chapel Hill, North Carolina 27514

25. Dr. Edward J. Bloustein, President
Rutgers, State University of New Jersey Central Office
New Brunswick, New Jersey 08903

26. Dr. Kenneth W. Wheeler, Provost
Rutgers, The State University of New Jersey
New Brunswick, New Jersey 08903

27. Dr. Edward J. Boling, President
University of Tennessee Central Office
Knoxville, Tennessee 37916

28. Dr. Jack E. Reese, Chancellor
University of Tennessee, Knoxville
Knoxville, Tennessee 37916

29. Dr. Charles A. Lemaistre, Chancellor
University of Texas System Office
601 Colorado Street
Austin, Texas 78701

30. Dr. Lorene L. Rogers, Acting President
University of Texas at Austin
Austin, Texas 78712

31. Dr. John C. Weaver, President
University of Wisconsin System Office
1700 Van Hise Hall
Madison, Wisconsin 53706

32. Dr. H. Edwin Young, Chancellor
University of Wisconsin at Madison
500 Lincoln Drive
Madison, Wisconsin 53706

APPENDIX F

WRITER'S INITIAL COVER LETTER AND FOLLOW-UP LETTER

THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916
COLLEGE OF EDUCATION

DEPARTMENT OF
EDUCATIONAL ADMINISTRATION
AND SUPERVISION

May 6, 1977

Dear

The Council for Advancement and Support of Education (CASE) is cooperating with me in a doctoral dissertation project in the College of Education at the University of Tennessee, Knoxville. The purpose of the research project is to examine the management practices and perceptions held by chief development officers concerning certain fund-raising methods and techniques used at selected public multi-campus university systems and flagship or main campuses nationwide. The attached letter from CASE provides its endorsement of the study.

We would appreciate your assistance in the project. If you would request your chief development officer to complete the enclosed two-page questionnaire and return it directly to me in the self-addressed, stamped envelope no later than May 20, 1977, the response would be very helpful.

The questionnaires are being sent to the presidents/chancellors at both central administration (systemwide) and flagship campus levels. In the event fund-raising functions of development at your institution are handled by a separate corporation/foundation, the questionnaire might be appropriately forwarded to the chief development officer at that organization. If actual fund-raising programs are managed exclusively at individual campuses, however, it is preferred that the questionnaire sent to the central administration at system level be responded to by whoever disseminates the systemwide policy and guidance relating to fund-raising programs.

If after a two-week period your questionnaire has not been returned, I shall send you notification since I will not know the individual to whom you have referred the questionnaire for response.

Thank you for your cooperation.

Sincerely,

GLEN WAYNE STOUT
Project Director

3 Enclosures

THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916
COLLEGE OF EDUCATION

DEPARTMENT OF
EDUCATIONAL ADMINISTRATION
AND SUPERVISION

May 27, 1977

Dear

The enclosed questionnaire and letter from the Council for Advancement and Support of Education (CASE) are duplicates of ones sent to you three weeks ago. As of this date, I have not received a response from your university.

In order for the study to attain its full potential, I need to maximize the number of participating institutions. I realize that both you and your chief development officer have many demands upon your time, but I hope that you will be able to spare a few minutes to assist in this project.

If you have already responded, please disregard this letter.

Thank you.

Sincerely,

Glen Wayne Stout
Project Director

3 Enclosures

APPENDIX G

ORGANIZATIONAL CHARTS OF MULTICAMPUS UNIVERSITY SYSTEMS AND FLAGSHIP CAMPUSES

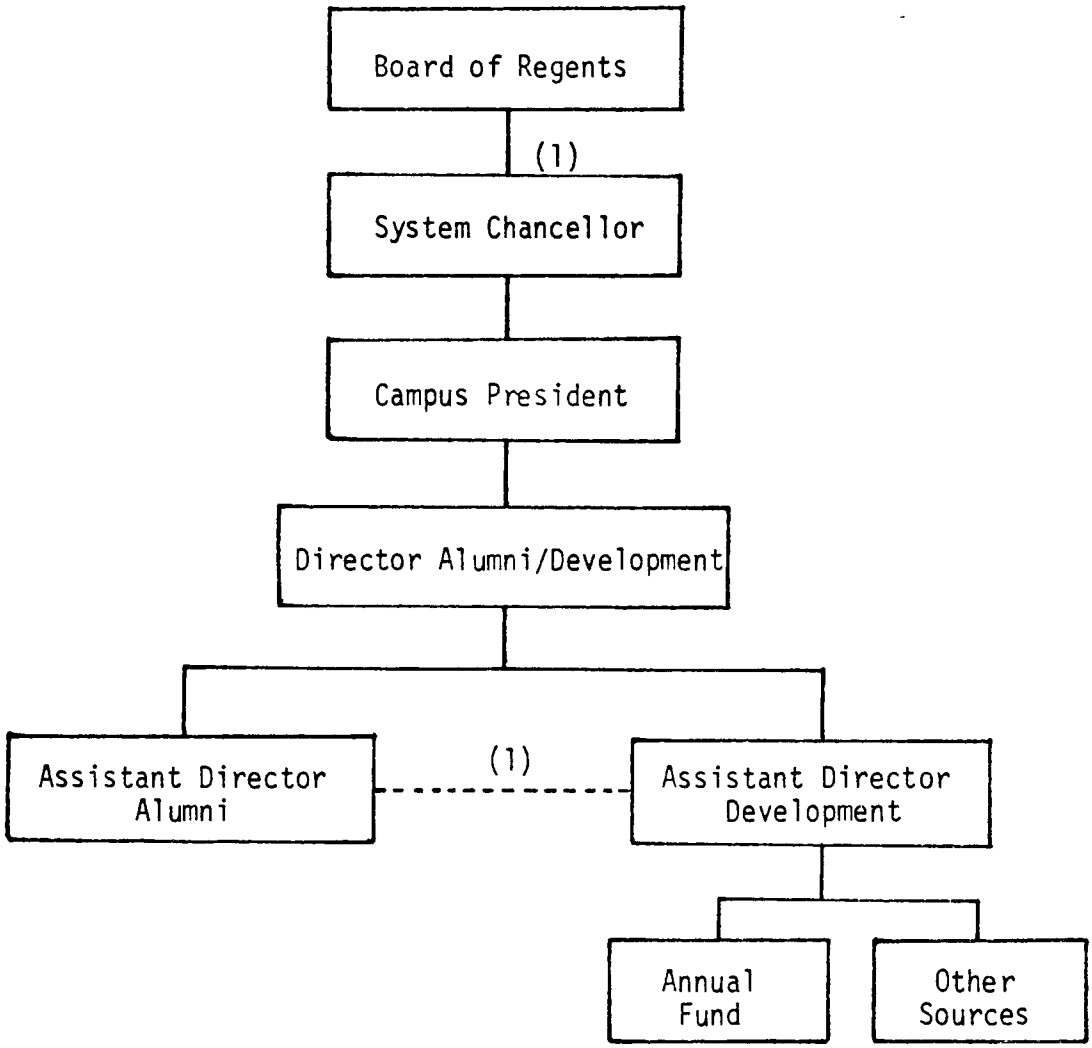


Figure 5. Institutions A1 and A2 Organizational Chart (No Foundations).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

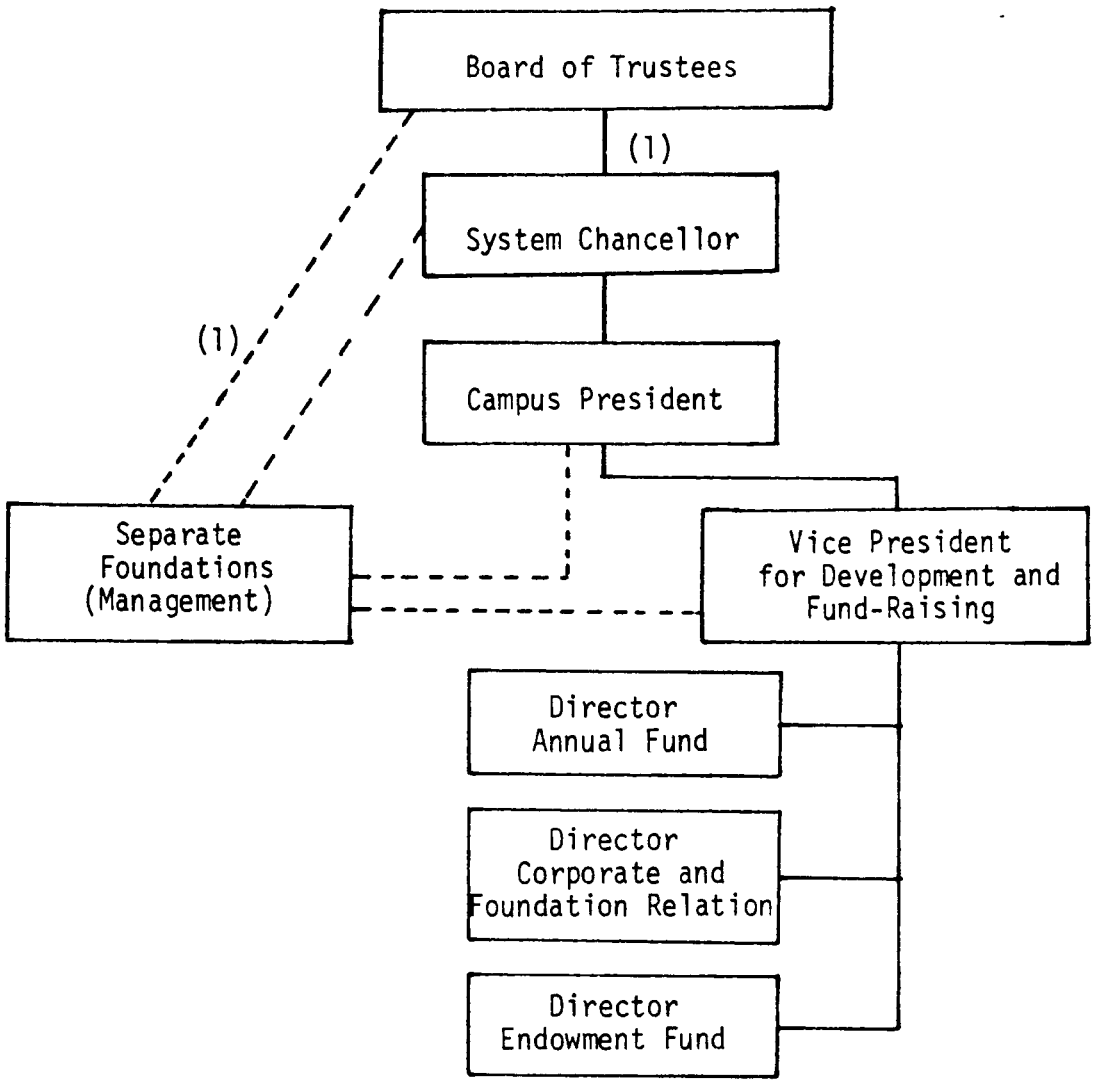


Figure 6. Institutions B1 and B2 Organizational Chart (with Separate Campus Foundations).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

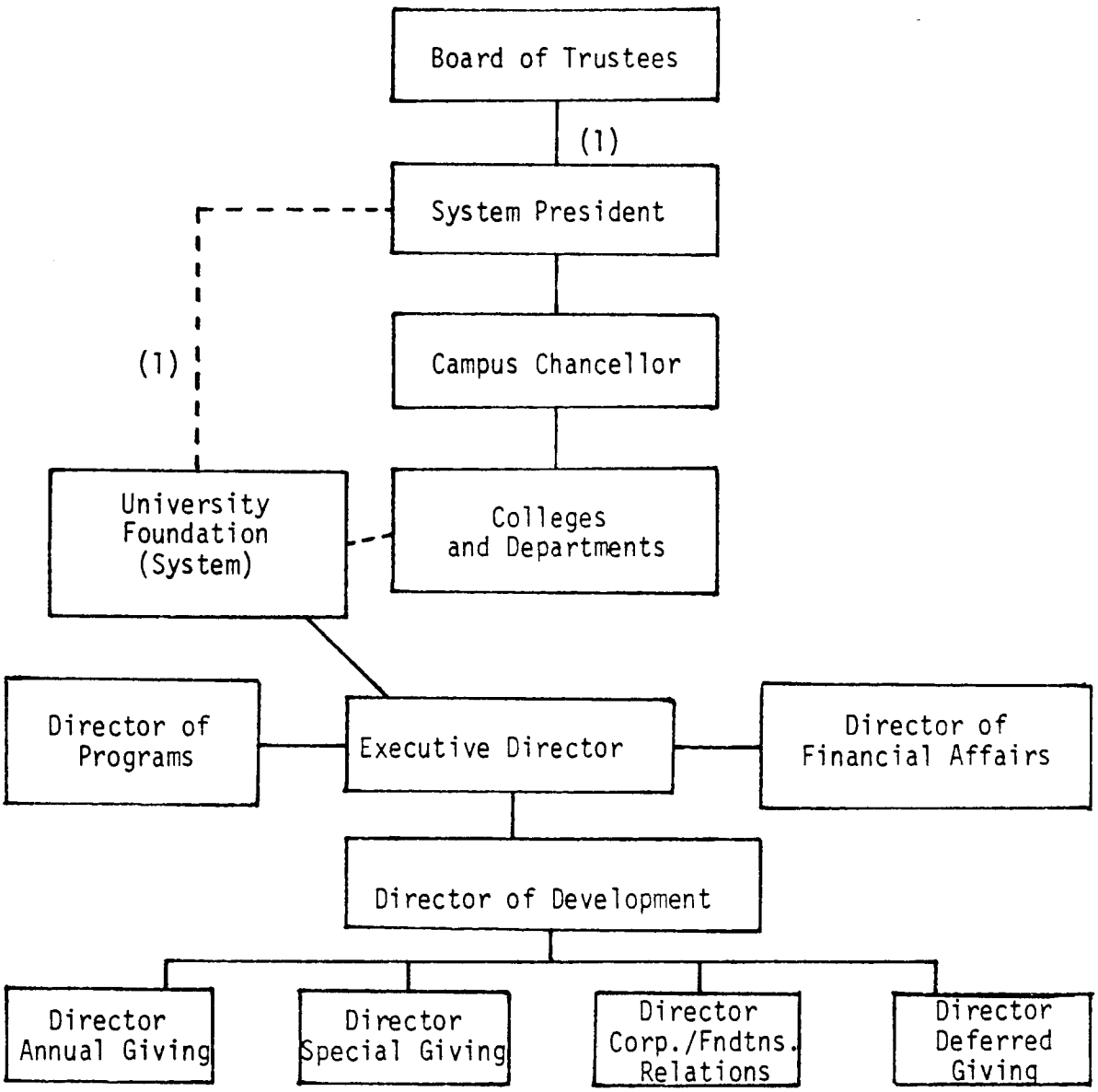


Figure 7. Institutions C1 and C2 Organizational Chart (with Separate System Foundation).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

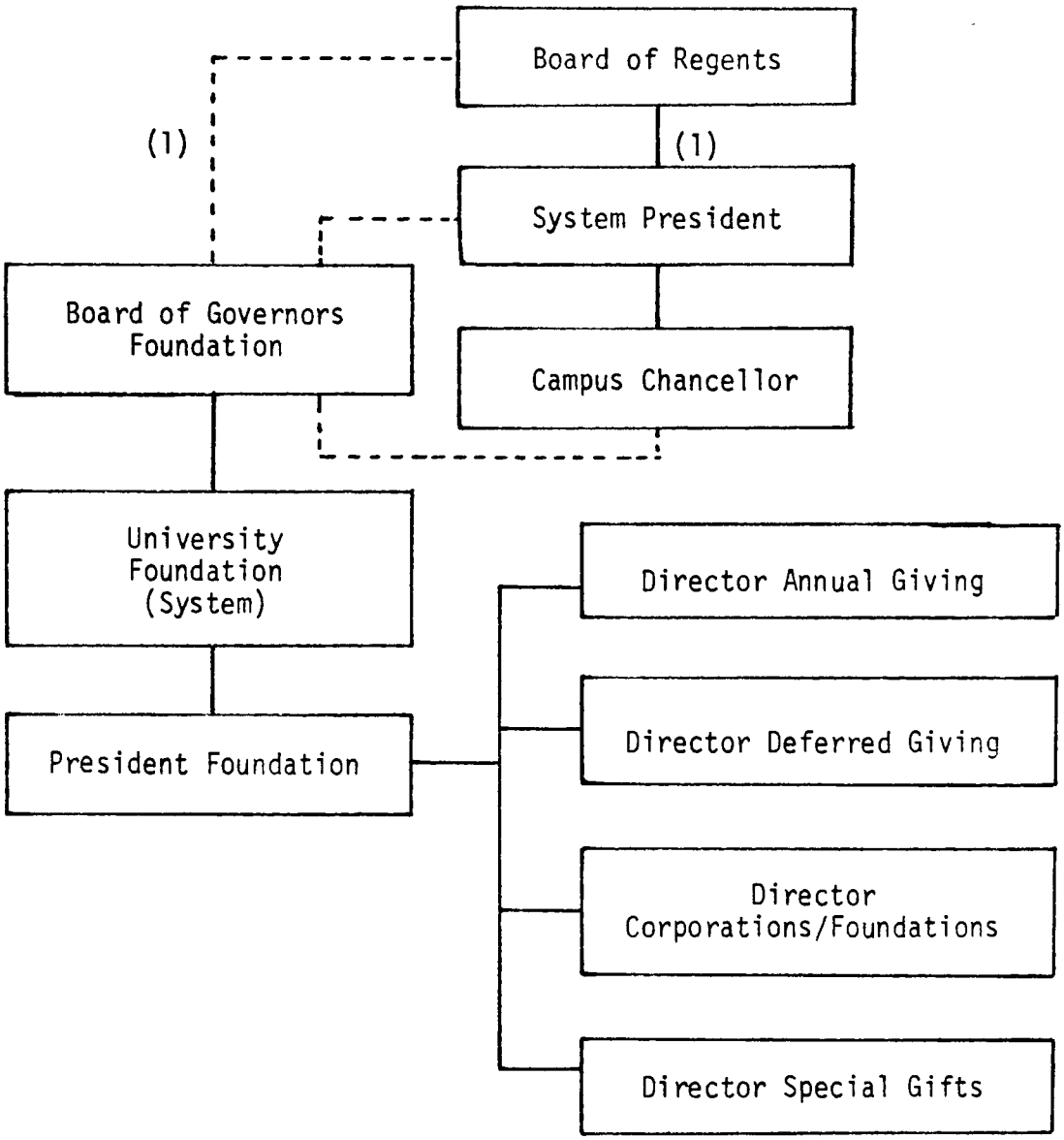


Figure 8. Institutions D1 and D2 (with Separate System Foundation).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

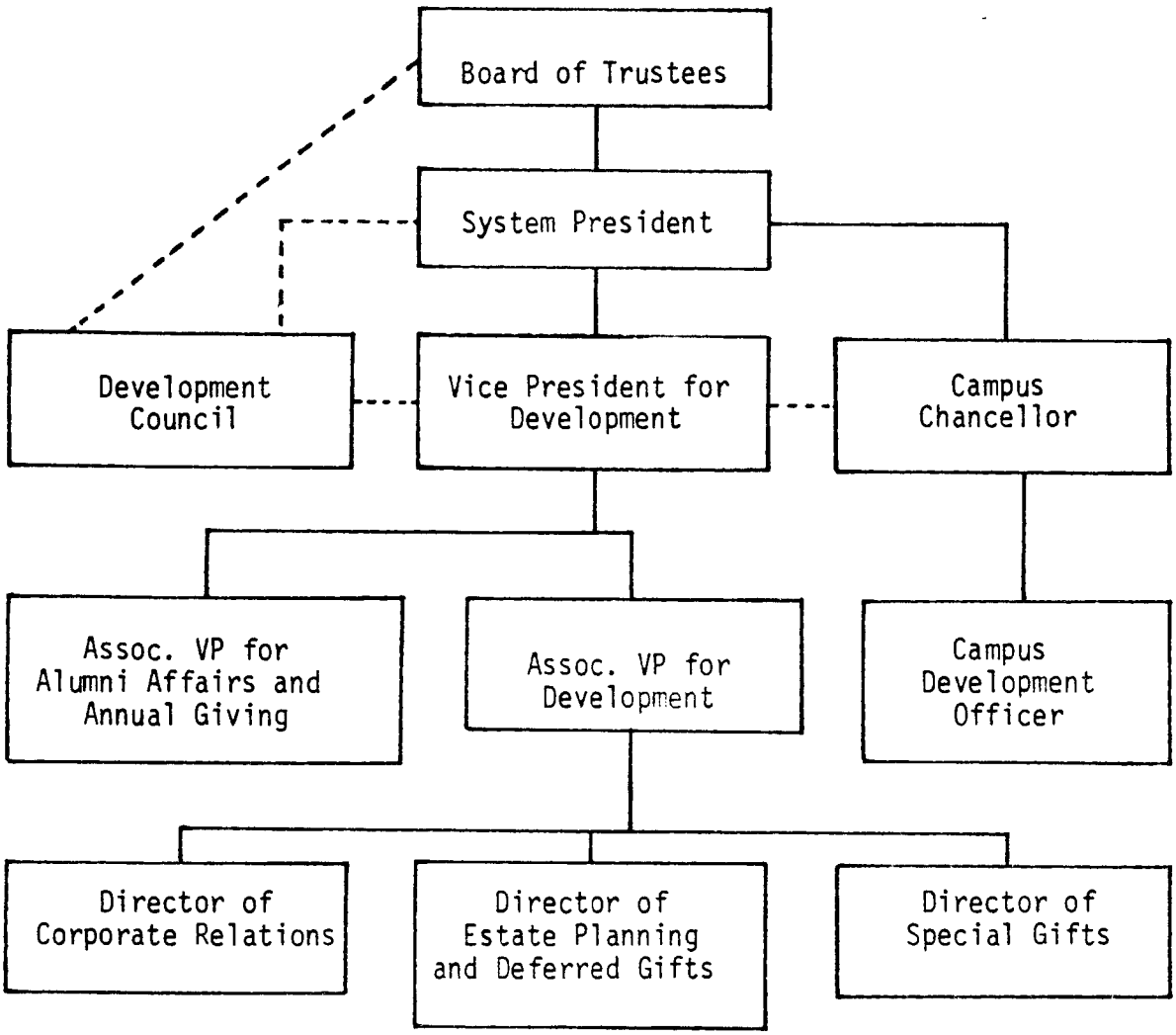


Figure 9. Institutions E1 and E2 Organizational Chart (No Foundations).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

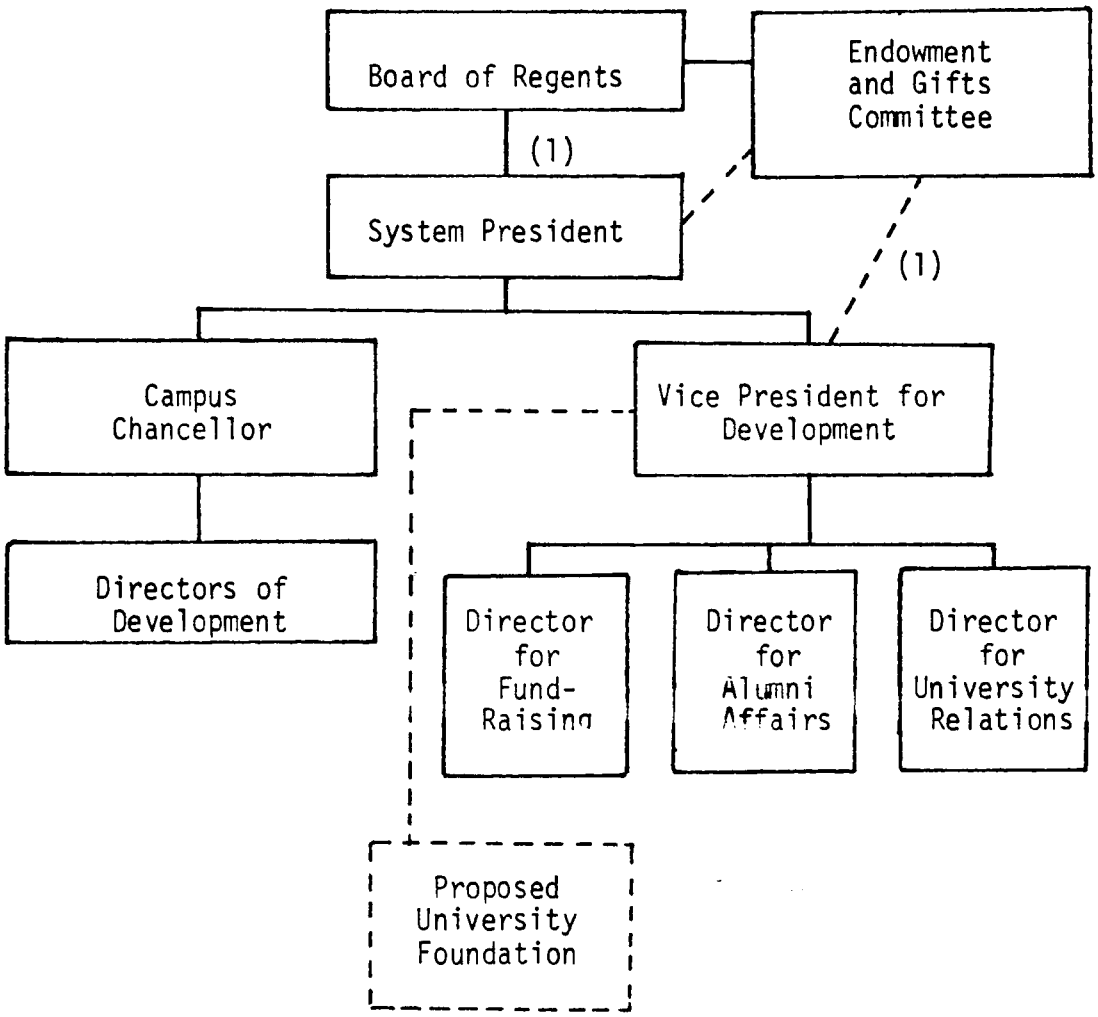


Figure 10. Institutions F1 and F2 Organizational Chart (with Proposed Separate System Foundation).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

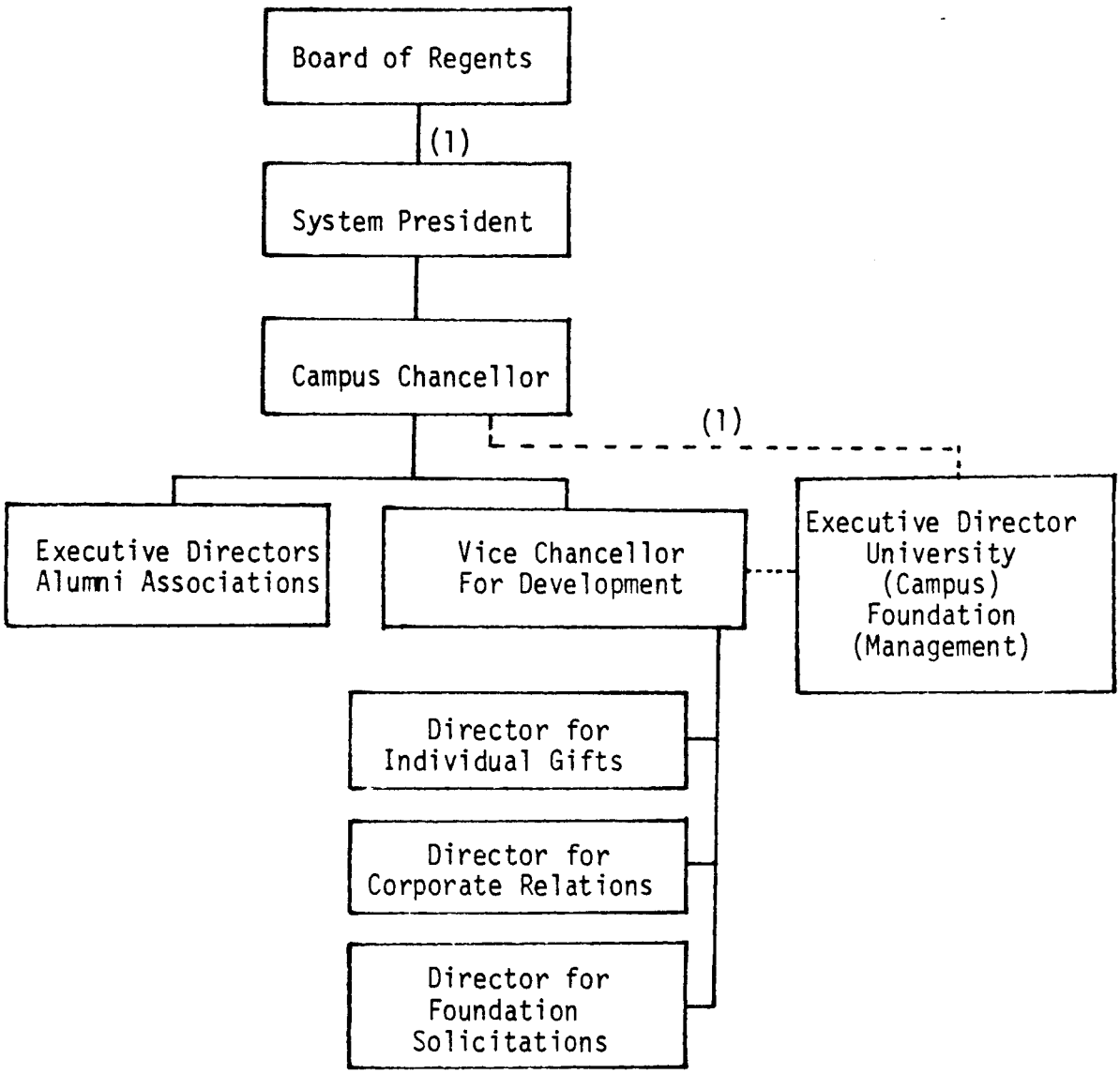


Figure 11. Institutions G1 and G2 Organizational Chart (with Separate Campus Foundation).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

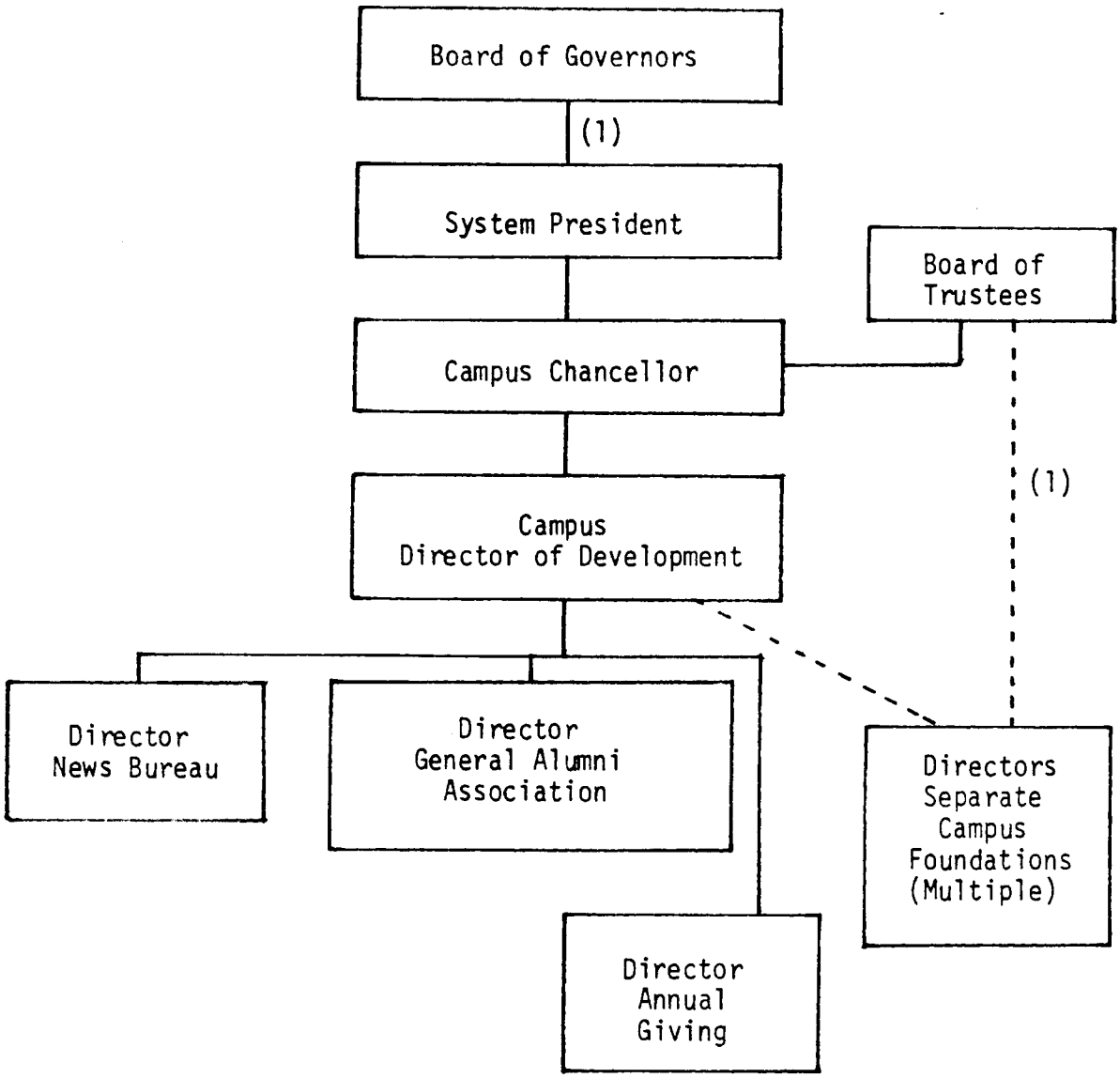


Figure 12. Institutions H1 and H2 Organization Chart (with Multiple Separate Foundations for Various Purposes).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

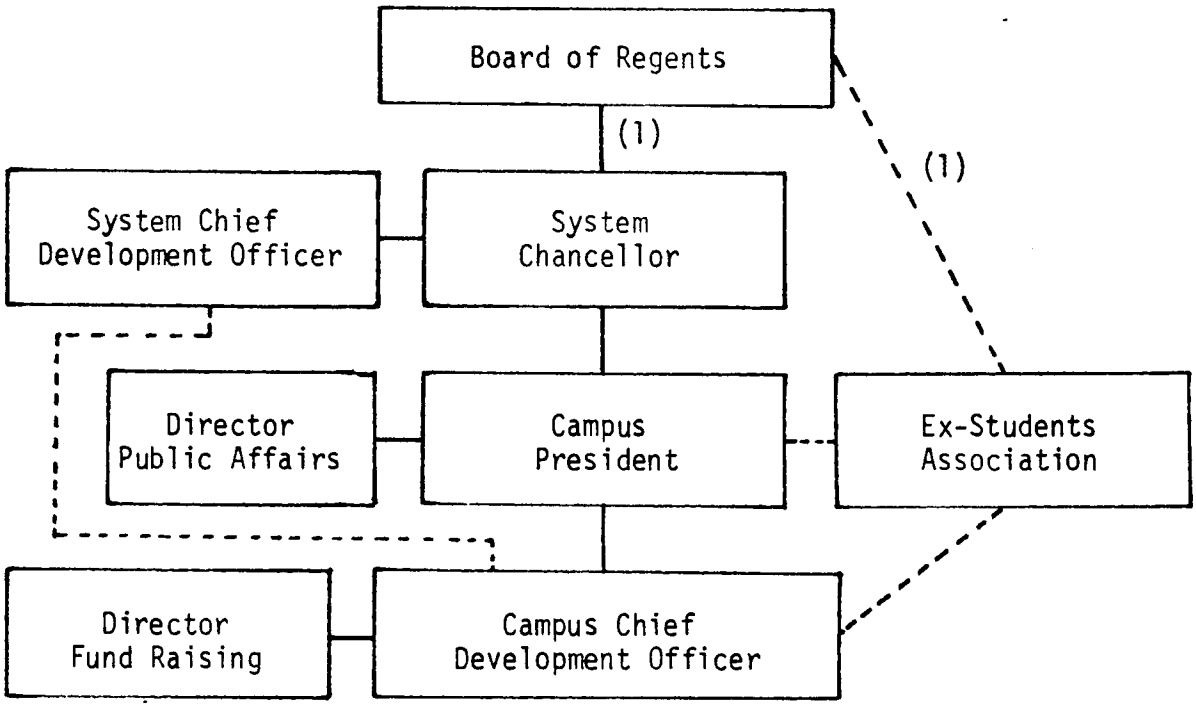


Figure 13. Institutions I1 and I2 Organizational Chart (No Foundations).

(1): ——— indicates direct control; ---- indicates coordination.

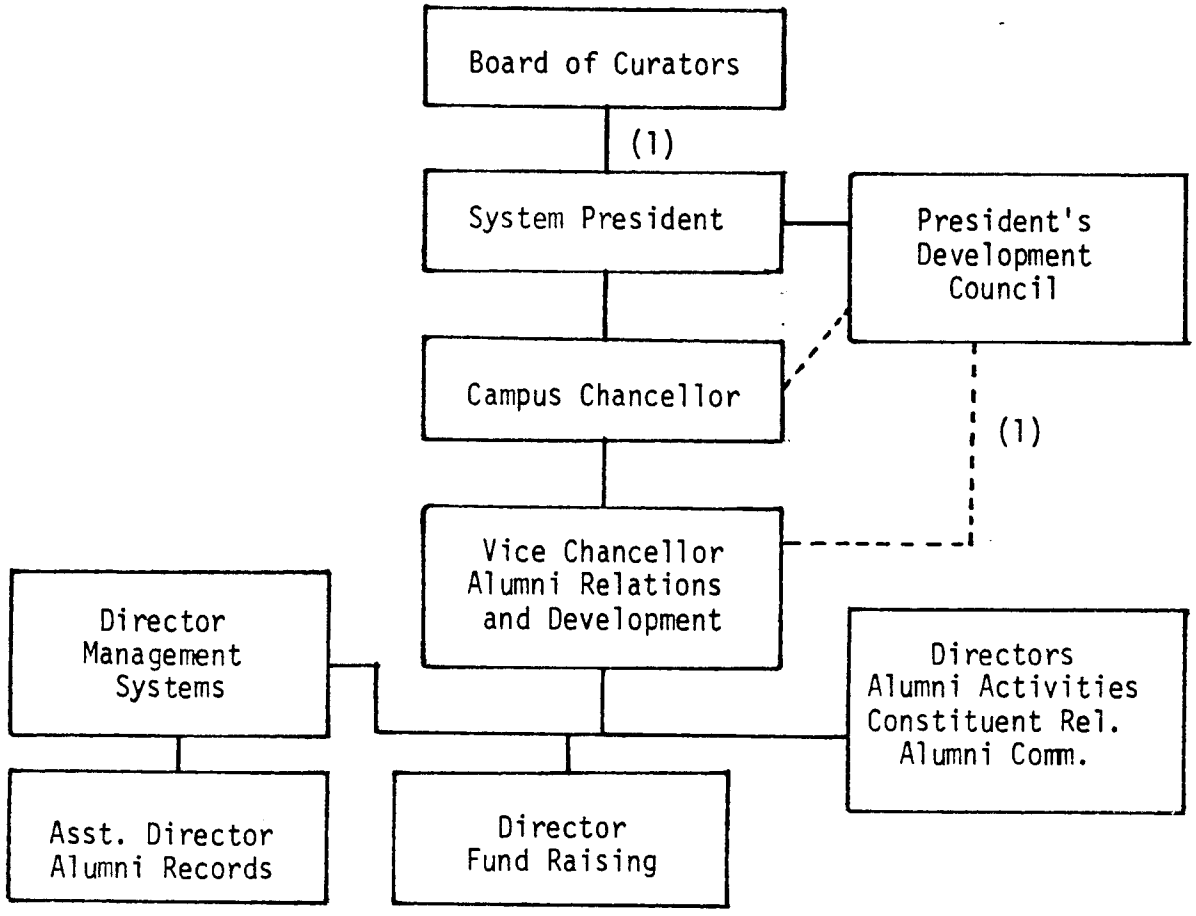


Figure 14. Institutions J1 and J2 Organizational Chart (No Foundations).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

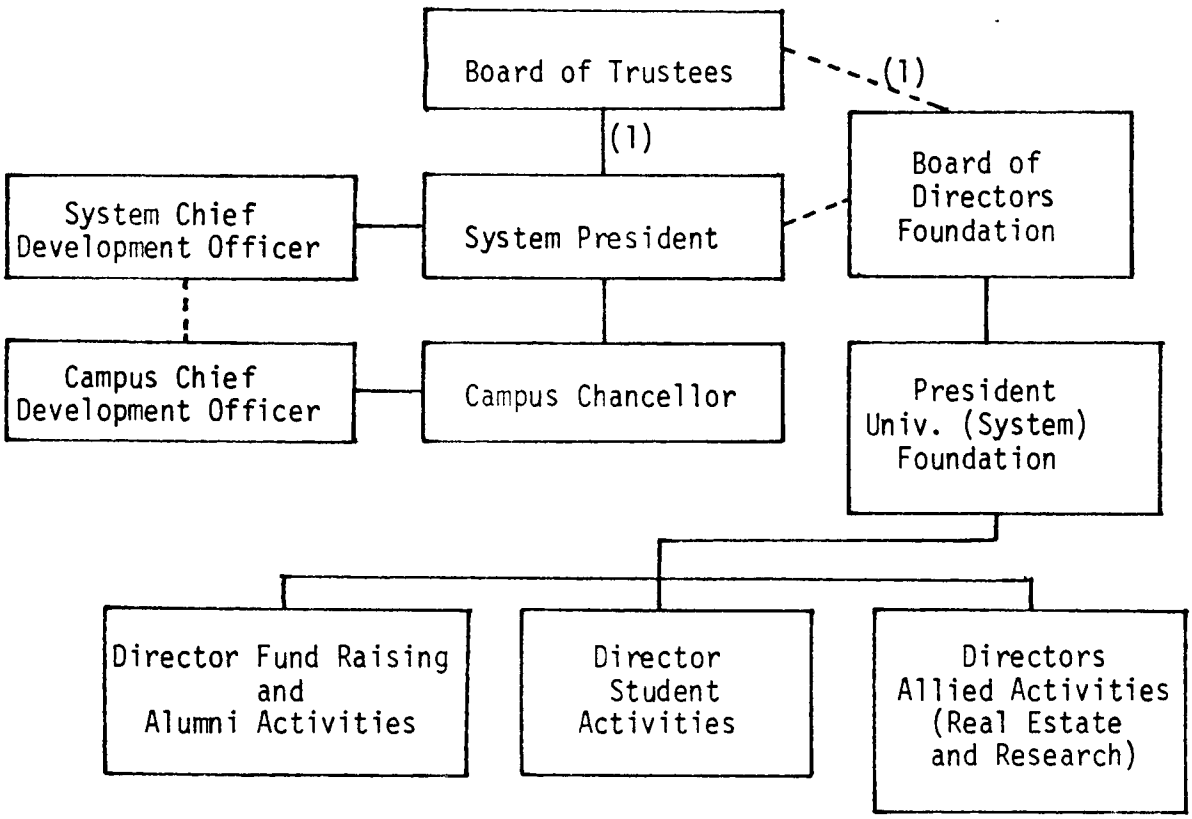


Figure 15. Institutions K1 and K2 Organizational Chart (with Separate System Foundation).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

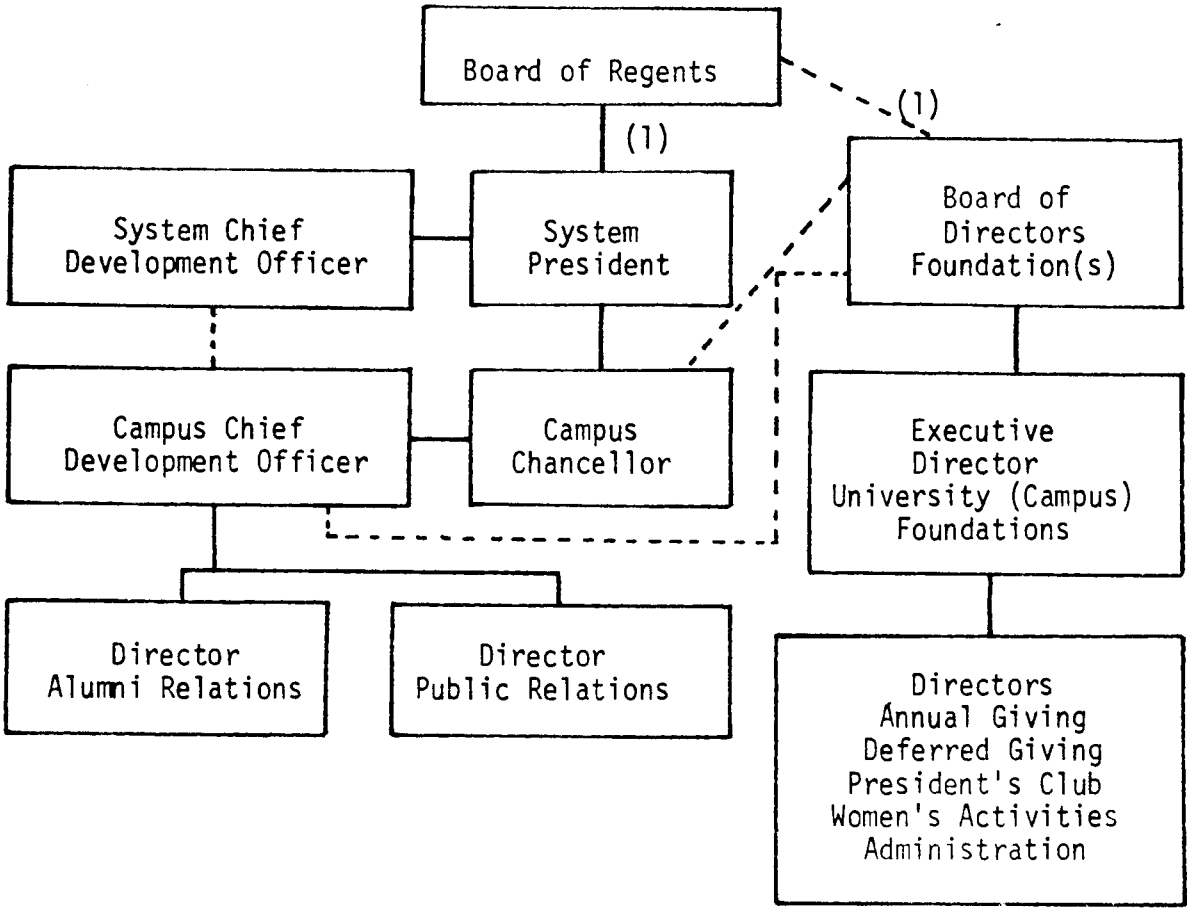


Figure 16. Institutions L1 and L2 Organizational Chart (with Separate Campus Foundations).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

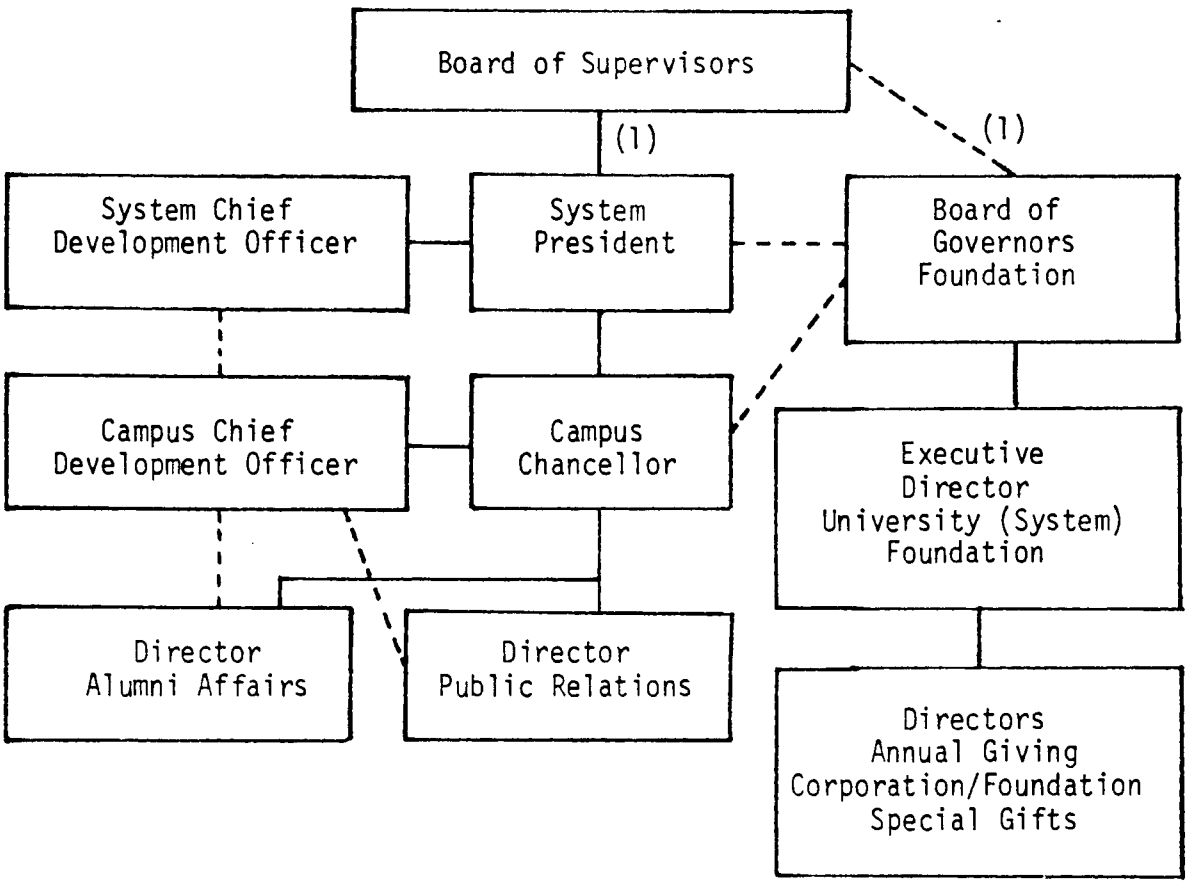


Figure 17. Institutions M1 and M2 Organizational Chart (with Separate System Foundation).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

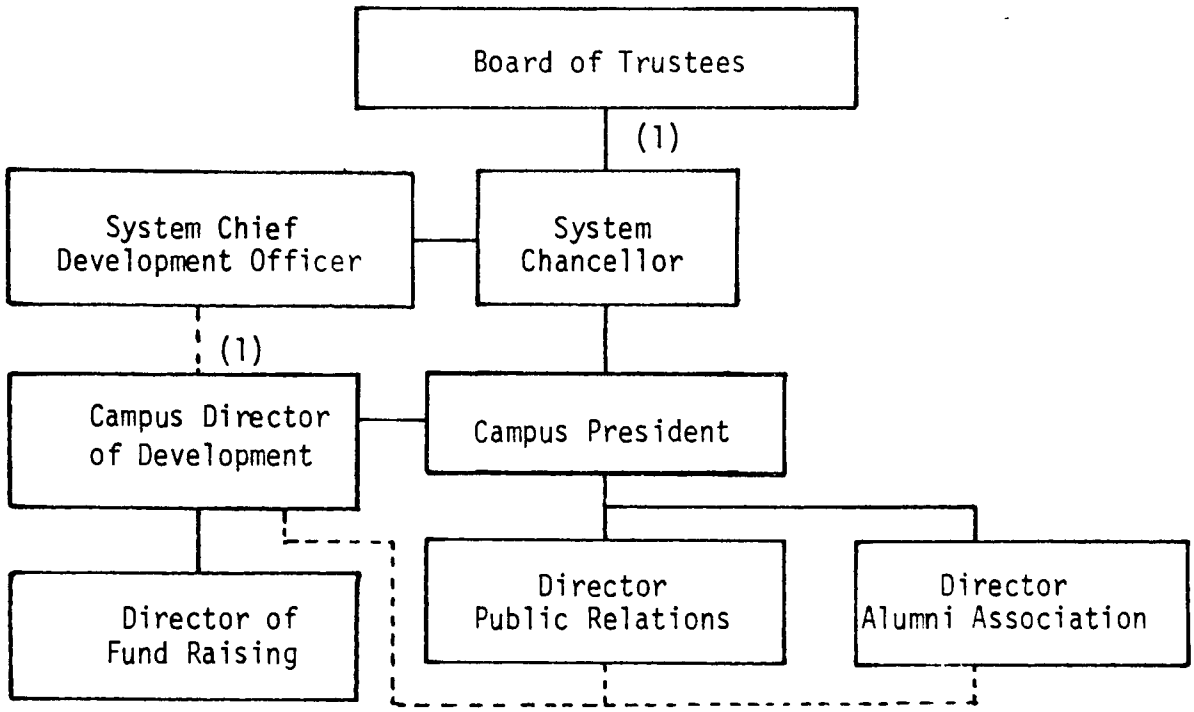


Figure 18. Institutions N1 and N2 Organizational Chart (No Foundations).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

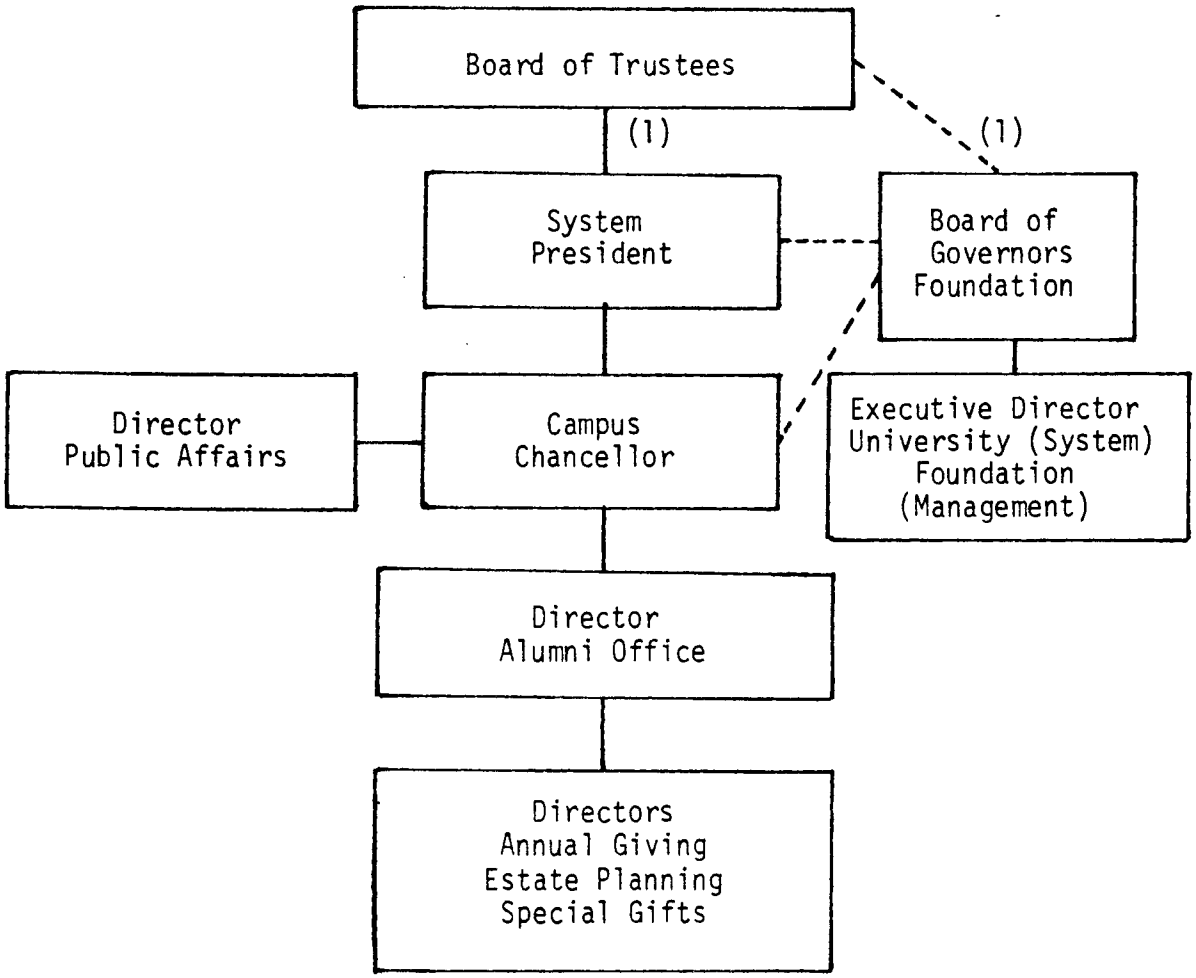


Figure 19. Institutions 01 and 02 Organizational Chart (with Separate System Foundation).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

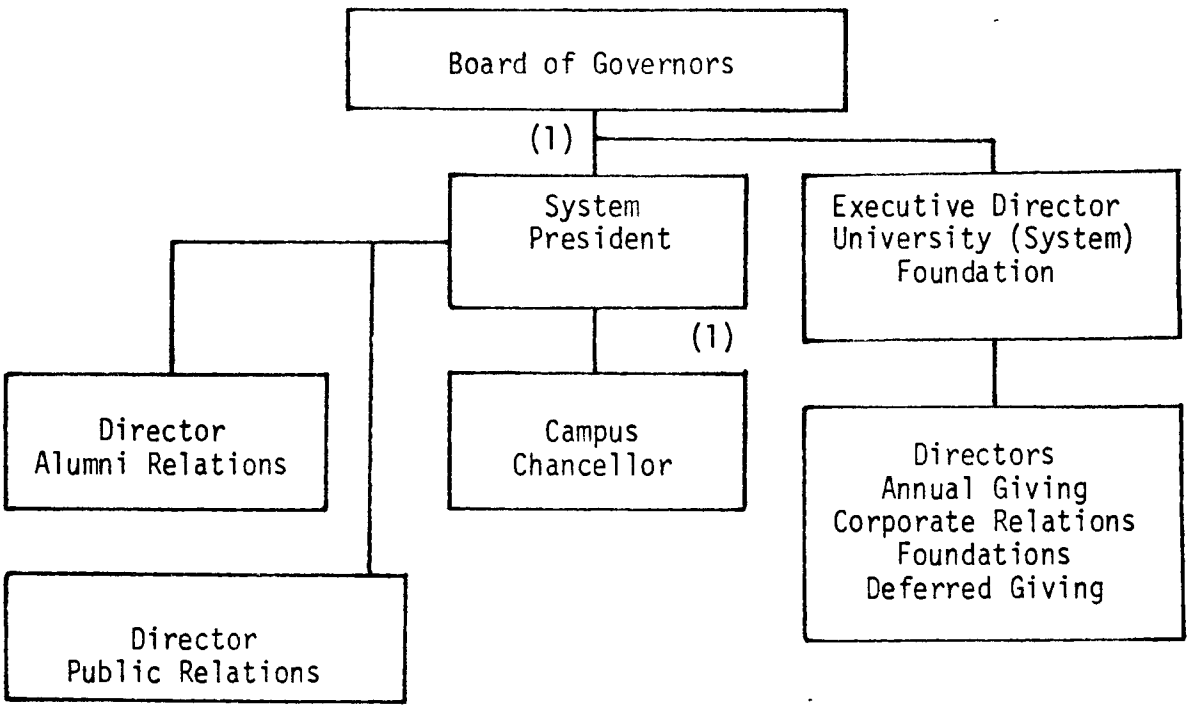


Figure 20. Institutions P1 and P2 Organizational Chart (with Separate System Foundation).

(1) Legend: _____ indicates direct control; ---- indicates coordination.

VITA

Glen Wayne Stout was born in Appalachia, Virginia, on August 31, 1929, and graduated from Appalachia High School in 1948. In 1950, he was appointed from the Ninth Congressional District of Virginia to the United States Military Academy at West Point, New York. Graduating in 1954, he was commissioned a second lieutenant in field artillery and awarded a Bachelor of Science degree.

In 1959 he was selected for attendance in civilian graduate school at Columbia University in New York City. In 1961 he received a Master of Arts degree in comparative literatures and returned to West Point as an Assistant Professor of English. Subsequent military assignments took him to Korea, Europe, Vietnam, and Department of the Army in Washington, D. C., where he was a speechwriter and public information coordinator.

In June 1975 he retired from active military service with the rank of lieutenant colonel to enter the University of Tennessee, Knoxville. He received the Doctor of Education degree with a major in Educational Administration and Supervision and collateral areas in Higher Education and Industrial Personnel Management in August 1977.

The author is a member of Phi Delta Kappa and the American Association of University Professors. He is married to the former Mary Arch Bratton; and they have a son, Geoffrey Wayne.