The Dissertation Committee for Dennis Lee Elam Certifies that this is the approved version of the following dissertation:

UNIVERSITY DEVELOPMENT: DONOR PERCEPTIONS REGARDING A REGIONAL UNIVERSITY IN TEXAS

Committee:

John E. Roueche, Supervisor

Michael Thomas

Edward Emmer

Norvell Northcutt

Roselyn Morris

UNIVERSITY DEVELOPMENT: DONOR PERCEPTIONS REGARDING A REGIONAL UNIVERSITY IN TEXAS

by

Dennis Lee Elam BBA; MBA

Dissertation

Presented to the Faculty of the Graduate School of

The University of Texas at Austin

in Partial Fulfillment

of the Requirements

for the Degree of

Doctor of Philosophy

The University of Texas at Austin

December, 2003

Dedication

My father's father and mother were both schoolteachers. In fact, my father went to the University of North Texas to become a teacher. One of my earliest memories is a story taught to me by that grandfather. The story involved a couple that attended the circus. Ms. Smith remarked to Mr. Jones that the foot of the elephant outlined a circle. Yes, Mr. Jones responded, it is very much like a circle. The total distance around that circle, from start to finish, would be called the circumference of the circle. And there are ways to calculate that distance if we measure the distance across the circle.

And so, a five-year-old boy went off to his first day at kindergarten knowing the meaning of at least one four-syllable word-circumference. That grandfather was Ivy Lee Elam, born in 1883. He was a teenager when Teddy Roosevelt took San Juan Hill in Cuba and an old man by the time the US won WWII. But his devotion to teaching his young grandson was unflagging and constant. His wife and my grandmother, Francis Elam, taught in a one-room schoolhouse. They had grand plans for that small boy named Dennis Elam. Ivy Lee wanted that boy to attend his favorite university-UT for the University of Tennessee.

As it turns out, Dennis did make it to a UT, earning a total of three degrees from the same institution. While Ivy Lee left this world in 1958, I am sure he would be smiling at the orange and white around my shoulders at graduation. Ironically both institutions share the same colors and shorthand identification-orange and white are the colors for both the University of Tennessee and the University of Texas. If one follows the circumference of a circle, it finally comes back to where it started, UT, one way or the other. This dedication hopes that grandfathers everywhere will continue to inspire their grandchildren with such stories.

Acknowledgments

This project is the result of the encouragement of my original Committee Chair, Dr. Donald Phelps. Dr. Phelps correctly saw the importance of development as an emerging theme in what soon developed to be state wide budget crises across America. Regrettably, he passed away before the completion of the project. Committee members including Drs. Roueche, Thomas, Emmer, Northcutt, and Morris (SWT) helped guide this project to completion.

Mr. Seth Worley, Systems Analyst at SWT, originally suggested the idea for the project. It was his suspicion that alumni had a great deal to tell SWT about the entire development project if they were just asked. In fact, they did. Seth never flagged in his devotion to the project providing suggestions, insight, and assisting with electronic mail. Gerald Hill, Vice-President for Development for SWT, lent his support to the project. With his blessing others joined the effort including Carroll Wiley, Associate Director for Development, T. Cay Rowe, Director of Media Publications and Relations, Joe Meyer, Director of Institutional Research who designed the web site questionnaire, Dorothy Evans and Melinda Braun of Alumni Services, Dr. Richard Smallwood of Academic Assessment, Dr. Paul Raffeld, Program Director for Testing and Research, and Marian Loep, Executive Assist to Gerald Hill and Coordinator for the SWT Parents' Association. The staff of the Development Office was always helpful in proofing, listening, and providing feedback to my many questions.

Numerous professors in the College of Business lent their assistance in proofing and making suggestions. These included Dr. Larry Patterson, Dr. Kay Glasgow, Dr.

Vivek Shah, Dr. Daniel Flaherty, Dr. Howard Smith, and Dr. Floyd Ploeger. Dr. Roselyn Morris was the committee member ‘on the scene’ at SWT. She served as a valuable resource about SWT as well as strategist for the paper.

The result has been an academic but practical survey of hundreds of Alums and Parents. SWT has expanded its development effort by adding more officers and now features a direct link to the Development effort in its main web page. It is hoped that this survey will be instrumental in further advancing the vision and mission of Southwest Texas University.

UNIVERSITY DEVELOPMENT: DONOR PERCEPTIONS REGARDING A REGIONAL UNIVERSITY IN TEXAS

Publication No._____________

Dennis Lee Elam, Ph.D.

The University of Texas at Austin, 2003

Supervisor: John E. Roueche

Texas, along with many other states, finds itself in a state budget crisis by 2002. Budget demands by other components such as senior citizens, have brought a greater demand for universities to raise more of their own funds, the process known as development. Most state universities began serious development efforts by the mid 1990s. It was thought that a thorough survey of alums, parents, faculty, and other stakeholders would provide insight into how SWT could best communicate with these stakeholders.

The approval of Gerald Hill, Vice President for Development at SWT, was obtained for the project. Numerous other important staff then joined the effort. Sixteen questions were formed to elicit information. These questions were placed on a website so that electronic mail could be used to obtain answers. Questions included how the stakeholders perceived SWT, how they communicate with SWT, their understanding of ways of giving, and attitudes about giving.

Some 441 responses were obtained. These were analyzed using the Statistical Package for Social Sciences. The results are presented. The meaning of these responses is analyzed. Suggestions are made for further research.

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CHAPTER I

THE CONTEXT OF THE STUDY

Introduction

Anecdotal evidence abounds that higher education is in for a fiscal crisis in FY 2002-03. For example, Lt. Governor Bill Ratliff states, "Texas is facing its worst fiscal crisis in more than a decade" (Statesman, 7/13/02). In Texas the Lt. Governor sets the agenda for the legislature. Clearly, the Lt. Governor is setting the stage for difficult times for higher education in the near future. For UT Austin, it gets worse. The Attorney General has just ruled that UT Austin cannot charge a new mandatory fee this fall. The fee would have been the largest ever imposed for all students (Statesman, 7/13/02) ("UT is Told it Can't Charge Newest Fee," 2002). UT Austin is seeking to add money to its maintenance fund to repair aging buildings. <u>The Chronicle of Higher Education</u> headlines proclaim that "States Face Year of Famine after a Decade of Plenty." (Hebel, Schmidt, and Sellingo, 2002). In that same article, Molly Broad, president of the University of North Carolina system, states that, "the crisis in state funding is an alarming trend that does not bode well for American higher education." Meanwhile at the National Governor's convention, Kentucky Governor Paul Patton remarked that, " What we're looking for is to get through this current downturn without making dramatic and really hurtful cuts in education and basic social services" (Associated Press, 2002).

The downturn in the economy is causing one set of woes for those in higher education, while the downturn in the financial markets is making it a double calamity. “Last year, the average college endowment lost value for the first time since Los Angeles held the Summer Olympics and Newsweek put a cabbage patch doll on its cover.” (Pulley, John, 2002). Indeed, the value of college endowments dropped 3.6% in the first year of decline since 1984 (Pulley, John, 2002). Worse still, traditional financial support for higher education from independent or private foundations appears to be waning. “When the Atlantic Philanthropies acknowledged this month that it was abandoning its higher education programs, the reality became clear; Foundations and colleges are on the road to Splitsville” (Pulley, 2002). “ The feeling on campuses and on the street is, Yikes!” says Robert Weisbuch, president of the Woodrow Wilson National Fellowship Foundation (Chronicle, 3/29/02). Perhaps the et brute of all this is that even private colleges are also feeling the pinch. “Evidence is growing across the country that the recession is hurting private colleges, in large and small ways” (Chronicle, 3/29/02). Of the nation’s 1,600 private institutions, only 31 have endowments greater than $1 billion. All the others have a median endowment of $12 million, according to the National Association of Independent Colleges and Universities (Chronicle, 3/1/02). This suggests that the wealth of endowments is concentrated in a handful of institutions. The decline in markets coupled with the growing disinterest in support for higher education, will make growing those $12 million endowments even more difficult.

The result has been a move towards aggressive development or advancement or just plain ‘giving’ programs at state universities. While private universities have long relied on donations and tuition for their economic well being, most Texas regional universities were just getting into the act by the mid 1990s (Elam, p. 5, 2002). With the recession growing and state support fading, many are now trying to optimize their development programs. For example, Southwest Texas University has just now placed a development officer at each of its colleges (Hill, 02).

This chapter will state the problem of the study and further redefine the specific problem area. The purpose and significance of the study will be discussed, as well as the limitations and delimitations. Terms and abbreviations relative to the study will be defined, and the researcher will state the research questions that will drive the study, as well as the assumptions, which provide the basis for the study. The chapter will conclude with a summary and an organization of the research.

Statement of the Problem

The State Auditor’s Office reports in the University of Texas Long Range Plan (2002) that there is diminishing financial support from the State of Texas for its regional universities. As a result, regional universities have begun adopting the same measures for fund raising long used by private universities (Elam, 2002). Most regional universities in Texas began serious development work in all their colleges in the 1990s (University of Houston, University of North Texas). This is a relatively new field for these institutions (Elam, 2002). Because literature suggests that the majority of the funds raised will come from ten percent or less of the potential donors, (Lord, 1989; Knauft, 1991; Dover 2001) Lord suggests that two advance determinations must be made in order to identify those donors. The prospects must be qualified and a pathway from the prospect to the organization must be constructed. The problem for regional universities is determining the best way to build a path from qualified donors to themselves. (Lord, 1989). Consequently, this study will focus on the attitudes of SWT alumni towards its own efforts at fund-raising.

The Purpose of the Study

The University Advancement Office at Southwest Texas State University has requested that a research study be conducted among key constituents regarding a variety of topics focused on shaping a comprehensive fund-raising strategy. (Carnegie, 2001) While the University may have done such research in the past, it is now looking to systematically evaluate current attitudes. As the local area and the nation face a more complex competitive and dynamic environment, this information will assist university leadership in developing strategies and implementing efforts to effectively maximize both fund-raising potential and ongoing relationships. Key objectives include:

- Develop a baseline against which future attitude changes can be measured.
- Evaluate key attitude components including:
- General attitudes toward SWT, including the origin of such opinion
- Attitudes toward giving to SWT University
- Current source(s) of information about the University
- Evaluate awareness of funding needs/objectives of SWT
- Explore avenues to most effectively explain funding needs
- Evaluate awareness of the various opportunities to contribute to the University, including specific programs/initiatives
- Understand constituents' experiences giving and being solicited to give to SWT
- Explore the interests and values of SWT's constituents and how to develop giving opportunities that will motivate participation.

In addition, a variety of other topical issues can be explored within the context of this research. The analysis will segment the projectable sampling of opinion by constituent type (alumni with degrees, former students, parents of students and graduates, donors to the university, faculty and staff) and other significant demographic groupings and variables (ethnicity, age, gender, income, degree type, major, graduation year, etc.)

Specific Problem Area

The problem addressed is how best to approach SWT alumni to aid the attainment of the school's Vision and Mission. It is imperative that a positive image of SWT be created among the alumni. The stakeholders must feel that their gift to SWT accomplishes a goal for them as the donors. As Lord (1989) points out, "From the viewpoint of the donor, an organization has no needs. People may have needs and problems. Successful organizations today are putting philanthropic dollars to work in meeting the needs of *people.* These organizations address people's *wants*. They address the community's potential and society's aspirations. They address *opportunities* and show how the institution is poised to capitalize on these opportunities, on behalf of all those it serves One urban university translated this attitude into words when it described itself as "an instrument for the advancement of society." (Lord, p 3-4, 89) How then, can SWT best do just that with its alumni?

Research Questions

Three research questions frame this study: (1) What are the alumni's' (stake holders) attitudes towards giving to the university? (2) What leadership implementation strategies of university development effect the stakeholders' experiences? (3) What themes emerge for university leaders from stakeholders' responses that can further inform the implementation of university development?

Limitations of the Study

A case study, which is limited to a specific sample of a specific population such as the one in this methodology, hampers the generalization of the findings for the purpose of determining causality. The number and character of the addresses of alumni limit the sample selection. It is not known if in fact that sample of the entire population of SWT alumni is representative as to age, gender, etc. Although Internet access is now widely available (most public libraries for example), it is not known if all recipients of the survey will be able to access the web site.

Delimitations of the Study

This study will seek to identify the experiences and observations of alumni from SWT by looking at the attitudes, beliefs, and practices developed by those that attended SWT, the results will not be compared to another school. The study will not examine SWT alumni attitudes from a policy perspective.

The Definition of Terms

Development means the holistic process of raising funds and/or institutional support for SWT. This may consist of raising money, donated property, corporate or philanthropic support in the form of professor endowments or student scholarship.

Alumni refer to men and women that have attended but not necessarily graduated from SWT.

Stakeholders are the representative group of alumni, current students, professors, and administrators that are involved in the student outcomes of SWT.

Abbreviations

SWT means Southwest Texas State University at San Marcos, Texas. SWT is a member of the Texas State University System.

Assumptions

The first assumption is that the benefits and shortcomings of the current development approach may emerge as answers to questions in the survey. The second assumption is that through the analysis of alumni perceptions, the development office may gain information that will further inform the implementation of alumni contacts in the future. The third assumption is that through the sharing and analysis of these answers, the process and implementation of development at SWT will be improved

Significance of the Study

This study will expand the knowledge about and contribute to the practice of university development through the analysis of perceptions of alumni of a regional university in Texas. The preferences as indicated by the responses of alumni might contribute information that will further inform the implementation of university development, resulting in raising the contribution margin of each and every outreach.

Summary

This quantitative study will describe and explain the beliefs and experiences of alumni of SWT towards the development contact efforts by the school. Development means the holistic process of raising funds and/or institutional support for SWT. This may consist of raising money, donated property, corporate or philanthropic support in the form of professor support or student scholarship. Stakeholders are the representative group of alumni, current students, professors, and administrators that are involved in the student outcomes of SWT. SWT stands for Southwest Texas University located in San Marcos, Texas. It is a member of the Texas State University System. This study is based on the overall assumption that the sample selected and their opinions will be representative of the population that might participate in development efforts for SWT. It is further assumed that an analysis of their opinions will result in the ability to improve the SWT development program.

Organization of Research

This chapter introduces the study, provides a rationale, explains the statistical theory that will guide the study, and describes the purpose for research. Chapter 2 reviews the literature on fund raising in general and for universities in particular to provide a background for the study. Chapter 3 describes the role of the researcher in this study, the participants in the study, the quantitative methodology to be utilized, and the form of the final report of the study. Chapter 4 consists of the actual results of the survey. Chapter 5 presents the findings from the study and makes recommendations for further research.

CHAPTER II

REVIEW OF THE LITERATURE

Introduction

Since 1995, the regional universities of Texas have all begun vigorous development/advancement efforts (Elam, 2002). Now, the deepening economic crisis, the explosion in health care costs (AP, 7/14/02), and the resistance to additional fees (AP, 7/13/02) are all bringing an even more important focus to the area of development. Worse, as the Chronicle of Higher Education notes, "For Investment Managers, Boom Years are Over" (Chronicle, 1/25/02, p. A 23).

This paper traces the history, rise, and future of university development programs. The concept of development is defined. The history of fund raising in general and for higher education in particular is then examined. Fund raising has evolved into three types of campaigns that are then presented. An empirical look examines how college tuition costs have risen faster than the general price level. The size and scope of higher education spending in America is also examined. The five natural laws of higher education costs as perceived by Lasher and Greene are presented. The question of why people give is discussed. Next an examination is made of who gives; the results are important for all fund raisers to understand. If universities are now increasingly involved in asking for funds outside their normal venues, what are the ethical questions involved in this process? At this time, numerous Wall Street scandals have raised questions about business ethics.

The topic of ethical behavior in university fund raising is also examined. The views of Broce, Lord, and Knauft on the elements of the fund raising process. are compared. Broce has served as the Development Officer for Duke, SMU, Phillips, and the University of Oklahoma. Lord has served as Development Director numerous national organizations. The popularity of his book, The Raising of Money: Thirty-Five Essentials Every Trustee Should Know, has resulted in fifteen printings by 1990. Knauft's book, Profiles of Excellence: Achieving Success in the Nonprofit Sector, was the result of five years of research in ten different fund raising organizations. The availability of technology to marshal and distribute information electronically offers considerable labor saving for the development professional. Constructive ways to harness this technology are examined. The Dove on Fund Raising Series of books (2000) is a library of premier resource guides that combine practical instruction with real world example. Kent Dove, the Indiana University Foundation, and Jossey-Bass publishers have put together five volumes totaling over 2,000 pages of how to information. Dove's Conducting a Successful Development Services Program is therefore examined. Cook and Lasher have developed a model of how this process works at a typical university. That process is presented. Finally, thoughts on efficiency and fund raising are presented.

Definition and History of Development

As for the best leaders, the people do not notice their existence…

When the best leader's work is done, the people say, "We did it ourselves!"

—Lao-tzu (Lord, 1990)

Broce defines development "as the planned promotion of understanding, participation, and support. It generally includes three distinct but interdependent activities; planning, public relations, and fund raising" (Broce, p. 27, 1979). The examination of the literature will turn to the components of fund raising later in the chapter. It is instructive to examine the history of fund raising in general and for higher education in particular.

Arnaud C. Marts, author of The Generosity of American; Its Source, its Achievements, concluded that private philanthropy is one of the most durable factors of American life. (Marts, p. 4, 1966) Alexis de Tocqueville wrote in 1835 of his travels in America and commented on the uniqueness of the American habits of private generosity (Probst, 1962). de Tocqueville notes that the outgrowth of democratic equality was the voluntary involvement of citizens for the public welfare. Broce relates, " The early history of American colleges and universities is an exciting story. Starting with Harvard University in Massachusetts and the College of William and Mary in Virginia, Americans contributed generously to provide their children with educational opportunities. Most early colleges were designed to train both clergymen and laymen. "Many private and many public educational institutions can trace their founding to denominational giving"(Broce, 1979). While Harvard was begun in 1636 with private donations, the first foundation in higher education was established at the University of Kansas in 1893 (Sharron, 1982).

Hence, early university fund raising coincided with efforts aimed at the general public for charitable causes. Solicitation of the public began in the early 1900s for general charitable purposes. "The 'campaign method' of raising money had its beginnings in the YMCA movement of the 1900s. The campaigns grew out of the concern of many that they were spending too much time begging for money. The solution was the campaign, staged with fixed goals and time limits, enabling the money-raising chore to be completed quickly" (Broce, 1979).

Broce points out that World War II brought new challenges to fund raising professionals. College enrollments dropped as the draft and other manpower requirements increased, and many social agencies were replaced by wartime agencies under government sponsorship. War, not social issues, had become the first concern of most Americans (Broce, p. 12).

Inspired in the 1960s by the success of Harvard University's $82 million program, other major private universities launched capital campaigns, many in excess of $100 million (Broce, 1979, p. 13) (Cook & Lasher, 1996). It is important to note Broce's comment that "at first, most people doubted that such amounts could be reached, but when Duke, Stanford, Chicago, and other universities met or exceeded them, many other organizations and institutions began to have confidence in their own abilities." These three campaigns then served as a model for other university efforts (Broce, 1979, p. 13-14).

The Serviceman's Readjustment Act, later known as the G I Bill, really got the federal government into financing higher education in a big way. In the 1950s, the challenge of Russia's Sputnik satellite brought on the national Defense Education Act (NDEA). Americans suddenly found themselves 'behind' in science and mathematics. The imperative of the Cold War caused Congress to create funds for new science programs at the college level. The passage of the 1965 Higher Education Act, which focused on four-year universities, provided the needed impetus for establishment of external fundraising operations at many community colleges (Schuyler, 1997, Keener, 1984).

Private universities have always relied on the private sector for funds. State universities are now scrambling to get on the fund-raising bandwagon. The Chronicle of Higher Education headlines proclaim that "States Face Year of Famine after a Decade of Plenty" (Chronicle, 1/11/02). In that same article, Molly Broad, president of the University of North Carolina system, states that, "It's an alarming trend that doe not bode well for American higher education." Meanwhile at the National Governor's convention, Kentucky Governor Paul Patton remarked that, " What we're looking for is to get through this current downturn without making dramatic and really hurtful cuts in education and basic social services" (AP, 7/14/02). The result has been an increased emphasis on development. The next section takes an empirical look at the trends that have caused this recent interest in development among state universities.

University Involvement in the Development Process

The size of the enterprise of higher education merits attention at this point. Johnstone reports that "total current-fund expenditures for all institutions of higher education in 1993-94 were $173,350,671,000. The total expenditure on higher education, including all institutional current-fund expenditures plus additions to plant value, or about $200 billion, is about 3% of the nation's gross national product. Among the seven highly industrialized countries, the United States is second only to Canada in higher education expenditure as a percentage of gross domestic product, spending more than France, Germany, Italy, Japan, or the United Kingdom. A total of 14,305,658 students, full or part time, were enrolled in the fall of 1993. These students were enrolled in 3,688 colleges and universities, including 1,641 public, and 2,047 private institutions. In addition, some 1,027,713 students were enrolled in 6,737 noncollegiate postsecondary (mainly short-term vocational) institutions (Johnstone, 2001. p. 5).

Johnstone provides the following table that tracks the increase in annual tuition costs from 1974-75 to 1994-95 (Johnstone, 2001, p. 8)

Table 1: Annual Tuition, Private and Public Colleges, 1974-75 to 1994-95 ($)

	Private Institutions	Public Institutions	
Year	University	University	Two-Year
1974-75	$2,614	$599	$277
1979-80	$3,811	$840	$355
1984-85	$6,843	$1386	$584
1989-90	$10,348	$2,035	$756
1994-95	$14,510	$2,982	$1,914
% Increase 1990-95	40%	47%	153%
% Increase 1985-95	24%	115%	228%

Johnstone, in addressing these figures, notes, "The trajectory of unit costs in higher education, is steeply upward at rates in excess of prevailing rates of inflation." He lists several reasons for the rate of increase in corresponding revenues being flatter, as follows:

- Price resistance from upper-middle class parents, apparently less willing to accept tuition increases in excess of inflation.
- Price resistance from older students and from graduate and advanced professional students facing mounting debt loads.
- Decreasing support from governors and state legislatures faced with other compelling public needs, decreasing federal financial assistance, and restive or angry state taxpayers.
- Increasing costs of 'big science' without concomitant increases in federal research support.

- Decreasing support for academic health centers caught between cost-cutting insurers and low-cost alternative providers (Johnstone, 2001, p. 8-9).

The Institute for Higher Education Policy tied together data and information from numerous sources in order to help identify the pieces of the why tuition has grown so dramatically in higher education. Their conclusions were as follows.

- Overall, average tuition and fees increased almost fivefold over the last two decades, or nearly doubled after adjusting for inflation.
- One of the most significant causes of higher prices has been the declining role of public revenues, which are partially offset through higher price.
- If earnings alone are the measure of the worth of the additional investment required for a bachelor's degree, the benefit has not increased nearly as much as the price; incomes for baccalaureate degree holders have remained steady.
- There has been an enrollment response to the higher prices, with incremental shifts away from community colleges by middle and upper income students. There have been enough students willing to shoulder the higher costs of four-year education. Low-income students have largely remained concentrated in public two and four-year institutions.

- Much of the response to rising prices has been focused on efforts to increase financial options to help students meet the higher prices and to improve the public information about college prices. A variety of student loans and Pell Grants are now available. Neither of these responses is intended to actually reduce the price of college.
- There has not been a systematic restructuring of tuition price structures as part of the public policy response. Tuition and fees continue to increase.
- State and federal policymakers have been active co-contributors (along with institutional leaders) to the increase in college tuitions. Unless different budget rules are developed, the game of tuition 'chicken' that is ritualistically played across the country is likely to continue (Institute, 1999).

Johnstone notes that other studies show the relation in public revenue and tuition. "The consensus from several different studies is that one of the most significant causes of higher tuitions is the changing role of public revenue, which declined in relative terms between 1980-81 and 1994-95. The relative decline occurred despite the fact that public revenue dollars have continued to increase-even on inflation –adjusted, per full-time equivalent (FTE) basis. Because growth in public funding has not kept pace with overall revenue needs, institutions have turned to other sources to fill the gap-specifically tuition revenue. Thus, tuition revenue per FTE has grown at a faster rate than both public revenue and total revenue per FTE" (Davis, 1997; McPherson and Schapiro, 1998).

In his 1980 book, The Costs of Higher Education, Howard Bowen states that, "The basic concept underlying the revenue theory of cost is that an institution's educational cost per student unit is determined by the revenues available for educational purposes" (Bowen, p. 17, 1980). From this theoretical base, Bowen developed a set of 'laws' of higher education costs that describe the motivations and activities of higher education institutions from year to year. These natural laws of higher education costs are as follows:

- The dominant goals of institution are educational excellence, prestige, and influence. Student/faculty ratios, faculty salaries, and qualifications of students, the number of library holdings, the quality of facilities, and the amount of equipment available measure these goals. These are all resource inputs, not educational outcomes.
- In the quest for excellence, prestige, and influence, there is virtually no limit to the amount of money an institution could spend for seemingly fruitful educational ends. No matter how much an institution has, there is always something else that it needs to meet its mission, improve its programs, or enhance its quality.
- Each institution raises all the money it can. No institution of higher education ever admits to having enough money.

- Each institution spends all it raises. An exception to this is the endowments that are raised where the endowment principal is not spent, but the annual income is. However, these arrangements are designed for the long-term enhancement of the institution, and in that sense are also part of the institution's quest for excellence, prestige, and influence.
- The cumulative effect of the preceding four laws is toward ever increasing expenditures. Questions concerning what higher education ought to cost, or whether higher education could operate more efficiently, are usually raised from outside the institution rather than inside. As a result, there is a basic assumption that institutional budgets must ever increase (Bowen, p 19-20, 1980).)

While the above scenario may seem a bit 'tongue in cheek,' the reality is that even a small setback of 3% sends many administrators reeling. This is precisely what is happening, as the current recession grows longer and deeper.

Why People Give

Of all the books this researcher examined in the literature search, one stands out as the premier practical guide to fund raising. Lord's <u>The Raising of Money: Thirty-five Essentials Every Trustee Should Know</u> gets the message across in 108 pages. It features a companion volume, <u>A Guide for the Professional</u>

that runs a mere nineteen pages. The clarity of his presentation is evident in Essential Number One-Organizations Have no Needs. The unschooled solicitor might well begin by exhorting the potential donor to give because the organization needs something-a new building, new computers, etc. Instead the successful approach works the opposite way. "The organization has solutions. It has answers. It has capabilities" (Lord, p. 8, 1989) .

Successful organizations today are putting philanthropic dollars to work meeting the needs of people by addressing people's wants. They address the community's potential and society's aspirations. They address opportunities-and show how the institution is poised to capitalize on these opportunities, on behalf of all those it serves. One urban university translated this attitude into words when it described itself as 'an instrument of the advancement of society' (Lord, p. 3-4, 1989). People need to give to a cause because giving makes them feel good. The cause may be for a religious, athletic, academic, or memorial reason. To succeed in fund raising, the organization must appeal to the needs of the donor, not the needs of the institution. For example, Baylor University makes mention of one donor who chose to memorialize her son with a donation to Baylor. Baylor responded by meeting the need of the parent's desire to memorialize a child with a permanent, public gift. Baylor did not succeed by convincing the parent of Baylor's need; the university responded to the parent's need and therefore succeeded in its fund-raising program (Lord, p. 4, 1989). Lord put this point first of the thirty-five points. This is the one that must stay paramount in the mind of the successful fund- raiser.

Batson, Greenfield, and Mixer also provide reasons why people give to organizations. Batson believes that motives are "goal directed forces, and in this context it is important to distinguish among instrumental goals, ultimate goals, and unintended consequences. An instrumental goal is sought as a means to reach some other goal; an ultimate goal is sought as an end in itself; an unintended consequence is a result of acting to read a goal but is not itself a goal. It is the ultimate goal that defines a motive; each different motive has a unique ultimate goal" (Batson, p. 612 ASHE, 1991).

Batson believes that human action motivated by self-interest is *egoism*. If the ultimate goal is to increase the actor's own welfare, it is egoistic (Batson, p. 612 ASHE, 1991). Batson turns to John Stuart Mill in his defense of utilitarianism: "Why am I bound to promote the general happiness? If my own happiness lies in something else, why may I not give that the preference?" Mill's answer was that we give our own happiness preference until, through education, we learn the sanctions for doing so. This researcher suggests egoism is behind the large gifts recently announced by several Texas' universities. The University of Houston received $40 million and re-named its School of Business for the donor- the Bauer College of Business. UT Austin recently re-named its Business School the Red McCombs School of Business after receiving $50 million. The newest geology building at UT Austin will be named for its benefactor (Elam, p. 5, 2002). The point is that constructively corralling egoism can pay handsomely for a university.

But all motives cannot be explained by egoism. Three alternatives are suggested to egoism. The second motivation then is *collectivism*-serving the public good to benefit a group. Batson sees this as motivation with the ultimate goal of increasing the welfare of a group or collective. Turner has recast group identity in terms of self-definition at the group level; one sees oneself as a partner, team member, and member of the male gender or so on. A person exhibits collectivist spirit when he or she contributes to the local United Way because it enriches the community (Batson, p. 613 ASHE, 1991). Dawes in 1990 suggested that collectivism is independent of egoism. If individuals are placed in a social dilemma after discussing the problem with other members of the group, they give more to the group than if they had no prior discussion. Dawes claimed that participants acted to enhance the welfare of the group "in the absence of any expectation of future reciprocity, current reward or punishment, or even reputation consequences among other group members" (Dawes, 1990).

Altruism is motivation with the ultimate goal of increasing the welfare of one or more individuals other than oneself. Batson observes that the most common form of altruistic motivation is empathic emotion. By empathy Batson means other-oriented feelings congruent with the perceived welfare of another person. Empathy is usually considered to be a product not only of perceiving the others in need but also of adopting the perspective of the other, which means imagining how the other is affected by his or her situation (Stotland, 1969). Altruism is probably the motivating factor behind university appeals for scholarships to help individuals who would otherwise not be able to afford a college degree.

Principalism is motivation with the ultimate goal of upholding some moral principle, such as justice or the utilitarian principle of the greatest good for the greatest number. Moral philosophers typically call for motivation with an ultimate goal of upholding some universal and impartial moral principle. This researcher observed principalism at work in the development literature of Baylor University. (Batson, p. 617 ASHE, 1991) Baylor exhorts donors to provide for a university atmosphere that emphasizes Christian values. (Baylor Spotlight, 2001)

Batson concludes by observing that it is important to know which principle is at work. Sometimes, these motives may combine additively; at other times, they may be in conflict, one inhibiting or undermining another. Batson observes that it is important to know which motives are operating in a given situation. It is also important to know what evokes each motive and how they interact. (Batson, p. 618 ASHE, 1991) For example, the ego of an individual may cause he or she to come to the rescue of one student in need rather than the notion of principle, which would suggest helping the individual for belief in a cause.

Greenfield models a ‘pyramid of giving.’ This model specifies three levels of donor involvement including contact, growth, and commitment. Contact involves identifying potential donors and giving them information about the organization. This is typically associated with annual giving. The idea is to build a loyal donor base that provides a dependable stream of income for the university. The donor growth level describes givers who begin to show interest and get involved. . This level is associated with major giving or capital campaigns. Finally, the top of the pyramid, commitment, is associated with the investment by the giving of personal funds. This is typified by estate or planned giving (Greenfield, p. 13-14, 1994). Greenfield cites these motives.

- To be charitable and to help others
- To enjoy ego satisfaction
- To gain public recognition
- To achieve public respect
- To observe religious guidelines
- To participate in a worthy cause
- To join with others in a common purpose
- Because the organization has a good public image
- Because donors have confidence in the organization and they trust it to use their money well
- Because the organization has good people in leadership positions

- Because the organization is fiscally sound and operationally well-managed
- Because they were asked to give (Greenfield, p. 13-14, 1994)

Clearly Greenfield's list is less cerebral than Batson's. However, satisfaction, recognition, and respect are clearly in the egoism category of motivation

Mixer developed a framework for why people give based on internal motivations and external motivations. Internal motivations include personal or 'I' factors (egoism), social or 'we' factors (collectivism), and negative or 'they' factors. The personal motivators include self-esteem, achievement, personal gain, and immortality. Social factors include status, altruism (Batson, again), and power. Negative motivators include frustration, unknown situations, and fear. Clearly this latter category would not be a typical motivator for a university. Fear can be and is a motivating factor. There is the fear that the school will close or lose accreditation or that a hallowed building will fall down. Even the fears from external influences include rewards such as stimulation, recognition, personal, and social stimulation-presumably egoism at work again. Stimulation results from human needs, vision and tax deductions. Situations refer to networks, culture, and traditions (principalism). (Mixer, p. 14, 1993).

The conclusion regarding why people give is imbedded in Baston's warnings that fund raisers need to be aware of why people give and that campaigns should be geared accordingly. Moreover, the effort to elicit giving from an individual should be gauged on that person's motivation for giving. Now that the topic of why people give has been examined, the next important question to review is who actually gives.

Who Gives

The firm of Yankelovich, Skelly, and White did the most thorough study undertaken to date on American's giving patterns. (Lord, p. 46, 1989) The study showed that the richer the family, the less it gave away as a percent of its income. Simply stated then, the majority of donors to grass roots organizations are middle and working class people, and they also give a majority of money. This is not to negate the tremendous impact and importance of wealthy people and their gifts, without which the major institutions of our society would not exist, but to highlight the often-overlooked contributions of ordinary people. (Klein, p. 5, 1988)

Numerous studies over the past decade have shown that fully 85% of the money given away by living individuals comes from families with incomes of $50,000 or less. (Rosso, p. 254, 1991)

Lord puts this in perspective. Most successful $1 million campaigns have a top commitment of $100,000, or ten percent. Typically, a first contribution is something in the range of one contribution at the $75,000 level; two at the $50,000 level; three at the $25,000; and three at the $15,000. These ten commitments total

$395,000 or 39.5 per cent of the goal. The next 100 commitments should account for another thirty or forty percent of the goal; ‘numerous others will generate the balance.’ This is called the ‘rule of thirds.’ To wit: One third of the goal is usually raised from each group-the top ten, the next 100, and everybody else (Lord, p. 47-8, 1989).

Clearly universities are going to be involved in the why and who of giving. If institutions of higher learning are going to raise money, there are ethical issues that must be considered when fund raising. The next section addresses ethical issues.

The Ethics of Fund Raising

Dewey states that ethicists broadly agree that there is “no such thing as reflective morality except where men seriously ask by what purposes they should direct their conduct and why they should do so; what it is that makes their purposes good? This intellectual search for ends is bound to fail when customs fail to give required guidance” (Dewey, 1960, p. 29-30). Dewey is saying that it is necessary for the fund raising institution to provide the reason why their purpose is good. This relates to Lord’s first point that the donor has a need, not the institution. The donor must feel that the institution fulfills his need to help others.

Concerning the ethics of fund raising, Rosso concludes that three main points seem clear:

- Fund raising can be accomplished less and less on a 'business as usual' basis.
- The challenge to many fund raising habits comes from changes in not-for-profit organizations themselves, from changes in the public's assumptions about no-for-profits, and from technological shifts in how fund raising is done.
- Being responsive to changing circumstances and conditions leads not-for-profit leaders and managers to consider moral issues that pertain to their organizations (Rosso, 1991, P. 265).

This issue has also been considered by the Council for Advancement and Support of Education (CASE) and the National Association of College and University Business Officers (NACUBO). In the early 1980s these organizations authored Management Reporting Standards for Educational Institutions: Fund Raising and Related Activities. These standards focused on taking norms (campaigns, annual giving, and capital programs) from outside the field of fund raising for higher education and internalizing them so that they became the norms within higher education fund raising. The practical consequences of this process of integrating fund raising into the general financial management of a college or university contributed to fund raising being accepted as a legitimate part of the institutional enterprise (Rosso, 1991, p. 268).

Elliott and Gert discuss The Moral Context of Fund Raising in their 1992 work. The fund raiser and donor should have reasonable expectations and moral permissibility. By this the authors mean that "the reasons that lead a donor to give to a specific charitable organization are far more complex than those that lead a buyer to purchase goods from a particular store." Indeed, it was shown in the Why section that donors give for a variety of reasons. Elliott and Gert conclude that there are three *reasonable expectations* that extend from the trust relationship between the fund raiser and the donor:

- Donors reasonably expect fund-raisers to protect their gifts by understanding and safeguarding the donative intent.
- Donors reasonably expect fund-raisers to give them pertinent information to assist them in making decisions about whether and how to give.
- Donors reasonably expect fund-raisers not to deceive them as they make determinations relative to their donations (Elliott, p. 43, 1995).

After reviewing the three reasonable expectations of a donor from a fund raiser, Elliott and Gert discuss what are the *morally unacceptable actions in fund raising.* The authors suggest that the fund raiser's proper moral behavior is to act only in those ways that they would be willing to have everyone act. This means never causing harm, deceiving, cheating, or breaking promises unless one would be willing for everyone to be able to do so (Gert, 1992, p. 5-24).

Attention is now turned to the elements of the fund raising process itself. What are the essentials of fund raising?

The Essential Elements of the Fund Raising Process

This section will examine suggestions from several authors concerning the essential elements of the fund raising. Broce suggests nine cardinal principles of fund raising (Broce, 1979, p. 17-25).

First, institutional or organizational objectives for fund raising must be established. Broce observes, "An organization that hires someone and expects him simply to "go out and raise money" cannot expect impressive results. The person may get donations, but he will not be able to attract substantial funds (Broce, p. 17, 1979). As Dr. Roueche has observed in the Community College Leadership Program, "if one does not have a plan and a goal, it is difficult to gauge whether one is achieving that goal" (Roueche, CCLP Class Notes, 2001).

Second, development objectives must be established to meet institutional goals. The important point is that *donors give gifts to meet objectives, not simply to give money away.* Broce comments that "few spokesmen for American institutions can answer in two minutes or less the question; 'How would you spend one million dollars if it were given to you today? Few can say with authority and confidence how they would use such a windfall. Yet if they can't answer that question, how can they solicit donors for gifts'" (Broce, p. 18, 1979)?

Third, the kinds of support needed determine the kinds of fund-raising programs. When a development program is being started, those persons responsible must determine the kinds of gifts needed to meet the institution's objectives and the kind of program that will best attract these kinds of gifts? For example, an institution with a small endowment but a great need for additional operating support should place its prime emphasis on aggressive annual-gifts programs. Broce conclusion is that the annual gifts program will result in the greatest return on the development effort for what the institution needs (Broce, p. 20, 1979).

Fourth, the institution must start with natural prospects. An institution cannot expect others to invest in it until those who are closest to the center do so. An example Broce sites is the private university that launched an ambitious program, voted upon by the trustees. Prospects then inquired, "How much have the Trustees contributed?" When told the trustees had not yet made gifts, the prospects told the solicitors to come back after those who had decided that this was an important idea had also decided that it warranted their own support (Broce, p. 21, 1979).

Fifth, the case for the program must reflect the importance of the institution. The staff must reflect a genuine enthusiasm for their project. This must be conveyed in every facet of the fund-raising effort, from preparation of the case statement to the personal solicitation of a gift. If this enthusiasm is not shared by professional staff and volunteer workers, the program will never receive the enthusiastic support of others (Broce, p. 22, 1979).

Sixth, involvement is the key to leadership and support. Individuals and groups must have the opportunity to be involved in planning an operation. The best solicitors are those who are most involved. The same is also true of contributors. The meaningful involvement of individuals is a full-time, never-ending task that must be sincere, constant, and real (Broce, p. 23, 1979).

Seven, prospect research must be thorough and realistic. Because a foundation has made a gift to one college in your state does not mean that it will automatically support yours. Research includes collecting information on which to base sound determinations about the right prospects for the project (amount and purpose), as well as the right time to solicit from those prospects (Broce, p. 23, 1979).

Eight, cultivation is the key to successful solicitation. Prospects are of three kinds; those ready to be solicited, those interested in the institution but not yet meaningfully involved, and those with potential but no known relationship. Cultivation, (known as prospecting in the sales field) is a never-ending process (Broce, p. 24, 1979).

Nine, solicitation is successful only if the previous eight principles are followed. Solicitation is the final and often the easiest, step in the fund-raising process. Notably, Broce concludes with the importance of ethical responsibility, covered in a previous section. From these 'cardinal principles,' through the mechanics, the most important factors in fund raising remain honesty, integrity, knowledge, and willingness to work hard, and unquenchable optimism.

Knauft, Berger, and Gray (1991) suggest that there are four hallmarks of excellence in nonprofit organizations. Their contentions are that these factors differentiate a truly great organization from the merely good ones. According to Knauft, Berger, and Gray, the four hallmarks of excellence are what makes all the difference in creating a clear and tangible 'value added.' Their four hallmarks of excellence are as follows:

First, a clearly articulated sense of mission that serves as the focal point commitment for board and staff and is the guidepost by which the organization judges its success and makes adjustments over time is required. Second, an individual who truly leads the organization and creates a culture that enables and motivates the organization to fulfill its mission must be present. Third, the organization must have an involved and committed volunteer board that relates dynamically with the chief staff officer and provides a bridge to the larger community. Fourth, there must be an ongoing capacity to attract sufficient financial and human resources (Knauft, Berger, and Gray, p. 1-2, 1991).

Knauft et al make the point that one or two elements may not be functioning as smoothly as the others. But effective nonprofits have four characteristics: a clear mission, strong leaders, a committed board, and stable revenues. These same features were seen in Broce's list.

Greenfield makes several points about the characteristics of the annual giving campaign. Perhaps one of the most cogent is that churches ask for money every week. He then notes that churches raise half the money given away each year in America. But asking is only part of what annual giving is all about. He develops a list of six keys to success in annual giving. He even suggests that the fund raiser memorize them:

- Vision is mission. This means that one must project a vision of the organization, which excites the donor.
- Leadership is key. This was seen in both Broce and Knauft's lists.
- Volunteers are golden. Several authors have made the point that the fund raising professional should manage the volunteers. The professional should not be making the calls; he or she should manage the calls made by the volunteers. Their involvement is crucial.
- Asking is required. An old adage of selling relates that a salesman returns to the office at day's end. The manager asks how much he sold. None, the salesman replies. To which the manager replies, did you ask anyone to buy?

- Giving is voluntary. Why people give will be studied forever. But no one has to give. They must be motivated through a vision espoused by a leader that spreads enthusiasm throughout the organization.
- Donors must be recognized. Since giving is voluntary, the egoism factor cited earlier suggests that people like to be recognized for their contributions (Greenfield, p. x, 1994).

Clearly, these scholars are saying that a successful program must have a leader who espouses a vision. The enthusiasm must spread through the entire professional organization to the volunteers. The donors must be courted. The time to ask will be clear if the nine cardinal principals of fund-raising are followed.

Mr. Seth Worley, Systems Analyst with Southwest Texas University's Development Office, suggested that utilization of technology be addressed in the research. How can technology be harnessed to render an efficient method of profiling possible donors as well as tracing past donors? Attention is now turned to that topic.

Development Services

Kent Dove (2000), along with co-authors, has authored five books on development. He examines the latest trends in Conducting a Successful Development Services Program. Dove points out that the need for support services has grown because of increased fund-raising competition, growth in professional specialization, and a growing body of rules and regulations requiring continuing attention. Today there are more than 730,000 tax-exempt organizations registered with the IRS (Dove, p. 2, 2002).

Dove proposes an institutional development paradigm which he illustrates with a pyramid-shaped model The bottom of that pyramid consists of technologies that serve development including e-mail, the World Wide Web, and various computer hardware devices powered by software programs. The next level includes development services such as donor relations and prospect management programs which are behind the scenes services. Through this model, the public will see the annual, capital, and planned giving campaigns.

While Dove does not define development services, per se, he does name three characteristics of them described in the following list. First, they provide the necessary trappings of fund-raising that detract time, energy, and effort from the actual practice of fund-raising, thereby directly assisting strengthening, and enhancing the fund-raising process. Second, they occur primarily behind the scenes. Third, some occur in places other than the development office, primarily the business office (Dove, p. 3, 2000).

Dove suggests five functions necessary for a seamless information system that supports the development effort. These include information services, prospect research, prospect management, gift administration, and donor relations (Dove, p. 3, 2000).

Because the Dove book was published so recently, the remarks about selection of a system to support the donor database (cited above), are especially relevant. Dove suggests that smaller programs use an off-the-shelf system such as Microsoft Access. Larger programs with four or more users and 2,500 names in the database might choose Blackbaud's Raiser's Edge or the JSI Millenium System. The largest system with twenty or more users and larger databases might choose Datatel's Benefactor and Colleague systems or the Iowa and Sunguard BSR Advance System. He notes that the system must strike a balance between the 20 percent of users who enter the data and the 80 percent who use the data (Dove, p. 14-15, 2002).

Dove suggests three techniques to use in choosing a database system. First, it is necessary to attend meetings of user groups. Tersely he notes that if the vendor does not sponsor a user group, one is probably working with the wrong vendor. Next he suggests meeting with current users of the system-at their site, cautioning against allowing the vendor to pick the user. He recommends bringing along representatives from each of the major functional areas that will be using the system to meet with current users. Finally, he suggests testing the system by installing it at one's site. A pilot test will either confirm the decision to buy or warn of impending danger (Dove, p. 16-17, 2002).

The recommendations tend to be rather mechanical but the procedure is certainly important. Dove recommends setting clear priorities for the information system. The team of leaders should gather regularly to go over the new requests, review the status of current projects, and set priorities for the new requests (Dove, p. 27, 2002).

Maintaining data is an overriding concern for development services. Dove suggests that the following key factors for maintaining date be considered in an institutional plan for development services.

- Complexity increases as the number of prospects and donors in the database increase.
- One must monitor the number of gift and accounting transactions completed each year.
- The number of fields available is important to the organization. Remember the panic over Y2K-the problem was the number of fields to time the data.
- Addressability is important. He notes that the average number of correct addresses in a database are about 80 percent, yet one university manages to have 92 percent correct addresses. Understanding the cost of such accuracy is important (Dove, p. 29-30, 2002).

Jonathan Lindsey, director of donor information services at Baylor University, noted that, "Until the early 1980s, only a few major educational institutions had formal research units in their advancement offices" (Dove, 2001). Martha Murphy, director of prospect research at Valparaiso University made this observation about the importance of building a research infrastructure. “Prospect research is an important step in the process of increasing the philanthropic resources of an institution. We seek to identify the shared values between an organization and its prospective donors through the collection, organization, and presentation of significant information for development purposes” (Dove, 2002, p. 55).

Dove concludes his observations by recommending membership for all researchers in the Association of Professional Researchers for Advancement (APRA), which is “a private, non-profit organization dedicated to promoting educational and professional opportunities in the field of fundraising research. Since it’s beginning in 1987, APRA has grown to over 1.700 members and facilitated the formation of over 25 chapters worldwide. APRA has positioned itself as the premier international professional association for philanthropic research” (Dove, 2000, p. 57).

Finally, an examination is made of a study on ‘putting it altogether.’ The Cook and Lasher study focused on the involvement of the chief executive of the university in the development process.

The Practice of Fund Raising

Cook and Lasher note that “the academic chief executives are increasingly expected and often required to take an active role in fund raising and resource development." Their study undertook to "enhance understanding of the presidential role in fund raising and related processes" (Cook and Lasher, p. 33-51, 1996).

Their primary conclusions were as follows:

- Fund raising is a team effort
- An institution's president is typically the central player on the fund raising team
- Presidents should focus their fund-raising attention and efforts on major gifts and administrative leadership
- Academic quality and institutional prestige are of critical importance in higher education fund raising
- Fund raising is institution specific and, more importantly, context or situation specific (Cook and Lasher, p. 33-51, 1996)

In their study, Cook and Lasher interviewed 20 respondents from a national sample of 62 presidents and former presidents at institutions which had recently conducted or were conducting a comprehensive campaign to raise $100 million or more. In addition they interviewed a 20-member panel of experts composed of nine chief development officers, nine president or former presidents, and several fund raising consultants. The study suggested the following implications about presidential involvement in fund raising:

- Presidents must make sure they have something of real substance to sell to donors, whether it is a commitment to maintain quality or a commitment to achieve quality. The president must have a sense of what is possible and desirable for their institutions, gained through strategic planning with external and internal campus leaders.
- Fund raising should be thought of and studied more as a team effort than as the responsibility of any one person or position. It is a dynamic process rather than a set of rigid rules or a series of mechanical steps.
- Fund raising is situation specific and can be fully understood only in terms of a particular context. Results at one institution are not automatically replicable at another institution.
- It is important to differentiate between fund-raising effectiveness and fund-raising success. Success fits more readily within a short-term time frame, which is where most fund-raisers and presidents have to operate. Effectiveness emphasizes performance relative to fund-raising potential given present capabilities and realities, while success emphasizes performance relative to a predetermined goal in a predetermined time frame (Cook and Lasher, p. 33-51, 1996).

Cook and Lasher develop two models to demonstrate the process. One provides an overview of the fund-raising process at institutions of higher education. It portrays fund raising from an institutional and systems perspective and depicts fund raising as a social exchange, which occurs between donors and institutions. The second model focuses on presidential fund raising. The forces of environmental, institutional and personal action all interact to determine who is selected as an institution's CEO, the extent and direction of the CEO's involvement in fund raising, and the effectiveness of the CEO in fund raising. The same four forces also impact other key players on the fund raising team such as deans, trustees and other volunteers, and senior members of the fund-raising staff, including the Chief Development Officer.

Conclusion

The literature about development for higher education is a work in progress. Most public universities have only entered the fund raising process since the 1990s. Development offices need to understand the four principle motivations for giving and gear themselves accordingly. Likewise, the different campaigns of annual giving, capital programs, and planned giving also require approaches that consider the giving motives. While one-third of the money raised for a capital campaign may come from a few sources, it is still the case that two-thirds of a campaign is necessarily grass roots. Hence, the appeal must be to a broad cross-section of stake holders. In addition, universities would do well to establish a code of ethics at the outset. There are necessary requirements in dealing with donor's wishes and their money. CASE and NACUBO have made serious contributions to this field of study. The elements of the fund raising process are known. They start with the realization that the donor has the need; the job of the university is to show how its vision/mission fulfills that need for the donor. Technology is the buzzword of the day; implementing that technology requires long range planning for the 80% that use it and the 20% that input it. Finally, Cook and Lasher have developed a model to explain the role of the CEO in development. That model, along with the known process of fund raising fundamentals, should form the basis of a development program.

Implications for Future Research

Robert Samuelson relates that some $7.7 trillion has been lost in the recent stock market decline, as measured by the broad Wilshire 5000 index (Newsweek, p. 30, 7/22/02). To put that in perspective, these stock losses are over three times the annual federal budget. Endowments are already down, the base for gifting has declined, state legislatures are facing shortfalls, and the asset base from which to give has obviously had a huge decrease. This scenario suggests that development activities are likely to gear up, not down.

Because of present economic conditions, research within development services may well lead to avenues other than the raising of money. A donor might contribute his/her own time as a lecturer for example. Research may well take the form of finding other non-cash forms of donation. As commercial office space goes unwanted, perhaps landlords will be able to donate space to universities and community colleges for re-training laid off workers. If the economic malaise continues which seems likely, proactive involvement in politics may well lead to Congress enacting special tax incentives to allow for new forms of giving, such as the lease just described.

The recent series of books by Kent Dove runs over 2,000 pages. The fact that it was published in 2002 speaks volumes about the demand and need for information. Hence, it seems likely that the research on development will only expand to fill the financial void that universities are facing.

Development at Southwest Texas University

President Supple commissioned a thorough study of the development process using Dini & Associates of Houston, Texas. The study was presented to SWT in May of 1992 (Dini, 1992). The ten key recommendations were as follows.

1. Establish and recruit a Development Board.
2. Develop a comprehensive institutional fund-raising plan.
3. Develop an Annual Fund Plan (case, timetable, budget, recognition, etc.)
4. Development Board endorsement of annual fund-raising plan and goal.
5. Construction of master prospect list

6. Preparation of annual fund solicitation materials
7. Rating, screening and assignment of prospects to Development Board.
8. Board and staff solicitation training
9. Begin solicitations
10. Begin regular reporting meetings for annual fund solicitations.

These recommendations have been implemented.(Hill, 2002).

An examination of a recent proposal by Carnegie Communications LLC, casts light on SWT's current development interests. SWT now is interested "in information from several key constituencies-including alumni, parents, donors, faculty, and staff-that will help inform future fundraising strategies. SWT desires to explore the 'connectedness' to the university. It seeks substantive information about how each of the aforementioned groups, and subsets thereof, perceive SWT and how the University can motivate its constituents to participate in the annual fund" (Carnegie, p. 1, 2001). The research proposed in this paper will focus on the 'connectedness' of these groups.

CHAPTER III

METHODOLOGY AND PROCEDURES

Introduction

The purpose of this chapter is to describe the methodology and procedures used this study. The chapter is divided into seven sections. Those sections include purpose of the study, the research questions, the research design, a description of the sample, a description of instruments, how the variables relate to the research question, data collection procedures, and the data analysis procedures.

Purpose of the Study

A research study was conducted regarding the University Advancement Office at Southwest Texas State University among key constituents regarding a variety of topics focused on shaping a comprehensive fund-raising strategy. While the University may have done such research in the past, it is looking to systematically evaluate current attitudes. The study analyzee these attitudes. In addition, an affinity session was held to examine the qualitative comments made by respondents. As the local area and the nation face a more complex competitive and dynamic environment, this information should assist university leadership in developing strategies and implementing efforts to effectively maximize both fund-raising potential and ongoing relationships. Key objectives include:

- Develop a baseline against which future attitude changes can be measured.
- Evaluate key attitude components including:
- General attitudes toward SWT, including the origin of such opinion
- Attitudes toward giving to SWT University
- Current source(s) of information about the University
- Evaluate awareness of funding needs/objectives of SWT
- Explore avenues to most effectively explain funding needs
- Evaluate awareness of the various opportunities to contribute to the University, including specific programs/initiatives
- Understand constituents' experiences in giving and being solicited to give to SWT
- Explore the interests and values of SWT's constituents and how to develop giving opportunities that will motivate participation.

In addition, a variety of other topical issues can be explored within the context of this research. The analysis segmented the sampling of opinion by constituent type (alumni with degrees, former students, parents of students and graduates, donors to the university, faculty and staff) and other significant demographic groupings.

Research Questions

Three research questions frame this study; (1) what are the alumni's (stakeholders) attitudes toward giving to the university; (2) what themes emerge from stakeholders' responses that can further inform the implementation of university development tables (ethnicity, age, gender, income, degree type, major, graduation year, etc.); (3) what implementation strategies of university development effect the stakeholders' experiences?

Research Design

The methodology used in this study is quantitative. The was to conduct a study, not to test a hypothesis. This was accomplished by providing a series of questions to the respondents. These questions are designed to elicit information pertaining to the purpose of the study. .

The questions are formed using the techniques described in Don Dillman's (2000) Mail and Internet Surveys The Tailored Design Method. Dillman lists eight questions that must be addressed in forming questions for a survey.

1. Does the question require an answer? For example, a question about dinner at home last night could not be answered by someone who went out to eat (Dillman, p. 34, 2000).

2. To what extent do survey recipients already have an accurate, ready-made answer for the question they are being asked to report? Respondents have a ready-made answer to questions such as ‘what is your age?’ They do not have a ready-made response to questions such as, are tall people more likely to be elected President (Dillman, p. 36, 2000)?
3. Can people accurately recall and report past behaviors? People may well remember what they watched on television last night. They may not recall what they watched the first Sunday of every month for the past year (Dillman, p. 37, 2000).
4. Is the respondent willing to reveal the requested information? Many people would be unwilling to reveal information about drug or alcohol use, for example (Dillman, p. 38, 2000).
5. Will the respondent feel motivated to answer each question? Respondents might find a request to rank 20 items by priority rather difficult for example (Dillman, p. 39, 2000).
6. Is the respondent’s understanding of response categories likely to be influenced by more than words? If a respondent does not perceive an obvious answer, they may respond as to how they see themselves in relation to other people for example (Dillman, p. 39, 2000).

7. Is survey information being collected by more than one mode? The data collected by different modes (postcard response versus computer response) need to be comparable (Dillman, p. 39, 2000).
8. Is changing a question acceptable to the survey sponsor? Problem questions for respondents may need to be deleted or altered (Dillman, p. 40, 2000).

In addition to these questions, Dillman tackles the principles for writing survey questions. He notes that “writing questions for a particular questionnaire means constructing them for a particular population, a particular purpose, and placement next to another particular question” (Dillman, p. 51, 2000). To aid in accomplishing that goal, he lists nineteen principles to follow.

1. First, one should choose simple over specialized words. For example, more people understand the word ‘tired’ than the word exhausted.’ Words should be no longer than six or seven letters. Combinations of words should also be simplified. ‘People who live here’ is more understandable than ‘occupants of this household’ (Dillman, p. 51-2, 2000).
2. The surveyor should choose as few words as possible to pose the questions. Dillman points out that the longer the question, the more the reader skips over words in the hurry to read. The result is less understanding of the question (Dillman, p. 53, 2000).

3. The questionnaire should use complete sentences to ask questions. His example includes the fragment 'Number of years lived in Idaho.' This is followed by another fragment question 'Your city or town.' Many people thought the surveyor wanted the number of years they had lived in their city rather than the name of the city (Dillman, p. 54-5, 2000).
4. The surveyor should avoid vague quantifiers when more precise estimates can be obtained. An example would be asking about the frequency of attending religious services. The choices might range form infrequent to very frequent. However, one person might think of Christmas and Easter Sundays as normal whereas another might think every week would be a normal attendance. In this instance, numerical categories should be used (Dillman, p. 54-5, 200).
5. The surveyor should avoid specificity that exceeds the respondent's potential for having an accurate, ready-made answer. Asking someone to list all the books they have read in the past year may well be an impossible task for the respondent. However most people have a reasonable idea of how many they have read in the past year (Dillman, p. 56, 2000)
6. The surveyor should use equal numbers of positive and negative categories for scalar questions. If there are three levels of satisfaction, there should be three levels of dissatisfaction (Dillman, p. 57, 2000).

7. The surveyor should distinguish undecided form neutral by placement at the end of the scale. Researchers found that placing undecided in the middle of the choices, respondents were more likely to pick that choice than if it were at the end (Willits & Janota, 1996, Dillman, p. 59, 2000).

8. The surveyor should avoid bias from unequal comparisons. For example, the phrase ‘irresponsible parents’ should not be used as a choice versus ‘school policies.’ The better form would be to refer to ‘the way children are raised by parents’ (Dillman, p. 60, 2000).

9. The surveyor should state both sides of attitude scales in the question stems. A question should not be worded ‘do you agree’ but rather ‘do you agree or disagree’ (Dillman, p. 61, 2000)

10. The surveyor should eliminate check-all-that-apply question formats to reduce primacy effects. This does not meet the criterion of requiring a response to each stimulus. Often respondents tend to ‘satisfice’ by trying to simply answering what appears to be enough choices while ignoring the rest (Krosnick, Narayan, & Smith, 1996).

11. The surveyor should develop response categories that are mutually exclusive. Choices such as 35-50, 50-65 should be avoided. A person 50 years old feels annoyed at which to choose when both apply. However, surveys for income may offer some convenience. Readers

have found \$15,000-\$20,000, \$20,000-\$30,000 easier to read than \$15,000-\$19,999, \$20,000-\$29,999 (Dillman, p. 64, 2000).

12. The surveyor should use cognitive design techniques to improve recall. If respondents are asked to construct important events in their life such as vacations or weddings before asking about visits to the doctor, for example, they do better in reconstructing the physician visit. (Dillman, p. 67, 2000).
13. The respondent should be provided with appropriate time referents. For example, the results will be skewed if the question asks 'how many times did you eat out this past week (instead of at home)' and the respondent has been out of town for the week. The better question would be to ask about an average week (Dillman, p. 69, 2000).
14. The surveyor should be sure that each question is technically accurate. A question that identifies police as catching and fining traffic violators is obviously inaccurate and colors the response of the respondent (Dillman, p. 70, 2000).
15. The surveyor should choose question wordings hat allow essential comparisons to be made with previously collected data. An example would be the goal of comparing one census survey with another. Newer surveys in the United States are offering more ethnic choices in regards to race questions for example (Dillman, p. 71-2, 2000).

16. The surveyor should avoid asking respondents to say yes in order to mean no. Many tax surveys require a yes answer to prevent something from being done. ‘Do you favor a referendum stating that no tax can be raised unless…’ would be an example. Answer categories of for and against seem to solve this problem (Dillman, p. 73, 2000).
17. The surveyor should avoid double-barreled questions. A question as to whether someone wants a swimming pool but without a winter enclosure is actually two questions. That should be separated into one question as to whether the person is for or against a pool and then a second about whether the person is for or against an enclosure.
18. The surveyor should soften the impact of potentially objectionable questions. Questions about drug or alcohol use or criminal acts can result in a lack of answers. A question about shoplifting could be changed to ‘have you taken anything without paying for it’ (Dillman, p. 75, 2000)
19. The surveyor should avoid asking respondents to make unnecessary calculations. One should avoid asking percentages if the number of days or nights will allow the surveyor to then make that percentage calculation (Dillman, p. 77, 2000).

Description of the Sample

Krejcie and Morgan published a table for determining sample size from a given population in 1970 (Krejcie, p. 607-610, 1970). Test questions were administered to the stake holders in each of the five main constituent groups Based on the population of the groups, the following sample sizes of returned surveys should result in a confidence level of 95% with a plus or minus sampling error of 5%.

Stakeholder Group	**Population Size**	**Sample**
Alumni with and without degrees	88,926	383
Former Students	6,182	220
Parents of students and graduates	5,755	360
Donors to the University	4,399	354
Faculty and staff	1,821	162

Description of the Instruments

Postcards were sent directing respondents to a web site. E mails were sent to alumni using an existing development department list. E mails were also sent to an existing list of parents. Requests were sent to the College of Business faculty for a response. Respondents were offered an incentive in the form of free tuition for one semester. The winner was able to direct the tuition award to a student of his or her own choosing. The institutional research department designed a web-site with the questions.

How the Items Relate to the Research Questions

The research questions are presented again along with prototype questions to elicit responses.

What are the stakeholders' attitudes of giving toward the university?

Would you recommend SWT to prospective college students?

The purpose of this question is to determine if the respondent is pro-active about attending SWT.

Do you think alumni feel as strong a kinship with their alma mater as do other regional universities such as the University of Houston, Texas Tech, or the University of North Texas?

Yes
No

The Dini study suggested that SWT has felt more like a normal college and less like a regional university. The purpose of this question is to determine if that is still the case.

Indicate publications you read to stay informed of SWT issues (check all that apply).

SWT's *Hillviews* magazine

Newspaper articles

SWT's direct mailings

SWT's Development Office efforts

SWT's website at www.swt.edu

SWT's Alumni website at www.swtalumni.org

Other, specify

I do not stay informed of SWT issues by using any of the above sources

The purpose of this question is to determine communication delivery system used by respondents.

During calendar year 2002, I have heard from SWT about ____ times.

The purpose of this question is to compare the respondent's perception of the number of times with what is known to be the approximate number of times SWT has corresponded.

Based on your answer to the question at the left, would you prefer to hear from SWT

More often

Less often

About the same

The purpose of this question is to be able to determine satisfaction with existing communication efforts.

Indicate the ways you prefer to be contacted (check all that apply).

Regular US mail

Electronic mail (e-mail)

SWT's *Hillviews* magazine

Special publications or fliers

Personal telephone calls

SWT's Alumni website at www.swtalumni.org

Other, specify

The purpose of this question is for the respondent to indicate a preference of communication

Which of the following do you think has the largest need for donations from individuals or corporations?

Private universities

Public universities

Both have equal needs

The purpose of this question is to obtain the comparative opinion of the respondent.

Which of these strategies **has SWT informed you about for donating? (Check all that apply)**

Capital Funds

Annual Fund Drive

Planned Giving

The purpose of this question is to ascertain the respondent's awareness of their giving options.

In general, do you believe that SWT alumni have a responsibility donate money or assets to their alma mater?

Yes
No

The purpose of this question is to establish whether the respondent sees a link back to their alma mater.

Would you rather give to SWT for a specific purpose or to a non-specific purpose?

I prefer to designate recipient.

I want SWT to choose recipient.

This question is asked to generate a specific response about the donor's giving attitude. The object is to determine whether the donor has a need or desire to direct the use of the gift.

What best describes your financial support of SWT?

I contribute at least annually.

I contribute periodically but less than annually.

I have not contributed in the last 5 years.

I have never contributed.

The purpose of this question is to establish the giving profile of the respondent.

What themes emerge from stake holders responses that can further inform the implementation of university development? **Answer on of the following two items, based on whether you have or have not contributed to SWT in the past.**

If you have contributed to SWT in the past, why? (check all that apply)

The financial assistance I received at SWT.

The education I received at SWT.

The faculty I met ast SWT, and a desire to help today's faculty.

The students I met at SWT, and a desire to help today's students.

Loyalty to my graduating class

Loyalty to SWT

Philanthropy is important to me

Other

The purpose of this question is to rank the reason(s) for giving.

IF you have not contributred to SWT in the past, why not? (check all that apply)

I am dissatisfied with the education I received at SWT

The faculty I met at SWT

The students I met at SWT

I do not think SWT needs my support

I have not been asked to give

I have charitable priorities above SWT

I am waiting until I can afford to give

Other

The purpose of this question is to rank the reasons for not giving.

Which of the following might encourage you to donate for the first time, donate more, or donate more frequently to SWT? (check all that apply)

A call from a former classmate

A call from a current student

A call from a former teacher

A 'campaign goal' challenge that has been set forth

A letter from a former classmate

A letter from a current student

A letter from a former teacher

A letter from a trustee

Other

None of the above; I give on my own initiative

The purpose of this question is to identify preferred contact methods.

Do you use SWT's website at www.swt.edu for any of the following? (check all that apply)

Shopping for SWT merchandise

Keeping track of athletic events

Staying aware of fine arts events

Reading *The University Star* newspaper

Reading about SWT awards and accomplishments

Making a gift to SWT

Keeping up with alumni activities

The purpose of this question is to determine how respondents use the website.

Have you been asked to be an SWT volunteer?

Yes

No

I am unaware of volunteer activities.

The purpose of this question is to determine the extent of volunteerism.

Demographics

My ethnicity is

White, non Hispanic

Black, non Hispanic

Hispanic

Asian/Pacific Isles

American Indian/Alaskan

Other

I am best described as

An SWT alumnus

Spouse of an SWT alumnus

Faculty or former faculty member

Parent of student or former student

Other

What implementation strategies of university development effect the stakeholder's experiences?

Once the data is collected, a focus group of the appropriate players (development, administration, etc.) was formed. Then the participants were asked to develop themes or affinities that emerge from the responses of potential donors. This resulted in the skeleton of a master development plan to incorporate the results of the study.

Data Collection Procedures

Information wascollected in two ways depending on how the respondent answered. The SWT Institutional Research Department cataloged the responses to the web site electronically. These were then be compiled.

Data Analysis Procedures

The answers to the questions in the survey were provided in a Microsoft Excel pivot table. Questions were broken out by significant groupings such as ethnicity, interest group, age and gender. The pivot table allowed for considerable analysis of the profile of the respondents. For example, on the question, which strategies has SWT informed you about donating, there are three possible answers. Suppose 25% indicate that they are aware of capital fund giving. Then the pivot table allows an analysis in any one of the four categories of ethnicity, interest group, age, or gender. Further, the pivot table allows the researcher to perform a second level of analysis. For one ethnic type, one can then determine a further breakdown by age for example. This allows the researcher to ‘tailor make’ the results for follow the particular interests of the SWT development department.

Data analysis on the data relies on standard statistical tests including frequencies and charting techniques. Factor analysis was used to identify the key factors that contribute to connectedness. Such factors could be used to build models that will allow SWT to predict giving behavior.

This survey allows for several qualitative comments. A focus group was formed of SWT personnel involved in the development process. The focus group was facilitated by the researcher. The group members were furnished with the written comments of the respondents. Each question that allowed a written response was be displayed to the group. Then by examining the answers, the group was asked to identify ‘affinities’ or frequently appearing similar comments. As these affinities are placed by their respective questions, a respondent outlook or attitude might be discerned. The pattern of these affinities suggested a response or action plan on the part of the development department. This will form the basis of Chapter 5.

Summary of Chapter III

The researcher has described the study as one of attitudes towards giving to SWT. The key objectives of the study were identified. The first two research questions were addressed in the survey questions. The third question (implementation strategies) was answered through a focus group of SWT administrators who identify affinities among the responses. This is a quantitative study that led respondents to websites designed to their profiles (university professors may not go to the same site as recent alumni for example). The Dillman 'Tailored Design Method' was used in forming questions. The groups surveyed have been identified. The survey questions were related to the research questions. The data collection and analysis procedures are discussed in Chapter Four.

CHAPTER IV

METHODOLOGY & STATISTICAL ANALYSIS

Overview

This study is directed to discovering the attitudes of alumni toward their alma mater. To that end three questions have been selected.

(1) What are the alumni's' (stake holders) attitudes towards giving to the university?

(2) What leadership implementation strategies of university development affect the stakeholders' experiences?

(3) What themes emerge for university leaders from stakeholders' responses that can further inform the implementation of university development?

The first two questions are addressed in Chapter Four. The third question is addressed in Chapter 5. Data was collected in the following manner.

Data Collection

Data was collected in four distinct procedures. The first method was by random selection. A 'sidebar' announcement was placed in the January, 2003 *Hillview* magazine. This is the official quarterly magazine of SWT. The text of this sidebar appears in the Appendix. The second method was an electronic mail to a cross section of SWT alums. These were selected by the development department to achieve a cross section representative of departments in relation to their graduation populations. The third method was an electronic mailing to the business faculty using the electronic mil list for maintained. The fourth method was to electronic mail the list of parents maintained by the development department. The population sizes and resulting returns are reflected below.

Population and Respondent Size of Query Groups

Group	Population Size	Response Size
Hillviews	80,000	100
Alumni	2,000	156
Faculty	108	29
Parents	768	156
Total	84,108	441

The Subjects

Approximate numbers are available for each of the methods used in gathering responses. Approximately 80,000 copies of *Hillviews* are distributed. The development/alumni list consisted of some 2,000 individuals. These alumni are those for whom electronic mail addresses are available and that are active enough to be maintained in the regular file of the alumni department. The proportion of each department in the sample bore the same relation to the proportion that have been graduated from SWT. The parent list is maintained by the Development Department. Some 768 parents were surveyed for the year 2002-2003.

Prior research has shown that electronic mail and the Internet and the WWW are a viable method of administering research instruments. (Sheehan 2001, Dillman 2000, Fricker and Schonlau 2002, Schuldt and Totten 1994) These and other studies show that response rates for electronic mail or internet surveys are generally lower than response rates for traditional mail surveys when the subjects include the general population. However, when the electronic mail or internet surveys are sent to subjects who are comfortable with computers and are accustomed to communicating electronically, the results change. Then, the response rates are much higher than for surveys sent to the general public whether by electronic mail, the internet or traditional mail. (Fricker and Schonlau 2002, Ali and Jones 2002) The electronic mail lists maintained by the Development Department fit this description. Administering the research questionnaire provided the necessary responses for the statistical analyses performed.

The questionnaire is located on a web page hosted by SWT. This lends credibility and assurance to the respondent that this is, in fact, a survey sanctioned by SWT.

The Research Questionnaire

This document is located in the Appendix A. It was available at the time of writing and presentation of this project at http://www.swt.edu/ir/alumcat.html. The questions have been reviewed in Chapter 3. Question number one is answered addressed in questions one through ten. Question number two is addressed in questions eleven through fourteen. The last question concerning themes will be addressed by examining the affinities suggested by the qualitative respondent answers. Demographic information is provided by an additional three questions at the end of the survey.

Survey Results

A total of 441 responses were received. Three hundred and seventy five of those provided their name and address to register for the drawing for a semester free tuition. The drawing was held and a winner was selected at a Parent Meeting hosted by the Development Department on April 26, 2003 at the SWT River House.

There are four demographic groups identified by the survey including ethnicity, interest group, age, and gender. A chi square test was administered on ten of the questions (those not allowing multiple answers to the same question). The chi square test was run using each of the demographic groups on each of the ten questions.

A chi square ($\chi 2$) test is used for the purpose of testing hypotheses concerning goodness of fit and concerning the independence of two variables. Use of the test always involves comparison of the observed sample frequencies entered in defined data categories with the expected frequencies for these categories based on the assumption that the null hypothesis is true. (Kazmier & Pohl, p. 299-300, 1984). This test was administered using three groups as the independent variable-interest groups, age, and gender. Then nine questions (1,2,6,7 in three parts, 8,9 and 14) were examined as to determine the chi square significance of the group answers to the specific question. Three tables will be prepared to show the levels of significance vis a vis these groups.

Survey Responses

The response to the survey was as follows.

1. **Would you recommend SWT to prospective college students?**

Response	**Number**	**% of Total**
Yes	410	96.11
No	3	.69
No opinion	10	2.29
Total	423	100

Clearly the overwhelming majority of respondents are in the favorable category as to their overall recommendation of SWT to a prospective college student.

2. **Do SWT alumni feel as strong to their alma mater as University of North Texas or University of San Antonio?**

Response	Number	% of Total
Yes	295	68.42
No	38	9.38
No Opinion	89	21.05
Blank	1	1.14

As will be shown in the demographics later, 41.19% of the respondents are alums while the remainder are not. The pivot table analysis provides an interesting level of insight into the answers to this question. How did the alumni as a group respond to this question? The answer appears below.

3. **Publications you read to stay informed.**

Category	# Yes	% Yes	# No	% Not
SWT Hillviews	303	70.48	120	29.52
Newspaper Articles	180	41.88	243	58.12
SWT Direct Mail	257	59.95	166	40.05
SWT Development	52	11.90	371	88.10
SWT website	263	61.3	160	38.67
SWT alum website	88	20.37	335	79.63

4. **During calendar year 2002, I have heard from SWT about ____ times.**

Zero to twenty times encompassed some 91% of the responses.

# Times	%	# Times	%	# Times	%
0	5.72	6	9.38	12	3.2
1	1.83	7	2.06	15	2.06
2	8.24	8	3.2	16	0.46
3	11.21	9	0.92	17	0.23
4	15.56	10	12.36	20	3.2
5	10.98	11	0.46		

5. Based on the above response, would you prefer to hear from SWT

Response	Number	%
More	126	29.06
Less	9	2.06
Same	282	66.13
Blank	6	2.75

6. Indicate the ways you prefer to be contacted

Category	# Yes	% Yes	# No	% No
U S Mail	294	68.4	129	31.9
E Mail	304	70.9	119	29.0
SWT *Hillviews*	378	64.7	145	35.2
Special Publication	202	47.1	221	52.8
Telephone Call	21	4.81	402	95.1
SWT Alum Website	98	22.8	325	77.1

7. **Which of the following has the largest need?**

Response	Number	%
Private University	203	47.6
Public University	32	7.55
Equal	187	43.48
Blank	1	1.37
Total	423	100.

8. **Which of these strategies has SWT informed you of for donations?**

Category	# Yes	% Yes	# No	% No
Capital Funds	80	20.8	335	79.1
Annual Fund Drive	264	66.3	139	33.6
Planned Giving	138	32.0	285	67.9

9. **Do SWT alumni have a responsibility to donate?**

Response	Number	%
Yes	213	50.11
No	195	45.31
No opinion	15	4.58

10. **Would you rather donate to a specific recipient or let SWT determine the recipient?**

Category	#	%
Designate	278	64.76
SWT	120	28.15
Blank	25	7.09
Total	423	100

11. Which best describes your financial support of SWT?

Response	Number	%
Annual	158	37.3
Never	153	35.7
Not in 5 years	26	5.95
Periodically	84	19.45
Blank	2	1.6
Total	423	

12. If you have contributed to SWT in the past, why?

Category	# Yes	% Yes	# Blank	% Blank
Financial Assistance	22	5.03	401	94.9
Education	80	18.5	343	81.4
Faculty	64	14.8	359	85.1
Students	92	21.0	331	78.9
Loyalty to class	11	2.52	412	97.4
Loyalty to SWT	131	30.4	292	69.5
Philanthropy	50	11.67	373	88.33

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13. If you have NOT contributed to SWT in the past, why?

Category	# Yes	% Yes	# Blank	% Blank
Dissatisfied w/ Educ.	1	.23	422	99.77
Faculty	2	.46	421	99.54
Students	0	0	423	100.
Support not needed	9	2.06	414	97.94
Not been asked	27	6.18	396	93.82
Other priorities	38	8.70	385	91.30
Wait till I can afford	88	20.37	335	79.63

14. Which of the following might encourage you to donate for the first time, more, or more frequently?

Category	# Yes	% Yes	# Blank	% Blank
Call from classmate	15	3.66	408	96.34
Call from current student	21	4.81	402	95.19
Call from former teacher	27	6.18	396	93.82
Campaign Goal	57	13.5	366	86.5
Letter from classmate	24	5.49	399	94.51
Letter from current student	46	10.76	377	89.24
Letter from former teacher	50	11.44	373	88.56
Letter from trustee	22	5.03	401	94.97
I give on my own	236	54.52	187	45.08

15. Do you use SWT's web site www.swt.edu for any of these?

Category	# Yes	% Yes	# Blank	% Blank
Shopping SWT mchd.	76	17.62	347	82.38
Athletic Events	137	31.58	286	68.42
Fine Arts Events	82	18.99	341	81.01
University Star	117	27	306	73
Awards & Accomp.	136	31.81	287	68.19
Gift to SWT	10	229	413	97.71
Alum Activities	88	20.82	335	79.18

16. Have you ever been asked to be an SWT volunteer?

Response	#	%
Yes	124	28.6
No	190	44.39
Unaware of volunteerism	104	24.49
Blank	5	2.52
Total	423	100

Demographics

The respondent groups were polled for demographics on the basis of interest group, ethnicity, age, and gender. The results were as follows.

Respondent Profile by Interest Group

Category	Number	% of Total
Alumnus	177	41.19
Alumnus Spouse	3	.69
Faculty	27	6.41
Other	32	7.78
Parent	183	42.56
Blank	1	1.37
Total	423	100.

Respondent Profile by Ethnicity

Category	Number	% of Total
Asian	1	.23
Black	6	1.37
Hispanic	42	9.84
Indian	4	.92
Other	6	1.60
White	363	84.67
Blank	1	1.37
Total	423	100.

Respondent Profile by Age

Category	Number	% of Total
20-29	65	14.87
30-39	61	13.96
40-49	170	39.82
50-59	105	24.94
60-64	14	3.43
65+	5	1.14
Under 20	2	.46
Blank	1	1.37
Total	423	100.

Respondent Profile by Gender

Category	Number	% of Total
Female	255	58.35
Male	168	38.44
Total	423	100.00

An examination of the chi square test follows. Chi Square is a method of testing hypotheses concerning goodness of fit and concerning the independence of two variables. The use of the chi square test always involves comparison of observed sample frequencies entered in defined data categories with the expected frequencies for these categories based on the assumption that the null hypothesis is true. The Statistical Package for Social Sciences (SPSS) was used to examine the goodness of fit for the responses for age, gender, and interest group. The number of respondents in ethnicity was so large for one category (84%) that the test was not used for that demographic. A chi square table and graph are presented for each response that was found to be significantly different than the null hypothesis. This means that the statistical indication was that the groups (age, gender, and interest) DID vary as to their answers to that question.

A	Would you recommend SWT to prospective college students?
B	Do SWT alumni feel as strong a kinship as UNT or UH?
U	Which has the larger need for donations-private, public, or both?
	Which strategies has SWT informed you about for donating
V	Capital Funds
W	Annual fund drive
X	Planned Giving
Y	Do SWT alumni have a responsibility to donate money or assets to SWT?
Z	Would you rather donate specifically or let SWT determine the recipient?
I	Have you been asked to be an SWT volunteer?

Chi Square Test for Group Determined by Age

The original question allows for seven different groups. The low number of responses in the less than 20 year and the 60-64 and over 65 groups caused those responses to be merged with the larger groups. The test was for age groups 0-29, 30-39, 40-49. 50 and up.

Question	Chi Square Value	Significance	Significant or not significant
A	2.012	.919	Not sig
B	33.681	.000	Sig
U	12.006	.062	Not sig
V	9.97	.019	Sig
W	13.523	.004	Sig
X	2.744	.433	Not sig
Y	1.968	.579	Not sig
Z	3.832	.28	Not sig
I	50.837	.000	Sig

Questions B and I indicated that the responses were significantly different. In question B, the responses clearly vary greatly by age group. The older the group, the more likely the respondent was to respond that alums did have as strong an affinity to SWT as other schools. In contrast, younger respondents did not think so.

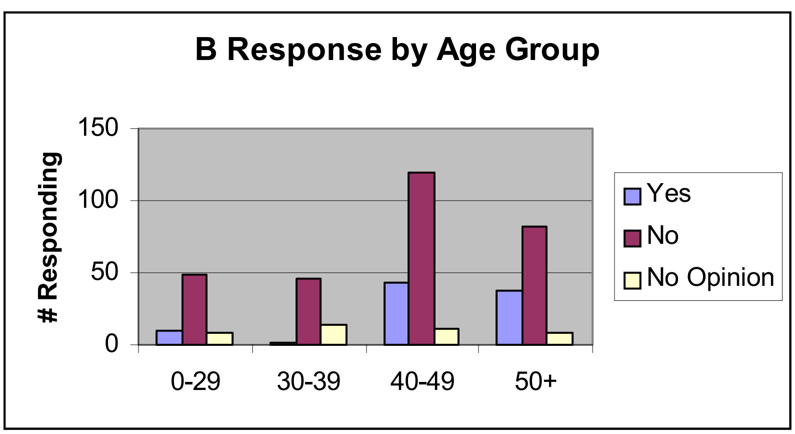
In answer to question I, again the older groups had been asked to volunteer. The younger groups had rarely been asked.

B Do SWT alumni feel as strong a kinship as the University of North Texas or the University of Houston?

Chi Square Table by Age Groups for Question B

Group	No opinion	Yes	No	Total
0-29 Yrs	10	49	8	67
	14.9%	73.1%	11.9%	100%
30-39 Yrs	1	46	14	61
	1.6%	75.4%	23%	100%
40-49 Yrs	43	120	11	174
	24.7%	69%	6.3%	100%
50+ Yrs	38	82	8	128
	29.7%	64.1%	6.3%	100%
Total	92	297	41	430
	21.4%	69.1%	9.5%	100%

Perhaps the most significant deviation is among the 30-39 year old group. Nearly one-fourth (23%) replied that the kinship was not as strong. The two older groups had a serious disagreement with 6.3% in each landing in the negative.



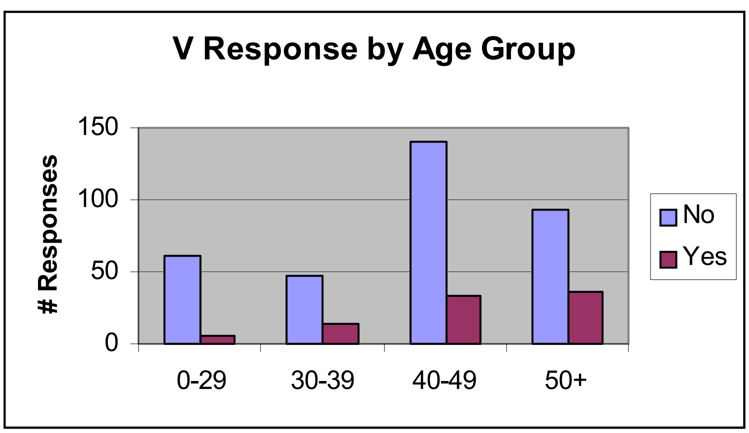
V Which strategies has SWT informed you about for donating?

Capital Funds

Chi Square Table by Age Group for Question V

Group	No	Yes	Total
0-29 Yrs	61	6	67
	91%	6%	100%
30-39 Yrs	47	14	61
	77%	23%	100%
40-49 Yrs	140	34	174
	80.5%	19.5%	100%
50+ Yrs	93	36	129
	72.1%	27.9%	100%
Total	341	90	431
	79.1%	20.9%	100%

The vast majority of all groups are unaware of capital projects. The youngest group is the least aware followed by the 40-49 year group.

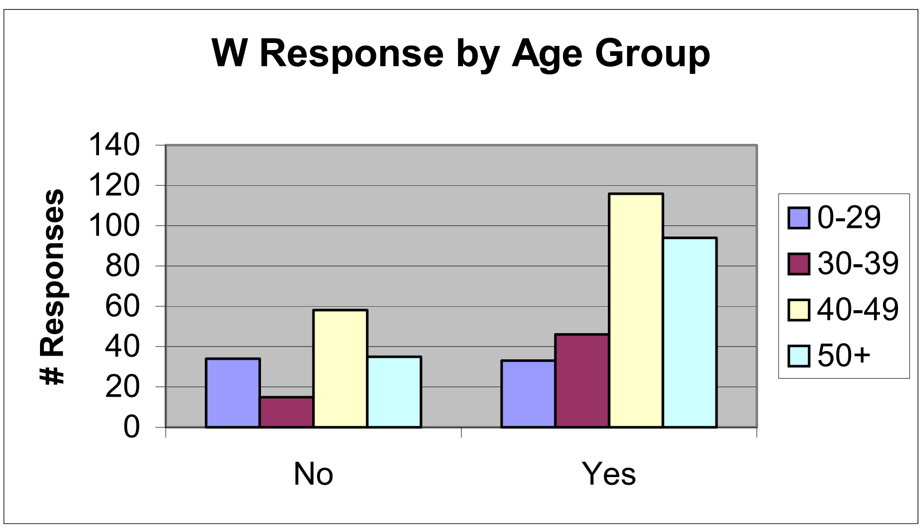


W Which strategies has SWT informed you about for donating? Annual fund drive

Chi Square Table by Age Group for Question W

Group	No	Yes	Total
0-29 Yrs	34	33	67
	50.7%	49.3%	100%
30-39 Yrs	15	46	61
	24.6%	75.45	100%
40-49 Yrs	58	116	174
	33.3%	66.7%	100%
50+ Yrs	35	94	129
	27.1%	72.9%	100%
Total	142	289	431
	32.9%	67.1%	100%

The older the group, the more familiar they are with the annual fund drive.

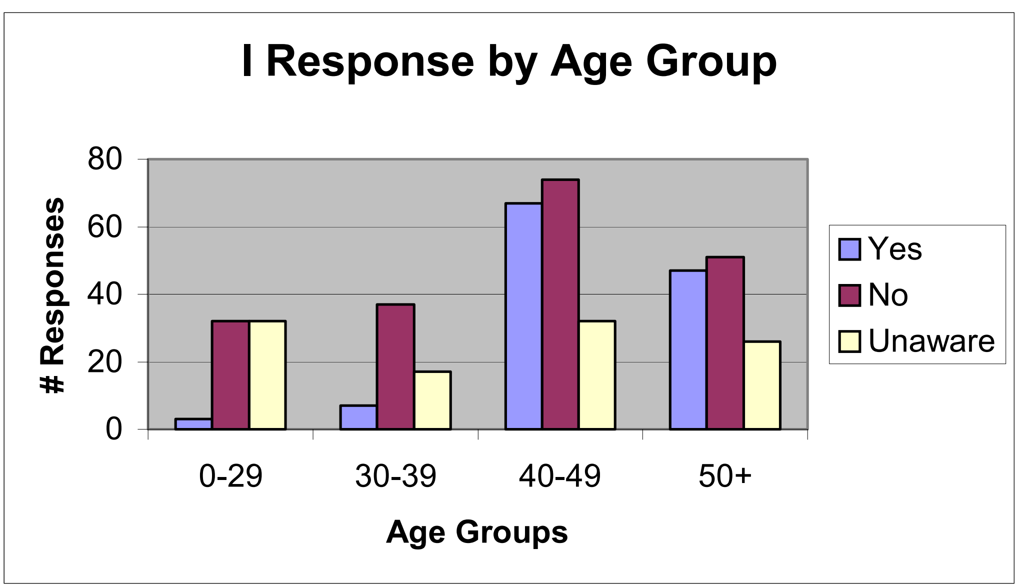


I Have you been asked to be an SWT volunteer?

Chi Square Table by Age Group for Question I

Group	Yes	No	Unaware	Total
0-29 Yrs	3	32	32	67
	4.5%	47.8%	47.8%	100%
30-39 Yrs	7	37	17	61
	11.5%	60.7%	27.9%	100%
40-49Yrs	67	74	32	173
	38.7%	42.7%	18.5%	100%
50+ Yrs	47	51	26	124
	37.9%	41.1%	21%	100%
Total	124	194	107	425
	29.2%	45.6%	25.2%	100%

The majority of every group either had not been asked (45.6% overall) or was unaware (25.2%) of volunteer activities.



A	Would you recommend SWT to prospective college students?
B	Do SWT alumni feel as strong a kinship as UNT or UH?
U	Which has the larger need for donations-private, public, or both?
	Which strategies has SWT informed you about for donating
V	Capital Funds
W	Annual fund drive
X	Planned Giving
Y	Do SWT alumni have a responsibility to donate money or assets to SWT?
Z	Would you rather donate specifically or let SWT determine the recipient?
I	Have you been asked to be an SWT volunteer?

Chi Square Test for Group Determined by Gender

Question	**Chi Square Value**	**Significance**	**Sig/Not**
A	1.722	.423	Not Sig
B	7.191	.027	Sig
U	4.57	.102	Not Sig
V	4.908	.027	Sig
W	.028	.867	Not Sig
X	.029	.864	Not Sig
Y	.005	.964	Not Sig
Z	.044	.834	Not Sig
I	2.223	.329	Not Sig

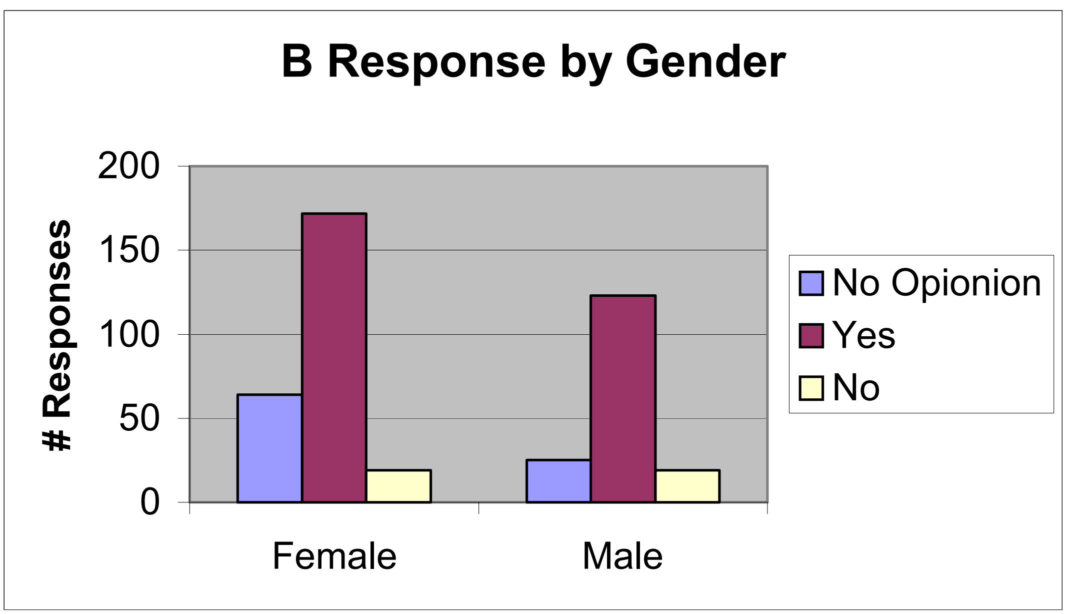
Questions B and V resulted in significant levels, so those are examined.

B Do SWT alumni feel as strong a kinship as University of North Texas or University of Houston?

Chi Square Table by Gender for Question B

Group	No Opinion	Yes	No	Total
Female	8	245	2	255
	3.1%	96.1%	.8%	100%
Male	2	165	1	168
	1.2%	98.2%	.6%	100%
Total	10	410	3	423
	2.4%	96.9%	7%	100%

While a very small number of both groups indicated no opinion, four times as many females chose that option opposed to males.

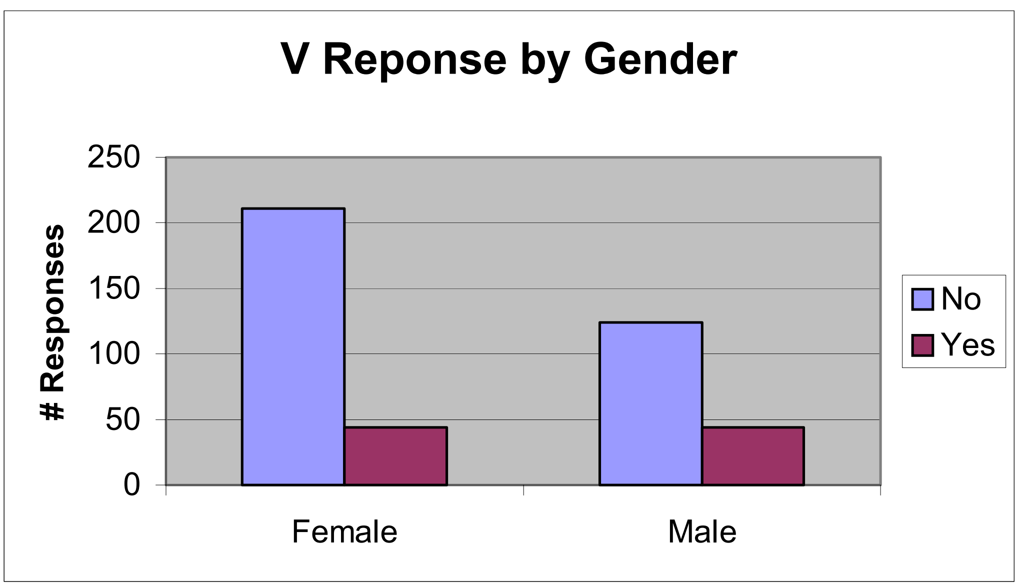


V Which of these Strategies has SWT informed you about for donations-Capital Donations?

Chi Square Table by Gender for Question V

Answer	No	Yes	Total
Female	211	44	255
	82.7%	17.3%	100%
Male	124	44	168
	73.8%	26.2%	100%
Total	335	88	423
	79.2%	20.8%	100%

Fewer females (17.3%) than males (26.2%) were aware of the capital donation program. In both cases, the number not aware was about three times the number that were aware of the possibility of capital giving.



A	Would you recommend SWT to prospective college students?
B	Do SWT alumni feel as strong a kinship as UNT or UH?
U	Which has the larger need for donations-private, public, or both?
	Which strategies has SWT informed you about for donating
V	Capital Funds
W	Annual fund drive
X	Planned Giving
Y	Do SWT alumni have a responsibility to donate money or assets to SWT?
Z	Would you rather donate specifically or let SWT determine the recipient?
I	Have you been asked to be an SWT volunteer?

Chi Square Table for Interest Group

Question	Chi Square Value	Significance	Significant or not significant
A	25.895	.000	Sig
B	45.09	.000	Sig
U	16.383	.012	Sig
V	24.539	.000	Sig
W	25.039	.000	Sig
X	16.675	.001	Sig
Y	3.230	.357	Not sig
Z	14.114	.003	Sig
I	77.276	.000	Sig

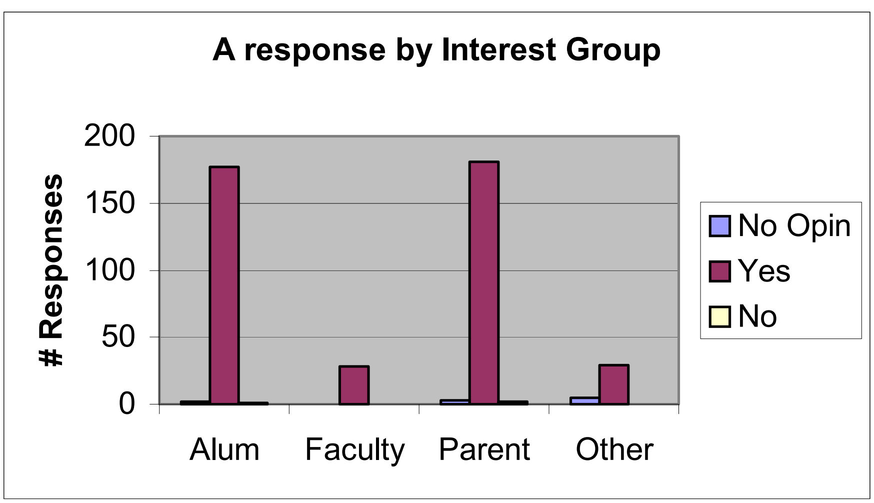
The only question were the results were not significant was whether SWT alumni have a responsibility to donate. The answers were about evenly divided on this question among interest groups. The tables and graphs for each question are presented on single pages for maximum clarity.

A Would you recommend SWT to prospective college students?

Chi Square Table by Interest Group for Question A

Group	No Opinion	Yes	No	Total
Alums	2	177	1	180
	1.1%	98.3%	.6%	100%
Faculty	0	28	0	28
	0%	100%	0%	100%
Parents	3	181	2	186
	1.6%	97.3%	1.1%	100%
Other	5	29	0	34
	14.7%	85.3%	0%	100%
Total	10	415	3	428
	2.3%	97%	.7%	100%

Faculty were unanimous in their recommendation of SWT. No doubt that caused the significant difference in response negating the null hypothesis. The group of other was significantly lower at 85.3% than the others but it is also significantly smaller with only 29 responses.

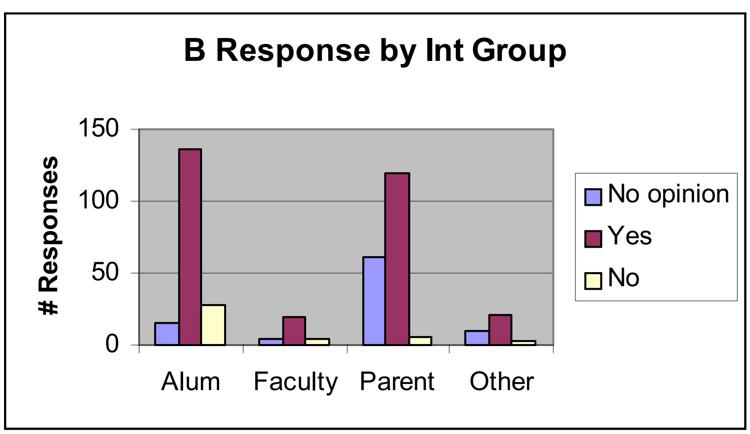


B Do SWT alumni feel as strong a kinship as University of North Texas or University of Houston alumni?

Chi Square Table by Interest Group for Question B

Group	No Opinion	Yes	No	Total
Alum	15	136	28	179
	8.4%	76%	15.6%	100%
Faculty	4	20	4	28
	14.3%	71.4%	14.3%	100%
Parents	61	119	6	186
	32.8%	64%	3.2%	100%
Other	10	21	3	34
	29.4%	61.8%	8.8%	100%
Total	21.1%	69.3%	9.6%	100%

Alumni believe more strongly than the other groups that alumni feel the same kinship as alumni at the University of North Texas or the University of Houston. The other category is the most skeptical of this assertion.

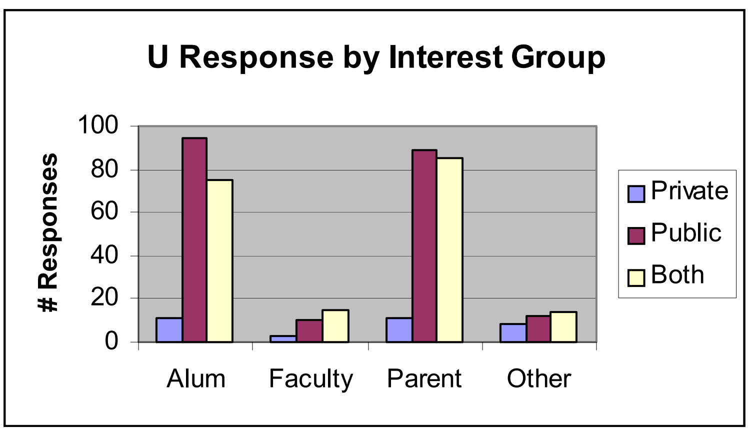


U Which has the larger need for donations-private, public, or both?

Chi Square Table by Interest Group for Question U

Group	Private	Public	Both	Total
Alums	11	94	75	180
	6.1%	52.2%	41.7%	100%
Faculty	3	10	15	28
	10.7%	35.7%	53.6%	100%
Parents	11	89	85	185
	5.9%	48.1%	45.9%	100%
Other	8	12	14	34
	23.5%	35.3%	41.2%	100%
Total	33	205	189	427
	7.7%	48%	44.3%	10%

The order of groups most favoring public universities is alums, parents, faculty, and other. The order of groups most favoring both is different; the order being faculty, parents, alums and other.



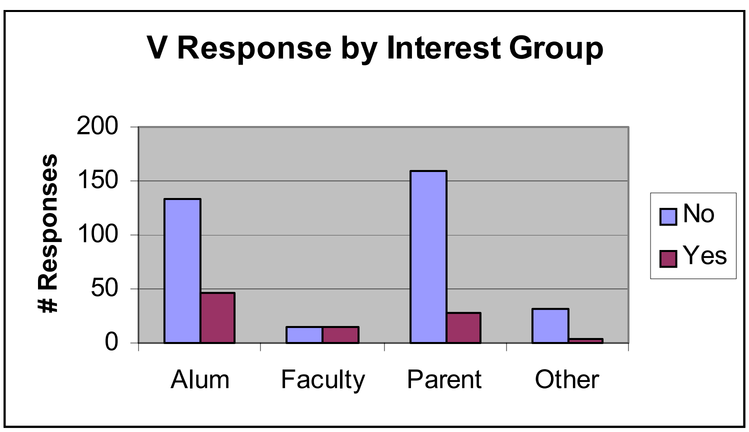
V Which strategies has SWT informed you about for donating?

Capital Funds

Chi Square Table by Interest Group for Question V

Group	No	Yes	Total
Alums	133	47	180
	73.9%	26.1%	10%
Faculty	14	14	28
	50%	50%	100%
Parents	159	27	186
	85.5%	14.5%	100%
Other	31	3	34
	91.2%	8.8%	100%

Faculty were the most aware of capital fund programs followed by alums, parents, and other.



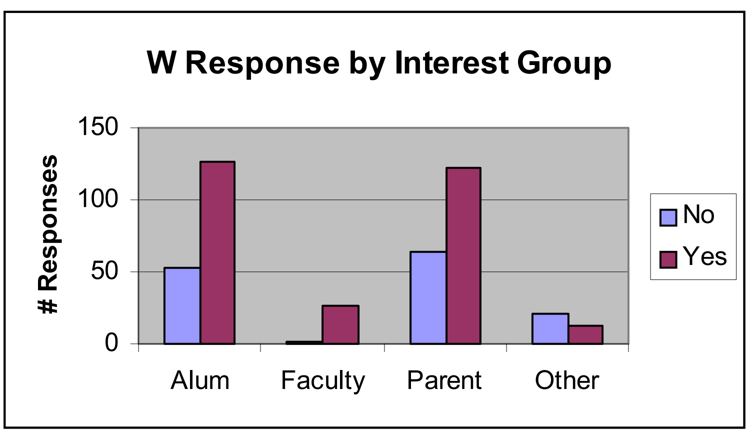
W Which strategies has SWT informed you about for donating

Annual fund drive

Chi Square Table by Interest Group for Question W

Group	No	Yes	Total
Alums	63	127	180
	29.4%	70.65	100%
Faculty	1	27	28
	3.6%	96.4%	100%
Parents	64	122	186
	34.4%	65.6%	100%
Other	21	13	34
	61.8%	38.2%	100%
Total	139	289	428
	32.5%	67.5%	100%

Faculty was significantly more aware (96.4%) of the annual fund drive than the other groups. The others trailed in order of alums, parents, and other.



X Which strategies has SWT informed you about for donating?

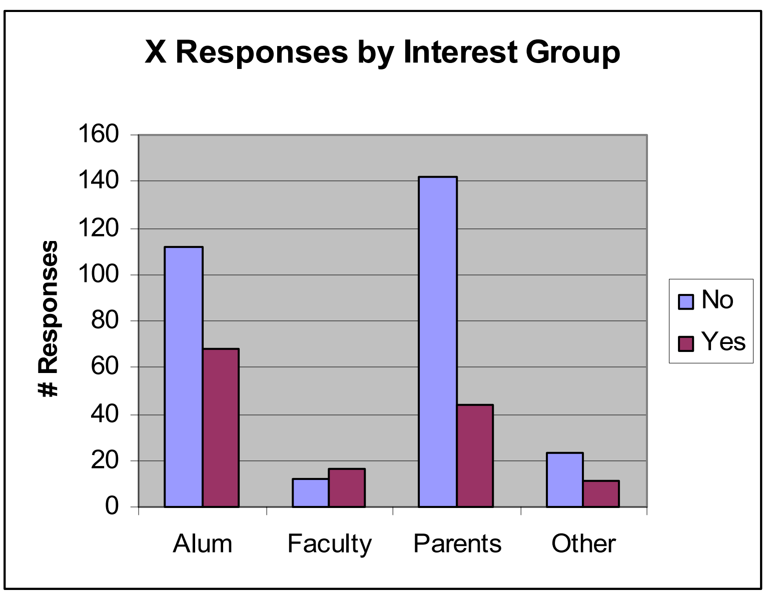
Planned Giving

Chi Square Table by Interest Group for Question X

Group	No	Yes	Total
Alums	112	68	180
	62.2%	37.8%	1006%
Faculty	12	16	28
	42.9%	57.1%	100%
Parents	142	44	186
	76.3%	23.7%	100%
Other	23	11	34
	67.6%	32.4%	100%
Total	289	139	428
	67.5%	32.5%	100%

Only the faculty was more than 50% aware of the planned giving strategy.

Trailing faculty were alums, other, and parents.

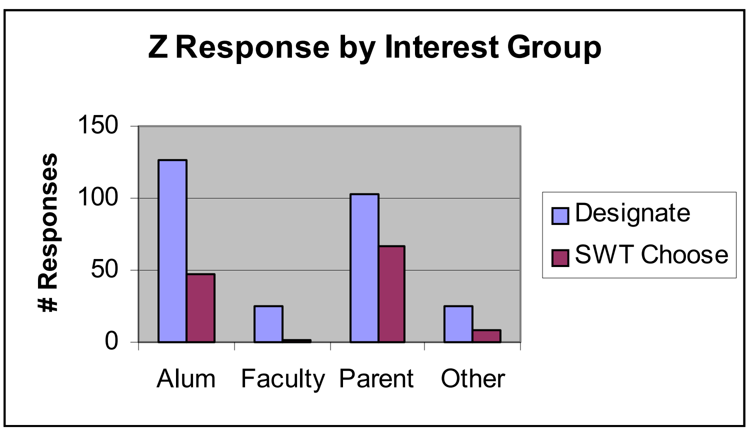


Z Would you rather donate specifically or let SWT determine the recipient?

Chi Square Table by Interest Group for Question Z

Group	I prefer	Let SWT decide	Total
Alums	126	47	173
	72.8%	27.2%	100%
Faculty	25	2	27
	92.6%	7.4%	100%
Parents	103	66	169
	60.9%	39.1%	100%
Other	25	8	33
	75.8%	24.2%	100%
Total	279	123	402
	69.4%	30.6%	100%

The majority of all groups would prefer to make their own decisions. Faculty felt the strongest about this followed by other, alums, and parents.

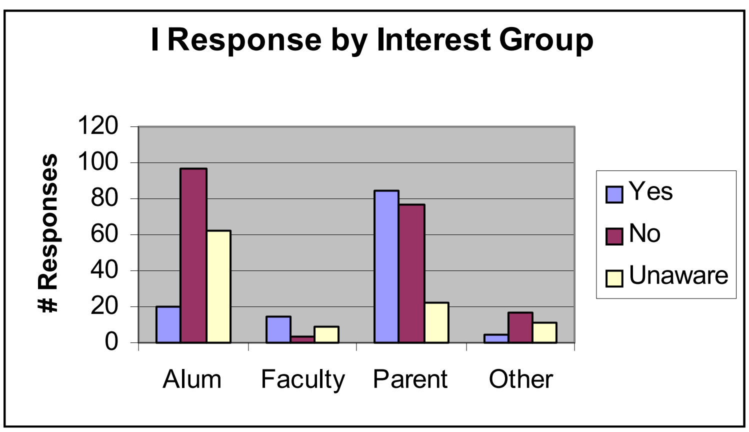


I Have you been asked to be an SWT volunteer?

Chi Square Table by Interest Group for Question I

Group	Yes	No	Unaware	Total
Alums	20	97	62	179
	11.2%	54.2%	34.6%	100%
Faculty	15	3	9	27
	55.6%	11.1%	33.3%	100%
Parents	84	77	22	183
	45.9%	42.1%	12%	100%
Other	5	17	11	33
	15.2%	51.5%	33.3%	100%
Total	124	194	104	422
	29.4%	46%	24.6%	100%

The majority of all respondents have either not been asked (46%) or are unaware of volunteer activities (24.6%).



That completes the statistical findings of the survey. The final section will examine the written (qualitative) responses to the survey. The responses should suggest affinities to the focus group. These affinities should form a basis for the answer to the third question. What themes emerge for university leaders from stakeholders' responses that can further inform the implementation of university development?

Qualitative Responses

On Friday May 9, 2003 at 9:00 AM stakeholders in the development process gathered in J C Kellam Buidling Room 988. The purpose was to examine survey results and to explore the qualitative answers suggested by the comments of the respondents. The group consisted of volunteers from the alumni and development departments at SWT. Members present included Mr. Gerald Hill, Vice President of Development, Dr. Kitty Sue Schlink, Development Officer for the Department of Science and Health Professions, Vicki Meehan-Clarke, Development Officer for Planned Giving, Mr. Seth Worley, Statistical Analyst II in Development, Dorothy Evans, Alumni Director, and Melinda Braun, Associate Alumni Director.

The first question addressed was - Would you recommend SWT to a prospective college student? The group noted the following affinities among the responses; quality education (26), smaller size and relations with professors (9), location (8), and a good value for the education dollar (4). This would indicate why this question was answered with a 96% satisfaction rate.

The second question addressed was – Do SWT alumni feel as strong about their school as do alumni of the University of North Texas or University of San Antonio? The group noted two things. First that a breakdown between the responses of how parents versus alumni responses was needed. Since alumni and parents are distinct stakeholder groups, did each group respond differently? Second, the group noted that there was a consensus that in cities outside Texas, the alumni tended to seek one another out. The break down by interest group that constitutes these answers is reflected in this table.

Breakdown of SWT vs. UNT and UTSA by Interest Group

Interest Group	**%**	**# of Total**
Answering Yes		
Alumnus	31.12	137
Alumnus Spouse	.23	1
Faculty	4.58	20
Other	4.81	21
Parent	27.23	120
Subtotal Yes	67.97	299
Answering No		
Alumnus	6.41	28
Faculty	.92	4
Other	.69	3
Parent	1.37	6
Subtotal No	9.39	41
Answering No Opinion		
Alumnus	3.43	15
Alumnus Spouse	.46	2
Faculty	.92	4
Other	2.29	10
Parent	13.96	61
Subtotal No Opinion	21.06	92
Blank		
	1.58	9
Total	100.00	441

This finding indicates that nearly as many parents (120) felt a kinship as did the alumni themselves (137).

The final evaluation of the response to question 3 was to tally the number of qualitative responses. A total of 32 wrote that SWT alumni did NOT fell as strong a kinship while 21 said the SWT DID feel as strong a kinship. These answers were solely from the alumni group.

The survey grouped the remainder of the responses in one category labeled Other. A tabulation of the responses indicates the following result

Tabulation of Qualitative Responses Other than Questions One and Two

Category	**Number of Responses**
Favor SWT Name Change	5
Keep SWT Name the Same	10
Favorable Faculty	1
Great Location	1
Favorable Comments	64
Unfavorable Comments	8

There is a move initiated by the former President Gerald Supple to change the name of Southwest Texas University to Texas State University or Texas State. What stands out is not so much the number of six for and nine against but the fervor of the comments. Examples favoring the change included:

- "Change the name of the university."
- "Change the name… it will help all students and alumni."

In contrast, those opposing the name change appear even more fervent.

- "I am waiting to contribute to the Alumni Association to see if they change the name. It must remain Southwest Texas as both my husband and I prefer that name."
- "We are in a budget crisis and a name change should be the last notion to be argued over."

Another respondent took aim at the way the name change is being pursued. "SWT has openly made negative comments regarding the alumni (party school, etc.). In the same timeline we were being asked to make donations to the university. As a graduate of SWT, I found this to be insulting not to mention hypercritical. The university needs to make an effort to clarify the position they support regarding these issues."

The verb 'love' appeared in seven separate answers such as 'I love SWT.' Other similar answers included "SWT is a great place" and "SWT is a terrific school." This researcher could certainly not overlook the following responses.

"This survey of yours is the first bright spot in our affiliation (as parents) with SWT."

Other comments were of a constructive nature such as this one. "The only advertisements that I have seen for SWT seem to have been done on a shoestring budget and look it. No advertising is better than unprofessional advertising. That billboard near Buda does more harm than good."

Indeed, two written responses were that "I am making a contribution by paying tuition." The second comment was that "I don't understand why and where additional monies would be used." Clearly these respondents do not see the need for funds beyond tuition.

In an attempt to quantify the qualitative responses of the stakeholder groups, a response table has been constructed. This identifies a positive response to each question by each of the groups.

Profile of the Interest Groups

Response Pattern of Four Interest Groups

	Would you recommend SWT to prospective students?	Do SWT alums feel as strong a kinship as similar universities?	Which has the largest need-public, private, or both universities?	Which strategies has SWT informed you about for donations? Capital Funds	Annual Fund Drive	Planned Giving	Do SWT alum have a respon to donate to SWT?	Donate to *specific* recipient or general?	Asked to be a volunteer-Yes	Sum of Responses
SWT Alums	3	4	4	3	3	3	3	2	1	26
Faculty	4	3	2	4	4	4	1	4	4	30
Parents	2	2	3	2	2	2	4	1	3	21
Other	1	1	1	1	1	1	2	3	2	13

The rank of indicated interest from first to last is faculty, alums, parents, and other. While faculty showed the most interest, there appears to be problems in soliciting that group. This faculty response shows why. "I will not contribute as long as there is a policy of paying below market salaries for professors." In fact there is not such a policy but that belief exists.

The responses to individual questions are now examined to shed some light on what the respondents appear to be telling the surveyor.

An Examination of the Survey Responses

As the focus group noted, the overall response to the survey is positive with 96.11% saying they would recommend SWT to a prospective student. The first two questions were examined by the focus group. This section moves on to the rest of the questions.

Respondents indicated they read *Hillviews* (70.48%), the SWT website (61.33%), and direct mail (59.95%). Communicating via the website is clearly much cheaper and more up to the moment than a quarterly magazine or direct mail. This suggests that SWT should consider expanded use of the website. Yet one respondent complained saying, “the website is very unorganized, the search engine is difficult at best and I would be much more apt to visit the site more frequently if it was more straightforward.” This suggests that a further survey might be done to determine user satisfaction with the site. At this point it seems reasonable to jump to question 13, do you use the website?

The highest uses were for SWT awards and accomplishments (31.81%), tracking athletic events (31.58%), and reading the *University Star* (27%), which is the student newspaper. Dillman suggests that most people have found the websites they use everyday and are not likely to go to one they do not use frequently (Dillman, p. 306). He further suggests that directed e mail which contains a URL location will increase use of a site. This suggests that SWT could make more people aware of its awards and accomplishments through the use of directed e mail. It is worth noting that SWT has attempted to move its football program to Division I A status. However the NCAA has changed the rules for eligibility. This continues to be an issue with respondents interested in athletics. The following comments addressed that issue. “No football; A big piece is missing until the move to Div 1 athletics.”

On the topic of private versus public universities, the group was split believing that private (47.6%) and both (43.48%) were equally in need. In fact, the groups were about equally split on their beliefs as follows.

Private Versus Public University Need by Interest Group

Category	**# Private**	**% Private**	**# Public**	**% Public**	**# Both**	**% Both**
Alumni	9 4	52.3	11	6.2	**75**	41.5
Faculty	10	35.8	3	10.8	15	53.4
Other	12	35.3	8	23.6	14	41.1
Parent	89	48.1	11	6.0	85	45.9
To tal	205	34	189	33	189	33

This finding suggests that all groups are increasingly aware of the need for help at universities, both public and private. Yet one all actions can have unintended consequences as this respondent indicates unhappiness. “I am waiting to contribute this year to the Alum Association to see if they change the name. It must remain Southwest Texas as both my husband and I prefer that name.”

The question about giving strategies seems particularly important in that this section is attempting to divine strategies. In college development, there are three main types of giving (Lord, 6). Capital funds refers to money for capital projects such as buildings or athletic centers. An annual fund drive is centered on convincing a large number of stakeholders to give every year-much as they might to their church. The third method is planned giving. This involves estate planning, the gifting of property, and even the purchase of life insurance policies so that the school becomes the beneficiary of the policy. Apparently SWT has been successful in letting stakeholders know about the annual fund drive as 66.36% indicated they were aware of this. Development Vice President Hill, in the focus group, commented that the awareness of planned (32.04%) and capital (20.82%) had risen in the last ten years. Still, even doubling these percentages would leave them lower than the awareness of the annual fund drive. One comment suggest that these avenues as well as the need for funds must be communicated. "I personally feel like I do make contributions to SWT through tuition and room and board and all the activity fees that my student pays. Possibly I don't understand why and where additional monies would be used." This suggests that, as mentioned previously, e mail should be used to 'rifle in' on the need for funds as well as the avenues of planned and capital giving.

The next question echoes that same problem. Fully 45.31% of respondents believe that SWT alumni do not have a responsibility to give to their alma mater.

In fact, 96 alums said yes and 84 said no to this question. Coupling this response to the comment above suggests that SWT needs to do a great deal more to make the public aware of their needs. This seems particularly acute in light of the increased funding difficulties outlined in Chapter One.

As to why or why not people would give, more said it was because of loyalty to SWT than any other reason. Indeed, loyalty to my graduating class ranked last of the reasons to give. Students I met and education I received came in second and third. One answer shed light on this and the following question about what contact method is preferred. “I think SWT has been doing a great job requesting funds from alumni. I like to contribute what I can when I can, and I don’t like to be badgered. I enjoy receiving contribution requests by mail but I don’t really like people to call me. I especially enjoyed the handwritten letter from a current student. That was a very nice touch, and it reminded me of my days as a student. Thanks for your consideration when contacting alumni.” It might serve the Development Department to examine literature being used by other universities in Texas. Baylor University in particular makes prominent use of current students in their literature. Student testimonials are frequent as to how ‘without financial assistance, the student could not be at Baylor.” (Baylor Philanthropy, 2000)

Among reasons to give, a campaign goal was cited as the highest reason with 13.5%. But the fact that even that statistic is below 15% suggests that people vary widely in what moves them to give.

Less than one third of the respondents (28.6%) had been asked to be a volunteer. 44.39% answered no and 24.49% indicated they were not aware of volunteerism.

Summary

There are considerable differences of opinion as to the interest groups of age, gender, and particularly, interest group. The fifth chapter will examine the strategies suggested by the responses that might be adopted by SWT.

CHAPTER V

EVALUATING THE RESULTS AND SUGGESTIONS FOR FURTHER STUDY

Overview

Chapter Five examines the meaning of the statistical findings in Chapter IV. The reactions, both quantitatively and qualitatively, suggest various strategies that SWT might follow or begin. Relevant excerpts from the literature review in Chapter II are re-examined in light of these findings. Finally an overall summary strategy is presented.

Survey Results

1. **Would you recommend SWT to prospective college students?**

The fact that 96.11% of the respondents said that they would recommend SWT suggests that only those with positive feelings responded to the survey. But it still indicates that this is a feeling held across all the interest groups. Indeed, only three respondents indicated that they would NOT recommend SWT. This suggests that there is considerable ground roots support among stakeholders to further the SWT mission and vision.

2. **Do SWT Alumni feels as strong to their alma mater as University of North Texs or University of San Antonio?**

Most of those registering no opinion were parents. But 6.41% of the total respondents were alumni that said no. This suggests that there is still a feeling that SWT is not connecting with its alumni like the other universities cited. SWT has begun efforts to connect with its incoming freshmen by copying the 'fish camp' concept used at A & M. Yet anecdotal classroom evidence suggests this is having this opposite effect. Instead of cultivating students, many have indicated to this researcher their unhappiness with that process. As a faculty member, one still hears complaints due to the commuter nature of the campus. Commuter students must park at the stadium and then board shuttle buses to campus. Complaints include parking (but no solutions), the fact that fees are charged for campus services not available to commuter students (like the recreation center), and the lack of an 800 number for internet service for out of town students. This suggests that SWT could attempt to make a toll free or local number available in Austin and San Antonio for commuter students. This is a serious concern as institutional research has found that 51.4% are commuting students. (SWT Tables and Statistics, p. 10) A breakdown of the interest groups was done to show the difference between alumni and parents, since clearly the former is better informed than the latter on this issue.

Do SWT Alums Feel as Strong about their Alma Mater as UNT and UTSA?

Interest Group	Response %	Number Responding
Yes		
Alums	31.12	137
Faculty	4.58	6
Parent	27.23	120
Other	4.81	21
Sub Total	Yes	67.4
No		
Alums	6.41	28
Faculty	.92	4
Parent	1.37	6
Other	.69	3
Sub Total	No	9.39
No Opinion	% of Total	Number
Alums	3.43	15
Faculty	.92	4
Parent	13.96	61
Other	2.29	10
Subtotal	No Opinion	20.6
Blank	2.61	26
Total	100	441

3. **Publications you read to stay informed**

The top three in order were *Hillviews*, SWT website, and SWT Direct Mail. This survey was conducted by electronic mail. So it is not surprising that a large number prefer the website. This does suggest that SWT could use electronic mail alerts to guide stakeholders to important information on the website. This allows them to stay in touch with one another and for the school to more easily reach them. However, the previously noted problem of not having a local number to dial for e mail renders this a useless suggestion. Mr. Hill also noted that SWT administrators claim that graduates are more likely to start using the electronic mail of their new employers. Once again, local number or a toll free number in Texas should be investigated to 'widen the circle' of interest in stakeholders by continuing to use their college electronic mail.

4. **Based on the response, would you prefer to hear from SWT**

Sixty-six percent indicated that they were happy with the number of contacts but interestingly some 126 respondents (29.06%) indicated that they would like to hear MORE often as stakeholders. This gives additional credence to the idea that electronic mail should be continued after graduation.

5. **Indicate the ways you prefer to be contacted**

The number one preference for contact was electronic mail; this was the choice of 70.94% of the respondents. Given the low cost, particularly compared with direct mail, the number three choice in question two, this suggests that this is the avenue for SWT to pursue in the future.

6. **Which of the following has the largest need-private, public, or both types of schools?**

Mr. Hill noted that the response to this question was in contrast to the answers several years ago. Now 43.48% believe that there is equal need among both types of schools. This suggests that stakeholders do not have to be 'sold' on the idea that their school needs help.

7. **Which of these strategies has SWT informed you of for donations-capital fund, annual fund drive, and planned giving?**

Two hundred and sixty-four or 66.36% were aware of the annual fund but much lower numbers were aware of planned giving (138), and capital funds (80). Mr. Hill observed that this is actually a higher awareness level than existed ten years ago when the development efforts began in earnest. Still, this is less than one-third of the respondents who know about planned giving or capital funds. While this is not a study on HOW to give, it is noteworthy that more Americans are now involved in the stock market than ever before. In addition, certain trust arrangements allow to the giving of appreciated property. This suggests that there should be a greater effort aimed at making stakeholders aware of planned giving and capital fund giving.

8. **So SWT Alumni have a responsibility to donate?**

Parents and alumni equally responded no to this question-about 20%. This is in contrast to the number in question six that recognized the need of public schools. This suggests that the more frequent use of electronic mail should emphasize the uses of money donated. The previous study done for Dean Smart noted that private schools particularly highlight individual student testimonials about how much gifting has helped them achieve their college goals. (Elam, p. 8)

9. **Would you rather donate to a specific recipient or let SWT determine the recipient?**

Faculty were 100% in favor of selecting their own recipients. A majority (64.76%) indicated they would prefer to designate a recipient. This suggests a strategy of giving stakeholders a 'cafeteria style' menu of choices. Stakeholders should not only be aware of annual fund drives, capital funds, and planned giving; they should also be aware that there are scholarships, individual college gifts, professorships, and even special classrooms that can be funded. Again, the previous study noted that it is not uncommon for private universities to devote entire magazines to specific fund raising activities like a new tennis center. (Elam) Notably, SWT has added a button "Giving to SWT' to its website since this study started (http://www.mrp.swt.edu/develop/develop.html). This first effort is an excellent one listing the three different categories of giving, on line giving, and highlighting special efforts. The desire of stakeholders to designate their recipient suggests that additional possibilities can be added to the site.

10. **Which best describes your financial support of SWT?**

About one third (35.7%) indicate that they have never given to SWT. The veracity of these responses can be verified. That should be done. This indicates that stakeholders were interested enough to respond but that they have never done so. This is perhaps most noteworthy when compared with the answers to question 15, have you been asked to volunteer.

11. **If you have contributed to SWT in the past, why?**

The large number of blank responses suggests that stakeholders do not have any particular interest despite their desire to name a recipient. Still, loyalty to SWT was the number one reason to give followed by students. Again this suggests that a continued outreach by electronic mail will yield results if it capitalizes on the loyalty to SWT.

12. **What might encourage you to donate for the first time, more, or more frequently?**

Mr. Hill rejected outright the 54.52% that responded they in fact give on their own. A campaign goal was the highest motivation given followed by a letter from a former teacher.

13. **This question asked about the use of the SWT web site.**

More people responded that they use the web site to track the outcome of athletic events than any other reason. Awards and accomplishments and then reading the *University Star* followed. SWT has put a renewed interest on developing a football program. In fact, this is highlighted in an article in the summer 2003 issue of *Hillviews*. This suggests that the new coach should seek to utilize electronic mail to alert the athletic supporters at SWT.

14. **Have you ever been asked to be an SWT volunteer?**

A whopping 44.39% said no and another 24.49% were unaware of volunteerism. Given that 96% would recommend the school, it would seem logical to immediately begin a campaign of volunteerism. Perhaps the most revealing question about SWT's ability to communicate with its stakeholders is the final one-Have you been asked to be an SWT volunteer? Implicit in the idea of volunteering, is that the participant will become more knowledgeable about the needs of the school. An amazing 97 of 180 alums and 77 of 185 parents responding said no to this question. Seventeen of the 34 other responses also indicated they had not been asked. The comment from a staff worker, presumably one of the other category, sheds some light on this lack of volunteerism. "I worked at SWT for 5 years in both Admissions and Student Affairs departments. I would like to hear about any volunteer activities associated with either of those offices. Thank you." Here is a former employee wanting to volunteer, who has not been asked, and ends by thanking for the opportunity to do so. Clearly this is an opportunity missed. Before becoming Secretary of State, Colin Powell made volunteering a national issue. Perhaps SWT should use e mail to direct stakeholders to the website where opportunities to volunteer are available. The fact that this many people answered the survey and have never even been asked, much less refused, suggests that there may be many volunteers in waiting.

Qualitative Responses

Several of the maxims mentioned in the literature review seem relevant to many of the remarks posted by respondents to the survey. Broce defines development "as the planned promotion of understanding, participation, and support." Broce is making the point that planning needs to proceed any campaign; i.e., everyone should be on board for the same mission, vision, and outcome.

However, many of the responses suggest this is not the case for at least two campaigns in which SWT is now engaged.

As this paper is written, a bill which would change the name of the school from Southwest Texas State University to Texas State at San Marcos is on the desk of the Governor. He may sign the bill or simply wait without signature. In either case, the bill would be come law and the name of the school will change. It is not the purpose of this purpose to debate the worthiness of changing the name of the school. It is the purpose to examine attitudes about that goal. As previously noted, respondents have vociferous opinions about the name change. And the emotion seems to gyrate 180 degrees from pro to con. One mentioned that this 'should be the last notion to be argued over, in the midst of a budget crisis." Assuming the name does change, it would seem necessary to put a 'good face' on the effort. Stakeholders need to be assured that the name change will be positive and worth the cost of changing signs, insignia, etc. Such mechanics can be more easily accomplished that actually getting people to recognize the new name. Corporations have made such changes successfully. Exxon is the newer name of a company that had operated under a variety of names such as Esso. Nissan replaced the former Datsun. It might now be very worthwhile to study how corporations successfully do gain acceptance of their name changes. The failure to do so will alienate many of those that responded negatively to the name change idea. One respondent summed it up this way. "SWT should raise its admission standards again. Do something to nurture a 'tradition' to create an emotional attachment to the school. Trash this nonsense about a name change (this would be so, so obvious)."

Batson believes that motives are "goal directed forces, and in this context it is important to distinguish among instrumental goals, ultimate goals, and unintended consequences. An instrumental goal is sought as a means to reach some other goal; an ultimate goal is sought as an end in itself; an unintended consequence is a result of acting to read a goal but is not itself a goal. It is the ultimate goal that defines a motive; each different motive has a unique ultimate goal" (Batson, p. 612 ASHE, 1991) This is a good example of the name change dilemma. The instrumental goal is to change the name. The ultimate goal is to obtain a larger recognition or to be seen as a state rather than regional university. But the problem is the unintended consequences of all the stakeholders that are angry that the name is being changed. A program to mend fences with these stakeholders is seen as a necessity.

To succeed in fund raising, the organization must appeal to the needs of the donor, not the needs of the institution. (Lord) Lord's point is that the needs of the donor have to be fulfilled by the act of the gift. A parent seeking to memorialize the memory of a child, a businessman seeking to lecture a class, or a corporation wanting its name on a building all have needs. The organization must ferret out what those needs are and respond to them. The responses from many stakeholders suggest that this is not being done. Here is a comment that addresses this issue as well as the last survey question of volunteerism. "I really HATE (respondent emphasis) the phone calls asking for money. I am still trying to pay back my student loans. I give a lot back to SWT in my time recruiting alumni participation (I help coordinate events for the SWT Bobcat Alumni Band). I encourage the students I work with (from K-12) to look at coming to SWT. My time is worth more than money to me. I hope it would be to you (SWT) as well." This response reveals the failure to follow Lord's dictum. Every effort should be made to KNOW the involvement of the person called before the call is made. Surely it should have been known that this person was the Alumni Band Coordinator. The person was alienated by being asked for money; the school was putting its needs before the donor. Instead, the stakeholder was angered at being asked for money and that the caller did not recognize the value of the volunteerism. This suggests that SWT should begin a recognition program for ALL of its volunteers. Perhaps a plague with yearly service hours could be awarded in recognition of these efforts. Such individuals could be brought to campus or certainly honored in *Hillviews.* Indeed, such work is worth more than money.

The initial comments about SWT in the survey were overwhelming positive. For example, a word search of the responses using the verb 'love' brought up 25 uses. Clearly there is a lot of love for SWT. Numerous studies over the past decade have shown that fully 85% of the money given away by living individuals comes from families with incomes of $50,000 or less. (Rosso, p. 254, 1991) This comment by Rosso should be combined with the obvious devotion (love) for the school. While many were aware of the annual campaign, one-third were not. Moreover, there are not any campaigns within individual colleges among graduates. The University of Texas has had a Century Club among is Business graduates for several decades. (Elam, p. 8) In fact, last year the UT graduate business school pledged $100,000 toward their college to be given in the year following graduation. Here is an excellent example of Broce's comment about cultivation. "Cultivation is the key to successful solicitation. Prospects are of three kinds; those ready to be solicited, those interested in the institution but not yet meaningfully involved, and those with potential but no known relationship. Cultivation, (known as prospecting in the sales field) is a never-ending process" (Broce, p. 24, 1979). Yet no such program exists at all in the SWT College of Business which has over 4,000 students enrolled. Such initiatives should begin now.

Recommendations for Regional Universities

The recommendations are couched in the literature previously referenced.

Lord suggests that two advance determinations must be made to identify donors. (Lord, p.6, 1989) The prospects must be qualified and a pathway from prospect to organization must be constructed. The data collected in this survey suggests that the pathway is not being constructed from comments like 'this is the first bright spot in our relation with SWT.' The same story echoes in the 68% responding that have never been asked to volunteer. It is suggested that regional universities begin to connect with students from their first day on campus. Increasingly schools are sponsoring new student orientations. Feedback should be gathered from such events and realistically evaluated. Students should be involved in university activities that make them aware of the school needs. An attempt at constructing that pathway should begin before graduation. Perhaps a Century Club of donors should start by the senior year. No matter how small the donation, the idea of collectivism could begin before the student becomes an alum.

It is noted that some schools are discontinuing their annuals. While this may be an effective short term cost saving (a Cook and Lasher observation) it may be detrimental in fund raising effectiveness. (Cook and Lasher, p. 33, 1996) The latter emphasizes performance relative to potential. Regional universities need to establish their database of students before scrambling to do so post graduation. It is much easier to establish, for example, a web page that can be updated for students while they are still in school. It is difficult to accomplish such a goal after graduation. One of the chief findings of this study is the inability of regional universities to connect (elicit a response) from their alums. The registration process at most schools now includes photo identification. This should be coupled with an accumulation of school achievements to build a database on the student prior to graduation.

Bowen suggested that institutions tend to measure inputs such as libraries or the size of endowments. (Bowen, p. 17, 1980). While flagship universities tend to boast of endowments in hundreds of millions, this is not the case for most regional universities. It is suggested that a regional university employ the economic concept of marginal utility. This concept might suggest that dollars go much further at schools that have smaller endowments but a large number of students. It is more likely that the donor will make a greater impact at an institution where large sums of money are not taken for granted. The first 100 scholarships are more likely to be appreciated (higher marginal utility) than the last 500 at a richer flagship school.

Batson's idea of an appeal to egoism could also be utilized effectively by regional universities. (Batson, p. 612, ASHE, 1991) It was previously noted that it took $50 million to 'buy' a name on the University of Texas College of Business. Donors could certainly achieve an egoistic goal in a similar fashion at a much lower cost at a regional university. Names on buildings, classrooms, computer centers, etc. could be memorialized at much lower costs than at flagship universities.

Cook and Lasher note that success is situation specific and can be understood only in terms of a particular context. (Cook and Lasher, p. 36, 1996)

This suggests that regional universities need to find their own niche. Just because larger schools attract crowds and television audiences to their athletic events does not mean the same thing can be replicated at a regional school. Cook and Lasher also note that the team effort is spearheaded by the President. (Cook and Lasher, p. 42, 1996) Extensive planning with support from stakeholder groups should precede any new campus wide efforts. The data finding severe disagreement over the name change at SWT suggests pre planning is necessary to avoid later problems.

Many organizations do not exclusively hire from flagship universities. Batson's appeal to collectivism could certainly be utilized. National chain stores such as Target or Walgreens' are more likely to draw their employees from an SWT or Texas A & M Kingsville than from UT Austin. Creating scholarship funds at such regional universities would make it clear that chain had a vested interest in the success of the graduates it is most likely to hire. This is a reflection of Greenfield's comment that Vision is mission. The school must project a vision of the organization which excites the donor. (Greenfield, p. x, 1994)

One of Lord's principals states that potential donors will want to know how much existing stakeholders have given to the institution. (Lord, p. 45, 1989) The data suggests that professors want to designate their gifts to particular uses. A concerted effort should be made to arrange this. After polling the faculty, a suitable vehicle that the professors stand behind could be established for gifting. This would certainly build the team effort approach that Cook and Lasher describe.

Summary of the Study

The attempts to obtain responses began in the second week of January, 2003 with the publication of the announcement in *Hillviews*. The development department believed that this would result in 1,000 to 2,000 responses, thereby providing the answers needed for the survey. This simply did not happen; only about 100 responses were received. It took three more months and thousands of additional e mails to other groups to obtain the final 441 responses. Of that number a significant 185 parents responded, apparently in hopes of winning the scholarship drawing. This suggests that SWT is not aware of the difficulty of obtaining responses from its stakeholder group. Attempts should be made to contact similar institutions such as UNT or UTSA (cited in this survey) as to their response rates to such surveying. This appears to suggest that SWT groups surveyed are not aware of the need to gather such information. This suggests that further work needs to be done to create an atmosphere of the need for giving-and communicating.

Clearly respondents are proud of their stake in SWT's future. 'I love SWT' was one of the most frequent responses. However, the administration should be aware that efforts to advance SWT by tactics such as a name change can have unintended consequences among alums. There seems to be a lack of awareness of the need to give as several respondents stated they were giving through tuition and room and board. In the midst of a state budget crisis, this is hardly reassuring for cash strapped administrators. Efforts to recruit and recognize SWT volunteers should begin immediately. E mails should guide stakeholders to areas of the web site that show the reasons for needing financial support beyond tuition and fees. Then there should be direction to the Development Site where the three avenues of giving are explained. As noted, very few respondents were aware of planned giving or capital programs.

A toll free number for commuter students and perhaps a statewide toll free number must be adopted if students are expected to use their e mail accounts after graduation. More attention should be given to the peculiar needs of commuter students to cultivate a climate of understanding before their graduation.

SWT has just added a direct link to the Development Office on its main web page entitled ‘Giving to SWT.’ It is located at http://www.mrp.swt.edu/develop/develop.html Clearly this reflects the desire to improve the development effort. This survey suggests the need for further research. Specific areas are now addressed for such research.

Suggestions for Further Research

Further research should be conducted on ways to increase the existing pool of electronic mail addresses, ways to make sure that future graduates are easily tracked, that a database of students is maintained including their photo, and the possibility of 'cross pollination' between faculty and administration is considered.

The difficulty of receiving responses has been noted. Moreover, there are only about 8,000 electronic mail addresses known for graduates. Yet, SWT has graduated some 50,000 students since 1986! Private universities depend on the patronage of their graduates for much of their financial existence. This was noted in the previous study. (Elam, 2001) A study should be made of the procedures used by schools such as TCU, SMU, and Baylor (all of which are in Texas and serve somewhat the same population) on methods they use to collect and maintain data.

Tracking graduates, particularly successful ones, is another priority. The success that Texas A & M has in establishing one of the most loyal alumni associations is well known. The methods that A & M or even UT Austin is using should be examined. A link on a department web site that allows students to update their addresses might be investigated.

In the fall of 1999, SWT discontinued *The Pedagogue*, the student annual. Less than 1,000 students had purchased the annual, which it was noted, 'would not even pay for publishing the book, let alone compiling it.' (*University Star,* September 15, 1999, p. 1) This suggests several things including the lack of a 'link' between incoming students and their expected experiences at SWT. Worse, it means that there is no particular photo or extra curricular record of student activities that is easily accessible. A study should be made of the possibility of using the mandatory student ID photo along with a requirement of submitting an 'SWT resume' as a condition of graduation to establish such a data bank. Otherwise, school officials could be in the embarrassing situation of not being able to physically identify a successful graduate years later.

It should be noted that the student is only exposed to faculty while earning a degree. Then, ironically, it is only administration that attempts to track and correspond with the student after graduation. So at graduation the student moves from a group known to him/her to a group of near total strangers. Indeed, development, institutional research, and alumni relations are all located in buildings that do not contain classrooms. Perhaps the idea of 'cross pollination' between faculty and administration in these critical areas should be investigated. While predicting the most successful graduating students is an art at best, clearly those actively involved in student organizations are known. This also extends to those that are obviously interested in 'joining and networking' during college which would be fraternity and sorority members. No doubt private universities are also at the forefront of assembling such data.

These ideas for further research are put forth constructively in the hopes of creating ideas that will allow state universities to get in touch and stay in touch with their stakeholders.

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VITA

Dennis Elam received his BBA in Finance from the University of Texas at Austin in January of 1970. He received his MBA from the University of Texas at Austin in August of 1972. Mr. Elam has been licensed in Texas as a Certified Public Accountant since February of 1976. He holds six licenses with the National Association of Security Dealers including Securities Principal and Options Principal.

He practiced as a CPA and a Securities Principal. He has taught as an adjunct at Odessa College and the University of Texas at the Permian Basin. He began full time college teaching as a Lecturer in the College of Business in 1999 at Southwest Texas University in San Marcos, TX. In the fall of 2003, he accepted a position as Assistant Professor of Accounting at Texas A & M Kingsville at the Palo Alto Campus in San Antonio, Texas.