

INSTITUTIONAL STRENGTHS, FUNDRAISING MESSAGES, AND PRIVATE
GIVING OUTCOMES IN TIER ONE RESEARCH EXTENSIVE UNIVERSITIES:

A MULTIPLE CASE STUDY

by

Donald G. Doty

A DISSERTATION

Presented to the Faculty of

The Graduate College at the University of Nebraska

In Partial Fulfillment of Requirements

For the Degree of Doctor of Philosophy

Major: Educational Studies

Under the Supervision of Professor Richard J. Torracco

Lincoln, Nebraska

May, 2007

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Donald G. Doty, Ph.D.

University of Nebraska, 2007

Advisor: Richard J. Torraco

This multiple case study explored how the communication of institutional strengths in fundraising appeal messages was related to successful fundraising outcomes in Tier One Research Extensive Universities. Shannon and Weaver's (1963) information processing model of communication provided a theoretical framework for the study. Six universities which had achieved successful fundraising outcomes (based upon percentage change in private giving dollars from 2003 to 2005) were selected from the top third of a population of 74 universities, using a maximum variation strategy (based upon enrollment, total giving dollars and public or private university type). University data was gathered from disparate sources including participant interviews, publications, web-based fundraising appeals, and fundraising appeal letters, and analyzed to identify salient codes and themes. Multiple data verification procedures were contributed to the trustworthiness of the data including triangulation of data sources, member checking, inter-coder agreement (84.5%), external supervision, and full description of cases.

Study results confirmed that the communication of university strengths was important in fundraising effectiveness. The study provided rich descriptions of institutional strengths and strength themes from fundraising appeal messages in

successful universities, with potential applications for fundraising practice. Two conceptual models were proposed for theory development: (1) University-Donor Relationship; and (2) A Model of Communicating Institutional Strengths for Effective Fundraising in Research Universities. The University-Donor Relationship model emphasized the importance of an ongoing relationship between university and donor, characterized by certain attributes (e.g., gratitude, honor, recognition), for the formation of successful fundraising appeals. The Communicating Institutional Strengths for Effective Fundraising model both confirmed existing knowledge about institutional strengths, and added new conceptions of how institutional strengths (e.g., innovation and interdisciplinary culture) and strength themes (e.g., innovative, interdisciplinary solutions to big, complex problems and strength success stories with constituent testimonials) may contribute to development of effective fundraising appeal messages.

Particular thanks go to my colleagues at Northwest University, particularly Dr. Frank Klipach, for their encouragement, feedback and support along the way.

Finally, I would like to anonymously thank the officials of the participating universities, who graciously agreed to contribute to this study.

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TABLE OF CONTENTS

CHAPTER 1: INTRODUCTION	1
Statement of the Problem.....	1
Purpose of the Study	4
Method	5
Definitions and Terms.....	6
Delimitations and Limitations.....	7
Significance of the Study	8
 CHAPTER 2- LITERATURE REVIEW	 10
History of Private Giving to Education	10
Institutional Strengths and Fundraising Effectiveness.....	11
U.S. News and World Report Rankings	14
Fundraising Appeal Messages	17
Analysis of Appeal Message Content.....	19
Thematic Analysis of Message Appeal.....	20
Advertising Response Model in Educational Fundraising.....	23
University Publications in Fundraising Appeals.....	24
Theory of Communication	24
 CHAPTER 3: METHODOLOGY	 29
Introduction.....	29
Characteristics of Multiple Case Study Design	29
Population of the Study and Selection Criteria.....	30
Data Collection	33
Data Analysis	36
Verification Procedures	38
The Role of the Researcher.....	40
Ethical Considerations	40
 CHAPTER 4: RESULTS.....	 41
Introduction.....	41
Purposeful Case Selection Strategy	41
Data Collection	45
Data Analysis Methodology	46
Data Verification Procedures.....	48
Multiple Case Study Findings.....	51
University One Description	51
University Two Description.....	51
University Three Description.....	52
University Four Description	53
University Five Description.....	54
University Six Description.....	55

CHAPTER 4: RESULTS continued

Case Analysis.....	56
University Strengths Relationship to Fundraising Results	60
Cross-Case Analysis.....	69
CHAPTER 5: DISCUSSION.....	116
Overview.....	116
Research Question One.....	117
Strengths Related to Success in Fundraising	117
Innovation	118
Interdisciplinary Culture	119
Research Question Two	120
Strength success stories with constituent testimonials.....	121
Innovative, interdisciplinary solutions to big, complex problems.....	122
University-Donor Relationship.....	125
Credible, leading faculty or program.....	127
Quality of life.....	128
Lack of Emphasis upon Mission Statements	129
Differences in Private vs. Public Institutions.....	130
CHAPTER 6: FINDINGS AND CONCLUSIONS.....	132
Key Results and Findings	132
Implications for Theory Development.....	133
A Model of University- Donor Relationship	133
A Model of Communicating Institutional Strengths for Effective Fundraising in Research Universities	135
Implications for Further Research	137
Implications for Practice.....	138
Conclusions.....	140
REFERENCES.....	141
APPENDICES.....	154
Appendix A: Institutional Review Board Approval Letter.....	155
Appendix B: Interview Protocol.....	157
Appendix C: Informed Consent Form	160
Appendix D: Email or Mail Recruitment Message and Thank You Letter	162
Appendix E: Attestation of Study Methodology	165

APPENDICES continued

Appendix F: Visual Model of Case study research design	168
Appendix G: Carnegie (2000) Classification of Doctoral/Research Extensive Universities	170
Appendix H: Text Unit Categories and Sums.....	175
Appendix I: Percentage Change in Giving Dollars at Private Universities, 2003-2005	178

LIST OF FIGURES

Figure 2.1 Information Processing Theory of Communication	25
Figure 2.2 Proposed Model of Fundraising Communication.....	30
Figure 4.1 Public University, Percentage Change in Fundraising Dollars	43
Figure 4.2 Private University, Percentage Change in Fundraising Dollars	43
Figure 6.1 University- Donor Relationship	135
Figure 6.2 A Model of Communicating Institutional Strengths for Effective Fundraising in Research Universities.....	137

LIST OF TABLES

Table 4.1 Maximum Variation Data for Selection Successful Universities, 2003-2005	45
Table 4.2 Successful Universities Data, Top Third of Population, 2003-2005	45
Table 4.3 Summary of University Strengths.....	59
Table 4.4 University Strengths Relationship to Fundraising Results	60
Table 4.5 Cross-Case Analysis of University Strengths.....	61
Table 4.6 Sources of Information by Relevant Message Themes	69
Table 4.7 Summary of Message Themes and Thematic Categories.....	71
Table 4.8 Summary of Strength Themes and Thematic Categories in Messages.....	72

CHAPTER 1: INTRODUCTION

Philanthropy is the mystical mingling of a joyous giver, an artful asker and a grateful recipient.

-Douglas M. Lawson

Statement of the Problem

Fundraising is a significant source of income and financial viability in higher education, particularly for research universities. Leslie and Ramey (1988) argued that private giving sources for higher education were significant, as they provided for competitive margin and enabled institutions to be less controlled by regulatory and governmental constraints. Steinberg (2004) found that giving in private and public research universities dwarfed masters and liberal arts colleges in giving by a factor of twenty, because of perceptions that return on investment in research benefits humanity.

However, economic factors may threaten financial viability in tier one research extensive (Carnegie, 2000) universities, creating pressure to improve fundraising effectiveness. Pratt (2003) projected that in light of federal and state budget priorities for defense, security and economic stimulus needs, fund allocations have continued to shift away from education. Individual states and municipalities have decreased budget allotments to public universities, and federal program grants have been curtailed.

University expenses have not necessarily followed this trend. Brainerd (2004) stated that although national university budget earmarks have decreased due to record estimated federal budget deficits, expenses in energy, faculty salaries, and facilities have continued to increase. The Western Interstate Commission for Higher Education (2003) forecasted that high school graduation rates are projected to peak in many states in 2008, which may decrease enrollment and tuition income from traditional student enrollments. Dent

(1995) argued that consumer spending, a significant driver of educational tax and bond income, may decline significantly at the end of the decade as baby boomers age and become more conservative in their spending. Pratt (2004) suggested that negative economic factors may result in potentially negative effects upon higher education including decreased student access, diversity, quality of research and instruction, unless alternative sources of funding were secured. Research universities may benefit from enhanced understanding of fundraising effectiveness in order to attract private giving, and to sustain financial viability in a changing economic future.

Three major factors appear to be positively influencing the environment for fundraising today: (1) donor's asset base for giving to institutions is at an historic high; (2) donor attitudes toward giving appear to create a positive fundraising climate; and (3) donors appear to be sensitive to the societal benefits of their fund investments. Havens and Schervish (1999) forecasted a \$41 to \$89 trillion transfer of wealth from post depression, "saver" generations to successors from 1999 through 2052. This represents a historic peak in capacity for fund acquisition in education. Recent fundraising results reinforce a peak in capacity (Council for Aid to Education 2004, 2005, 2006) in private giving. These trends confirm Philanthropic Giving Index (2004) projections, which reported that university president, development officer, and fundraising consultant forecasts for fundraising appeared to be positive.

Researchers have attempted to explain what influences donor contributions (Pickett, 1977; Leslie & Ramey, 1988; Loessin & Duronio, 1990; Turmel, 1998; Gitell & Tebaldi, 2003) in randomly selected types of universities (i.e., small and large, public and private). Findings have indicated that institutional characteristics (i.e., number of alumni,

financial resources, student retention) are related to fundraising effectiveness. However, because of variations in university types and research methods of studies, inference-making has proved difficult (Loessin & Duronio, 1993). Loessin and Duronio's (1993) review of fundraising literature from 1969 to 1992 indicated that knowledge of what factors influence contributions to tier one research universities is scant, although some studies do exist. Their review surfaced evidence that similar types of institutions with similar resources vary significantly in the amount of funds raised. Institutions with similar characteristics (e.g., age, finances, fundraising programs) achieved dramatically dissimilar results in fundraising outcomes, and vice versa. For example, institutions with smaller fundraising budgets, number of alumni, and fundraising staff achieved fundraising results which were similar to larger institutions.

As impetus for this study, Loessin and Duronio (1993) have identified the need for research into institutional strength factors, and their relationship to fundraising outcomes. Institutional strengths were characterized to include factors such as an institution's particular image and niche (i.e., unique contributions of institution to society) in higher education. Research on fundraising in tier one universities may also be important because these institutions are thought to have the greatest capacity for return on donor investment in terms of societal beneficence (Craver, Matthews & Smith, 1999).

Research universities are different than typical non profits (Kotler & Fox, 1995) due to their unique nature and need to satisfy multiple constituents (e.g., faculty, administration, staff, students, donors, publics, and communities). Carnegie (2000) classified Tier One Research Extensive Universities as those which offer a wide range of baccalaureate programs and are committed to graduate education through the

doctorate...award 50 or more doctoral degrees per year across at least 15 disciplines. A review of literature for university fundraising message appeals revealed ample suggestions from practice (Arden & Whalen, 1978; Tempel, 2003), but little empirical evidence for effects of appeal messages on fundraising effectiveness. Content analyses of fundraising appeal and direct mail messages have been performed in non profit (Ritzenberg, 1998; Upton, 2002) and political (Schmidt & Schmidt, 1983) venues with significant findings in donor response. After extensive review, no studies were found that focused on thematic analysis of fundraising appeal messages in Tier One Research Universities. Therefore this research study may provide insight into fundraising in three currently unexplored areas: (1) how institutional strengths enhance successful fundraising outcomes, and what qualities of the institution are perceived to be valuable by research university constituents (Kotler & Fox, 1995); (2) what institutional strength factors may enable a research extensive university to develop an effective fundraising appeal message(Loessin & Duronio, 1993); and (3) thematic analysis of fundraising appeal messages, and effects upon fundraising outcomes, in research universities.

Purpose of the Study

The purpose of this multiple case study (Creswell, 2003) was to explore how the communication of institutional strengths in fundraising appeal messages explained successful fundraising outcomes in Carnegie (2000) classified Tier One Research Extensive Universities.

Research Questions

The central research question was:

- What institutional strengths were important, and how did tier one research extensive Universities communicate these strengths in fundraising messages, in order to achieve successful fundraising outcomes?

The subquestions were:

1. What institutional strengths were important in order to achieve successful fundraising outcomes?
2. How were institutional strengths communicated in effective fundraising messages?

Method

This study used a multiple case study methodology (Creswell, 1998) to explore how communication of institutional strengths in fundraising appeal messages explains fundraising outcomes. Multiple case study research methods view a central phenomenon as a bounded system and attempt to explore such phenomena through expansive data collection. The research problem statement (Creswell, 1998), presented above, framed the existing literature on the topic for the reader, and introduced the study approach in light of existing research, to heighten awareness and perspective about the study. Research questions are argued (Miles & Huberman, 1994) to define the purpose of the study in more specific, measurable terms.

Collective case study involves research on several cases (i.e., fundraising in several institutions), and may provide greater insight into phenomena (Creswell, 2005). The population under study was Carnegie (2000) classified research extensive universities. A purposefully selected sample (Creswell, 2002; Yin, 2003) of six of the most successful Carnegie (2000) classified tier one research universities, as represented by the top third in percentage change in total giving from 2003- 2005, was selected for

case study analysis. In this case studies, multiple forms of data were gathered to enable the researcher to build a comprehensive description of case phenomena. Semi-structured interviews with fundraising officials, review of university fundraising case statements and publications, review of salient university strength characteristics, and review of university letter and web-based fundraising appeals were utilized as sources of data to achieve a greater depth of knowledge of the phenomena.

Definitions and Terms

A definition of terms used in this study follows:

Advancement or development- encompassing all fund-raising activities of the institution including governmental, state and local public relations, agency relations, alumni relations, and marketing activities.

Ask- the point in the solicitation at which the solicitor explicitly requests a gift.

Board of directors or trustees - individuals selected in accordance with organizational bylaws, to establish policy and oversee the management of an organization or institution.

Campaign- an organized effort to raise funds for institution.

Constituents- an institution's audience membership including alumni, faculty, parents, public, staff and students.

Direct mail- solicitation of gifts through the distribution of mailed appeals and communication materials.

Donor- the individual, organization, or institution that contributes funds.

Fundraising- processes or activities involved in soliciting financial resources to support institutional goals, programs, activities, events, and projects. Fundraising may also be known as resource development.

Fundraising case statement- a statement which the institution develops that contains the substantial argument to prospective donors, which forms the foundation from which fundraising appeals are developed.

Fundraising appeal message- a request presented to a donor designed by the institution to solicit contributions for funding of an issue, cause or need.

Fundraising outcomes (a.k.a., voluntary support)- financial gifts to institutions from individual private, non-public sources (i.e., not foundation or corporate giving), as defined in accordance with accounting standards established by the Council for Advancement and Support of Education, and National Association of College and University Business Officers.

Gift or giving - a voluntary, irrevocable transfer of something of value.

Institutional strengths- distinctive competencies (e.g., institutional research capacities, programs or majors) which the institution defines and communicates, that may contribute to the niche and image of a university.

Philanthropy- voluntary action for the public good, including voluntary service, voluntary association, and voluntary giving.

Delimitations and Limitations

Delimitations

Delimitations of the study included:

1. Participant's qualitative interview responses may have been reflective of personal assessment and experience with fundraising.
2. The study population was bounded by Carnegie (2000) research extensive universities. Uniqueness of the study within its bounded context may make it difficult to reproduce in different contexts (Creswell, 2003).

Limitations

3. The study is based upon analysis of institutional strengths and how strengths are communicated in fundraising messages, and is not based upon analysis of institutional need for funds.

Limitations of the study included:

1. Results of analysis may have limited generalizability to other, non-tier one institutions. Usually results may only be generalized to like populations that are similar to source population (i.e., Carnegie (2000) tier one research extensive) subjects.
2. Due to biases in readers of qualitative data findings, interpretations may be interpreted differently by diverse readers.
3. Due to the interpretative nature of qualitative research, the researcher may have introduced personal bias into analysis and interpretation of findings.

Significance of the Study

Findings of this study may confirm and refine the body of knowledge on fundraising effectiveness for research extensive universities. The nature of fundraising may be qualitatively different in research extensive universities, and has not been adequately studied to date. The nature of Carnegie (2000) classified research extensive universities is different from other universities and non profits in that they offer a wide

range of baccalaureate programs and are committed to graduate education through the doctorate, and award 50 or more doctoral degrees per year across at least 15 disciplines. Qualitative analysis of institutional strengths may provide insight into what qualities of the institution are perceived to be valuable by university constituents (Garvin, 1980). Analysis of message themes (Upton, 2002) in fundraising in successful universities may contribute new knowledge to the field. Further, findings may have practical application for research scholars who wish to secure grant funding, and university fundraising officials who guide advancement efforts for university support and ongoing viability.

History of Private Giving to Education

Higher education's institutional predecessors in ancient Greece were funded largely through private means. Couley and Williams (1991) noted that Socrates and Aristotle funded their institutions from their own wealth, and from the bequests of their patrons. In the Roman period, state governmental influence and financing entered higher education. The University of Alexandria was the first hybrid institution, founded and built by Ptolemy, with scholars receiving wages from the state. In recent decades, governmental support for higher education, including the Higher Education Act of 1965 and the Education Amendments Act of 1972, has expanded the amount of financing available, and function of higher education in the United States (Murphy, 1997).

Worth (1993) observed that state universities were created in the nineteenth and twentieth centuries to resemble privately led institutional models rather than the government-owned models of other nations. Muller (1986) noted that historically, American culture has emphasized individual initiative in the public interest and prescribed a limited role for government in the development of universities. Muller

CHAPTER 2- LITERATURE REVIEW

This review of literature begins by briefly examining the roots and development of funding for higher education. Investigation of the literature in support of major elements of the study follows including: 1) history of private giving; 2) institutional characteristics and strengths; 3) U.S. News and World Report Rankings; 4) fundraising appeal messages; 5) content and thematic analyses of fundraising appeals; 6) advertising response model in educational fundraising; and 7) university publications in fundraising. Finally, a theory of communication is provided as a conceptual framework for the study.

History of Private Giving to Education

Higher education's foundational institutions in ancient Greece were funded largely through private means. Couley and Williams (1991) noted that Socrates and Isocrates funded their institutions from their own wealth, and from the means of their patrons. In the Roman period, more governmental influence and finance entered higher education. The University of Alexandria was the first hybrid institution, financed and built by Ptolemy, with scholars receiving wages from the state. In recent decades, governmental support for Higher Education, including the Higher Education Act of 1965, and the Education Amendments Acts of 1972, has expanded the amount of financing, structure, and function of higher education in the United States (Murphy, 1997).

Worth (1993) observed that state universities were created in the nineteenth and twentieth centuries to resemble privately led institutional models rather than the government owned models of other nations. Muller (1986) noted that historically, American culture has emphasized individual initiative in the public interest and prescribed a limited role for government in the development of universities. Mueller

commented that advancement programs for American universities were directly related to their distinct nature. Each college and university needed to develop and pursue its own distinct strategy for the acquisition of resources. Thus the individual institution, rather than government, may be primarily responsible for its ongoing viability and may benefit from intimate knowledge of fundraising.

Institutional Strengths and Fundraising Effectiveness

Fundraising research in universities has not revealed any distinct patterns that fully explain what creates successful giving outcomes. However, study of institutional strengths has shown promise for further inquiry. Research to date has examined fundraising programs, donors, and the relationship to fundraising contributions. Leslie and Ramey (1988) analyzed research university characteristics in 105 public and private institutions, with fundraising results for separate donor groups in research universities, and found considerable variation and relationship between institutional characteristics and giving, with no significant pattern. Individual donors for example, were found to respond to fundraising appeals which emphasize need, while foundations were found to be more responsive to institutional capability. Pickett (1977) analyzed fundraising in 200 private liberal arts institutions and found that educational enrollments and philanthropy operate within, and are constrained by, the total activities of the institution. These activities included: (1) quality and recognized efficacy of the programs offered; (2) meeting relevant human needs; and (3) communication of these needs.

Loessin and Duronio (1990) explored how fundraising outcomes were influenced by institutional and fundraising programmatic characteristics in 575 private and public universities and colleges of different types and sizes. Institutional characteristics

analyzed included public or private status, educational and general expenditures, endowment, tuition, enrollment, alumni size, and age. Program characteristics included development officer leadership, organization of fundraising function, fundraising history, volunteer's role in fundraising, emphasis of management on fundraising, staff commitment to institution, and emphasis on constituent relations. A stepwise regression of characteristics and development program characteristics for three year average fundraising outcomes in alumni, non- alumni, corporate and foundation giving categories was performed.

Importantly, no single or consistent pattern that explained the relationship between institutional characteristics and giving was found across institutions, or within specific types of institutions. For example, institutions with dissimilar (larger or smaller) amounts of resources allocated to advancement produced similar fundraising outcomes. Loessin and Duronio (1990) surmised that different types of donors were attracted to differing characteristics in different institutions. For both private and public institutions, research and doctoral class universities achieved greater fundraising results.

In a follow-up descriptive study, Loessin and Duronio (1991) performed a case study analysis on ten institutions that had achieved greater than average fundraising results for the 575 institutions examined in their 1990 study. Multiple regression analysis of specific institutional characteristics (i.e., fundraising resource allocation, institution priority for fundraising, institutional strengths defined and communicated, fundraising policy) and fundraising program characteristics (i.e., presidential leadership, trustee leadership, development officer characteristics, fundraising staff and organization, experience in history, volunteer roles, research and communications systems, strategic

planning, staff development and training, staff commitment, public relations) was performed to evaluate effects upon giving.

Notably, Loessin and Duronio (1993) concluded that the most prevalent factor across all ten institutions which influenced contributions was that of institutional strengths (e.g., university niche and image) being defined and communicated. They suggested that fundraising success appeared to depend more on the nature and distinctive strengths of the institution, rather than on fundraising program or formulas. Loessin and Duronio called for research to provide understanding about the relationships between institutional strengths and fundraising outcomes. Loessin and Duronio (1991) referenced marketing research on educational institutions by Kotler and Fox (1985) to shape their definition of institutional strengths. For example, strengths could include quality of instruction, attractiveness of resident facilities, faculty and offerings of certain majors. By cultivating distinctive strengths, a school may become more attractive in the eyes of its key constituencies. Analysis of resources (e.g., alumni, faculty, facilities, location) is suggested to identify the strengths and weaknesses in institution. Kotler and Fox (1995) posited that institutions should pursue goals, opportunities, and strategies that are congruent with its strengths and avoid those where its strengths or resources are too weak. University strengths were characterized by Kotler and Fox as being distinctive competencies where institutional resources and abilities are especially strong. They suggested that institutions should pay attention to those strengths where a differential advantage is possessed. For example, Georgetown University may possess distinctive competencies in international relations, and its location in Washington D.C. provides a differential advantage in pursuing preeminence in the field.

Importantly, Kotler and Fox (1995) suggest that in evaluating its strengths and weaknesses, an institution must not rely solely on its own perceptions. They suggest that feedback is essential from its publics and constituents to understand what its true strengths are. Feedback from donors on fundraising messages which contain information on institutional strengths may provide important data on what strengths or competencies constituents perceive to be distinctive. Distinct strengths or competencies of a university may be important contributors to institutional image (Garvin, 1980). For example, Kotler and Fox (1995) argued that university strengths such as quality of faculty, quality of facilities, friendly atmosphere, individualized student focus, or academic offerings may contribute to a favorable image in the minds of constituents.

Accordingly, this research study includes exploration and analysis of how institutional strength factors, and communication of such factors through fundraising appeals may affect fundraising in universities with successful fundraising outcomes. Steinberg (2004) found that giving in private and public research universities dwarfed masters, and liberal arts colleges in giving by a factor of twenty, because of perceptions that return on investment in research that benefits humanity. Analysis of institutional strengths and how strengths are communicated in fundraising messages therefore may provide insight into what strengths are valued by constituents.

U.S. News and World Report Rankings

U.S. News and World Report rankings may be representative indicators of institutional strength factors in that they: 1) represent strength variables (i.e., number of alumni, financial resources, student retention identified as important in fundraising (Pickett, 1977; Loessin & Duronio, 1993), and 2) have been found to affect university

outcomes in admissions and pricing (Monks & Ehrenberg, 1999; Meredith, 2004). Examination of the value that rankings may contribute to the public's response to university fundraising may enhance the body of knowledge in the domain of education.

Meredith (2004) examined the impact of U.S. News and World Report (USNAWR) rankings on a variety of variables. Findings showed that schools' admission outcomes are responsive to movements in the rankings, however changes in rank were more significant at certain locations in the rankings and affected public and private schools differently. Data regression analysis revealed that socioeconomic and racial demographics of highly ranked universities may also be affected by changes in USNAWR rank. However, the impact of USNAWR rankings on fundraising outcomes remains unexplored.

Webster (1992) posited that published rankings may provide more useful information than accrediting agencies, college catalogs, and most college guides. Troop (2003) asserted that university administrators indicate that rankings do matter. Richard Black, an admissions official at the University of California at Berkeley (USNAWR No. 21 ranking, 2003) is cited as saying, "Americans are people who like to rank things. We get vicarious pleasure out of putting a foam index finger on our arm and waving it in front of TV cameras."

Debate about the importance and validity of USNAWR rankings has occurred since inception of the rankings. Rankings typically categorize colleges by mission and region, with institutional, department, and school rankings provided. Academics have suggested that rankings were unrepresentative of their institutions (Graham & Diamond, 2001). In response to academia's critique, USNAWR editors have changed the formula

that they use for determining in college rankings in response to academic critics. For example, Young (2003) noted that U.S. News no longer considered a college's "yield" rate (i.e., the percentage of students admitted who actually attend the institution) in compiling the magazine's annual rankings. Greenberg (2000) questioned the wisdom of institutions' acquiescence in continuing to allow USNAWR as an influential source of information on how institutions rank against peers. Greenberg noted that the public had little understanding, or concern about, institutional accreditation and association processes or organizations. Interestingly, he commented that although accreditation and self-study reports are readily available, the public has shown little interest in evaluating them. Conversely, Greenberg argued that USNAWR rankings attract considerable public attention (e.g., annual report on America's Best Colleges).

Leblanc (1997) argued that university presidents and professionals also engage in an annual ritual of posturing for, and appraisal of USNAWR rankings. Colleges are characterized as competitors for the public's attention and response, and may elicit responses of satisfaction or dissatisfaction with published rankings. Anderson (1997), like other academics, argued that USNAWR's use of admission tests (e.g., LSAT) scores was not representative of other salient characteristics such as determination, speaking and writing skills, and commitment to public service. However, alluding to the importance of USNAWR rankings in the eyes of the public, he commented that law schools were experiencing increasing pressure to improve standings, as formulated in annual law school rankings. Machung (1998), noted the paradox in higher education's criticism of annual rankings, while institutions aggressively use the rankings to promote themselves in the race for prestige and visibility. This study, which explores the relationship

between institutional strength factors and fundraising contributions in tier one universities, may contribute important findings to enhance understanding of how ranks influence fundraising effectiveness.

Fundraising Appeal Messages

Fundraising appeal messages are designed to persuade donors to give and are not unlike promotional direct mail sales letters developed by for profit organizations (Bhatia, 1998). Diamond and Gooding-Williams (2002) cited several recommended practices from fundraising professionals on how to design nonprofit direct mail (Lautman & Goldstein, 1991; Huntsinger, 1992; Greenfield, 1996; Warwick, 2001). However, both Diamond and Gooding-Williams and Upton (2002) found few empirically based studies of fundraising appeals, and none devoted to fundraising in research universities. Upton (2002) noted that fundraising direct mail appeals are used by non-profits, including universities, as a primary means of raising support. Upton (2002) performed a frequency analysis of 242 fundraising letters in non profit organizations, and found evidence for specific linguistic genre (Bhatia, 1998) including (i.e., get attention, introduce cause and/or establish credentials, solicit response, offer incentives, insert reference, express gratitude, and conclude with pleasantries). However, Upton (2002) noted that the frequency analysis “offers little insight into how these moves (genre) are realized linguistically” p.16. The lack of linguistic or content description of fundraising messages provides further impetus for the qualitative nature of this study.

Tempel (2003), concurred with Loessin and Duronio (1993), and suggested that fundraising effectiveness is based on a foundation of organizational mission and strengths, and further, that organizational weaknesses and vulnerabilities can undermine

fundraising efforts. Tempel argued that fundraising based on communication of strengths provides a sense of dignity for the solicitation process. Arden and Whalen (1978) suggested that printed materials for a fund drive serve an important purpose in communication of institutional priorities and strengths. Arden and Whalen stated that because the president, development staff and board of trustees are involved in the strategic planning (source) efforts to create these elements, the messages contained therein clarify and are representative of their purposes. The goal of every printed piece is to present a comprehensive theme or case which includes the following elements:

1. A cause or theme that links the strengths of the institution with benefits to humanity, need or problem (i.e., investment in a greater tomorrow, the search for a cure for Alzheimers disease).
2. Explication of, and credentials for, the institution as being preeminent or an authority on a cause (i.e., Nobel prize in research in Alzheimers).
3. Development of a logical and convincing argument or plan to remedy the need or problem.
4. A specific request or role for the donor to play in the solution by providing financial resources.

Accordingly, this research aims to examine fundraising appeal messages to surface key elements contained in messages presented. This study is designed to explore university strength factors contributing to, and meaning contained in, fundraising appeals messages that are communicated.

Analysis of Appeal Message Content

Multiple studies have been performed to analyze the relationship of fundraising appeal message content to outcomes. Analysis of appeal messages is posited to surface elements contained in a fundraising appeal (e.g., message type or factors) which influence donor contributions (Tempel, 2003). Simmel and Berger (2000) reviewed fundraising literature and posited that message construction may have a significant impact on fundraising effectiveness. Simmel and Berger observed that although studies have examined the type of appeal, delivery style, length and organization, few text analyses of university fundraising appeal messages were found. Ritzenbein (1998) performed a text analysis of twenty one hospital, university and community service fundraising letters after reviewing the literature regarding how language is used in fundraising letter appeals, and found only anecdotal support for effectiveness. Four research questions were addressed: (1) what kinds of arguments do fundraisers use?; (2) into what organization structure, are these arguments placed?; (3) what is the mix of emotional and logical proof for arguments presented, and what is used in support of these proofs?; and (4) how much are arguments based upon rewards to the donors in exchange for funds given? Frequency distribution of appeal content showed the top three factors influencing fund outcomes to be: 1) quality of institution, 2) your gift matters, and 3) needs addressed.

Lee's (2002) descriptive survey of 63 fundraising appeal packages yielded the following categories of appeal messages as being related to fundraising success: 1) facts or statistics; 2) examples; 3) photos; 4) narratives; 5) testimonies; 6) visualization of need or benefit; and 7) urgency of need to solve a problem. Appeal message categories

referenced in these studies may provide guidance for examination of message content in this study. In each of these studies, although analyses showed the importance of organizational quality in appeal content, the specific nature of qualities of institution or institutional strengths, and such content in fundraising appeal messages, was not explored.

Thematic Analysis of Message Appeal

Neuendorf (2002) suggested that communication messages may contain thematic elements that influence reception by an audience. For example, thematic analysis of message content may be performed using the inductive method (Boyatzis, 1998). The inductive method is utilized to let the data speak in order to discover patterns of message content which differentiates the performance of the selected groups. Boyatzis recommends a process of preliminary exploration by reading through interview transcripts, theme identification, comparison of themes across samples, coding, and verification for the inductive method.

Researchers have also analyzed the relationship between thematic elements of a fundraising message appeal and donor response. Cascione (2003) studied fundraising effectiveness from the perspective of the receiver (Shannon, 1946), and researched the relationship between donor giving characteristics and fundraising appeal themes at the University of Michigan. A discourse analysis revealed that donors responded to university strengths along four major themes: (1) to be a center of excellence; (2) to educate society; (3) to teach values; and (4) to educate people of the state of Michigan. Issues of quality were important in many donors' philanthropic motivations. Quality of institutions was posited to be reflective of a composite educational experience (i.e.,

academic as well as extracurricular experiences) including the recognition of quality in university research. The primary mission of institution, as education, was also found to be significant. Educational mission was characterized by donors as having intellectually, morally, and socially based components, with colleges and universities offering an opportunity to transform society, presumably for the better. Donors indicated that they valued the role universities play in influencing societal values, as a catalyst for intellectual and social progress.

Rositer (2002) argued that narrative proposals in education provided fundamental frames of meaning within which learning occurs as constructions that grow out of human impulses to “emplot or thematize” their lives. Narrative is argued to be a fundamental structure in human meaning making (Bruner 1986, 2002). Events and activities of a reader’s life may be understood and experienced in relationship to narrative episodes or stories. Accordingly, the formation and development and identity of a donor’s role may come to be understood through a narrative structure and process. Narrative constructions may provide an effective means to reach donors with educational themes or messages.

Tempel (2003), an official with the University of Indiana Center of Philanthropy, identified seven distinct themes or roles that philanthropy plays in societal benefit, or beneficence, in fundraising as defined below.

Reduce Human Suffering- to provide comfort or aid to those not able to sustain or help themselves (i.e., through health care, human service, and international relief services).

Enhance Human Potential- to enable individuals to develop themselves in order to maximize their potential (i.e., religion, arts, culture, environment, athletic programs).

Promote Private Equity and Justice- to provide human service and advocacy on behalf of individuals who lack the ability to achieve equity and justice concerns (i.e., human services and advocacy programs).

Build Community- to provide opportunities for individuals and groups to communicate, contribute, and develop community relationships (i.e., social responsibility, forums, dialogues, community services and events).

Provide Human Fulfillment- to assist individuals to realize, and to live out, the best ideals, beliefs, and values for themselves (i.e., citizenship, care, and values programs).

Support Experimentation and Change- to provide opportunities for exploration of areas that communities or markets may not wish to pursue (i.e., experimental or theoretical research).

Foster Pluralism- to provide opportunities for diverse and minority interests to be expressed represented, and explored (i.e., diversity and interest group study and programs).

Clark (2001) presented anecdotal evidence to development professionals in direct mail elements influencing effectiveness including copy length, voice, gaining attention, emotion, belonging, credibility, and readability around the following major themes:

People give to people- people are motivated in order to help other individuals.

The direct mail letter must translate a mission statement of the human terms, so that the donor can relate emotionally to the people who are served by the recession.

Opportunity to belong- people are hungry for feeling of belonging, and sense of meaning.

Established credibility- an explanation of how past contributions have been spent, listing recent major accomplishments, and stress of the link between donor support and achievement of goals.

Significant themes may emerge from analysis of fundraising appeal messages, and relationship to giving. It is hypothesized that successful university advancement messages may portray thematic elements in accordance with those listed above.

Advertising Response Model in Educational Fundraising

Diamond and Gooding-Williams (2002) reviewed charitable fundraising research in relationship to marketing methods and found ample suggestions from practice, but again found little empirical evidence for fundraising effectiveness. Diamond and Gooding-Williams hypothesized that an advertising response model, where advertising communications are constructed to elicit a desired response (e.g., consumer purchases) may be applicable to educational fundraising, in that educational philanthropy's methods were similar to consumer direct marketing. Consumer marketing is designed to reach a defined audience, and persuade the audience to spend money. They argued that any target audience must pay attention to, and be persuaded by the marketing appeal. A direct mail or other fundraising appeal utilizes similar methods, and aims to procure donated funds. Diamond and Gooding-Williams (2002) used path analysis to investigate complex relationships in 166 donor responses to charitable appeal envelope, and appeal message content. Messages that communicated a meaningful cause, and envelope attention getting properties, were found to influence donor response.

University Publications in Fundraising Appeals

University publications (e.g., case statements, annual reports) are of interest in exploring the effects of fundraising messages as they may represent an institution's fundraising strategy and initiatives in a summative document (Fisher & Quehl, 1989). Fisher and Quehl (1989) suggested that the president defines and articulates university mission and priorities in university publications, and interprets them to its educational environment and constituents. Important guidance in the fundraising process is provided through the development of university case statements, presidential annual report or state of the university message that reflects development objectives, constituent input, institutional needs, and leadership goals. Such statements are designed to contain a substantial argument to prospective donors, and form the foundation from which fundraising appeals are developed (Rhodes, 1997; Worth, 1993), including building acceptance for the institution, providing the kind and quality of education that students desire, and obtaining financial support. University case statements, presidential annual reports or state of the university reports were reviewed, and data triangulated (Yin, 2003) with university appeals and interview data in this study.

Theory of Communication

Multiple case study research designs may be applicable (Torraco, 2002) where the phenomena under study are unexplored and complex, with multiple variables (i.e., sender, message, receiver, feedback) as is the case for this study. Dooley (2002) posited that although single case study methods are ineffective in theory building, multiple case studies may be more effective due to their capacity to confirm or disconfirm complex phenomena, and may play the role of "creating or advancing the conceptualization of a

theory” (p. 350). Shannon’s (1948) research at Bell Labs produced the information processing theory of communication which has provided a heuristic for much of communication research, and was used as a theoretical framework (Creswell, 1998) for this study. The theory of communication posits six major elements including sender, encoder, message, channel, decoder and receiver as shown below. Communication is suggested to emanate from a source where a message is encoded, and delivered through a channel as depicted in Figure 2.1 below. A receiver then decodes the message and provides feedback as to the quality and accuracy of receipt of the communication.

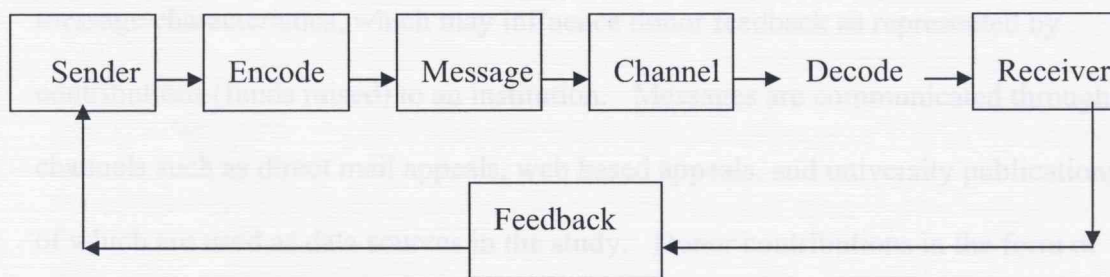


Figure 2.1, Information Processing Theory of Communication

Shannon and Weaver (1963) described important source and message characteristics of communication relevant to this study. The source of communication is described to contain and constrain the communication message. For example, if a person does not possess knowledge about quantum physics, he cannot communicate in depth about the subject. Thus communication messages were posited to be constrained by information or characteristics residing in the source (Shannon & Weaver, 1963). Using content analysis studies of various media, Neuendorf (2002) suggested that a media message contained relevant information from the source or sender to communicate the message to the receiver. However, the message may not be decoded by the receiver as intended by the sender (Shannon & Weaver, 1963). The receiver may misinterpret or only partially

comprehend the message, in comparison to the way the sender encoded the message for interpretation. Feedback from the receiver to the sender as to the accuracy of message reception determines the effectiveness of communication.

Figure 2.2 below, the Proposed Model of Fundraising Communication, shows how the design of this study reflects Shannon and Weaver (1963) theory of communication. In this study, institutional strength factors resident in the university are posited to provide source or sender characteristics in the Shannon and Weaver (1963) theory of communication. Fundraising appeal texts are viewed as containing important message characteristics, which may influence donor feedback as represented by contributions (funds raised) to an institution. Messages are communicated through channels such as direct mail appeals, web based appeals, and university publications, all of which are used as data sources in the study. Donor contributions in the form of private giving are viewed as indicators of feedback to the institution about the effectiveness of appeal messages. Study findings are expected to show how well the models in Figure 2.1 and 2.2 explain fundraising success in the sample of institutions examined.

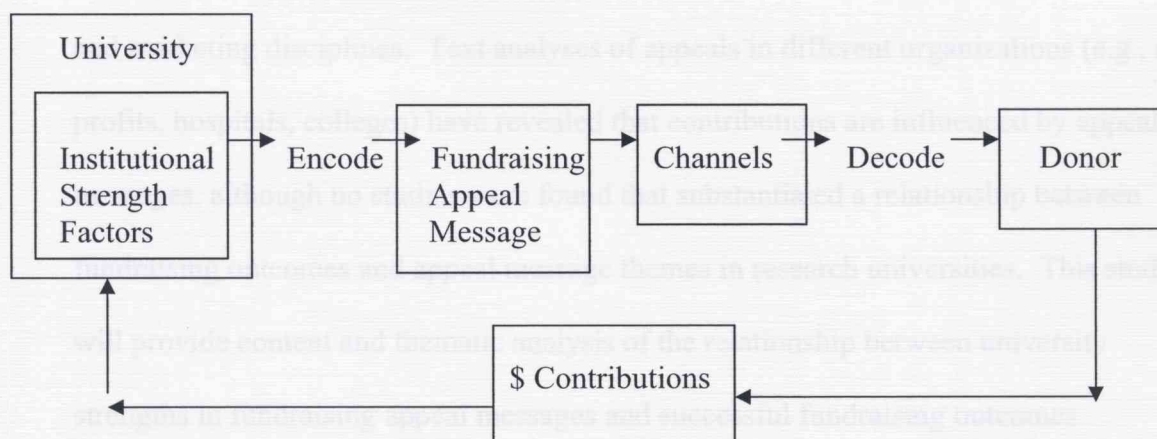


Figure 2.2, Proposed Model of Fundraising Communication

Summary

This review of fundraising literature explored the history of private giving, institutional characteristics and strengths, U.S. News and World Report Rankings (USNAWR), fundraising appeal messages, content and thematic analyses of fundraising appeals, advertising response and marketing models, university publications, and communication theory. Examination of the history of fundraising in education revealed that private sources of funding means are still relevant today as institutions face reductions in financial support from state and federal sources. Although several factors were found to influence fundraising effectiveness, the most prominent were institutional quality or strengths. Much discussion exists as to the efficacy of USNAWR rankings as representations of institutional strengths, while no studies exist that measure effects of USNAWR rankings upon university fundraising outcomes. Further research has been called for to describe and further explain the relationship between institutional strengths and fundraising outcomes.

Support for content and thematic analysis of institutional strength and fundraising appeal messages in research universities was found in existing studies from non profit and marketing disciplines. Text analyses of appeals in different organizations (e.g., non profits, hospitals, colleges) have revealed that contributions are influenced by appeal messages, although no studies were found that substantiated a relationship between fundraising outcomes and appeal message themes in research universities. This study will provide content and thematic analysis of the relationship between university strengths in fundraising appeal messages and successful fundraising outcomes.

The relationship between appeal message content and audience response has also been explored in fundraising, as informed by marketing literature. University publications (e.g., case statements, annual reports) may represent institutional views in a summative document which represent university characteristics and strengths. In addition to fundraising appeal messages, university summative publications may also represent suitable samples for analysis. Shannon and Weaver's (1963) theory of communication, which described a process where a sender encodes a message that is decoded by a receiver who responds in the form of feedback, provided a conceptual framework for the research. In this multiple case study, institutional strengths were viewed to represent sender characteristics, with fundraising appeal texts were viewed as containing message content, that may have influenced donor feedback as measured by dollars contributed to an institution.

CHAPTER 3: METHODOLOGY

Introduction

In this chapter, the multiple case study methodology is described. Research questions and appropriate research procedures are identified. Subject population and sampling strategies, and data analysis methods, are presented. Verification procedures and ethical considerations are also addressed.

Characteristics of Multiple Case Study Design

This study used a descriptive multiple case study method (Creswell, 1998) to explore the phenomena of how tier one university institutional strengths, and fundraising appeal messages, may explain successful fundraising outcomes. Case study research methods view a central phenomenon as a bounded system (Creswell, 2003) and attempts to explore such phenomena through expansive data collection. This case study was bounded by university type (e.g., Carnegie 2000 research extensive) and the central phenomena of institutional strengths and fundraising messages as defined herein. This study utilized established techniques for posing research questions (Yin, 2003) and defined the unit of analysis as sentences of text which described institutional strengths and fundraising appeal messages. Rationale for undertaking the study, and substantial review and critique of the literature above provided support for understanding the phenomenon of fundraising. The study researched institutional strengths and appeal messages in depth from successful, yet varied institutions, in order to discover important differences that contributed to successful fundraising outcomes.

According to Miles and Huberman (1994) research questions define the purpose of the study in more specific, measurable terms. As the research was designed to inform

fundraising practice, it was important to receive qualitative data from practitioners to confirm, or explain, experimentally based findings (Johnson & Onwuegbuzie, 2004). The research process was carried out in accordance with Tashakkori and Teddlie (2003) guidelines for qualitative research: (1) research questions were defined; (2) appropriate research design was selected; (3) data were collected; (4) data were analyzed; (5) results were reported, and (6) findings were discussed and conclusions presented.

Central Research Question

The guiding research question was:

- What institutional strengths were important, and how did tier one research extensive universities communicate these strengths in fundraising messages, in order to achieve successful fundraising outcomes?

The subquestions were:

1. What institutional strengths were important in order to achieve successful fundraising outcomes?
2. How were institutional strengths communicated in effective fundraising messages?

Population of the Study and Selection Criteria

In case study research, the researcher looks for information-rich participants (Creswell, 2003) who can be studied in depth. The researcher is more interested in exploring and describing phenomena and experiences of particular groups (Miller, 2000), or individuals (e.g., research university fundraising phenomena) than in demonstrating quantitative relationships. The whole population for this study were Carnegie (2000) classified tier one research extensive universities, which offered a wide range of baccalaureate programs and are committed to graduate education through the doctorate,

and award 50 or more doctoral degrees per year across at least 15 disciplines. The Council for Aid to Education (2005) tracked financial giving information for the seventy six universities (over 54% of the total population) included in this study, as identified in bold typeface in Appendix E.

Yin (2003) suggested that two to ten cases be selected for a multiple case study. Multi-case findings from this study, and both quantitative and qualitative emphasis, may offer promise for theory generation due to the rigorous nature of data verification procedures (Dooley, 2002). Creswell (2002) suggests that three to five cases be selected, and that when a greater number of cases are studied, depth of description and understanding may be sacrificed. Yin (2003) argued that multiple subjects in a case study may provide opportunity for comparable results (e.g., a literal replication) or contrasting results with predictable reasons (e.g., a theoretical replication). While statistical generalization is not supported, Yin (2003) asserted that multiple case studies may provide opportunity for analytic generalization where previously developed theory may be compared against empirical results generated in a case study. Although no multiple case studies of research university fundraising strengths and appeal messages exist, similar precedents were found substantiating the number of cases selected in existing school and university studies dealing with thematic content analysis as follows: (1) three universities studied to identify elements of effective thematic content using discourse, discussion, and message data (Schrire, 2006); (2) three schools studied to identify elements of textual analysis in content classrooms using survey, e-mail exchanges, participant observations, field notes, and semi-structured interview data (Walker & Bean, 2003); and (3) four universities studied for thematic analysis of

curriculum using interview, field observations, and document review (Cottrell & Jones 2003). In addition, five universities were studied to identify successful fundraising practices for university conference centers using interview, document and financial statement data (Blacka, 2001).

A criterion-based strategy (Miles & Huberman, 1994) was utilized to select universities who satisfied the requirement of being successful in fundraising for inclusion in this multiple case study. This is a type of purposeful sampling (Merriam, 1998) where cases are purposefully chosen that may present greater opportunities for learning. As this study focused on successful fundraising, six of the most successful universities were selected as defined by greatest percentage increase in dollars raised for fiscal years 2003-2005. Universities were ranked by percentage increase in funds received using the formula of R as defined by the following formula, $(2003 \$ + 2004 \$ + 2005 \$) / 2003 \$$. This formula was designed to show the percentage change in fundraising over several years of funding (Tempel, 2003), in order to select institutions which had more durable fundraising success (e.g., over more than one or two years). Successful universities were selected from the top third of this ranking. Universities which had received "rogue" gifts from single individuals (Tuckman, 1994) that significantly affected total giving from historical trends (e.g., a \$100 million gift given to a university with historical fundraising totals of \$300 million or less) were excluded from the study, because one individual gift dominated giving history (The Foundation Center, 2004).

After the ranking into the top third of successful giving, a purposeful sample of three public and three private universities was obtained based upon a maximum variation strategy (Miles & Huberman, 1994). This multiple case study design employed a

maximum variation technique to provide "information-rich cases...from which one can learn a great deal about issues of central importance to the purpose of the evaluation," in contrast to "gathering little information from a large, statistically significant sample" (Patton, 1987, p. 52). Maximum variation sampling is a type of purposeful sampling that describes, "central themes...that cut across a great deal of participant...variation" (Patton, 1987, p. 53) with the purpose of obtaining a varied selection of subjects, so that their averaged characteristics are more representative of the population.

The maximum variation strategy was designed to increase diversity and greater representation of the phenomena under study, by varying salient university characteristics (i.e., public v. private type, enrollment size, and total giving dollars). Private vs. public type of university was selected as a variable, because private universities typically attract a greater amount of private giving funds v. public universities (Steinberg, 2004). Enrollment size was chosen as a variable, as it is posited that the larger number of students that are enrolled in a university, the larger the potential number of alumni who may choose to give to the university (Temple, 2003). Total fundraising dollars was selected as a variable as it is suggested that higher fundraising totals may provide higher fundraising budgets for staff and expenditures, which may influence giving (Temple, 2003). The six universities selected represented 25% of the top third of successful universities.

Data Collection

In this multiple case study, many forms of data were used to enable the researcher to build a comprehensive description (Creswell, 1999) of case phenomena. Multiple case study data from several cases (i.e., fundraising in six different institutions) was reviewed

to provide greater insight into an issue or theme (Creswell, 2005) than could be learned through study of a single case. Data were collected and analyzed obtained from: 1) semi-structured interviews with fundraising officials; 2) university fundraising case statements, annual reports and publications; and 3) university letter and web-based fundraising appeals. These data sources provided an opportunity for triangulation of data from multiple samples and rich sources of information for each of the six universities consistent with multiple case study design (Creswell, 2003). Salient university characteristics such as total enrollment, number of alumni, number of donors, and endowment dollars were gathered for informational purposes (Tuckman, 1994), and in order to substantiate a maximal variation selection strategy (Miles & Huberman, 1994) from university annual reports, and websites.

University fundraising data for fiscal years from 2003 to 2005 in total individual giving, and characteristics data, was obtained from the Council for Aid to Education (2005). Money (five dollars) to defray postage and other costs was sent to population universities in April of 2004, and one dollar was sent in April of 2005, to acquire university fundraising appeal letters by return U.S. mail. Annual fund appeals represent unrestricted fund giving and provide data that may be comparable across universities (Tuckman, 1994). University website fundraising appeals were downloaded from sample university websites during fiscal year 2004-2005 at random. Publicly available university publications were requested from university officials, or obtained through in-print sources.

Questions for the study were organized along a semi-structured protocol for open-ended questioning to surface rich, descriptive data (Miles & Huberman, 1994). Since

the qualitative research goal was exploratory, an interview protocol, shown in Appendix B, was designed to address research questions while maintaining flexibility to pursue previously unanticipated lines of questioning and ideas that surfaced. Open-ended questions were intended to provide structure that was responsive to research questions, yet sought to gain insight about fundraising that was unbiased (Tashakkori & Teddlie, 2003). Pilot, and final interview protocols were developed with guidance from an expert panel of judges (Creswell, 1998), who were asked to provide recommendations in fundraising and qualitative research disciplines. The expert panel of judges included a CEO of a university foundation, a university senior development officer, a former lead researcher at a school of philanthropy at a research university, and a researcher in qualitative methods at a research university. A pilot study was designed to test the relatively structured interview question protocol with senior fundraising officials, consistent with the nature (Miles & Huberman, 1994) of qualitative research. The pilot study participant was selected from the same group of universities from which the six candidates were chosen.

University officials were sent a copy of the interview protocol, as shown in Appendix B with an informed consent form, attached in Appendix C prior to the interview. Interviews were conducted face-to-face or by telephone, depending upon the location of an interviewee. At the start of each interview, the researcher explained the study design, anonymity procedures, and process to each participant. Follow-up interviews were conducted as needed to clarify, or further refine information. Individual interviews were audio taped, and transcribed (Creswell, 2002). Audio tapes were played

back to verify accuracy of each transcription by the primary researcher, and checked by a peer associate.

Data Analysis

Consistent with case study tradition (Creswell, 1998) an inductive approach which entails review of several sources of data, and multiple cases, was utilized to provide a deep understanding of the research issue in different settings. Data sources included individual interviews, review of fundraising appeal documents (e.g., mailed and web pages), and review of fundraising case statements and publications. Inductive review of data was followed by a detailed complex analysis of identified codes and themes (Miles & Huberman, 1994), to explore the central research phenomenon (Yin, 2003).

The primary researcher performed coding and thematic analysis of the data according to Creswell's (2002) recommended procedures as provided for qualitative data analysis: (1) first read through the data to get a general sense of the material; (2) code the data by segmenting and labeling the text into descriptive categories; (3) verify the coding through an inter-coder agreement check; (4) utilize the verified codes to develop themes by aggregating similar codes together; (5) connect and interrelate themes that have been developed; and (6) construct a case study narrative which presents descriptions, themes, and findings. Codes are descriptions of people, events, activities, behavior, and processes (Creswell, 2002) that are notable within the data. Typically multiple codes (e.g., 30 to 40) are first produced in data analysis, and are then decreased to 10 to 20 codes through reflection and elimination of redundancy (Boyatzis, 1998). Data analysis processes are iterative in that codes and themes may be defined, revisited, and refined through a recursive and reflective process by the researchers.

Themes are similar codes which are aggregated together to form a major idea or pattern that the researcher identifies as existent across the data. Researchers may identify themes as ordinary or expected, unexpected (e.g., not in established theory so far), hard to classify or pattern, and as having major or minor emphasis (Creswell, 2002). Creswell notes that themes may be interconnected or layered. For example, interconnecting is described as generating a theoretical or chronological model which may explain the way themes are related (e.g., sequence of events in practice of faculty hiring). Layering themes is related to major and minor emphasis where minor themes may be nested within major themes (e.g., major psychological emphasis with minor themes of denial and fear).

Consistent with discourse or thematic analysis (Neuendorf, 2002; Krippendorf, 2003), fundraising appeal letters were examined to determine what patterns emerged (i.e., identification of major themes, and rating of themes quantitatively across the subjects). Coding and categorical data including sentence counts were entered into a database for theme, code and sentence frequency analysis. Case thematic tables, themes and categories across cases, and sample theme and coding data were provided in appendices.

Multiple case study analysis was performed at two levels, within each case (i.e., for each university), and across the cases (Stake, 1995; Yin, 2003). After each individual university's case was analyzed for themes, themes were compared across all six universities, with findings discussed in relationship to existing literature. A detailed narrative of the participant cases was constructed to describe prominent themes or issues within (Creswell, 2003) each case. Finally, the researcher interpreted the meaning of the case findings and reported "lessons learned" (Lincoln & Guba, 1985).

Verification Procedures

Conditions for judgment of qualitative research vary from those for quantitative research. In qualitative research, the study seeks to provide believable inferences which are based upon coherence, utility, credibility, and trustworthiness (Lincoln & Guba, 1985; Merriam, 1998) in a process of verification, rather than through traditional measures of reliability and validity. Although the specific, bounded nature of case study (i.e., six tier one research universities) within a specific context may make exact replication in another context difficult, clear statements of research questions, methods, population selection and data analysis may improve replicability (Creswell, 2003).

For this study five data verification procedures (Miles & Huberman, 1994; Tashakkori & Teddlie, 2003), including triangulation of data sources, member checking, inter-coder agreement, external supervision, and full description of cases, were utilized to enhance the trustworthiness of the data.

1. Use of triangulation. Converging sources of different information (Creswell, 1998) were used to triangulate and confirm, or disconfirm, findings. Green, Caracelli and Graham (1989) also recommend triangulation to overcome researcher bias, and where the study seeks to use multiple data sources and methods to converge on a more valid finding, by maximizing heterogeneity of error sources and reducing bias. Multiple sources of evidence for triangulation included appeal document or webpage data, qualitative interview data, and written university publications.

2. Use of member checking. Member checking involves getting feedback from participants (Creswell, 2003; Lincoln & Guba, 1985) on accuracy of descriptions

provided in the narrative to verify data quality. Upon completion of each transcript, each university respondent was asked to review the data for accuracy.

3. Use of inter-coder agreement (Miles & Huberman, 1994) which includes two stages in case study analysis. In the first stage of code development, two researchers were trained in coding categories of data, with adjustment and refinement of coding until agreement is reached on coding definitions. Researchers open-coded text and discussed their coding to achieve understanding on the meaning of coding and theme terms. Next, a random sample of coded material was coded independently, with codes compared by the two researchers. Inter-coder reliability is recommended to be 80% by Miles and Huberman (1994) in order to assure a substantial degree of data trustworthiness or believability. In the second stage of thematic development, researchers identified and compared themes across the data until consensus was reached.

4. Use of external supervision. The researcher's academic advisor provided overall supervision of research procedures (Creswell & Miller, 2002). Interview questions were developed in consultation with an expert panel of judges (i.e., university fundraising officials) and data analysis was done in consultation with qualitative methodologists at the University of Nebraska –Lincoln Office of Qualitative Research.

5. Use of full description of cases. Rich, thick descriptions of cases were developed to allow audiences to determine the applicability of the findings (Creswell, 2003; Creswell & Miller, 2002) in similar contexts. Descriptions were intended to transport readers into the university setting, and to more fully experience the case, which Creswell suggested may enhance understanding of the findings. Consistent with

Creswell (2003), findings were communicated using a narrative description of the setting, the participants, and the themes of the study through rich details.

The Role of the Researcher

As the primary researcher played a more involved role in administering qualitative interview questions, he endeavored to remain objective (Creswell, 2003). Although a researcher's bias can never be completely eliminated, steps were followed to mitigate bias (Miles and Huberman, 1994), including utilizing a separate reviewer and coder of the data, and assessing inter-rater reliability. The researcher had no established relationship with any of the fundraising officials interviewed, in order to reduce the possibility of subjective interpretation of data.

Ethical Considerations

This research project was conducted in compliance with The University of Nebraska at Lincoln, Institutional Research Board (2001) guidelines. Institutional Research Board (IRB) required forms including Protocol Template, Interview Protocols, and Proposed Informed Consent Forms, were filed and approved, as provided in Appendix A, B and C. The multiple case study design and subject data utilized in this study are responsive to protection of human subject legislation that requires that participants give informed consent to participate, and that risks to humans as a result of participating in the study are minimal. Anonymity of the participants was assured by recoding of nominal data to interval data. No communication of information that could identify subjects was presented in the findings. All data and analysis documentation was secured in a locked, private office and will be destroyed after a reasonable period of time.

CHAPTER 4: RESULTS

Introduction

In this chapter, the results of the multiple case study are presented. First, case selection, case study data analysis and verification methodology are briefly explained. Next, analysis of each university case study is presented with university subject characteristics, within case themes and categories, with theme exemplars and descriptions. Individual university case study analysis is followed by across-university case analysis, with major themes and descriptions presented. Themes and related categories from the case study analysis are reported in Appendix F.

Purposeful Case Selection Strategy

In case study research, the researcher looks for information-rich participants (Creswell, 2003) who can be studied in depth. The whole population for this study was Carnegie (2000) classified tier one research extensive universities, which offer a wide range of baccalaureate programs and are defined as being committed to graduate education through the doctorate, and award 50 or more doctoral degrees per year across at least 15 disciplines. The Council for Aid to Education (2005) collected fundraising data for seventy six of these universities (over 54% of the total population) included as the whole population for this study. As this study focused on successful fundraising, six of the most successful universities were selected as candidates for case study from this population, with fundraising success defined by greatest percentage increase in dollars raised for fiscal years 2003-2005. A two-stage procedure was used to select participant cases including a criterion-based strategy to define the top third of universities that were successful in fundraising, followed by a maximum variation strategy to select the six

individual participants. Pseudonyms have been used (i.e., University 1, 2) to obscure identifying details of the university data to assure anonymity.

First, a criterion-based strategy (Miles & Huberman, 1994) was utilized to select universities who satisfied the context of being successful in fundraising for the qualitative case study. This is a type of purposeful sampling (Merriam, 1998) where cases are purposefully chosen that may present greater opportunities for learning. Universities were ranked by percentage increase in funds received using the formula of percentage change in total individual giving dollars as defined by the following formula, $(2003 \$ + 2004 \$ + 2005 \$) / 2003 \$$, with successful universities selected from the top third of this ranking. This formula was designed to show the percentage change in fundraising over several years of funding (Tempel, 2003), in order to select institutions which had more durable fundraising success (e.g., over more than one or two years). Universities which had received "rogue" gifts from single individuals (Tuckman, 1994) that had significant impact on total giving in comparison to historical trends were excluded from the study, as one individual gift dominated giving history (The Foundation Center, 2004). The six universities selected represented 25% of the top third of successful universities.

After the ranking the universities into the top third of successful giving, three public and three private institutions were selected based upon a maximum variation strategy (Miles & Huberman, 1994). Maximum variation sampling is a type of purposeful sampling that describes, "central themes...that cut across a great deal of participant...variation" (Patton, 1987, p. 53) with the purpose of obtaining a varied selection of subjects, so that their averaged characteristics are more representative of the population. A multiple case study design may employ the maximum variation technique

Figure 42. Private University, Percentage Change in Fundraising Dollars

to provide "information-rich cases...from which one can learn a great deal about issues of central importance to the purpose of the evaluation," in contrast to "gathering little information from a large, statistically significant sample" (Patton, 1987, p. 52), that is consistent with the goals of this study. Figures 4.1 and 4.2 below show the average percentage change in fundraising dollars from 2003 to 2005 for most successful vs. the population of public, and private, universities.

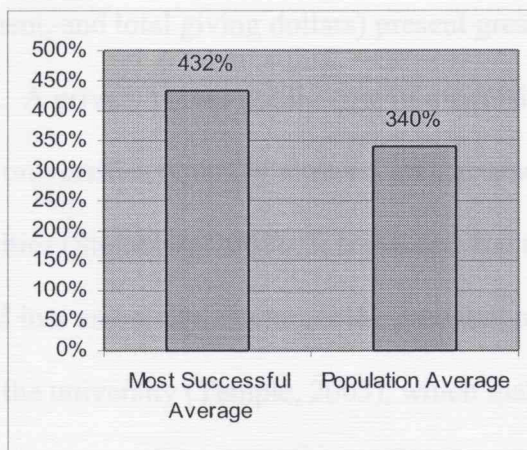


Figure 4.1, Public University, Percentage Change in Fundraising Dollars

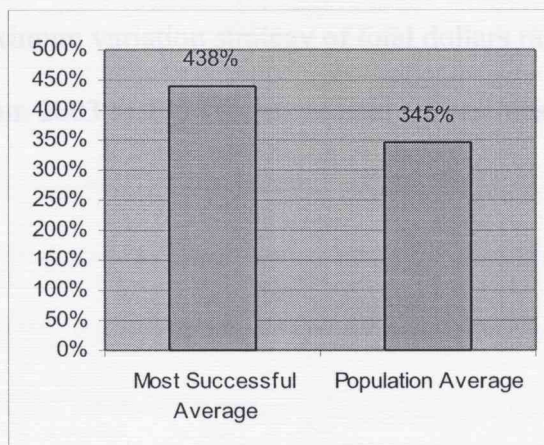


Figure 4.2, Private University, Percentage Change in Fundraising Dollars

The percentage change in fundraising dollars from 2003 to 2005 for the most successful public universities was 432%, and 435% for the private universities. While the percentage change in fundraising dollars from 2003 to 2005 for the population of universities was 340% for the public universities, and 340% for the private universities.

Consistent with maximum variation strategy, it was anticipated that this selection would provide increased diversity and greater representation of the phenomenon under study, where university institutional characteristics (i.e., public v. private type, enrollment, and total giving dollars) present greater variance among the universities studied. A private versus public type of university was an important criterion because private universities typically attract a greater amount of private giving funds v. public universities (Steinberg, 2004). It is posited that the larger number of students that are enrolled in a university, the larger the potential number of alumni who may choose to give to the university (Temple, 2003), which makes enrollment an important variable. Total fundraising dollars was also an important criterion, as it is suggested that higher fundraising totals may provide higher fundraising budgets for staff and expenditures, and may positively influence giving (Temple, 2003). Universities were selected based upon the maximum variation strategy of total dollars raised, university type, and enrollment data from 2003 to 2005 for successful universities are shown in Table 4.1.

Table 4.1

Maximum Variation Data for Selection of Successful Universities, 2003-2005

University Number	% Change	Total \$ raised	University Type	Enrollment
1	615%	\$ 29,000,000	Public	18,000
2	433%	\$ 88,000,000	Public	21,000
3	363%	\$202,000,000	Public	27,000
4	450%	\$ 63,900,000	Private	11,000
5	380%	\$418,600,000	Private	33,000
6	377%	\$409,800,000	Private	10,000

Percentage change in fundraising dollars, total dollars raised, and enrollment data from 2003 to 2005 for the top third of universities are shown in Table 4.2.

Table 4.2

Successful Universities Data, Top Third of Population, 2003-2005

University Type	% Change	Total \$ raised	Enrollment
Public	432%	\$132,600,000	22,000
Private	438%	\$263,000,000	15,500

Data Collection

In multiple case study data from several cases (i.e., fundraising in six different institutions) is reviewed to provide greater insight into an issue or theme (Creswell, 2005) than may be learned through study of a single case. In this multiple case study, many forms of data were used to enable the researcher to build a comprehensive description

(Creswell, 1999) of case phenomena. Data sources included: 1) semi-structured interviews with fundraising officials; 2) university fundraising case statements, annual reports and publications; and 3) university letter and web-based fundraising appeals. These data sources provided an opportunity for triangulation of data from multiple samples and rich sources of information, for each of the six universities, consistent with multiple case study design (Creswell, 2003). Salient university characteristics such as total enrollment, number of alumni, number of donors, and endowment dollars were gathered for informational purposes (Tuckman, 1994), and in order to substantiate a maximal variation selection strategy (Miles and Huberman, 1994) from university annual reports and websites.

University fundraising data for fiscal years from 2003 to 2005 in total individual giving, and characteristics data, was obtained from the Council for Aid to Education (2005). Money (five dollars) to defray postage and other costs was sent to population universities in April of 2004, and one dollar sent in April of 2005, to obtain university fundraising appeal letters, by return U.S. mail. Annual fund appeals represent unrestricted fund giving and may represent data that may be comparable across universities (Tuckman, 1994). University website fundraising appeals were downloaded from sample university websites during fiscal year 2004-2005 at random. University publications were requested from university officials, or obtained through in-print sources.

Data Analysis Methodology

This study used a descriptive multiple case study method (Creswell, 1998) to explore the phenomena of how tier one university institutional strengths, and fundraising

appeal messages, explained successful fundraising outcomes. Direction for the research process was obtained from Tashakkori and Teddlie (2003) guidelines for qualitative research: (1) research questions were defined; (2) appropriate research design was selected; (3) data were collected; (4) data were analyzed; (5) results were reported, and (6) findings and conclusions were discussed. A semi-structured interview protocol for open-ended questioning was developed to surface rich, descriptive data (Miles & Huberman, 1994) in order to address the research questions. Interview protocols were developed with guidance from an expert panel of judges from fundraising and qualitative research disciplines (Creswell, 1998), who provided recommendations for question design. Open-ended questions were intended to provide structure that is responsive to research questions, yet offered insight in fundraising that was unbiased (Tashakkori & Teddlie, 2003). A pilot study was used to explore the utility of structured interview question protocol (Miles & Huberman, 1994; Yin, 2003) for the study. The pilot study participant was a successful university that satisfied the purposeful selection criteria above. As a result of the pilot study, one interview question in the protocol, “how are these strengths communicated in fundraising messages?” was amended slightly to “how are these strengths communicated in written fundraising messages?”, to better focus the participant on messages in written fundraising data. The pilot study verified that the interview protocol was appropriate and useful for the purposes of the case study (Yin, 2003).

In accordance with Creswell (2002), each interview was audiotaped and transcribed verbatim. Transcriptions were then immediately double-checked for accuracy by reviewing the audio tape and comparing the data with the transcribed interview.

Transcriptions were transcribed verbatim from the tapes, and then submitted to participants for their review, corrections and additions. The tapes were stored in a locked office, and will be destroyed after a period of one year.

Multiple case study design implies analysis which is performed at two levels: within each case (i.e., for each university) and across the cases (Stake, 1995; Yin, 2003). The primary researcher performed coding and thematic analysis of the case data according to Creswell's (2002) recommended procedures for qualitative data analysis: (1) data was read through to get a general sense of the material; (2) data was coded by segmenting and labeling the text into descriptive categories; (3) data coding was verified through an inter-coder agreement check (Miles & Huberman, 1994); (4) verified codes were used to develop themes by aggregating similar codes or clusters (Stake, 2006) together for each university case; (5) themes were analyzed across university cases to surface interrelated themes; and (6) case study narrative was constructed to present case descriptions, themes, and findings. Data collection and analysis was performed simultaneously (Merriam, 1998).

Coding and categorical data with sentences as the unit of analysis (Yin, 2003; Stake, 2006) was entered into a Microsoft Excel database. Consistent with discourse or content analysis (Krippendorff, 2003; Neuendorf, 2002), data was examined to determine what patterns emerged (i.e., identification of major themes, and rating of themes quantitatively across the subjects).

Data Verification Procedures

Procedures for assessing the trustworthiness of data in qualitative research vary from traditional quantitative research data validity and reliability measures (Lincoln &

Guba, 1985). In qualitative research the credibility of the data is assessed through verification measures, which seek to provide believable inferences that are based upon coherence, utility, credibility, and trustworthiness (Lincoln & Guba, 1985; Merriam, 1998). Although the specific, bounded nature of case study within a specific context (e.g., six tier one research universities) may provide challenges to replication of a study in another context, clear statements of research questions, methods, population selection and data analysis were designed to allow the study to be replicated (Creswell, 2003).

Five verification procedures were used in this study to determine the trustworthiness of the data (Miles & Huberman, 1994; Tashakkori & Teddlie, 2003), including triangulation of data sources, member checking, inter-coder agreement, external supervision, and full description of cases will be utilized to further minimize bias in interpretation of the findings.

1. Following triangulation strategy converging sources of different information (Creswell, 1998) were used to confirm, or disconfirm, findings. University fundraising appeal document or webpage data, qualitative interview data, fundraising annual reports, or university fundraising publications were examined for purposes of triangulating data.

2. Member checking, where interview transcripts were sent to participants to correct or confirm their data (Creswell, 2003; Lincoln & Guba, 1985), was used to confirm accuracy of descriptions provided in interviews in order to verify data quality. All participants reviewed their transcripts for accuracy. Some provided minor changes or additions which were included in the case description.

3. Inter-coder agreement is designed to provide a substantial degree of trustworthiness of the data is recommended to be 80% by Miles and Huberman (1994).

An inter-coder agreement (Miles & Huberman, 1994) process was utilized to minimize researcher bias in interpretation and coding of the data, in two stages. First, the primary researcher oriented an associate familiar with case study analysis, in the case and the process for coding categories of data, in accordance with Creswell (2002). The researchers open coded text data and discussed their coding to achieve understanding on the initial meaning of coding and theme terms. Next, a random sample of twenty percent of the coded data was coded independently for each university, with codes compared by the two researchers afterward. Inter-coder agreement on coded data was 84.5%, which exceeds the 80% target recommended by (Miles & Huberman, 1994).

4. Highly qualified supervision of research procedures and data analysis (Creswell & Miller, 2002) provides further credibility for a qualitative study with novice researchers. Research design has been developed in consultation (Miles & Huberman, 1994) with an expert panel of judges (i.e., university fundraising officials, qualitative methodologists with the University of Nebraska-Lincoln Office of Qualitative Research. The primary researcher's academic advisor provided overall supervision of research and data analysis procedures. Further, the primary researcher reviewed research and data analysis with an experienced associate researcher, who audited the research process and has provided an attestation to the credibility of research procedures and data analysis.

5. Rich, thick descriptions of cases were provided along cross-case themes, which may allow audiences to determine the applicability of the findings (Creswell, 2003; Creswell & Miller, 2002) in other settings or similar contexts.

Multiple Case Study Findings

Creswell (2003) recommended that salient characteristics of the individual case participants be provided to enhance understanding of the reader. The following section contains brief descriptions of the six university participants with opening vignettes that represent perspectives of the interviewees.

University One Description

“If you look at what funds people have given, they are related to particular programs that they believe in. Giving reflects the strengths that we have communicated.”

(From the interview with university one)

University one is a public research university founded in the mid-1800s, and is situated in the western United States. It is located in a smaller metropolitan area of over 100,000 people with one central and one extension campus. The university employs about 6,000 faculty and staff, and serves about 15,000 undergraduate and 4,000 graduate students, with over 1,000 international students. It offers over 200 majors, and awarded over 4,000 bachelors, and over 1,200 masters and doctoral degrees in 2005. University one claims research prominence in programs including Engineering, Environmental Sciences, Forestry, Marine Sciences and Pharmacy. In 2005, the university received tuition revenues of over \$102 million, gifts and grants of over \$250 million, and research funding of almost \$50 million.

University Two Description

“I think that the wave of the future is a compelling case for support, and that higher education needs to put a stake in

the ground and explain why they are value-added for society, why support is key, and the only way to solve the world's problems and issues. More and more this case will have to be made to acquire support.”

(From the interview with university two)

University two is a public research university founded in the mid-1900s, and is situated in middle part of the United States. It is located in a large metropolitan area of over four million people with one central campus. The university employs about 14,000 faculty and staff, and serves about 20,000 undergraduate and 5,000 graduate students. It offers about 120 majors, and awarded over 5,000 bachelors, and about 1,200 masters and doctoral degrees in 2005. University two claims distinction in agriculture, biological, science and technology. In 2005, the university received tuition revenues of over \$500 million, gifts and grants of over \$100 million, and research funding of almost \$300 million.

University Three Description

“The message is- you won't believe the caliber of the faculty that we have at the University, come and be a part of it...When you say communicate the substance about the institution you're saying, that you are demonstrating to them in some way, what's going on, and how that's making a difference in people's quality of life. People living on the shores of Lake X for example- 30 years ago Lake X was

presumed to be dead. And now it's cleaned up through research at our university.”

(From the interview with university three)

University three is a public research university founded in the mid-1800s, and is situated in the western United States. It is located in a major metropolitan area of over two million people with one central and two extension campuses. The university employs about 27,000 faculty and staff, and serves about 26,000 undergraduate and 13,000 graduate students. It offers about 300 majors, and awarded over 8,000 bachelors, and over 3,000 masters and doctoral degrees in 2005. University three claims an international reputation for its research and graduate programs, with regional and global applications. In 2005, the university received tuition revenues of over \$300 million, gifts and grants of over \$1 billion, and research funding of almost \$ 1 billion.

University Four Description

“...unlike some other research universities, we look to solving real world problems...Donors want to see relevance. They ask the question, ‘how is this relevant to me? What benefit is there to me, my community and the world, the micro and the macro?’ So many organizations are trying to get a share of wallet, so relevance to the audience is very important that they see and understand will be of benefit instead of a vague, kind of good feeling sort-of thing. We want to show how the collaboration

creates impact on them, their community and world, and how this has relevance to them.”

(From the interview with University four)

University four is a private research university founded in the mid-1800s, and is situated in the eastern United States. It is located in a major metropolitan area of over two million people with one central, two extension campuses, and international centers. The university employs about 33,000 faculty and staff, and serves about 12,000 undergraduate and 7,000 graduate students. It awarded over 8,000 bachelors, and over 3,000 masters and doctoral degrees in 2005. University four claims an international reputation for its research and practice of Medicine, Patient Care and Public Health, which is posited to provide benefits to the regional community, with global application. In 2005, the university received tuition revenues of over \$300 million, gifts and grants of over \$400 million, and research funding of almost \$1.1 billion.

University Five Description

“At every stage, we have been able to show friends exactly where we intended to go, and how we intended to get there. And at every stage, we have been able to point to progress toward these goals... to become in fact and by reputation one of the ten leading private research universities in America. We made conscious and somewhat risky decisions to undertake strategic initiatives in undergraduate education, interdisciplinary research and teaching,

(From the interview with University six)

internationalization, and the exploitation of our location in this region.”

(From the interview with University five)

University five is a private research university founded in the late-1800s, and is situated in the western United States. It is located in a major metropolitan area of over four million people with one central campus, and multiple regional centers. The university employs about 12,000 faculty and staff, and serves about 17,000 undergraduate and 16,000 graduate students. It awarded over 4,000 bachelors, and over 5,000 masters and doctoral degrees in 2005. University five claims an international reputation for its research and graduate programs with distinctions in Business, Communications, Engineering, Medicine, and Multimedia. In 2005, the university received tuition revenues of over \$850 million, gifts and grants of about \$400 million, and research funding of almost \$430 million.

University Six Description

“We have realized the importance of having a culture of collaboration that enables us to differentiate ourselves, and tackle new and complex problems. Many of the challenges and problems facing society today don’t fit into an academic discipline. Society’s problems are more complex and multi-dimensional. We’ve found that we need to break traditional academic silos and think collaboratively across schools.”

(From the interview with University six)

University six is a private research university founded in the mid-1900s, and is situated in the eastern United States. It is located in a major metropolitan area of over two million people with one central and two national extension campuses. The university employs about 5,000 faculty and staff, and serves about 6,000 undergraduate and 4,000 graduate students. It awarded over 1,000 bachelors, and over 2,000 masters and doctoral degrees in 2005. University six claims distinctions in Arts, Business, Information Technology, Physical Sciences, and Public Policy. In 2005, the university received tuition revenues of about \$300 million, gifts and grants of about \$100 million, and research funding of over \$350 million.

Case Analysis

Yin (2003) noted that the purpose of some multiple case study designs may not be to portray evidence from any single case, but to synthesize findings and surface patterns which are common to a majority of the cases. Yin (2003) cited multiple case studies from Kaufman (1981) where the behavior of six federal bureau chiefs was explored and Brinton (1938) where four revolutionary war accounts were examined, and noted that findings from individual cases formed the “evidentiary base for the study and may be used solely in the cross-case analysis” (p. 149). Stake (2006) noted that the multi-case researcher “interprets patterns within each case, and then analyzes cross-case findings to make assertions about the findings” (p. 10). Stake argued that the cross-case analysis involves using the individual case findings of situated experience using a triangulation strategy to develop broad themes that respond to research questions. Emphasis upon synthesis of findings to explore patterns across the universities is consistent with the aims of this fundraising study. In accordance with Yin’s recommendations, the emphasis on

reporting was upon the patterns found across the universities, with illustrative evidence to describe and illustrate the patterns drawn from individual cases.

Stake (2006) suggested that in multiple case studies, significant findings may be described with detail in their respective sections, with lesser conclusions grouped in their own section. Stake noted that in multiple case studies the purpose is to make grand comparisons across cases, rather than increasing understanding of individual cases. Following this multiple case reporting format, Yin (2003) suggested that “each chapter or section would be devoted to a separate cross-case issue, and the information from the individual cases would be dispersed throughout each chapter or section” (p.148). Importantly, Yin noted that evidentiary information from each individual case is still relevant, and may be presented in details which illustrate cross-case findings. Yin (2003) recommended that “evidence presented should convince the reader that the investigator has indeed been in the field, made penetrating inquiries while there, and has become steeped in the issues about the case” (p. 165). Reporting of multiple case themes then, was supported by individual case information consistent with Creswell (2003), where rich descriptions of case phenomena are presented for each research subquestion, one and two. Such descriptions were intended to transport readers (Creswell, 2002) into the university fundraising setting in order to more fully experience the case, and to enhance understanding of the findings. Consistent with the interview protocol in Appendix B, details that may identify a particular university such as university names, faculty names, or programmatic details have been altered using capital letters (e.g., W, E) in an attempt to obscure the identity of participants.

The guiding research question for this study was:

What institutional strengths were important, and how did Tier One Research Extensive Universities communicate these strengths in fundraising messages, in order to achieve successful fundraising outcomes?

The subquestions were:

1. What institutional strengths were important in order to achieve successful fundraising outcomes?
2. How were institutional strengths communicated in effective fundraising messages?

Research Subquestion One

Findings for subquestion one, “what institutional strengths are important in order to achieve successful fundraising outcomes?” are presented below. Triangulation of data analyzed across university case study interviews, fundraising annual report data, publications, letter and web-based appeals showed that university strengths accounted for 22.6% of all text unit counts (n=1,017). Five to eight strength themes, which appear to be distinctive to each university, were consistently represented in the text data, with descriptions and text counts shown in Table 4.3 below.

Table 4.3

Summary of University Strengths

University	Strength Themes	Counts
1	High quality programs of international status, Nobel faculty, National Centers, Innovation, Student Demand, Interdisciplinary	224
2	Renowned faculty or awards, Innovation to solve complex problems, Sciences and statistics, Top quality industry leading programs, Collaborative environment	198
3	Health Care, Arts and Culture, Civic and Economy, Education, Environment, Interdisciplinary culture, Quality Faculty	205
4	Internationally recognized centers, Quality of Faculty, Entrepreneurial and innovative, Solve real world problems, , Art & Technology meet, Undergraduate education, Interdisciplinary collaboration	104
5	Undergraduate education, Interdisciplinary research, Programs that contribute to regional opportunities, Quality Faculty, Building links to maximize regional global advantage	75
6	Programs of national recognition and international scope, Teaching and practice of research, Undergraduate hand-tooled education, Innovative capacity to solve complex problems, Quality and recognized faculty	211
Total Text Counts		1017

A statement from a university one fundraising official is indicative of the emphasis upon distinctive strengths in the universities represented:

I think that you'll find that the key for any university (in fundraising) is to really understand what their unique strengths are, and to work with them, rather than trying to make something happen that isn't there. Each university, I think, will have different and diverse strengths, distinct history and systems, and key people that you need to understand and work with.

Without exception, university fundraising officials stated that university strengths were important in fundraising, as the percentage representation of strengths in text units noted above confirms. When asked, “How would you say that the strengths of your university are related to successful fundraising results?” officials responded as shown in Table 4.4.

Table 4.4

University Strengths Relationship to Fundraising Results

University Relationship

- | | |
|---|---|
| 1 | They go hand in glove. If you look at what funds people have given, they are related to particular programs that they believe in. Giving reflects the strengths that we have communicated. |
| 2 | I think that there is a direct correlation between what we are good at and what donors are willing to give to. Because we are good at the sciences means that we raise a lot of money in sciences. |
| 3 | Strengths are where gifts are made. If you look at how gifts have been contributed during this campaign, you will see great investments in this institution that are viewed by the donors in areas that were not just needs that could be met anywhere, the gifts were incredibly strategically made. For example, one large gift to start the whole global health department relates to our strength in health care. |
| 4 | What we have found is that if you focus on your strengths, instead of each department or school, there is a place for everybody. For example, in international security you have people who are in policy development, in information technology, and design folks who can all be involved. So there are no strengths of lesser importance here. The question is how did that particular element contribute to the whole or the impact? |
| 5 | The correlation is almost perfect. Our donors expect excellence, and we need to continue to provide it. Our President, for example, may talk about how the undergraduate program creates an excellent quality of kids. |
| 6 | It varies depending upon the audience. For the existing audience, parents and alumni who know the institution, the strengths engender a feeling of pride in the accomplishments of graduates that relates to general response in giving. However, for new audiences or donors, strengths are important because donors usually will give to a specific area that they care about. |

Cross-case Analysis of Strengths

Comparison of strength themes across the six universities yielded five areas of commonality: quality of faculty, quality of programs, innovation, student development, and interdisciplinary/collaborative culture, with text unit counts as shown in Table 4.5.

Table 4.5

Cross-Case Analysis of University Strengths

Strength Themes	Universities Representing Theme	Counts
Student development	1, 2, 3, 4, 5, 6	263
Quality of programs	1, 2, 3, 4, 5, 6	225
Innovation	1, 2, 4, 5, 6	218
Interdisciplinary/collaborative culture	1, 2, 3, 4, 5, 6	208
Quality of faculty	1, 2, 3, 4, 5, 6	126

A complete listing of University Strength Clusters, including those in which data did not triangulate across a majority of the cases (e.g., arts, vibrant region/economy), is provided in Appendix F. Although university strengths coalesced around themes (e.g., leading faculty or program) as shown in Table 4.5, universities represented these themes very differently in appeal messages.

Consistent with Stake (2006) thick-descriptions of each cross-case theme are provided by theme (e.g., student development, quality of programs) below.

Student development. The development of students was cited by all university officials as being an important strength for fundraising. Compelling stories of how the university, faculty and programs were developing students of high quality and

achievement were consistently presented. A fundraising official at university three described the student development experience and relationship to fundraising as:

It would be hard to graduate from here without either working in a research lab (about a third of our graduates work in research labs), or doing civic or service learning activities. And those that don't, aren't because they are commuting or don't have time because they're working, and that is one of the purposes of this campaign- getting more needs based scholarship dollars. We feel that this kind of experience is deserved by all our students.

In university one, an official said: "We talk about the students, how their lives are being transformed through the programs." A fundraising official at university two explained: "We highlight the very brightest students and tell their stories to help donors make the connection that this is the type of student that we want to attract here." University four emphasized the importance of their undergraduate programs and student development:

Another big area (i.e., strength) is our undergraduate programs, this really resonates with donors. The purpose of this university is not just to do research but to educate people. And the quality of that education is important in developing the leaders of tomorrow.

A reputation for student development in the area of academics and research was cited at university six: "We are known for our research training and application competencies, both at the graduate and undergraduate levels. We're also smaller, less than 10,000 undergraduates, so students get a very hand tooled education here."

Quality of programs. All university interviewees stated that quality of university programs was as a strength that influenced fundraising results, although in diverse ways. Strengths of individual departments were typically represented through a larger, more broad university strength (i.e., bioengineering department represented through a university strength in health care). At university one, an official commented:

High quality programs that have international reputation are key. For example, U.S. News ranked us in the top 20 in the nation. Our school of G sciences is among the top in the country. We are one of the top public research universities in the AAU. We have an international reputation in certain program areas that attracts the right kinds of faculty, and hence attracts big dollars.

For university two, strengths in the sciences, were emphasized. In z-economy for example, an official at university two stated: “Working on the energy crisis is something that can put us on the map as the country confronts this issue.” He said: “We will take some of our strong programs like our study abroad programs, or our bio-based economy programs and talk a lot about them in alumni magazines or in proposals where we are national leaders and are making a difference in the world. These are areas where we want donors to pay attention and invest their dollars here.” University three characterized the quality of programs and departments through broad five program areas including health care, environment, civic and economy, arts and culture, and education. Within the broad areas of program strength, specific departmental accomplishments and rankings were highlighted. The official explained: “Schools and units also have consistent programs that we can communicate to our publics to tell them what good

things are going on institution.” For health care, cutting-edge research breakthroughs health-related sciences and bioengineering programs were described that were improving the quality of our health in various populations.

An official at university four described the relationship between departmental strengths and university strengths as follows:

Over time our president and provost have designed the five specific areas of excellence as strengths. Computing and information technology is one. Computing services, security and safety are big issues here...The individual school, department or programs provide choices for the donor... When a number of individual departments get involved it augments overall success, gives you a bigger success story, because they are all doing wonderful things. What we are trying to do is to show the impact of the University. We can give them choices, but what we want them to do is to fund this University, endowments, scholarships or fellowships for example. So we let them know it doesn't reside in one specific area (i.e., departmental strength), but that the university as a whole is what makes the solution happen. What happens then is that everybody gets lifted up.

A fundraising official at university five said that “creating programs of research and education that utilize and contribute to the special strengths and opportunities of the university's local region” was important. He said:

Our President, for example, may talk about how the strong undergraduate program creates an excellent quality of education for kids. But really most

significant is the slope of the line... The underlying quality of every aspect of this university continues to improve. So we don't simply sell a university that is excellent, we sell a university that is excellent and getting better.

University six cited several programs with both national recognition and international scope including a school of public health, biomedical program, school of engineering, and school of medicine. One official stated: "Because our schools and national centers attract more interest and have a great track record, they attract more giving as well."

Innovation. Innovation in research, and the advancement or enhancement of knowledge, that benefits society was emphasized as an important strength as related to fundraising in the universities studied. An official at university one stated:

We communicate that in our "magnet for innovation" program, several innovations have been developed that benefit society in all kinds of ways. We provide descriptions of the innovations, and what has happened in peoples lives. People like the vibrancy, entrepreneurial nature of our work. It's very high energy and fast moving.

At university three, an official characterized the emphasis on innovation: "There isn't a week that goes by, when I don't hear about something that has already happened here or is on the cutting-edge, that will improve the quality of our health...or will improve our world in the case of global public health." University four described the faculty and programs at the university as being very entrepreneurial and innovative. She stated: "Faculty desire to initiate new technology, or ideas, across the university and across departments." A senior official at university five stated: "Our goal is to continue to

advance our reputation for excellence in teaching and research throughout the world.

Innovation was described as important in fundraising because: “People who would like to see excellent medical research, excellence in arts, excellence in top of the line academic progress. Wherever they are or whoever they are, if they are looking to add to the frontline of human progress they want to participate at our university.” In one school at university six the commercialization of innovation, or advancement knowledge was detailed:

First...is the innovation; second is translation of that innovation into application, and third comes commercialization of the innovation...a research team makes a new scientific advance, then the institution brings it to society, to benefit them.

Interdisciplinary/collaborative culture. Universities consistently represented the importance of interdisciplinary, collaborative university environment or culture as being an important strength for fundraising success. An official at university two described a culture of collaboration as:

We have a very strong collaborative environment, which I think is highly unusual in higher in a large institution. From the president, to the vice presidents, to the deans we have a very collegial, collaborative environment. This is part of our state’s culture, and ours as well.

Collaboration has been encouraged here over a number of years.

An official from university one demonstrated how an interdisciplinary strength was important in fundraising:

It's important to coordinate the work on the campus so that you have the major fund raising effort as a team effort. You may have different programs for different areas, but our people see the vision of the whole campus. One of the advantages of our interdisciplinary focus v. having a bunch of stand alone professional schools is that people tend to work more collaboratively. We do have people that work together. That sends a good message. Some donors are interested in funding interdisciplinary kinds of projects.

An official at university three stated:

We are as interdisciplinary as any institution you could talk to in the country, and that's why we get so many federal grants by the way. The barriers to interdisciplinary work are very thin here. Major donors like to think that if they put something together that is complex that we're not so hide-bound in terms of each discipline that were not open to considering the cross disciplinary ideas. We'll gravitate to and get excited about that complexity, and that makes the mission even more compelling to people.

An official at university four described the importance of collaboration and interdisciplinary focus on fundraising: "I think that you need to have a really good relationship among the various disciplines within the university. There are silos that can exist, and the quality of collaboration between the advancement team and the disciplines is very important."

Quality of faculty. All of the fundraising officials talked about the quality of their faculty as being an important strength in fundraising, although quality was characterized differently in each university. As one official at university two commented:

One of our big pushes lately has been in the area of faculty support. We have made the case over and over again that faculty are the heart and soul of the institution and donors are really starting to listen and give to this area.

University one represented quality of faculty strength as faculty with international reputation, or as faculty who have won Nobel prizes or other prestigious awards. For example, the official stated: "Nobel faculty attract good students and other great faculty." Faculty research projects of international scope or prestigious awards were highlighted. A university two official said: "faculty are the heart and soul of the institution, and donors are really starting to listen and give to this area... We will often highlight highly recognized and awarded faculty members, in order to make the case for faculty support."

At university three, an official said: "The message is – you won't believe the caliber of the faculty that we have at the University, come and be a part of it." Qualifications and successes of faculty in producing quality students and research were communicated. University four characterized quality of faculty as the amount and recognition of their successes in research, teaching, and practice. Faculty research projects, student achievements, and research outcomes were highlighted. In a university six interview, faculty quality was associated with the number and size of grants (i.e., National Institutes of Health) received by faculty members.

Research Subquestion Two

Text sentences were analyzed across the six universities to show more prevalent themes for subquestion two, “how are institutional strengths communicated in effective fundraising messages?” Content of fundraising messages was analyzed (Neuendorf, 2002) to reveal associations between strengths and other appeal message data to surface cross-case themes. A data collection matrix of showing sources of information by theme appears in Table 4.6 below.

Table 4.6

Sources of Information by Relevant Message Themes

Message Theme	Source of Information			
	Participant Interviews	University Publications	Website Appeals	Fundraising Letters
Strength success stories with testimonials	yes	yes	yes	yes
Innovative, interdisciplinary solutions to complex problems	yes	yes	yes	yes
Donor relationship	yes	yes	yes	no
Credible, leading faculty or program	yes	yes	yes	yes
Areas of Strength	yes	yes	yes	yes
Quality of life	yes	yes	yes	yes

Cross-Case Analysis

When content of fundraising message data was analyzed and triangulated across university case study interviews, fundraising annual report data, publications, letter and web-based appeals, five themes surfaced: 1) strength success stories with constituent testimonials (n= 1336); 2) innovative, interdisciplinary solutions to big, complex problems (n= 608); 3) donor relationship (n= 555); 4) credible, leading faculty or

program (n= 452); and 5) quality of life (n= 374). The themes of donor relationship and quality of life were not explicitly highlighted as strengths, but surfaced when the question “please identify the major factors or elements that have contributed to successful fundraising outcomes” was asked in interviews. Message themes, categories developed across participant cases, and text counts are presented in Table 4.7 below.

Further analysis of prevalent themes for subquestion two, “how are institutional strengths communicated in effective fundraising messages?,” revealed that institutional strength themes communicated in fundraising messages accounted for 48.5% of all text units (n=2,182), as shown in Table 4.8 below. Thematic category text units that did not specifically include the university strengths identified in Table 4.5 above were excluded from Table 4.8. For example, committed friends, alumni, volunteers, and university-donor relationship appear in Table 4.7, but do not appear in Table 4.8 because they were not specifically identified as university strength in interviews.

Table 4.7

Summary of Message Themes and Thematic Categories

Message Theme	Theme Total and Thematic Category Subtotals	Counts
Strength success stories with constituent testimonials	Total	1336
	Committed friends, alumni, volunteers	426
	Stories of success demonstrated through outreach, voices of people	253
	Research story, descriptions of how it works	245
	University leadership endorsement	178
	Celebrity, faculty endorsement	165
	Strengths communicated in diverse messages	69
Quality of life	Total	608
	World benefit, quality of life	243
	Student development, quality of life	166
	Faculty development, quality of life	108
	Regional, economic quality of life	91
Innovative, interdisciplinary solutions to big, complex problems	Total	555
	Interdisciplinary, collaborative culture	281
	Innovative programs solving complex problems	219
	Collegial/positive work environment	55
Credible, leading faculty or program	Total	452
	Advancement, leadership of research and education	175
	Enhancement of research and education	152
	Quality of faculty or program, award	125
University- Donor relationship	Total	374
	Donor relationship, listening	109
	Commemoration, honor	89
	Donor centric or relevant	86
	Recognition, gratitude	57
	Feeling of pride, loyalty	33

Table 4.8

Summary of Strength Themes and Thematic Categories in Messages

Message Theme	Theme Total and Thematic Category Subtotals	Counts
Quality of life	Total	608
	World benefit, quality of life	243
	Student development, quality of life	166
	Faculty development, quality of life	108
	Regional, economic quality of life	91
Strength success stories with constituent testimonials	Total	567
	Stories of success demonstrated through outreach, voices of people	253
	Research story, descriptions of how it works	245
	Strengths communicated in diverse messages	69
Innovative, interdisciplinary solutions to big, complex problems	Total	555
	Interdisciplinary, collaborative culture	281
	Innovative programs solving complex problems	219
Credible, leading faculty or program	Total	452
	Advancement, leadership in research and education	175
	Enhancement of research or education	152
	Quality of faculty or program, award	125
Strengths communicated in message themes	Grand Total	2182

Consistent with Stake (2006), thick-description findings from participant universities for each cross-case theme are represented. Illustrative details describing: 1) quality of life themes; 2) strength success stories with constituent testimonials; 3) innovative, interdisciplinary solutions to big, complex problems; 4) credible, leading faculty or

program; and 5) donor relationship, with relevant sub-theme categories, are provided by theme below. Individual university strengths from Table 4.5, and message themes from Table 4.7, are described and as incorporated in strength messages themes below.

Quality of Life

Analysis of university data showed that strengths that were associated with an improvement in the quality of life of constituents were meaningful in fundraising messages. Quality of life sub-theme categories included: 1) regional, economic benefit; 2) student development, quality of life; 3) faculty development, quality of life; 4) world benefit, quality of life, and are described below by sub-theme. An official at university two stated the importance of stating how university's associate their strengths of solving problems with quality of life outcomes in fundraising messages:

There are some individuals who need a message that is very persuasive and answers the question as to why should I give?, and why should I give now. They need to see the future. They need to know the direction you are going. They need to know the impact that their gift would have on the community, the state, and the world. Some donors require messages that are tied to nostalgia and pride. Some donors are motivated out of loyalty and pride, or a sense of giving back. Often times you will find that older donors view their education as transformational. However, with younger donors it's more transactional. So if I'm going to invest in you, you'd better tell me why.

I think that the wave of the future is a compelling case for support, and that higher education needs to put a stake in the ground and explain why

they are value-added for society, and why support is key, and the only way to solve the world's problems and issues. More and more this case will have to be made to acquire support. Higher education has declining state support so that this may point to a lesser value on higher education than in the past. People who give to higher education out of a sense of nostalgia are dying quite frankly. So the face of philanthropy will be changing in the future to major donors who are younger baby boomers who are much more pragmatic, perhaps more cynical, much more tied to accountability. They don't really care about the warm fuzzies. They care about and will support efforts to solve the energy crisis, or if you can feed the world. We need to make these individuals understand that research at its very best is done at institutions of higher learning... that problem solving happens at institutions of higher education. I think that this is the single biggest crisis in higher education- the inability to help the masses understand that higher education is value added. More and more fundraising is going to be tied to that. Because donors are more entrepreneurial, donors will give you seed money to solve problems. Or give you seed money to hire faculty to do research in a unique discipline.

Regional, economic benefit. Officials consistently emphasized the importance of emphasizing the institution's connection and benefit to its local region and population in fundraising messages. University three's strength in environment was shown to benefit the regional quality of life through this fundraising focus, as explained by an official:

When you say communicate the substance about the institution you're saying, that you are demonstrating to them in some way, what's going on, and how that's making a difference in people's quality of life. People living on the shores of Lake X for example- 30 years ago Lake X was presumed to be dead. And now it's cleaned up through research at our university. Or working on the ocean now, trying to save our fish. And working on climate issues around the globe, because people can see, for example, that in many areas the snow pack is not what it used to be so water is very important to the quality of people's lives. People read about a medical breakthrough almost weekly. Or people come in for health care...we're No. 1 in the country for basic and family medicine. So you like to think that the doctor you have, who is treating you, came from the university. Or you like to know that when you're going to the university, or affiliated physicians, you are getting the best, the brightest, most advanced you can get. Now not everyone wants to go to teaching hospital because you have interns. But why would you not want to go here, especially if you're seriously ill?

This fundraising message from university three showed how the importance of the university's strength in health care was related to improvement in quality of life in the region:

Alumni V ('year) chairs the First Annual W Breakfast to express gratitude for the care he received at the university health care center during his own disease treatment. More than 500 people attend the breakfast, giving

nearly L million for research. Proceeds benefit the X research Institute, collaboration between the university and D regional research center.

An official at university three explained the benefit of the university on regional quality of life, “this certainly would not be the region that is without the University. Just the magnitude and size of this research institution has not only spawned so many companies in the region, but if you can imagine we have a \$E billion enterprise in federal grants every year. Think about the money that is generated to employ extra faculty, facilities and labs, and graduate students as a result.”

Two fundraising messages from university six were specifically aimed at improving the quality of life in the region through the strengths of the university:

Build on University strengths in the Q to move the university to the center of the cultural stage in the region. Build on the expertise of the university’s nationally recognized schools and programs to assume leadership in studying how complex regional urban environments function and how to improve them.

Student development, quality of life. All the universities exhibited strengths in student development in some form (e.g., undergraduate education). An official at university one explained their emphasis on student development in this manner: “Another big area is our undergraduate programs, this really resonates with donors. The purpose of this university is not just to do research, but to educate people. And the quality of that education is important in developing the leaders of tomorrow.” An official at university four commented

on the relationship between the quality of students and fundraising: “We highlight the very brightest students and tell their stories to help donors make the connection that this is the type of student that we want to attract here.” A fundraising message from the president of university four illustrated the connection between a new facility and student development:

University students will soon have a new facility dedicated to improving academic achievement and increasing student retention and graduation rates. Private contributions were recently secured to build what university officials are tentatively calling the K Student Success Center.

The new center – located near a number of residence halls – will provide services directed to any University student in need of academic counseling, tutoring, and testing. The facility will also include a resource library, computer labs, individual and group study rooms, and meeting and classroom spaces. “We are very grateful to O for her continuing generous support of our students--nearly 400 students receive O scholarships annually, and now the entire student body will benefit from this center,” said P, University president. “This facility will help us meet O’s challenge to give more students the opportunity to succeed. It is very fitting that O’s name be connected with it.”

An official at university three stated how their programs created a significant student development experience, and its significance in fundraising:

We have a fabulous and extensive program of civic engagement for our students. It would be hard to graduate from here without either working in

a research lab (about a third of our graduates work in research labs), or doing civic or service learning activities. And those that don't, aren't because they are commuting or don't have time because they're working, and that is one of the purposes for fundraising- getting more needs based scholarship dollars. We feel that this kind of experience is deserved by all our students. When students enter the University, it becomes our foremost charge to change the trajectory of their lives. Their aspirations should be elevated, the way they see and think about the world expanded, and their minds sharpened.

This fundraising message from university three described how university strengths in education, and health care, impact student quality of life:

We accomplish this by bringing the remarkable capacity of one of the world's premier research universities to bear on the learning experience. Alumnus Y and Z helped lay the groundwork for a future of increased civic engagement with their contribution to the H endowment. The endowment supports students at the T center for undergraduate education, and enables visionary students to apply their academic work to community projects through internships and service-learning opportunities. Alumni T and I created endowed fellowships in S sciences and Q. J's pioneering work in W led to important discoveries and patents for creating the health care vaccine. The G's gift will advance research and education at the University and encourage graduate students to make their own scientific discoveries.

In this fundraising message from university four, a student constituent described the benefits of university strength in quality of faculty in student development:

Student recipient, B, too, can appreciate the benefits the D Scholarship program offers. "What I like about being a D scholar is that it gives me another connection to the university, both through the person who inspired the scholarship and the people I meet through the program. His relationship with faculty member O has been rewarding, and he's enjoyed meeting her and learning more about the man who inspired the scholarship. The program has done more than provide much needed funds for a University education. It's given B a model to follow as he plans his own career in physics, "Learning about faculty member O has given me an example of someone who's lived a very successful life as a physicist. It's like having a mentor."

A donor from university four stated that he viewed the University as "a critical resource, a treasure, for the world. He said the university's interdisciplinary "blend" of computer science, engineering and entertainment makes the university a unique provider of talent to the world. An official at university five emphasized their strength in undergraduate education and relationship to fundraising in this way:

A third area of strength that is powerful is that we are providing the leadership for the future of America and the world, as an inclusive institution. We are bringing students from India, China, Taiwan and Japan, all around the world. And we are really educating the people who will be the future leaders of the globe. So if you are interested in the

future, in the redefining of human purpose then you really should be interested in our university. We have been blessed here, because we have created outstanding young people who have gone on to do remarkable things. It is incredible to see the sense of allegiance that we see here, and quite appropriate because we empower people to be their very best, and really change the world. We also have been fortunate that so many of these people have had such enormous success, and the people who care and give back to this institution have been the best and the brightest.

This fundraising message from university five highlighted the importance of student development in attracting both funds and students:

The J School is committed to educating the best and the brightest to be the next generation of engineers," said E, dean of the School of Engineering.

"Our students come from all over the world, and I's gift ensures we're attracting exceptional individuals who live right here in our city."

It is anticipated that the C scholarships will — for 25 years — enable three students per class from D area to attend the University. The scholarships, which will begin with this fall's freshman class, will cover all four years of undergraduate tuition.

Faculty development, quality of life. University participants stated that faculty development was related to enhancement of students, research, and programs. In this message from university two, the relationship between faculty strength and fundraising is demonstrated:

Q, dean of the graduate school, said, "This extraordinary gift will enable our faculty to address today's most important educational issues and to develop approaches to teaching that create learning environments that are respectful of who children are and what they bring to the classroom. The graduate school is committed to research that adds to the knowledge base upon which best practices in education are established." Faculty member G, whose biomedical research has advanced scientific understanding of the link between A disease and I chemicals, has been named T Professor in the University's College of S.

In this message from university four, the relationship between funded professorships and capacity to attract faculty and resources, and maintain national prominence was revealed:

Professorships are critical to a national university such as our," said University Professor X. "They allow a university to successfully recruit and retain national-caliber professors and make the necessary resources available to support new initiatives in education and research.

Professorships are vital for the University to keep its place among the top national research universities." X is professor of biomedical sciences, director of the K Research Program and chair of the interdepartmental W graduate program. For 15 years, he has pioneered research on the health effects of L on the U. Much of his work concentrates on the role of Z chemicals and other I factors in the development of disorders like X disease.

An official from university three communicated how the consequences of quality faculty on the education of students:

Our students — undergraduate as well as graduate — engage in pioneering, life-changing research with some of the finest faculty and scientists in the world and experience firsthand the tremendous sense of discovery and collegiality that exemplifies University scholarship... Their work is complemented by the priceless contributions of their colleagues in the arts and humanities who inspire and enrich the lives of us all. Together, they work to create and sustain the quality of life that we want to leave for our children and for the generations that follow.

This exemplar of a fundraising message from university four illustrated the connection between faculty development and educational performance: “Alumnus I (’year) demonstrates her extraordinary generosity with a gift to the H Chair in Z engineering. The chair, named for I and her mother, the late P, will advance medical education at the University by providing permanent support for distinguished faculty in the department.” Interestingly, an official at university four mentioned how the demise of a faculty member adversely affected the opportunity to raise funds, and the link between quality of faculty and fundraising success:

Well, one year we had a death of a primary faculty member in a major research study that definitely set that study back. Without this faculty member the study was not able to go forward as effectively. University faculty brought in W NIH grants worth \$ P million, and nearly Q grants more than second-ranked University.

This example fundraising message from university five exhibited the relationship between new faculty recruits and university capacity to fight disease, through the support and honoring of loyal alumni:

The gift from longtime supporter P helps recruit new scientists taking part in the fight against cancer. It also will establish the S Chair in Cancer. P said before the event that he made the gift in large part to honor his wife W, a tireless fund-raiser and longtime champion of cancer research, who succumbed to ovarian cancer in year. “That’s my biggest motivation – for her to be remembered for all the work she had done to fight cancer even long before she was diagnosed with it herself,” he said.

World benefit, quality of life. University officials and appeal message data emphasized communication of the university’s benefit to the world, and the quality of life thereof. An official at university six stated the importance of communicating benefits to the world in fundraising this way, emphasizing strengths in quality of faculty, and collaboration:

We articulate how their investment and how it impacts societal health. For example, in global health, we had a faculty member who had been doing a lot of work, and he acted as the lead architect from the school of medicine. In order to attract a multi-million grant however, the star faculty had to be willing to collaborate and create something bigger than simply his discipline in order to differentiate the University from all the other programs out there.

At university three this fundraising message emphasized how their strength in innovation connected with improvement in quality of life worldwide:

The Center for O technology is a prime example of how the University is engaging in innovations that will change the lives of people around the globe. From improving S K cancer imaging and therapy to developing more efficient cells for J, University scientists are using O technology to make a positive difference in the world.

A university one official explained how university strengths in innovation and high quality programs may benefit quality of life worldwide, with an example of faculty benefit through endowment and gratitude for an alumni's gift:

We talk about how these programs have bang for management of innovation, and improvement of people's lives. In another example, we communicate the benefits of attracting a physician in medical research, that cooperating with medical professionals here that benefits aging, and people's health. By awarding faculty B with additional resources to support D research, he will be able to accomplish much more in this important effort and help the millions of people who suffer from these disorders. This is why endowed faculty positions are so important to our university and our society, and we are deeply indebted to V and K for creating this one.

A fundraising message from a faculty member at university two showed how donors' affections relate to university strengths, which synergistically benefit the quality of life of students and the world:

In our travels throughout the world, we have been deeply affected by the poverty we have seen in the developing world. We want to help people help themselves by using a sustainable approach to food production, community development, health and income generation. We believe that under the University's guidance, the vision of sustainable rural livelihoods can become a reality," said the G alumni. "This remarkable gift will work to bring truly profound changes to people facing difficult futures," said faculty S, dean of the College of O. "The R program will extend the University's land-grant ideal of education and service to a global scale. One of our greatest alumni, T, said that it's simply service that measures success. Through this program, our expertise in collaboration with international partners will be key to success. "The program also will help us progress toward one of our college's strategic goals, which involves strengthening global partnerships and better preparing our students for working and living in a globally interdependent world," she said.

An official at university six stated the process of matching university strengths to world needs in quality of life:

The message is along the lines of the notion that so much of what happens in this institution has a ripple effect in affecting lives and conditions around the world, and you get to be a part of or be a partner in that ripple effect. For example, one of our very significant donors, who happens to be a businessman, stood up at a meeting and said "for what you are doing in X research, I can't do that. But I feel by investing in it, I am a part of

impacting that part of the world.” The message includes how your giving allows you to be a part of impacting people’s lives throughout the world.

It’s a leveraging effect; your \$100 dollar gift gets leveraged to do much more than you could alone.

At university four, an official commented on how development officers sensitize fundraising to connect donor interests to world benefits:

Our development officers were telling us that people were very interested in knowing about our global strategy. That led us to produce a publication called Presidential perspectives. The first focus was on internationalism, our global strategy. We have found that this has helped inform donors to know that we really do know what we are doing, and this is our specific strategy to impact the world. We try to communicate stories about how people and the world are impacted. Ideally this promotes some emotional connection with the reader. The “X” effect was good. I would have people cry when they were reading, alumni really connected with this message.

This message exemplar from university six highlighted the importance of an external focus and world benefit emphasis:

To fully achieve our goals, we cannot limit our focus to internal concerns.

We must also nurture a concern for the welfare of others and a commitment to improve the world. Through our education, research and creative expression, the university relates to an unusual extent to the world beyond our campus. Our activities have impact by creating knowledge,

improving the quality of life, enhancing culture, and advancing economic and environmental sustainability. For example, the \$C million donation from the late philanthropist U will support part of the work of faculty member W, who focuses on technology that can restore sight to the blind. The funds will be used to assist the work of professor X, who is creating a K that shows promise in restoring a measure of sight to the blind. Dean V said that alumni R “would be delighted to support such exciting research.”

Strength success stories with constituent testimonials

Fundraising message data revealed that diverse stories or narratives which demonstrated university successes in their strengths through the voices of university constituents (e.g., alumni, faculty, populations being served, students) in order to create a convincing case for support of the university. Sub-theme categories included: 1) research story, descriptions of how it works; 2) strengths communicated in diverse messages; 3) celebrity, faculty endorsement; 4) committed friends, alumni, volunteers; 5) university leadership endorsement; and 6) stories of success demonstrated through outreach, voices of people. Although these sub-theme categories were mixed throughout university interview interview, publication, and appeal message data, they are presented below by to represent rich descriptions (Creswell, 2002) of the sub-theme categories above.

Research story, descriptions of how it works. Successful fundraising messages explained how university strengths in research (e.g., X technology) worked, and were successful in benefiting constituents, through the medium of stories. As an official at university two explained: “We have branded marketing messages according to our

strengths, and present them in a synopsis form. We give real examples, stories of what is happening, and how it is making a difference.” A representative example from university one follows where the message presented a strength in a nationally recognized center of education, trustee’s endorsement of the research work, and explained how the research works to benefit education:

"We believe that educational access is critical to all children for the fulfillment of their hopes and dreams and for success in their chosen careers, whatever they may be," said a trustee of the University Foundation. "We have all had the experience of having a teacher who made a profound impact on our lives. Our goal is to support the Y School of Education as it prepares teachers who will have that kind of impact on all their students and in that way fulfill their own dreams as well." The X gift, the largest ever to University’s Y School of Education, will support new research designed to improve academic achievement in public schools and influence educational policy and practice. The gift will help in the development of a network of scholars and practitioners across the state and the nation to address critical issues in K-12 education.

Researchers will have additional opportunities to collaborate with school districts to develop, implement, and research programs that will benefit and enhance the nation's school systems.

Here is a representative example from university four, where a faculty member explained, and endorsed, how strength in technology (i.e., high performance integrated circuits) works to benefit industry:

The race to produce higher-performance integrated circuits is limited today by the cost of production and the challenges faced by the traditional paradigm of making components smaller and smaller. University faculty Z said, “researchers will work to create technology that seeks to break this bottleneck by integrating mechanical probes with integrated circuits in a design that allows for the reconfiguration of integrated circuits. In addition, these systems will allow for the integration of memory, storage and processing technologies with minimal additional cost to competitive global chipmakers.”

This example from university three illustrated how a fundraising appeal included a research story of how a strength in health care technology is coupled with university leader, and faculty endorsements:

University President Y stated, “The University and region are poised to become the epicenter of research and development for G technology, as well as a number of other disciplines, including D technology... This is an exciting time at the University, and I’m personally grateful to the many supporters who make it possible for the University to be a leader in scientific discovery.” Faculty member X conceded: “G technology is a buzzword right now. While manufacturers tout its benefits in everything from food storage containers to athletic socks, many people don’t fully understand what G technology is, and how it might revolutionize everything from building materials to medicine.”

G technology, as faculty member explains, is the exploration and exploitation of the phenomena that occur at the F scale, generally considered to be one to 100 F meters, or one-billionth of a meter. At this scale, materials have unique properties that scientists can harness with extraordinary results. Here at the university, research faculty are developing protein-coated D particles that can be used to help surgeons localize tumors. When certain semiconductors are shrunk to small enough sizes, they emit light of different colors. Such D particles could help physicians distinguish between healthy and sick cells.”

Strengths communicated in diverse messages. This successful fundraising appeal from University two exemplified diverse messages from committed friends or alumni, faculty endorsement and how the funds will work in a leading program strength (i.e., Y medicine):

A multi-million dollar gift from a University alumnus and his wife will launch the renovation of the university's X hospital. The gift is the largest ever to the university college of Y medicine. It was announced during a reception honoring the donors, Y and Z. "We wanted to help establish the hospital as a premier environment for the study and practice of modern S medicine," Y said. "I benefited so much from my experience at the university and now I hope we will be able to enrich the lives and careers of future students and constituents." "The renovation project will significantly update the 25-year old hospital facilities, which can no longer accommodate the significant growth and discovery that have occurred in

veterinary medicine knowledge and technology,” faculty member C said.

“It will also allow the college to implement innovative learning opportunities and cutting-edge patient services.” The three-phase renovation and expansion of the hospital will include reconstruction of the large animal hospital wards and the S Laboratory, a new clinic addition, a new K clinic addition and a new entry and business office.

The importance of alumni, and demonstration of success through diverse means of outreach in various schools and programs, was emphasized at university three:

Alumni are totally decentralized in terms of providing support for each of the schools and colleges and for the academic programs. And because we were in such a great marketplace these programs draw hundreds and hundreds of people to the university daily. And there's a lot to be said for getting people on the campus, and making education a part of their life forever.

Celebrity, faculty and university leadership endorsement. This example, from university two illustrated a faculty endorsement in a science area of strength, voice of research recipients, and how the research works:

Q, associate professor of sociology stated, "a central element in our approach is working with local people to help carry out their ideas. By listening to them, we learn about successful activities, local resources and innovative ideas-- as well as the challenges they face. We combine community knowledge with faculty and student knowledge to determine

where to begin and how to proceed." The program and its partner organizations are developing the following projects in country B:

- Training rural development recipients in agricultural production, food processing, storage, marketing and entrepreneurship
- Integrating nutrition, health and HIV/AIDS into recipient's training

Committed friends, alumni, volunteers. In addition to university leadership and faculty voices or endorsements, successful institutions featured the voices and commitment of alumni and friends in their stories of success. An official at university six characterized this alumni and friends commitment as being significant in fundraising:

Our donors expect excellence, and we need to continue to provide it. We have a promise that we need to uphold to student body and to the parents and supporters for students, and a promise that we make to the academic community and to the society that we serve. We are glad that our fundraising results are tied so closely to the success of the university because we have been heartened by the fact that our university has had such success... We have a network of alumni that has been a very effective message. Basically the message is that you are part of the network, you are a part of everything we do, and part of your identity is that you are alumni for life. And this has been a great asset for our alumni, for networking reasons, for community and empowerment, for having a purpose driven mentality. This sense of inclusion and alignment of mission with our alumni has been important. We show excellence, we are a best of breed if you will.

An official at university three commented upon the importance of university volunteer and senior leadership commitment and endorsement in fundraising:

It's a real easy place to feel good about. ...both our volunteer leadership and our senior leadership is absolutely extraordinary. It's not only that our Board of Regents is fully onboard with the campaign, but that they are so proud of the institution. That matters because these are people are of tremendous credibility and moral leaders in the state, so other people look up to them and value the things they value about the University. The foundation leadership itself is absolutely top-notch. X is always thoughtful and inspiring –and fabulous in listening- talk about a great combination. And then we have a president, who is one of the great presidents in the country. He never uses a note, and is always able to bring out something that really matters, whether it's taking questions from a group or speaking extemporaneously, to speak about what matters to the University, what matters about our community, and what matters about the world. It's never a repeat, but it's not so diverse that there isn't continuity in his message.

Stories of success demonstrated through outreach, voices of people. Stories of success that were demonstrated through outreach to constituents, and the voices of people who benefited from university research or practice (i.e., constituents) consistently surfaced. When asked what fundraising messages were effective, an official at university five said: “Our proof statement is our faculty successes, student success, and alumni and

their achievements. Our messages showcase the successes of alumni, faculty and students.” The official provided this description as an example:

We created a video show and listed all the people who have made huge, global impacts in technology or in the arts. The take away for the audience was, “Oh, my gosh. We didn’t realize that you have all those people who have won academy awards, or created significant parts of the Internet...” The audience said "we didn’t realize that you had all these people!” In people’s testimony which we highlight from the interviews on the video, they talk about what they have achieved, and how they collaborated with others to achieve success. What we are doing is having other people tell the stories about us. They tell the story about why they came here, or their professors, or what impact that the university made. They will say for example, I wouldn’t be where I am today in the arts, if it wasn’t for the nurturing professors in the school of drama. Or the guy that invented X revolutionary internet language, said that I was challenged everyday by my faculty and peers, and I know that because of them I was able to create this product that changed the industry.

An official at university three observed that the demonstration of success through diverse voices of students or faculty was important:

The more the word gets out, the more we demonstrate, not just tell about, but demonstrate- have our students do it, our faculty demonstrate it- that’s the core of what we do here. In terms of written materials, we are highlighting that this student is doing this, or this professor is doing that.

We don't have a university-wide case statement, if you can believe that.

We wrote it, but we only use it on a case-by-case basis as a template, so that phenomenal proposals can be developed that highlight individual schools, programs, and demonstrate accomplishments.

This exemplar from University two exemplified the notion of communicating successes in strength of collaboration through the voices of constituents, with a faculty endorsement:

Hunger and poverty are the result of several factors that limit people's ability to meet their most basic needs," said, associate professor. "A central element in our approach is working with local people to help carry out their ideas. By listening to them, we learn about successful activities, local resources and innovative ideas-- as well as the challenges they face. We combine community knowledge with faculty and student knowledge to determine where to begin and how to proceed," faculty member said. At the core of the program is commitment to local sustainability and to avoid creating relationships of dependence, he said.

Innovative, interdisciplinary solutions to big, complex problems

Analysis of university data showed that innovative, interdisciplinary solutions to big, complex problems were significant in creating successful fundraising messages. Sub-theme categories included: 1) innovative programs solving complex problems; 2) collegial/positive work environment; and 3) interdisciplinary, collaborative culture. A representative example from university one follows where the message presented a

complex problem or need, strengths of innovation and high quality programs (e.g., education), and an innovative solution to the problem:

The importance of providing quality education for children is often identified as one of the nation's highest priorities, yet relatively few schools of education receive the levels of philanthropic support and professional recognition enjoyed by schools of business, medicine, or law. With California's fast-growing school-age population, perhaps no issue is more important to the future of the state and the nation than the educational success of its children. Researchers in the B School of Education are leading the way in developing innovative collaborative approaches and solutions to some of the most pressing challenges facing elementary and secondary school educators today. Recognizing that successful schools are dependent on leaders who can foster the best in all those involved in teaching and learning, a new Leadership Initiative will study school environments where children excel, teachers create content-rich and motivating curriculum, and schools embrace parents to form a culture of belonging and a community of learners.

In another exemplar from university one, the appeal message described strengths of interdisciplinary, innovative solutions in providing a facility for faculty collaboration and research in media. The message read: "University one has received a leadership gift of \$X million from R foundation, to support the construction of a Center for New Media. It will be one of the first facilities at a major research university where faculty members from the arts, humanities, and social sciences collaborate to teach and conduct research

on film, television, and mass media from a variety of cultural, historical, and social perspectives.

This fundraising message from university two exemplifies strengths of collaboration and innovation to solve the complex problem of rural community development:

The gifts will support the R program. The program fosters collaborations with partners in developing nations to find sustainable solutions that improve the agriculture, nutrition, health and economic opportunities of rural communities. "The R program brings together the diverse strengths of our faculty and students. It's a wonderful and effective way to enhance the Universities impact on global citizenship. Supporting sustainable livelihoods fulfills a profound need and positively impacts the lives of many people," said President F.

A fundraising official described a strength of interdisciplinary, collaborative culture and a focus on solving real world, complex problems at university four:

What we have here that is unique and relevant is the collaboration across disciplines. A lot of universities say this, but it not a reality. ...unlike some other research universities, we look to solving real world problems. Often we see a number of colleges getting together because there are real world problems that they want to solve. For example, business will get together and work with robotics and computer science to solve a real problem that benefits the end user. The end result is that they are actually producing something that meets a real world need. So from a fundraising

standpoint, you can show the impact on the world and relevance to the need or problem being solved.

An official at University three explained the meaning of a having a strength of a positive environment in fundraising this way: "...if managers and leaders know that having a positive work environment matters, they will figure their own way of building that.

People deserve to feel that they matter. Last year the university conducted an institution wide values and leadership survey, and our unit was ranked highest in terms of employee satisfaction. That doesn't mean that it shouldn't be even better, because we've learned all kinds of useful things that are helping us refine our communication, and our methods. A fundraising exemplar message from University five exhibits their strengths in a interdisciplinary and collegial partnership between faculty, students and constituents that solves problems in developing nations:

Established in 2003, the D program involves faculty and students from the colleges of agriculture, business, liberal arts and sciences, and family and consumer sciences. They work with partner organizations in developing nations to stimulate and support activities to counter problems that underlie local food shortages, disease and inadequate income. The program also enables student exchanges between the University and universities in developing nations. "Hunger and poverty are the result of several factors that limit people's ability to meet their most basic needs," said V, associate professor of C. "A central element in our approach is working with local people to help carry out their ideas. By listening to them, we learn about successful activities, local resources and innovative

ideas-- as well as the challenges they face. We combine community knowledge with faculty and student knowledge to determine where to begin and how to proceed," V said. At the core of the program is commitment to local sustainability and to avoid creating relationships of dependence, he said. The L nation experiences significant problems of poverty, hunger and malnutrition. According to a 2003 report from the Q, T percent of the population lives on less than \$2 per day, infant mortality is high and G percent of adults are infected with HIV/AIDS.

A university two official described their strength in interdisciplinary culture and its impact on fundraising:

The collaborative, interdisciplinary research is the norm on our campus.

The days of having siloed kinds of academic research are over here.

Some of our biggest fundraising priorities and programs here are

disciplines that cross over more than half into other academic colleges. I

don't know if we are unique in that way. Certainly there are universities

out there that are much more siloed but I'm sure that they are getting the

picture that you don't solve big problems like an energy crisis without

involving agriculture, and engineering, and social scientists, it is very

interdisciplinary. We are doing most of our cutting edge research here in

interdisciplinary areas:

At university three, an official related their strength in interdisciplinary culture in solving big, complex problems as follows.

We are as interdisciplinary as any institution you could talk to in the country, and that's why we get so many federal grants by the way were noted for that. The barriers to interdisciplinary work are very thin here. Major donors like to think that if they put something together that is complex that we're not so hide-bound in terms of each discipline that were not open to considering the cross disciplinary ideas. We'll gravitate to and get excited about that complexity and that makes the mission even more compelling to people, I think. Tackling the biggest, most complex questions of our time, our exemplary researchers deliver real breakthroughs — cures for deadly diseases, new technologies that revolutionize industries and innovative practices that sustain our environment.

An official at university four described the benefits of an interdisciplinary focus in fundraising this way: "One of the advantages of our interdisciplinary focus v. having a bunch of stand alone professional schools is that people tend to work more collaboratively...That sends a good message. Some donors are interested in funding interdisciplinary kinds of projects. We have one of the few programs in international studies that is interdisciplinary, and that has attracted over \$10 million. The money followed the program development from our interdisciplinary strength."

An official described how university strengths connect with real world problems, and how interdisciplinary solutions can be used to create fundraising success stories:

The two most important elements in reaching donors are a) I'm interested in this, and b) I see the value and the impact either to me, my family, the

world or the community. You identify areas with strength and show how they are highly relevant to the world. For example, cyber security and terrorism is a big deal in the world right now, and we are good at solving problems in those arenas. If one of the world's big problems happens to fit with one of our capabilities our strengths, then a team will get together to work on the problem. For example, multiple departments including policy, psychology, design, and information technology are involved. When a number of individual departments get involved it augments overall success, gives you a bigger success story, because they are all doing wonderful things.

An official at university six chronicled the significance of strengths of collaborative culture and solving complex problems, in attracting funding:

We have realized the importance of having a culture of collaboration that enables us to differentiate ourselves, and tackle new and complex problems. Many of the challenges and problems facing society today don't fit into an academic discipline. Society's problems are more complex and multi-dimensional. We've found that we need to break traditional academic silos and think collaboratively across schools. This means pooling both intellectual, and in some cases, financial resources. Academia tends to be an environment where we are very siloed. You have a lot of faculty who are competing for research dollars. Tenure track mindset creates a pretty competitive market for faculty. Professors will say I'm in neurology, or I'm in engineering... Over the past eight years

our president has purposed to create a culture where they are opportunities and rewards for working across the boundaries of various disciplines. For example, our M engineering is #1 in the nation. Although the program is housed in engineering it involves an intensive collaboration between school of medicine and the school of engineering. We are also just attracted a multi-million dollar grant in global health- this involves the disciplines of medicine, health, arts and sciences, and education. You need the combination of nursing, and medicine, and community education to pull something like this off effectively. By being nimble we feel that we are better able to respond to the complexity of society's needs.

A quote from the president of University five summarized the notion of how a gift may enable a university to innovate through interdisciplinary solutions. "We are deeply indebted to alumnus J, who is committed to academic endeavors of the highest caliber," said University President I. This gift will allow us to strengthen our research and teaching in fields of vital importance to society, while enabling faculty and students to collaborate across disciplines to develop chemical, biological and nanotechnology innovations that we're only beginning to imagine today."

Credible, leading faculty or program

Analysis of fundraising data revealed that credible, leading faculty or programs were critical in successful appeal messages. Sub-theme categories under the credible, leading faculty or programs theme included: 1) advancement or leadership in research and education; 2) enhancement of research and education; and 3) quality of faculty with

program or award. As these sub-themes were combined in many of the appeal messages, all three sub-themes may be present in the below descriptions.

This statement from university three provides an example of strengths in a leading program which has an interdisciplinary focus, with credible faculty:

Today, the University E is a national leader in O-technology research. The interdisciplinary Center for O-technology was created to address the development and application of nanotechnology. In 2001, the University established the first O-technology Ph.D. program in the country. To date, 19 students have received degrees, and another 46 are in the process of completing their degrees. The Center's resources are available to University departments as well as companies and academic institutions. The University's O-technology efforts have been supported by both public sources, such as the National Science Foundation, and private funding. Faculty V is the first holder of the D Professorship in O Engineering, established by alumnus R and H. At the University, Faculty V earned a bachelor's degree in O engineering, long before O-technology was a buzzword. He's excited about its potential, especially in terms of healthcare. "With O-technology," Faculty V says, "you're actually able to see things that back in the day we could only hypothesize about." The University is at the forefront of this exciting field, taking a leadership role in a global competition for O-technology expertise. We've reached this position because our faculty are dedicated to the science of translating knowledge into solutions. This kind of commitment creates opportunities

for students to engage in exceptional scientific endeavors available at few other universities.

An official at university one suggested that their strength in leading programs and faculty in specific disciplines may be meaningful in fundraising:

There is no question that there are certain fields that may be more important. We have an industrial product with international status, and quality of faculty in our center for science and innovation. The lead researcher for this product was recruited internationally. We had multi-million gifts attracted to the strength of this kind of program. The P Center at the University School of U has received a million dollar gift from Alumnus F and Y that will provide enhanced facilities for what is widely recognized as one of the nation's leading centers for the diagnosis, evaluation, and treatment of M.

This fundraising exemplar from university two provided credibility in the form of the strength of a renowned faculty member:

Faculty I leads a large research program supported by the National Institutes of Health (NIH). He has published extensively and has served as a reviewer for several scientific journals, including "Journal of C," "Journal of L" and "Journal of F." He lends his experience to the NIH where he is a permanent member on the panel that reviews grant proposals in C, has served on a special panel that reviews new research on the links between L factors and F.

An official at university two highlighted this strength of leading programs in relationship to addressing societal issues of importance:

We will take some of our strong programs like our D programs, or our K economy programs and talk a lot about them in alumni magazines or in proposals where we are national leaders and are making a difference in the world. These are areas where we want donors to pay attention and invest their dollars here. We will often highlight highly recognized and awarded faculty members, in order to make the case for faculty support. So we will use whose work in benefiting society is nationally or internationally known in to show them to our prospective donors as good examples of what private support can do.

A fundraising appeal message from university six illustrated strengths of leading program and credible faculty in relationship to constituent benefits:

Scientists supported by the new K Center at University six will aggressively pursue novel P therapies, including S, to prevent X disease and sudden death in patients recovering from W attack. They also will use modern imaging techniques to better define the functional, structural and metabolic features of the W posing the greatest risk for life-threatening disease in patients. In addition, they will look to identify genetic and protein-related indicators of disease, and develop new methods to study genetic markers among patients at varying levels of risk for the condition. "Q death is ripe for a biological revolution," says Faculty O, M.D., Ph.D., director of the new K and professor of J. "If we can understand why

specific patients have disease, we can target those patients for intensive therapy while sparing others. Therefore, treatment will become increasingly customized to the patient, based upon knowledge of the individual abnormalities underlying a person's risk for disease."

An official at university four described the process of the definition of university strengths in relationship to strong programs:

Over time our president and provost have designed the five specific areas of excellence as strengths. U technology is one. K, J and L are big issues here. Q is another, we have a conservatory of Q, J, and L that is exemplary in preserving the Q for future generations. The N is another. P is another. So what we've done is to identify very specific areas of strength and excellence and chosen to focus on them. So there are no strengths of lesser importance here. The question is how did that particular element contribute to the whole or the impact? So our biggest problem was, when we tried to tell the story of Q, for example, we had the intersection of many departments and programs. And we had to find a way to communicate that. The question then is what is the story that you are telling, and what is the role of the individual departments within that story?

An official at university six explained that strengths in national rankings and awards of leading programs may influence fundraising:

We have several programs with both national recognition and international scope. Our school of E is ranked number one in the nation. Our B

program, school of S, and school of E rank in the top five of the nation.

We were also founded as an institution for the teaching and practice of research, so this is an important strength as well. We are known for our research training and application competencies, both at the graduate and undergraduate levels. As I mentioned our E school, and school of H, are examples of places that attract donor giving. Because our schools and national centers attract more interest and have a great track record, they attract more giving as well. In very general ways, we talk about the strengths of all our programs as points of pride for the university as a whole. It's the notion that so much is happening at our University right now that you can be proud of.

For example, our school of A won a national award, in the same way that another school might say, our school won the W championship this year. For recent graduates, you can talk about strengths more specifically and say "look here is where you've received your training and background for success in X field, here's why we need your support in this specific area to stay at the forefront of a key area."

University-Donor Relationship

Fundraising interview and message data revealed a prominent theme of donor relationship as being important in fundraising success. Donor relationship was viewed as being helpful to inform, develop, and refine fundraising communication by the interviewees. Sub-theme categories under donor relationship included: 1) honor, commemoration; 2) feeling of pride, loyalty; 3) donor centric or relevant; 4) donor

relationship, listening; and 5) recognition, gratitude, and are described by sub-theme below. An official at university six chronicled how different approaches to existing or new major donor relationships may translate into large fundraising gifts. The official noted that strengths may be crucial for development of new relationships:

Every year several major donors make major, 6, 7 or 8 figure gifts. So an emphasis on major donors is very important to us. We are very good at identifying and cultivating donors who have the potential to make a large gift. It varies depending upon the audience. For the existing audience, parents and alumni who know the institution the strengths engender a feeling of pride in the accomplishments and graduates, that relates to general response in giving. However, for new audiences or donors, strengths are important because donors usually will give to a specific area that they care about, whether that is medicine or public health or conservation in F. People will say, "Wow, you are really doing some cutting edge things in this area, it's an interest of ours", and we'd like to develop a relationship with you. Our strengths allow us to attract unknown and new donors in specific areas. First, you need to understand the audience that you are trying to communicate with. Every message needs to be tailored to the specific interests of an audience. For one audience it might be "help us cure H, for another it might be help us preserve these E or Qs". For another audience it might be, "take pride in your alma mater and the great experiences you had here." For another it

might be, "here's some cutting edge research that is changing public health."

Honor, commemoration. This exemplar from university one illustrated commemoration of donors in a fundraising message:

As part of the couple's ongoing commitment to C education and to the University, S and D have made a W million gift to the University D's Center. Among the campuses of the University, the center is considered a model facility. In recognition of their generosity, the center will be named the S and D Center at University.

This exemplar from university five illustrates how donor may be honored as they facilitate advancement in university strengths of undergraduate education and interdisciplinary research:

The development of this important new facility a perfect opportunity for us to honor the Ws and their commitment to the University," said F, president of the university. "Just as the Ws have helped advance the university on so many fronts, the facility will help build our future in undergraduate education, interdisciplinary research, service to the community and our alumni, and areas as yet uncharted."

Feeling of pride, loyalty. An exemplar from university two revealed the loyalty of an alumni member to the institution, importance of a leading program opportunity, and honoring of the alumni in the fundraising message:

We wanted to help establish the hospital as a premier environment for the study and practice of L," G said. "I benefited so much from my experience

at the University and now I hope we will be able to enrich the lives and careers of future students and for L owners." G graduated with two degrees from the college -- a V in 19__ and a Ph.D. in 19__. From 19__ to 19__, he was a professor of A at the college. He is founder, chairman and CEO of O., a company in Q that develops and manufactures E products, which are distributed through T and I.

A generalized statement from the president of university six highlighted the importance of honoring constituent loyalty in fundraising success:

Ever since 18__, when D, and K deeded land to the Board of Trustees to provide the University with a campus and an endowment, philanthropic support has played a crucial role in advancing teaching, research, artistic creation, and community service at the University. The extraordinary generosity of alumni, faculty, staff, and other friends has propelled the University to the top tier of American research universities. In recent years, these partners also helped the University set a new benchmark in higher education. The university's F recent fundraising campaign went on record as the most successful fundraising effort ever, raising \$ in D years.

Donor centric or relevant. An official at university three explained the meaning of donor relationship in fundraising, emphasizing a donor centered approach:

We have a donor centered fundraising approach where donors can match their passions and interests with priorities on campus. We don't cram priorities down their throats like other universities do. We have found this

donor centered approach to be very successful in raising funds. I think that this approach stems from the collaborative nature of this university.

An official at university four stated the significance of making fundraising appeals relevant to the donor audience, and how audience research enables the university to accomplish this goal:

Donors want to see relevance. How is relevant to me? What benefit is there to me, my community and the world, the micro and the macro? So many organizations are trying to get a share of wallet, so relevance to the audience is very important that they see and understand will be of benefit instead of a vague, kind of good feeling sort-of thing. We want to show how the collaboration creates impact on them, their community and world, and how this has relevance to them. Faculty will co-author papers for example. People want to give money to causes that they care about. So they switch brands, they switch retail outlets according to the values they believe in. We survey the audiences. We ask audiences what they care about, and what they are interested in. We ask them what they would say the key attributes for a successful university are. We use Email and print surveys. We plan to do phone interviews because you get more qualitative information that way.

An official at university four commented on the importance of discovering donor interest or relevance in relationship to university strengths in problem solving or leading programs which may benefit society:

So it is more important to find out what donors are interested in, and to provide them choices. Or to find out what they are interested in, and show them that your university is a solution for solving that problem or a leader. For example, we have people who are highly devoted to the I. Their sentiments may be entirely different than donors who feel that they want to support a N project, for example. The two most important elements though are a) I'm interested in this, and b) I see the value and the impact either to me, my family, the world or the community.

An official at university four related how donor research allowed them to position their university and emphasize strengths in areas that are relevant to donors:

Our positioning statement was developed from significant research with alumni and people that know us, and also people in the industry, corporate people. We tried to see how they perceived us, and to come to some idea of our value-add, or unique purpose in their minds. Fundamentally, we were able to prove that our university is a place where the S and K collaborate for global impact. Our development officers were telling us that people were very interested in knowing about our W strategy. That led us to produce a publication called Presidential perspectives... We have found that this has helped inform donors to know that we really do know what we are doing, and this is our specific strategy to impact the world.

Donor relationship, listening. An official at university two commented on how donor relationship affects fundraising:

This is a relationship building business. Large gifts will only happen through a strong relationship. Typically this is done via the development officer or major gifts officer. Certainly faculty, deans, and the president are involved in their areas of expertise. But it's all about relationship building. If we don't have development officers who stick around a while and have a certain length of tenure, we will not be as effective. This is a problem in our business because there is a shortage of talent. So many people leave and job hop because they get job offers for more money elsewhere. But longevity, stability, and quality fundraiser are the key because fundraising is all about relationship building. I think that most fund raising programs are mediocre at best in this country. This is because they do what I would call drive-by fund raising, "hi, how are you, give a million dollars." But really good fundraisers and really good programs are the ones that take the time to build the relationship first. This does not happen overnight but takes 1- 4 years to build a solid relationship with an individual that will inspire them to make transformational gift, very large gifts. Many programs do the drive by fundraising that gets them the million dollar gift, whereas if they had focused on the donor relationship that million could have been 10 million. I think a lot of programs are under producing because they do not focus on relationship building, which certainly does not happen overnight.

Recognition, gratitude. An example from university one showed how giving enabled the university to develop its strengths to benefit constituents, and recognizes and thanks the giving alumni:

This generous investment is going to help our Graduate School of F build on its strengths in ways that will have a profound impact on the lives and well being of children," said the university's chancellor, T. "We applaud K and C for the boldness of their vision, and thank them for demonstrating their confidence in the creativity and leadership of our faculty in a way that will provide tremendous benefits to tomorrow's teachers and students."

This fundraising exemplar message from the president of university three that expressed university strengths, honor and gratitude to donors:

Our satisfaction over these achievements is strong, but is outweighed by our overwhelming sense of gratitude to all of you — our dedicated supporters and greatest advocates — for your tremendous support of University students, faculty, programs and facilities. Your support enables us to expand the scope and power of education, advance the frontiers of health, foster better cultural understanding and active civic involvement, promote our region's economic vitality, and cultivate and sustain our natural environment.

An official at university three communicated their philosophy of fundraising with regard to donor relationship, responsiveness, respect and gratitude. Note that the official

addressed donors in the familiar “you” in the interview, which appeared to be evidence a donor relationship emphasis:

We do this with a very specific philosophy in mind, and that is we are responsive and respectful to donors, and it’s their passion that guides the cultivation of those gifts. So everyone on our team is not only encouraged but trained, and we support each other in being really donor centric, as well as representatives of University as a whole. So there's a tremendous amount of sharing and goodwill here.

As you might anticipate we hope that you might want to give to the current campaign, and what matters to us most is that you have a truly terrific giving experience, and the best way for that to happen is for us to hear from you how you would like to be approached, what areas are important to you, for you to guide us. And we will be so grateful and will follow that guidance. They love that, they want to be brought into the cultivation of their own gift, and that makes things so much easier.

CHAPTER 5: DISCUSSION

... whenever someone looks you in the eye and says, this is not a money problem, they are almost certainly talking about someone else's problem. Half of all basic research--research not immediately transferable to commerce but essential to progress--is conducted in our universities.

William J. Clinton

Overview

This multiple case study explored how the communication of institutional strengths in fundraising appeal messages was related to successful fundraising outcomes in Carnegie (2000) classified Tier One Research Extensive Universities. Past studies (Pickett, 1977; Leslie & Ramey, 1988; Loessin & Duronio, 1990; Turmel, 1998) revealed that success in fundraising was related to institutional characteristics (i.e., number of alumni, quality of faculty). Recent studies (Loessin & Duronio 1990, 1991, 1993) explored what institutional characteristics (e.g., fundraising program, institutional program) were related to fundraising performance, and institutional strengths were found to be important. Yet questions remained about the qualities of such strengths, how strengths were communicated in fundraising messages, and their relationship to fundraising success. To answer these questions, data was gathered from disparate sources including participant interviews, publications, web-based fundraising appeals, and fundraising appeal letters from university participants. Six universities which had achieved successful fundraising outcomes were explored in depth through a multiple case study design (Yin, 2003).

Here, research findings, as interpreted by through reflection and agreement by the primary and secondary researcher, are compared and contrasted with existing data, and novel data which emerged in the study are reviewed. First, discussion centers on

research subquestions one and two. Next, overall trends or surprising findings elicited from the data which surfaced outside of the research questions are discussed. Based upon the findings from the study, a preliminary model of university strengths and strengths in fundraising messages is presented. Discussion closes with implications for research and practice of fundraising.

Research Question One

The central research question was “what institutional strengths are important, and how do Tier One Research Extensive Universities communicate these strengths in fundraising messages, in order to achieve successful fundraising outcomes?” The first research subquestion was “what institutional strengths are important in order to achieve successful fundraising outcomes?” For purposes of this study, institutional strengths were defined as distinctive competencies (e.g., institutional research capacities, programs or majors) that an institution defines and communicates (Kotler & Fox, 1995) to contribute to university niche and image. Kotler and Fox posited that institutions should pursue goals, opportunities, and strategies that are congruent with their strengths, and avoid those where their resources are too weak. Kotler and Fox (1995) posited that universities may differentiate themselves from other institutions by understanding and concentrating on their strengths.

Strengths Related to Success in Fundraising

Consistent with Loessin and Duronio’s (1993) findings, study data confirmed that university strengths did coalesce around specific themes (i.e., quality of life), and were related to above average fundraising outcomes. All six participant interviews indicated that strengths were important in successful fundraising. Content analysis (Neuendorf,

2002) of university case study interviews, fundraising annual report data, publications, letter and web-based appeals in successful institutions showed that university strengths accounted for 22.4% of all text unit counts (n=1,107). Cross case analysis of strength themes across the six university participants yielded five areas of commonality: (1) quality of faculty; (2) quality of programs; (3) innovation; (4) student development; and (5) interdisciplinary culture, as shown in Table 4.5.

University strengths findings in areas of quality of faculty, quality of programs, and student development appear to reinforce existing studies as institutional characteristics that correlate with fundraising success (Leslie & Ramey, 1988; Pickett, 1990). Distinct strengths or competencies of a university may be important contributors to institutional image (Garvin, 1980). Fraser (2003) hypothesized that institutional strengths may play a role similar to that of brand equity, and thus may create value for an organization through increased probability of consumer choice for the brand, increased effectiveness of marketing communications, and improved market competitiveness. Findings from this study included novel characterizations of institutional strengths as research that produces innovative solutions, and interdisciplinary or collaborative culture, which were not found in existing literature.

Innovation

A strength in innovation was described in the data as cutting-edge, advancements or enhancements in knowledge that benefits society. No studies were found that showed the relationship between innovation and fundraising success in research universities to date. Existing studies from related disciplines where funding is meaningful to similar organizational outcomes (e.g., venture capital funding of research and development) may

provide support for the importance of an innovation strength theme for fundraising in research universities. For example, Feller (1999) noted that in 1997 research universities performed \$16.1 billion of the \$31.2 billion total expended on basic research and development, and viewed the American university system as a significant source of innovation. Florida (1999) argued that the U.S. economy has derived significant advantage from the production of innovation and intellectual capital contributed by research universities. Florida posited that university innovations enable recruitment of top faculty in their disciplines, which in turn draws top undergraduate and graduate students, furthering university reputation. Porter (1990) chronicled significant growth in research innovation over recent decades, and posited that innovation may be a basis for competitive advantage of enterprises.

Callahan and Muegge (2003) reviewed literature on the role of venture capital in funding innovation, and suggested that innovation financed through venture capital may fuel economic development. Hall (2002) noted that a funding gap for costs of research and development activities existed in industry, and that further study in the sources and development of equity markets for innovation was warranted. University research activities that stimulate innovation are not unlike research and development activities in industry, and the relationship between innovation and venture capital may be comparable to that of fundraising.

Interdisciplinary Culture

Interdisciplinary culture was characterized in the data as a collegial, collaborative environment where separate disciplines work together on university activities (e.g., medicine and education in global health). The relationship of a strength of

interdisciplinary or collaborative culture and fundraising success has not been established in studies to date. However, some sources report a trend in funding support for more interdisciplinary research projects. Russo (2005) noted that although the National Institutes of Health budget cuts have impacted fundraising grantees in general, support for interdisciplinary opportunities for funding have continued to grow. Russo noted that in neuroscience, where synapse, cognition and mood disciplines collaborate, is one example of a research center that is receiving funding.

In many fields, standards of practice may include interdisciplinary means, thus driving the research focus of universities. Coffman and Henderson (2001) suggested that health services are increasingly delivered in community-based settings through interdisciplinary team structures. Their case study of governmental funding of public health care and medical service education providers revealed a trend toward multi-disciplinary team practices. Similar interdisciplinary emphasis on practice and funding trends was found in a study on social work practice. Jarman-Rohde, et. al. (1997) performed action research on social work practice in private and public hospitals through dialogues with regional accrediting members, and hospital officials. They noted that social work programs are affected by university financial pressures and constraints. Interestingly, they posit that budget decreases in public and private universities are enhancing collaboration among academic units in interdisciplinary research and training. Hence, an understanding of how interdisciplinary strength themes and messaging enhances funding success for research universities may be beneficial.

Research Question Two

The second research subquestion was “how are institutional strengths communicated in effective fundraising messages?” Content analysis (Neuendorf, 2002) of fundraising message data revealed five strength message themes: (1) strength success stories with constituent testimonials (n= 1336); (2) innovative, interdisciplinary solutions to big, complex problems (n= 608); (3) donor relationship (n= 555); (4) credible, leading faculty or program (n= 452); and (5) quality of life (n= 374). These five strength message themes was well represented in the data, and accounted for 48.5% of all text units (n=2,182). Novel strength message themes not established in existing fundraising literature included strength success stories with constituent testimonials and innovative, interdisciplinary solutions to big, complex problems. The five strength message themes will be discussed in relationship to the existing body of knowledge by theme.

Strength success stories with constituent testimonials

Study data showed that successful fundraising appeal messages were effectively communicated through story forms, highlighted by, and demonstrated to, university constituents. Story or narrative constructions have been argued to be a fundamental structure in making of meaning (Bruner 1986, 2002). The strength success stories with constituent testimonials theme appears to be consistent with Bruner (1986, 2002) and Rossiter’s (2002) research on the influence of narrative on the meaning making, and may provide means to assist donors in making meaning of fundraising messages. Rossiter’s (2002) review of narrative studies demonstrated that narrative proposals provided fundamental frames of meaning within which learning is constructed.

University strength message data communicated stories of how research was successful through the voices of constituents (e.g., reducing human suffering), consistent

with studies showing a positive relationship between fundraising success and success story messages. Mindak and Bybee (1971) performed a multivariate theme analysis of multiple fundraising campaigns for a non-profit foundation and concluded that success stories about constituents significantly influenced outcomes in a charitable fund drive. Consistent with study findings, university accomplishments that were demonstrated through facts, statistics or stories, and that included testimonials of constituents, were noteworthy in successful appeals.

University officials commented that the demonstration of success through diverse voices of students or faculty was vital in fundraising success. Berry and Parasuraman's (1991) study of customer satisfaction revealed that customers value a reliable and consistent delivery of services, and that this relates to a perception of good quality. Berry and Parasuraman observed that quality must be continually demonstrated to consumers in service-based organizations (i.e., educational institutions). Murray (1991) found that consumers rely on information sources to reduce the perception of intangibility involved in services. A demonstration of the service was posited to be a significant source of information that consumers relied upon when making a purchase decision. It is hypothesized that demonstration of university successes may enhance donor perceptions of quality in educational institutions, with possible effects in fundraising.

Innovative, interdisciplinary solutions to big, complex problems

University interview and publication data showed that funding was associated with appeal message themes that communicated innovative, interdisciplinary solutions to large scale, complex problems. Characterizations of the strengths of innovation and interdisciplinary culture are provided above. Data revealed that the combination of

interdisciplinary efforts may be necessary to address the scale and complexity of regional or global problems. Although no studies exist that evidence a relationship between fundraising success and these themes, other works may corroborate study data. Brown and Plewes (2004) reviewed surveys of innovation in industry from 1979 to 2004 and found that universities represented a significant source of innovation for industry and sciences. They found that innovations had distinct and far reaching purposes including “introducing new products to the market has implications for economic growth, and new processes provide opportunities for improvements in productivity, quality, or other desired objectives, such as reduced environmental emissions or a happier labor force” (p. 91). Big, complex problems were described as those involving regional or worldwide scale, and presenting issues that are unsolvable through the application of any single discipline. This may be consistent with Arden and Whalen’s (1978) notion of the importance in fundraising of addressing a problem that needs a solution.

The U.S. Department of Health and Human Services (2006) described global health, for example, as a big problem with worldwide scope (i.e., HIV/AIDS affects many developing nations throughout the world). University officials stated that the problem of global health is complex, and has eluded solution through the application of any single discipline (i.e., health care education for AIDS prevention). University officials stated that strength themes of interdisciplinary culture enabled their institution to differentiate itself from others by giving the institution capacity to address new and complex problems and develop innovative solutions.

Study findings also appeared correspond to Lee’s (2002) findings that the visualization of need or benefit and urgency of need to solve a problem, is related to

positive fundraising outcomes. Lee's descriptive survey of 63 fundraising appeal packages yielded the following categories for content analysis: (1) facts or statistics; (2) examples; (3) photos; (4) narratives; (5) testimonies; (6) visualization of need or benefit; and 7) urgency of need to solve a problem.

With regard to the interdisciplinary emphasis found in appeal message data, a National Research Council (NRC) study on Interdisciplinary Research in Mathematics (1987), Science and Technology Education evidenced a growing trend in funding of interdisciplinary research and development projects. The study recommended that the National Science Foundation "engage in a program of outreach to the disciplines to begin to develop a standard concept of interdisciplinary and multidisciplinary research and, on an experimental basis, initiate a program to collect this information from a subset of academic and research institutions" (p. 129). In the NRC study, cross disciplinary collaborations between the fields of science, particularly between engineering and the other sciences, were characterized as examples of research and development projects that had the potential to solve complex problems, and received increased funding. Interestingly, the National Research Council (1987) study stated that expenditures at many colleges and universities failed to "facilitate the collection of information to measure interdisciplinary research, but also, in fact, actively discourages respondents from reporting interdisciplinary research" (p. 128). The combined increase in funding of innovative, interdisciplinary research work that is focused on solving society's complex problems, and lack of cross disciplinary research emphasis at many universities, may offer present important ramifications for fundraising, corroborating findings from this study.

University-Donor Relationship

University officials commented that effective fundraising communication was conducted in the context of an ongoing donor relationship. Findings indicated that university-donor relationship was characterized by attributes of: (1) honor, commemoration; (2) feeling of pride, loyalty; (3) donor centric or donor relevant; (4) donor relationship, listening; and (5) recognition, gratitude. Although findings were consistent with several existing studies, the combination of one or all attributes may be important for effective fundraising, as all the attributes were present in successful institutions. Interview data showed emphasis on donor relationships and listening to donors, particularly in approaches to major donor relationships aimed to produce larger fundraising gifts. Fundraising messages consistently evidenced recognition, appreciation and honoring of donors. Findings indicated that messages that were relevant to donor, or centered upon donor interests were important. Appeals also appeared to focus upon developing a feeling of pride or loyalty in donors. Data showed an emphasis by universities upon development of a relationship with donors where officials communicated with and received feedback from donors in order to define and refine university strength messages.

Consistent with study findings, Sturtevant performed a case study on major giving in a university and found (1997) that two of the four most common reasons that major gifts to institutions fail to materialize corresponded to a degree of donor relationship: (1) the institution fails to establish trust between the organization and the prospective

benefactor; and (2) fundraisers fail to connect the interests and needs of the donors with institutional activities in donor interest or need areas. Prince and File (1994) conducted a cluster analysis of wealthy donors to understand their interests and motivations for giving. Through this research, specific donor interests were revealed: (1) affiliators, who look for social and business linkages through nonprofit activities; 2) pragmatists, who see personal financial advantages through support of nonprofits; (3) dynasts, who are heirs to family affluence and to the tradition of philanthropy; and (4) repayers, who want to reciprocate benefits they or someone close to them received from a nonprofit. They posited that through the building of relationship with constituents, institutions may better understand their interests and needs.

Hall (2006) performed a meta- review of several recent surveys of donor responsiveness and concluded that charities should regularly interact with donors to determine their level of satisfaction with charitable activities, focusing on donor's needs for information vs. money, and responding swiftly to donor concerns. Hall noted that charities desire to improve donor loyalty and support through such interactions, implying the need for donor relationship, consistent with this study. Hartline and Ferrell's (1996) study of services marketing in 444 hotel units suggested that client-based relationships that are based on positive attitudes and behaviors may serve donors needs more effectively, and result in more satisfied customers. They found development of relationships with donors may enable organizations to understand and serve their needs and interests, and may offer significant benefits in fundraising.

University interview data suggested that knowledge of donor interests developed through relationship may enable institutions to develop and communicate strengths that

are relevant to the donor. Relevance of an organization's brand or story to an audience has been found to be important in marketing studies. Philport and Arbittier (1997) review of advertising studies revealed that attributes of perceived distinctiveness of a brand, relevance of the brand to the consumer, how highly consumers esteem the brand, and amount of knowledge about the brand affected consumer perceptions of brand equity. Consistent with Philport and Arbittier, university officials stated that fundraising messages must be relevant to the constituent audience, and that relevance may be achieved through donor relationship.

Credible, leading faculty or program

Study findings indicated that fundraising messages that communicated the credibility and discipline-leading qualities of faculty were important in fundraising performance. University officials consistently emphasized that a relationship existed between quality of faculty or program, their ranking or credibility, and successful fundraising. Kotler and Fox (1995) argued that university strengths such as quality of faculty, quality of facilities, friendly atmosphere, individualized student focus, or academic offerings may contribute to a favorable image in the minds of constituents. Data appears to agree with Ritzenbein's (1998) frequency distribution analysis in fundraising appeal content of twenty-one non profit institutions, where quality of institution and program was important in fundraising outcomes. The theme of credible, nationally recognized, leading faculty or program appears to relate Arden and Whalen's (1978) premise of the importance of quality institutional credentials (i.e., being a recognized authority on a cause), and emphasis upon quality (Cascione, 2003; Ritzenbein, 1998), in relationship to fundraising success. University officials stated that

they rely upon multiple ranking systems (i.e., U. S. News & World Report, Carnegie) to validate the quality of their faculty and programs.

Quality of life

Fundraising messages that presented themes showing improved quality of life were more significant in donor fundraising response, consistent with several existing studies. Message data from this study presented benefits to regional, student, faculty, and world quality of life consistent with several existing fundraising studies. Steinberg (2004) found that philanthropic giving to tier one research universities to private and public research universities outpaced giving at masters and liberal arts colleges by a factor of twenty. The large disparity in giving was attributed to the position that university research benefits the quality of life of people, and is therefore worthy of support. Schervish and O'Herlihy's (2001) study of wealthy individuals and motivations in giving revealed that because their material needs have been met, wealthy people may be open to explore ways that their resources can have a meaningful impact on the world (pp. 3-4), such as those which communicate quality of life impact.

Consistent with study findings, Arden and Whalen's (1978) analysis of goals for fundraising appeals included themes that emphasized a cause that linked the strengths of the institution with benefits to humanity, need or problem. Arden and Whalen (1978) posited that the goal of every fundraising appeal is to present a comprehensive theme or case which includes the following elements: (1) a cause or theme that links the strengths of the institution with benefits to humanity, need or problem (i.e., search for a cure for Alzheimers disease); (2) explanation of, and credentials for, the institution as being preeminent or an authority on a cause (i.e., Nobel prize in research in Alzheimers); and

(3) development of a logical and convincing argument or plan to remedy the need or problem.

Lack of Emphasis upon Mission Statements

An interesting finding beyond the study's research questions was a lack of emphasis upon mission statements in fundraising communication. The value of defining and communicating organizational mission, as defined as its purpose or reason for being, has been explored extensively (Pearce, 1982; Miles & Snow, 1986; Collins & Porras, 1991; Drucker, 1998). Tempel (2003) suggested that fundraising effectiveness is based on a foundation of organizational mission and strengths, and further, that organizational weaknesses and vulnerabilities can undermine fundraising efforts. In Cascione's (2003) study of donor giving, donors indicated that the educational mission of the institution, as characterized by intellectually, morally, and socially based components which offered opportunity to transform society for the better, was significant. Donors indicated that they valued universities role in influencing societal values, as a catalyst for intellectual and social progress. However, in cross case analysis of university fundraising messages from this study, institutional mission did not triangulate across the cases. In contrast to extant literature, analysis of university messages revealed that only two out of the six institutions had mission content in their appeals. Although fundraising message data that communicated aspects of societal beneficence were found to be related to fundraising success, consistent with existing studies.

Hoffman and Bateson (2001) posited that the marketing of services (i.e., student development and education) is intangible, and therefore more difficult to understand by consumers than tangible products such as automobiles. It is hypothesized that university

strength themes (e.g., quality of life benefits such as improvement in global health) may be perceived more tangibly by donors, and that perception of mission statements may be less concrete. When university mission statements were communicated in appeals, many were associated with strength message theme support, which may have aided in perception of tangibility.

Differences in Private vs. Public Institutions

Although the study's research questions did not address quantitative differences in funding between private and public institutions, study data did confirm this disparity. A study of all tier one research universities performed by The Center at the University of Florida (2000) revealed that public and private universities had significant differences that influenced fundraising performance, and that they were in competition for the same donor and grant funding sources. The study posited that private universities outperformed publics in fundraising due to their large endowments and donor aligned mission. Public institutions were shown to raise less money, possibly due to larger levels of state support than privates, creating less of a need for fundraising. Data from this multiple case study bore out this disparity. For fiscal year 2003-2005, total mean giving from private sources to public universities was \$142,505,000, while public universities received \$288,893,000.

Carnesale (2006), chancellor of the University of California at Los Angeles and former provost of Harvard University, commented on the importance of research universities in society, and the significance of a gap in funding between private and public institutions: "Growing disparities between the financial resources of private universities and those of public universities are creating inequities that could have

damaging repercussions — not only for economic advancement and social mobility in our own country, but also for the ability of America to compete internationally.”

An interesting trend however, surfaced in the amount of change in private giving to private and public universities during the period studied. From 2003 to 2005, the percentage change of giving to private institutions was 345%, while in the public universities it was 340%. Thus, although the difference in total funds raised was still sizeable, the percentage change in giving is almost at parity, and may indicate a stronger emphasis on fundraising in public institutions.

CHAPTER 6: FINDINGS AND CONCLUSIONS

This chapter discusses the findings and conclusions of the study, emphasizing the findings that represent new contributions to what is known about institutional strengths in fundraising. Based on the findings of study as interpreted through reflection and agreement by the primary and secondary researcher, the implications for theory, further research, and practice are discussed.

Key Results and Findings

Five common areas of institutional strengths were found in response to the first research sub-question, “what institutional strengths are important in order to achieve successful fundraising outcomes?” (1) quality of faculty; (2) quality of programs; (3) innovation; (4) student development; and (5) interdisciplinary culture. Institutional strength in areas of quality of faculty, quality of programs, and student development appear to reinforce existing studies as institutional characteristics that correlate with fundraising success. Two findings, innovation and interdisciplinary culture, are new contributions to what is known about institutional strengths in fundraising. An institutional strength in innovation was described in the data as leading advancements or enhancements in a field of knowledge that benefits society. Interdisciplinary culture was characterized in the data as a collegial, collaborative environment where different disciplines work together (e.g., medicine and education in global health research).

Five themes were also found in response to the second research sub-question “how are institutional strengths communicated in effective fundraising messages?” (1) strength success stories with constituent testimonials; (2) innovative, interdisciplinary solutions to big, complex problems; (3) donor relationship; (4) credible, leading faculty

or program; and (5) quality of life. Three common fundraising message themes: donor relationship, credible, leading faculty or program, and quality of life were consistent with existing research. Themes of strength success stories with constituent testimonials, and innovative, interdisciplinary solutions to big, complex problems, represent new knowledge. A strength success stories with constituent testimonials theme presented university accomplishments as demonstrated through facts, statistics or stories, and included testimonials of constituents. University interview and publication data indicated that funding was associated with appeal message themes which described how universities were addressing large scale, complex problems through innovative, interdisciplinary solutions. Interview data also emphasized the importance of university-donor relationships, particularly on approaches to major donor relationships aimed to produce larger fundraising gifts. The remainder of this chapter discusses the implications of these findings for theory development, further research, and practice.

Implications for Theory Development

Torraco (2002) noted that case study research offered “significant benefits for those seeking to develop theory in new, largely unexplored areas” (p. 371). Two models are conceptually presented for future testing and analysis: (1) a model of university-donor relationship; and (2) a model of communicating institutional strengths for effective Fundraising in Research Universities.

A Model of University- Donor Relationship

Study results showed that effective fundraising communication exists within the context of an ongoing relationship between the university and the donor. Findings indicated that university-donor relationship was characterized by attributes of: (1) honor,

commemoration; (2) feeling of pride, loyalty; (3) donor centric or donor relevant; (4) donor relationship, listening; and (5) recognition, gratitude. Although findings were consistent with several existing studies, the combination of one or all of the above attributes may be important for effective fundraising, as all the attributes were present in successful institutions. University interview data indicated that a university's relationship with its donors enhanced fundraising success by informing the definition of institutional strengths, strength message themes and appeals.

The notion of ongoing relationship between university officials and donors appears to be consistent with a two-way communication pattern (Bell & Smith, 2006). In a two-way pattern two parties (e.g., donor and university) send and receive information through ongoing communication and feedback over time, as depicted in Figure 6.1 below. Bell and Smith suggested that this relationship was characterized by mutual trust, and sharing of meaning between the two parties. This ongoing pattern of communication is depicted in Figure 6.1 below, by the arrows going back and forth between university and donor. An individual fundraising appeal message, which the university may develop at any time, is represented by the dotted line connected to the line of ongoing relationship from university to donor. Findings indicated that the definition of institutional strengths, strength message themes, and development of a fundraising appeal message, as shown in Figure 6.2 below, are posited to exist within the context of an ongoing university-donor relationship.

Based upon the findings of this study, the proposed model of fundraising communication presented in Figure 2.2 above is modified in Figure 6.2 below. Figure 6.2 depicts a new conceptual model showing how institutional strengths, and appeal strength message

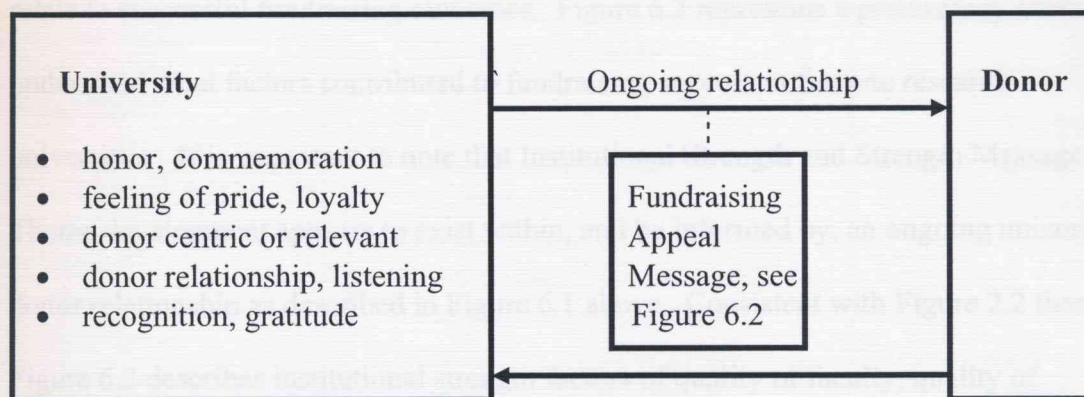


Figure 6.1 University- Donor Relationship

A Model of Communicating Institutional Strengths for Effective Fundraising in Research Universities

Figure 2.2 below, the Proposed Model of Fundraising Communication, depicts how the study reflected Shannon and Weaver's (1963) theory of communication.

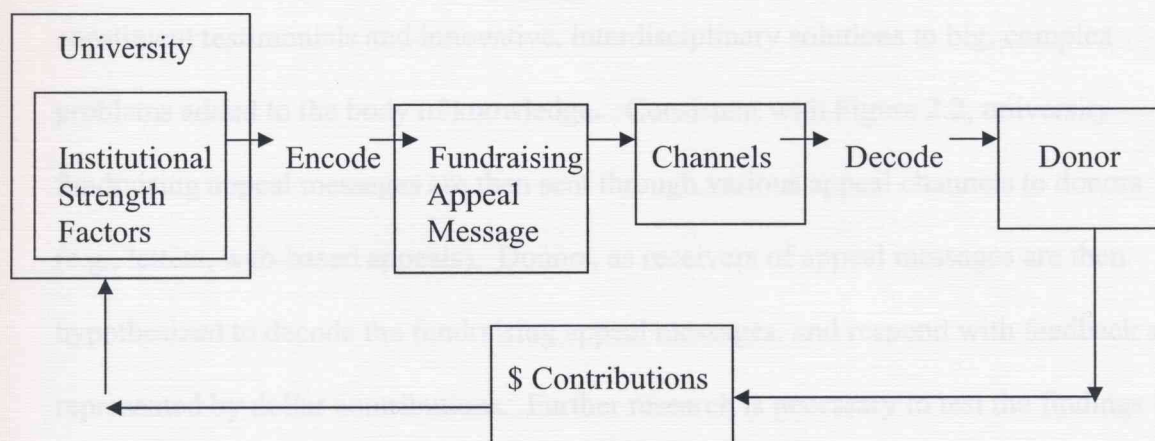


Figure 2.2, Proposed Model of Fundraising Communication

Based upon the findings of this study, the proposed model of fundraising communication presented in Figure 2.2 above is modified in Figure 6.2 below. Figure 6.2 depicts a new, conceptual model showing how institutional strengths, and appeal strength message

theme factors may contribute to the development of fundraising appeal messages, and relate to successful fundraising outcomes. Figure 6.2 represents a preliminary attempt to understand what factors contributed to fundraising success in tier one research universities. It is important to note that Institutional Strength and Strength Message Theme development appears to exist within, and be informed by, an ongoing university-donor relationship as described in Figure 6.1 above. Consistent with Figure 2.2 then, Figure 6.2 describes institutional strength factors of quality of faculty, quality of programs, and student development (confirming existing studies), and new factors of innovation and interdisciplinary culture. Findings appear to show that strength message themes, which are informed by institutional strengths, are encoded by the institution into fundraising appeal messages (e.g., innovative, interdisciplinary solutions to big, complex problems), Strength message themes of credible, leading faculty or program and quality of life confirmed existing knowledge, while themes of strength success stories with constituent testimonials and innovative, interdisciplinary solutions to big, complex problems added to the body of knowledge. Consistent with Figure 2.2, university fundraising appeal messages are then sent through various appeal channels to donors (e.g., letters, web-based appeals). Donors, as receivers of appeal messages are then hypothesized to decode the fundraising appeal messages, and respond with feedback as represented by dollar contributions. Further research is necessary to test the findings to develop a more reliable model of how donor relationship, institutional strength, and strength message theme factors influence fundraising outcomes.

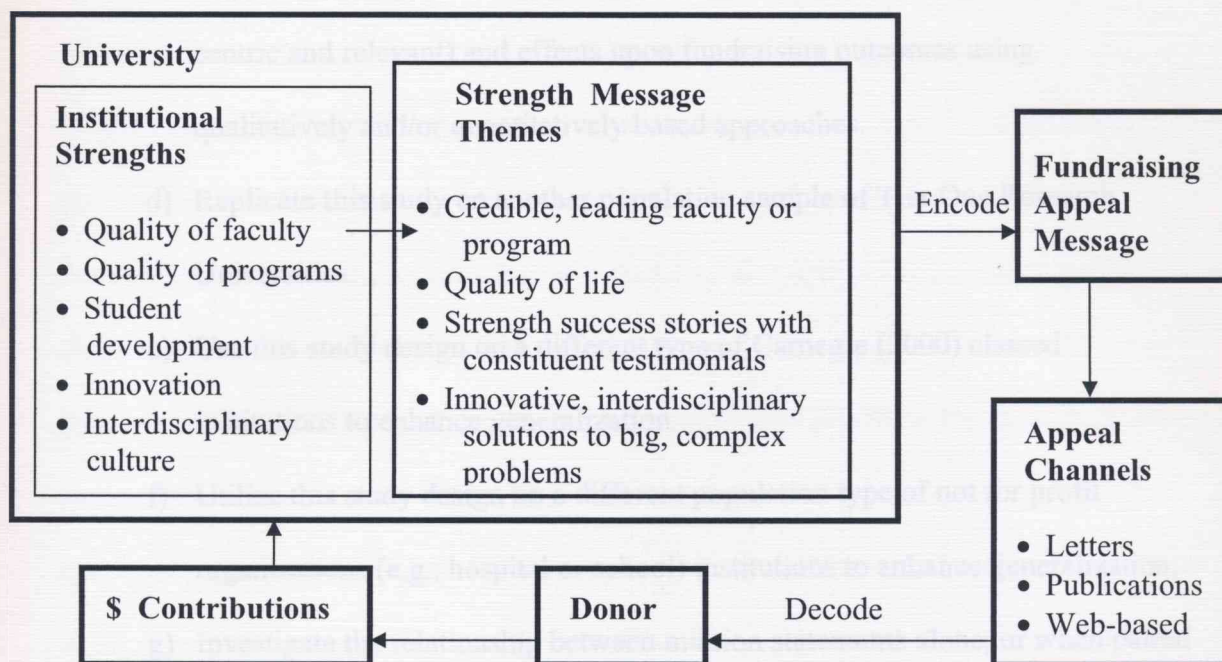


Figure 6.2 A Model of Communicating Institutional Strengths for Effective Fundraising in Research Universities

Implications for Further Research

Multiple case study analysis of data including interview and publications surfaced greater knowledge in the meaning and importance of donor relationship in fundraising. Additional research may explain and quantify the power of these relationships. Future research is suggested in the following areas:

- a) Conduct studies that use large, random sampling of research universities to assess the relationship of strength themes (e.g., student development) to successful fundraising outcomes.
- b) Conduct studies that use large, random sampling of research universities to assess the relationship of strength message themes (e.g., credible, leading faculty) to successful fundraising outcomes.

- c) Explore and validate attributes of university-donor relationship (i.e., donor centric and relevant) and effects upon fundraising outcomes using qualitatively and/or quantitatively based approaches.
- d) Replicate this study on another population sample of Tier One Research Universities.
- e) Use this study design on a different type of Carnegie (2000) classed institutions to enhance generalization.
- f) Utilize this study design on a different population type of not for profit organizations (e.g., hospital or school) institutions to enhance generalization.
- g) Investigate the relationship between mission statements alone, or when paired with strength message themes, and fundraising outcomes.
- h) Conduct a longitudinal study of fundraising messages, dollars raised and percentage change in funds raised in private and public universities.

Implications for Practice

Study findings may have value for multiple stakeholders in practice including university administrators, board members, and fundraising practitioners. Major contributions of the study that may inform fundraising practice are: (1) to confirm the importance of strengths in fundraising; (2) to present specific university strength themes and their expression in fundraising messages; and (3) to describe novel strength themes which, although inferred in other bodies of knowledge, have not before been revealed (e.g., innovation, interdisciplinary). The study also offers previously unreported characterizations of strength themes in fundraising messages (e.g., innovative,

interdisciplinary solutions to big, complex problems), which may provide guidance for the formation and development of fundraising campaigns and appeals.

Significant fundraising message themes surfaced, which may be of interest for universities that desire to further develop relationship with donors and to enhance fundraising outcomes through an involved donor relationship process. The meaning of donor relationship was further enhanced through sub-theme descriptions of commemoration and honor of donors, feeling of pride and loyalty to the institution, donor centric and relevant, donor relationship and listening, and recognition and gratitude. Previously unreported strength message themes of innovative, interdisciplinary solutions to big, complex problems and strength success stories with constituent testimonials surfaced through cross case data analysis. These strength themes provided characterizations and combinations of elements (i.e., interdisciplinary works relationship to solving big, complex problems) which may be relevant in fundraising message construction and appeal development. The utility of communicating university mission statements alone in fundraising appeals without strength themes support was questioned, with ineffectiveness hypothesized to be attributable to the intangibility of such statements in comparison to the more tangible expression present in strength message themes.

The need for development of private giving sources to support primary university research, and research of societal beneficence was of equal importance to public and private universities (Cohen et. al., 1991). Findings indicated that although a significant gap in total private giving from 2003 to 2005 existed between public and private institutions, with privates holding a large lead, the percentage gains in funding received in public and private universities was almost equal. Hence, study results may present

particular value to public institutions due to the present gap in overall funding, and potential for greater need for private contributions in light of shrinking governmental support in the future (Carnesale, 2006).

Conclusions

In this multiple case study, both quantitative (e.g., giving dollars) and qualitative (e.g., text unit counts) data analysis allowed for a more comprehensive understanding (Torraco, 2002; Yin, 2003; Stake, 2006) of the importance of institutional strengths and strength message themes in fundraising. Two conceptual models were proposed for theory development: (1) University-Donor Relationship; and (2) A Model of Communicating Institutional Strengths for Effective Fundraising in Research Universities. The University-Donor Relationship model emphasized the importance of donor relationship between university and donor for definition of institutional strengths, strength themes and hence, appeal messaging. Study results described meaningful university-donor relationship attributes (e.g., gratitude, honor, recognition), some or all of which may be important in fundraising effectiveness. The Communicating Institutional Strengths for Effective Fundraising model both confirmed existing knowledge and added new conceptions of institutional strengths and strength themes. Study findings confirmed the importance of university strengths in fundraising, and further characterized strength theme communication in fundraising appeal messages, with potential applications for fundraising practice. Suggested future research may further enhance understanding of the relationship between university strengths, strength message themes and fundraising success in both tier one research and differently classed universities or organizations.

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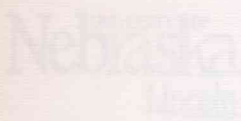
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APPENDICES

APPENDIX A

INSTITUTIONAL REVIEW BOARD APPROVAL

July 18, 2014

Dr. [Name]
[Address]
[City, State, Zip]

Dear Dr. [Name]:

On behalf of the Institutional Review Board (IRB) at the University of Nebraska at Omaha, I am pleased to inform you that your application for approval of the research project titled "[Project Title]" has been approved.

Approval is granted for the period of [Duration].

The IRB has reviewed your application and determined that the research project meets the criteria for approval. The IRB has approved your application for the period of [Duration].

Best regards,

[Name], IRB Chair

- 1. The IRB has approved the research project for the period of [Duration].
- 2. The IRB has approved the research project for the period of [Duration].

The IRB has approved the research project for the period of [Duration].

- The IRB has approved the research project for the period of [Duration].
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- The IRB has approved the research project for the period of [Duration].
- The IRB has approved the research project for the period of [Duration].

The IRB has approved the research project for the period of [Duration].

The IRB has approved the research project for the period of [Duration].

[Signature]
[Name]
[Title]

[Signature]
[Name]
[Title]

cc: [Name]

Appendix A: Institutional Review Board Approval Letter


 APPENDIX B
 INTERVIEW PROTOCOL

July 10, 2006

 HUMAN RESEARCH PROTECTIONS
 Institutional Review Board

 Donald Doty
 Dr. Richard Tamara
 120 TEAC
 (0360)

IRB # 2006-06-459 EP

TITLE OF PROJECT:

**Institutional Strengths, Fundraising Messages, and Private Giving Outcomes in Tier
 One Research Extensive Universities: A Multiple Case Study**

Dear Donald:

This letter is to officially notify you of the approval of your project by the Institutional Review Board (IRB) for the Protection of Human Subjects. It is the Board's opinion that you have provided adequate safeguards for the rights and welfare of the participants in this study. Your proposal seems to be in compliance with this institution's Federal Wide Assurance 00002258 and the DHHS Regulations for the Protection of Human Subjects (45 CFR 46).

Date of EP Review: 06/28/06.

 You are authorized to implement this study as of the Date of Final Approval: 07/10/06. This approval is Valid Until: 07/09/07.

1. Enclosed is the IRB approved Informed Consent form for this project. Please use this form when making copies to distribute to your participants. If it is necessary to create a new informed consent form, please send us your original so that we may approve and stamp it before it is distributed to participants.

We wish to remind you that the principal investigator is responsible for reporting to this Board any of the following events within 48 hours of the event:

- Any serious event (including on-site and off-site adverse events, injuries, side effects, deaths, or other problems) which in the opinion of the local investigator was unanticipated, involved risk to subjects or others, and was possibly related to the research procedures;
- Any serious accidental or unintentional change to the IRB-approved protocol that involves risk or has the potential to recur;
- Any publication in the literature, safety monitoring report, interim results or other finding that indicates an unexpected change to the risk/benefit ratio of the research;
- Any breach in confidentiality or compromise in data privacy related to the subject or others; or
- Any complaint of a subject that indicates an unanticipated risk or that cannot be resolved by the research staff.

For projects which continue beyond one year from the starting date, the IRB will request continuing review and update of the research project. Your study will be due for continuing review as indicated above. The investigator must also advise the Board when this study is finished or discontinued by completing the enclosed Protocol Final Report form and returning it to the Institutional Review Board.

If you have any questions, please contact Shirley Horstman, IRB Administrator, at 472-9417 or email shorstman1@unl.edu.

Sincerely,

 Dan R. Hoyt, Chair
 for the IRB

 Shirley Horstman
 IRB Administrator

cc: Faculty Advisor

APPENDIX B INTERVIEW PROTOCOL

Interview Protocol

Introduction:

Background:

Title:

Topic:

Location of Interview:

Introduction:

Fundraising effectiveness in tier one research extensive universities may become increasingly more important due to economic factors such as shrinking educational budget allocations, decreasing consumer spending and concomitant tax revenues, and higher high school graduation classes which affect enrollments. These economic factors may negatively affect university financial resources, and may cause the need for financial fundraising effectiveness. Findings from this study may have practical application for research assistants who wish to secure grant funding, and university fundraising officials who guide advancement efforts for university support and ongoing viability.

1. Your university has experienced significant success in fundraising over the past few years, please identify the major factors or elements that have contributed to successful fundraising outcomes?
 - Please explain how these factors play into effective fundraising
 - What factors would you say may negatively affect fundraising outcomes?

Appendix B: Interview Protocol

INSTITUTIONAL STRENGTHS, FUNDRAISING MESSAGES, AND PRIVATE
GIVING OUTCOMES IN TIER ONE RESEARCH EXTENSIVE UNIVERSITIES:

A MULTIPLE CASE STUDY

Interview Protocol

Interviewee:

Interview #:

Date:

Time:


Length of Interview:

Introduction

Fundraising effectiveness in tier one research extensive universities may become increasingly more important due to economic factors such as shrinking educational budget allocations, decreasing consumer spending and concomitant tax revenues, and smaller high school graduation classes which affect enrollments. These economic factors may negatively affect university financial resources, and may cause the need for enhanced fundraising effectiveness. Findings from this study may have practical application for research scholars who wish to secure grant funding, and university fundraising officials who guide advancement efforts for university support and ongoing viability.

1. Your university has experienced significant success in fundraising over the past few years, please identify the major factors or elements that have contributed to successful fundraising outcomes?
 - Please explain how these factors play into effective fundraising
 - What factors would you say may negatively affect fundraising outcomes?

2. What would you say are the major strengths of your University?
 - How would you say that the strengths of your University are related to successful fundraising results?
 - Which strengths are of lesser importance?
 - How do individual school, department or program strengths play into fundraising?
 - How do U.S. News and World Report rankings influence fundraising?
3. What kinds of fundraising messages are effective?
 - What university strengths are used to create effective fundraising messages?
 - How are these strengths communicated in written fundraising messages?
4. What else do you feel is important to understand about achieving success in fundraising?

	IRS 4806-01-455 EP Date Approved: 7/10/05 Year: 08/75007
APPENDIX C INFORMED CONSENT FORM	

You are kindly invited to participate in a research study of facilitating in-classroom research classroom interventions. The research is designed to identify factors which are related to in-classroom successful facilitating outcomes. Results from the study may benefit the facilitating effectiveness of research universities, and may be of interest to facilitating practitioners, advancement officials, and scholars. As a facilitating official in a successful program, you have been selected as a possible participant in the study, as your input will help us to understand what factors are important in achieving facilitating success. You will benefit from participating in the study by receiving the research results for your information and use upon study completion.

I am asking you to participate through a telephone interview which will be arranged at a mutually convenient time. You will receive the interview questions in advance. The interview will last about 45 minutes, and will be audio taped for accuracy. Your participation is voluntary, and you are free to decide not to participate in this research, or to withdraw from the study at any time without affecting the recognition, or your relationship with the University of Nebraska-Lincoln, or your institution. Your decision will not result in any loss of benefits to which you are otherwise entitled.

There are no known risks or discomforts associated with this research. Your interview will be recorded to ensure accurate data collection. Your responses will be confidential, and your name will not appear on any of the data or transcripts. Anonymity will be protected by changing a fictitious number to all data. Audio tapes will be stored in a locked private file cabinet, and will be destroyed after data is verified. Data will be destroyed two years after the end of the study. In any publication or presentation based upon the study, all potential identifying information will be omitted or changed. For example, University names will be changed to University 1, 2, etc. with no specificity, university initials (e.g., symbols) or presumed that might enable a reader to identify a particular university.

You can ask any questions about the research study and have those questions answered prior to agreeing to participate, or at any time during the study, by contacting Donald Deoy, the principal investigator, at (402) 556-3155, or Richard Torrance, secondary investigator at (402) 472-3853. If you have any questions about your rights as a participant that may not have been answered, or wish to report any concern about the project, you may contact the IRB, Institutional Review Board, telephone (402) 472-0065. Please indicate your agreement by returning a signed copy of this informed consent form, and checking this box to show that you agree to the interview being audio recorded.

Thank you in advance for your contribution to this important work.

Participant's signature: _____ Date: _____

Donald G. Deoy, Principal Investigator, (402) 556-3155

Richard Torrance, Secondary Investigator, (402) 472-3853

Appendix C: Informed Consent Form

IRB #2006-06-459 EP
 Date Approved: 7/10/06
 Valid Until: 7/09/07

COLLEGE OF EDUCATION AND HUMAN SCIENCES
 Department of Educational Administration

Informed Consent Form

You are hereby invited to participate in a research study of fundraising in tier one, research extensive universities. The research is designed to identify factors which are effective in achieving successful fundraising outcomes. Results from the study may benefit the fundraising effectiveness of research universities, and may be of interest to fundraising practitioners, advancement officials, and scholars. As a fundraising official in a successful program, you have been selected as a possible participant in the study, as your input will help me to understand what factors are important in achieving fundraising success. You will benefit from participating in the study by receiving the research results for your information and use upon study completion.

I am asking you to participate through a telephone interview which will be arranged at a mutually convenient time. You will receive the interview questions in advance. The interview will last about 45 minutes, and will be audio taped for accuracy. Your participation is voluntary, and you are free to decide not to participate in this research, or to withdraw from the study at any time without affecting the investigator, or your relationship with the University of Nebraska-Lincoln, or your institution. Your decision will not result in any loss of benefits to which you are otherwise entitled.

There are no known risks or discomforts associated with this research. Your interview will be recorded to ensure accurate data collection. Your responses will be confidential, and your name will not appear on any of the data or transcripts. Anonymity will be protected by assigning a fictitious number to all data. Audio tapes will be stored in a locked private file cabinet, and will be destroyed after data is verified. Data will be destroyed two years after the end of the study. In any publication or presentation, based upon the study, all potential identifying information will be omitted or changed. For example, University names will be changed to University 1, 2, etc. with no specific city, university statistics (e.g., enrollment) presented that might enable a reader to identify a particular university.

You can ask any questions about this research study and have those questions answered prior to agreeing to participate, or at anytime during the study, by contacting Donald Doty, the principal investigator, at (425) 889-5355, or Richard Torraco, secondary investigator at (402) 472-3853. If you have any questions about your rights as a participant that may not have been answered, or wish to report any concerns about the project, you may contact the UNL Institutional Review Board, telephone (402) 472-6965. Please indicate your agreement by returning a signed copy of this informed consent form, and checking this box to show that you agree to the interview being tape recorded .

Thank you in advance for your contribution to this important work,

Participant's signature: _____ Date: _____

Donald G. Doty, Principal Investigator, (425) 889-5355

Richard Torraco, Secondary investigator, (402) 472-3853

Appendix D: Email or Mail Recruitment Message and Thank You Letter

Email or Mail Recruitment Message

Hi _____ (name is Donald Doty, I am a researcher at UNL working on a project involving fundraising in tier one research intensive universities. I am interested in effective in recruiting successful fundraising outcomes. Results from the study may benefit the fundraising effectiveness of research universities, and may be of interest to fundraising practitioners, advancement officials, and scholars. As a fundraising official in a successful program, you have been selected as a possible participant in the study, as your input will help me to understand what factors are important in achieving fundraising success. You will benefit from participating in the study by receiving the research results for your information and use upon study completion.

I am calling to ask if you would be interested in participating in a brief telephone interview to answer some questions about your fundraising program. We are obtaining information from officials of several successful tier one universities. From this information we hope to identify how the strengths of the universities are crafted into effective fundraising messages, which have proven to be most valuable in achieving successful fundraising outcomes.

If you are interested in participating in the study, you would be free to decide not to participate or withdraw at any time during the process without adversely affecting your relationship with me, your institution, or the University of Nebraska-Lincoln. The interview would last approximately 45 minutes. Your responses will be confidential and your name will not appear on any of the data or transcripts. Anonymity will be preserved by assigning a fictitious number to all data. In any publication or presentation, based upon the study, all potential identifying information will be omitted or changed. For example, University names will be changed to University 1, 2, etc. with no specificity, university statistics (e.g., enrollment) presented that might enable a reader to identify a particular University.

Do you have any questions about the project or about the interview? Are you willing to participate in the interview? If so, we will be sending or emailing you a copy of this informed consent form, which we ask that you read, sign, and then return to us. When we receive your signed informed consent form, you will be contacted in schedule a convenient time for the telephone interview.

*Appendix D: Email or Mail Recruitment Message and Thank You Letter***Email or Mail Recruitment Message**

Hello, _____ (name of subject), my name is Donald Doty. I am a researcher at UNL working on a project involving fundraising in tier one, research extensive universities. The research is designed to identify factors which are effective in achieving successful fundraising outcomes. Results from the study may benefit the fundraising effectiveness of research universities, and may be of interest to fundraising practitioners, advancement officials, and scholars. As a fundraising official in a successful program, you have been selected as a possible participant in the study, as your input will help me to understand what factors are important in achieving fundraising success. You will benefit from participating in the study by receiving the research results for your information and use upon study completion.

I am calling to ask if you would be interested in participating in a brief telephone interview to answer some questions about your fundraising program. We are obtaining information from officials of several successful tier one universities. From this information we hope to identify how the strengths of the universities are crafted into effective fundraising messages, which have proven to be most valuable to achieving successful fundraising outcomes.

If you are interested in participating in the study, you would be free to decide not to participate or withdraw at any time during the process without adversely affecting your relationship with me, your institution, or the University of Nebraska-Lincoln. The interview would last approximately 45 minutes. Your responses will be confidential, and your name will not appear on any of the data or transcripts. Anonymity will be protected by assigning a fictitious number to all data. In any publication or presentation, based upon the study, all potential identifying information will be omitted or changed. For example, University names will be changed to University 1, 2, etc. with no specific city, university statistics (e.g., enrollment) presented that might enable a reader to identify a particular University.

Do you have any questions about the project or about the interview? Are you willing to participate in the interview? If so, we will be sending or emailing you a copy of this informed consent form, which we ask that you read, sign, and then return to us. When we receive your signed informed consent form, you will be contacted to schedule a convenient time for the telephone interview.

Use UNL Letterhead**Participant Thank You Letter**

Date

Participant
Address

Subject: Thank You for Participating in Fundraising Study

Dear Participant,

Thank you so much for participating in my research study of fundraising in tier one, research extensive universities. Your time and expertise is valuable, and I appreciate you agreeing to share it for the benefit of advancing the field very much.

As promised, you will receive the research results for your information as soon as the study is completed as a benefit for your participation.

Thanks again most sincerely,

Donald G. Doty
Primary Researcher
Department of Educational Administration
College of Education and Human Sciences
University of Nebraska- Lincoln

Appendix E, Attestation of Study Methodology

I, Dr. Frank Klapach, conducted an audit of the field research process performed by Donald Doty, under the advisement of Dr. Richard Torrao, for the purpose of documenting the trustworthiness (Yin, 2003) of research methodology, accuracy of data, and development of findings used in this study. (Yin, 2003) of research methodology, accuracy of data, and development of findings used in this study. I reviewed data collected during the study including institutional compliance documents, interview tapes, member-reviewed transcripts and emails, university publications, web based fundraising appeals, and fundraising appeal letters. I compared reviewed the Methods section of the dissertation proposal referenced below, and concur that these methods were followed in conducting the study. The following materials were provided in their entirety to be reviewed for trustworthiness:

1. INSTITUTIONAL STRENGTHS, FUNDRAISING MESSAGES, AND PRIVATE GIVING OUTCOMES IN TIER ONE RESEARCH EXTENSIVE UNIVERSITIES: A MULTIPLE CASE STUDY by Donald G. Doty, A DISSERTATION PROPOSAL revised per Supervisory Committee meeting of June 2005, and telephone conversation with Dr. Richard Torrao of March 2006. UNL IRB NEW PROTOCOL SUBMISSION dated June 2006. UNL institutional review documents including IRB project approval dated July 10, 2006, and signed informed consent forms from each study participant.
2. Random samples of interview tape recordings, member-review emails with comments on transcriptions, and transcriptions of interviews.
3. University publications, web based fundraising appeals, and fundraising appeal letters, coded by category, Excel spreadsheet database showing sentence count frequency distribution by category.

4. University fundraising \$ data for purposeful selection of participants including universities, giving \$ 2003-2005, and maximum variation sampling criteria.

5. Random selection of 20% of all data used for inter-coder agreement, review of actual documents used and verification of % of agreement.

Having reviewed the materials herein as presented by Donald Doty for the purpose of attestation of this study, I find the following:

1. The study methodology and protocol remained consistent with the dissertation proposal, and approved IRB NEW PROTOCOL SUBMISSION above.

2. A random sample of taped interview sections compared with member-reviewed transcriptions revealed minor transcription errors, but in no case did the transcription errors alter the meaning of the taped segment.

3. It is my assessment that the trustworthiness of the study was established using the verification processes noted including triangulation of converging sources of differing data, member checking, inter-coder agreement, and rich, thick description of cases.

4. The materials submitted for this audit were organized and complete and provided ample support for an audit trail which other researchers could follow.

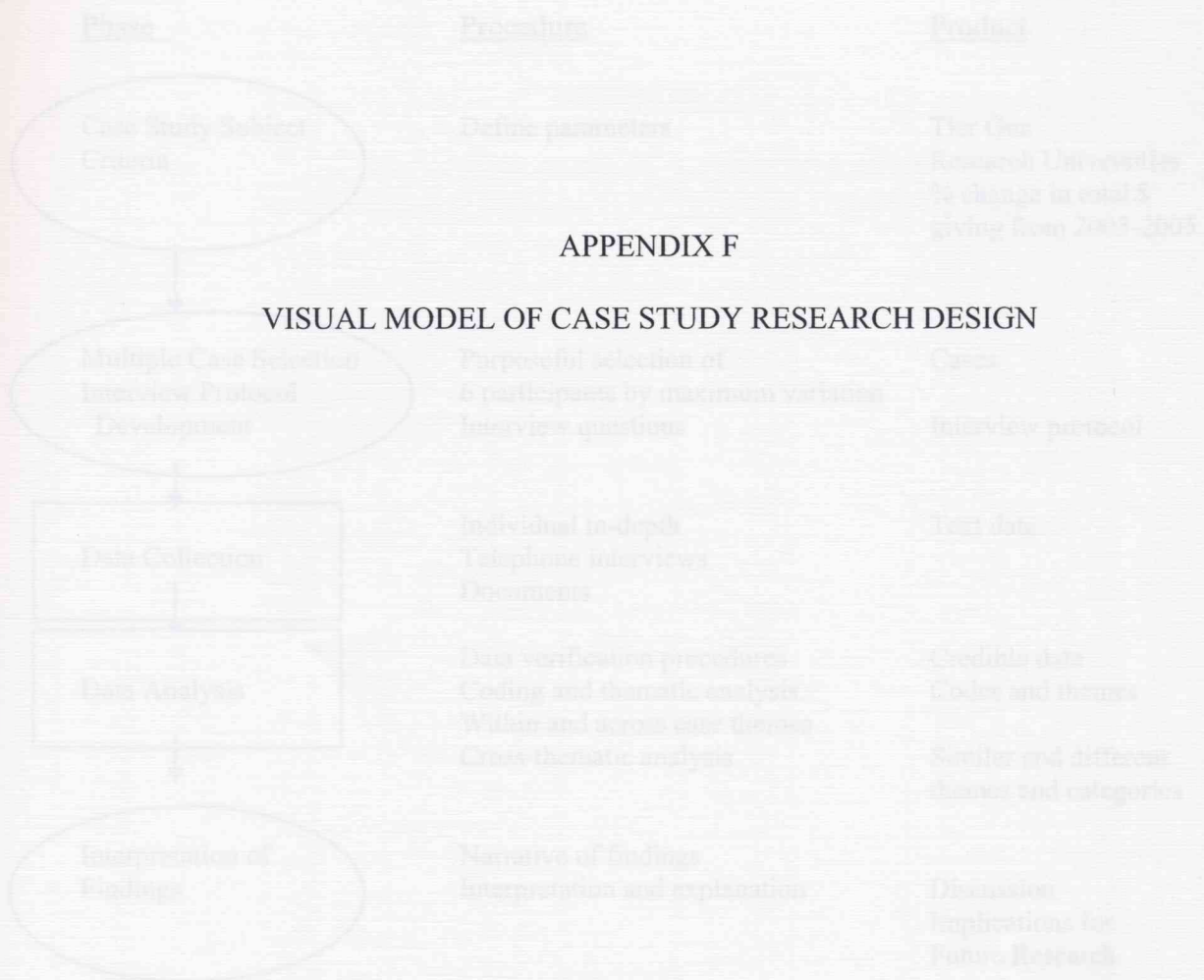
Verified and attested to by Frank Klapach this 22nd day of February, 2007.

Frank Klapach

Frank Klapach, D.Min.

Northwest University

Appendix F: Visual Model of Case study research design

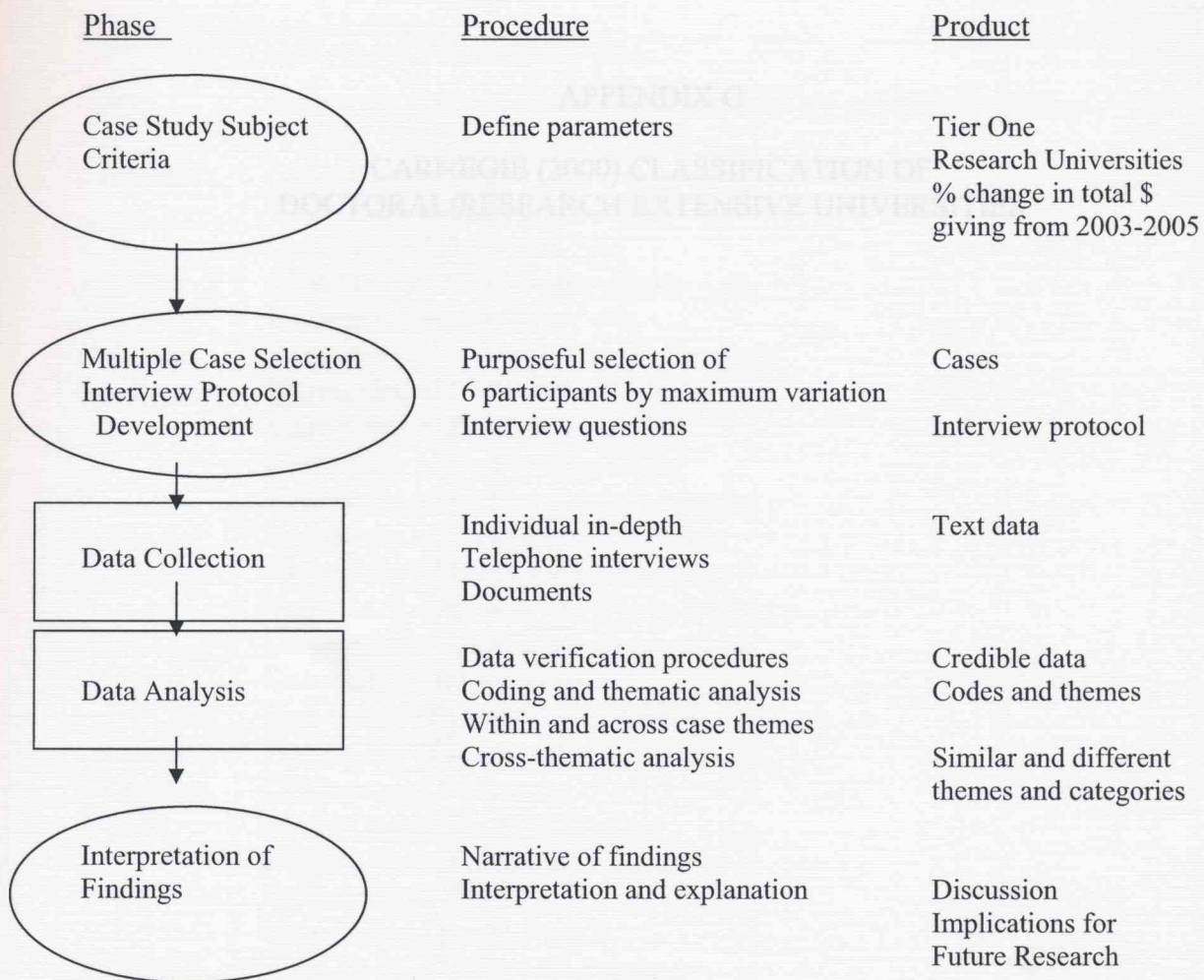


APPENDIX F

VISUAL MODEL OF CASE STUDY RESEARCH DESIGN

Adapted from Yin, R. K., & Gray, B. (1995). Using mixed methods in sequential explanatory design: From theory to practice. *Field Methods*, 7(1), 43-65.

Appendix F: Visual Model of Case study research design



Adapted from Ivankova, N.V., Creswell, J.W., & Stick, S. L. (in press). Using mixed methods sequential explanatory design: From theory to practice. *Field Methods*.

Appendix G. Carnegie (2000) Classification of Doctoral/Research Extensive Universities

College Institutions, by State

State University (institutions that are noted bold typeface)

State	University (institutions that are noted bold typeface)
Alabama	University of Alabama, The
Arizona	Arizona State University Main University of Arizona
Arkansas	University of Arkansas Main Campus
California	University of California-Berkeley University of California-Davis University of California-Irvine University of California-Los Angeles University of California-Riverside University of California-San Diego University of California-Santa Barbara University of California-Santa Cruz
Colorado	Colorado State University University of Colorado at Boulder
Connecticut	University of Connecticut
Delaware	University of Delaware
Florida	Florida International University Florida State University University of Florida University of South Florida
Georgia	Georgia Institute of Technology Georgia State University University of Georgia
Hawaii	University of Hawaii at Manoa
Idaho	University of Idaho
Illinois	Northern Illinois University Southern Illinois University at Carbondale University of Illinois at Chicago University of Illinois at Urbana-Champaign
Indiana	Indiana University at Bloomington Purdue University Main Campus
Iowa	Iowa State University University of Iowa
Kansas	Kansas State University University of Kansas Main Campus
Kentucky	University of Kentucky University of Louisville
Louisiana	Louisiana State University and Agricultural and Mechanical College

Appendix G: Carnegie (2000) Classification of Doctoral/Research Extensive Universities

Public Institutions, by State

State	University (universities included in study are noted bold typeface)
Alabama	Auburn University University of Alabama at Birmingham
Arizona	University of Alabama, The Arizona State University Main University of Arizona
Arkansas	University of Arkansas Main Campus
California	University of California-Berkeley University of California-Davis University of California-Irvine University of California-Los Angeles University of California-Riverside University of California-San Diego University of California-Santa Barbara University of California-Santa Cruz
Colorado	Colorado State University University of Colorado at Boulder
Connecticut	University of Connecticut
Delaware	University of Delaware
Florida	Florida International University Florida State University University of Florida University of South Florida
Georgia	Georgia Institute of Technology Georgia State University University of Georgia
Hawaii	University of Hawaii at Manoa
Idaho	University of Idaho
Illinois	Northern Illinois University Southern Illinois University at Carbondale University of Illinois at Chicago University of Illinois at Urbana-Champaign
Indiana	Indiana University at Bloomington Purdue University Main Campus
Iowa	Iowa State University University of Iowa
Kansas	Kansas State University University of Kansas Main Campus
Kentucky	University of Kentucky University of Louisville
Louisiana	Louisiana State University and Agricultural and Mechanical College

Public Institutions, by State (cont.)

State	University (universities included in study are noted bold typeface)
Maine	University of Maine
Maryland	University of Maryland Baltimore County University of Maryland College Park
Massachusetts	University of Massachusetts
Michigan	Michigan State University University of Michigan-Ann Arbor Wayne State University Western Michigan University
Minnesota	University of Minnesota-Twin Cities
Mississippi	Mississippi State University University of Mississippi
Virginia	University of Southern Mississippi
Missouri	University of Missouri - Columbia
Nebraska	University of Nebraska - Lincoln
Nevada	University of Nevada, Reno
New Hampshire	University of New Hampshire
New Jersey	Rutgers, The State University of New Jersey, New Brunswick Campus
New Mexico	New Mexico State University Main Campus University of New Mexico Main Campus
New York	City University of New York Graduate Center State University of New York at Albany State University of New York at Binghamton State University of New York at Buffalo State University of New York at Stony Brook
North Carolina	North Carolina State University University of North Carolina at Chapel Hill
Ohio	Kent State University Main Campus Ohio State University Main Campus, The Ohio University Main Campus University of Cincinnati Main Campus University of Toledo
Oklahoma	Oklahoma State University Main Campus University of Oklahoma Norman Campus
Oregon	Oregon State University University of Oregon
Pennsylvania	Pennsylvania State University, University Park Temple University University of Pittsburgh, Pittsburgh Campus
Rhode Island	University of Rhode Island
South Carolina	Clemson University University of South Carolina - Columbia

Public Institutions, by State (cont.)

State	University (universities included in study are noted bold typeface)
Tennessee	University of Memphis, The University of Tennessee, Knoxville
Texas	Texas A&M University Texas Tech University University of Houston University of North Texas University of Texas at Arlington University of Texas at Austin
Utah	University of Utah Utah State University
Vermont	University of Vermont
Virginia	Old Dominion University University of Virginia Virginia Commonwealth University Virginia Polytechnic Institute and State University
Washington	University of Washington Washington State University
West Virginia	West Virginia University
Wisconsin	University of Wisconsin-Madison University of Wisconsin-Milwaukee
Wyoming	University of Wyoming

Private Institutions, by State

State	University (universities included in study are noted bold typeface)
California	California Institute of Technology Claremont Graduate University Stanford University University of Southern California
Colorado	University of Denver
Connecticut	Yale University
District of Columbia	American University Catholic University of America, The George Washington University Georgetown University Howard University
Florida	University of Miami
Georgia	Emory University
Illinois	Loyola University of Chicago Northwestern University University of Chicago

Private Institutions, by State (cont.)

State	University (universities included in study are noted bold typeface)
Indiana	University of Notre Dame
Louisiana	Tulane University
Maryland	Johns Hopkins University
Massachusetts	Boston College Boston University Brandeis University Harvard University Massachusetts Institute of Technology Northeastern University Tufts University
Missouri	Saint Louis University Washington University
New Jersey	Princeton University
New York	Columbia University in the City of New York Cornell University Fordham University New York University Rensselaer Polytechnic Institute Syracuse University Teachers College, Columbia University University of Rochester Yeshiva University
North Carolina	Duke University
Ohio	Case Western Reserve University
Pennsylvania	Carnegie Mellon University Lehigh University University of Pennsylvania
Rhode Island	Brown University
Tennessee	Vanderbilt University
Texas	Rice University Southern Methodist University
Utah	Brigham Young University
Wisconsin	Marquette University

Appendix H: Text Unit Categories and Sums

Text Unit Categories	Sum	Transition across Cases
APPENDIX H		
TEXT UNIT CATEGORIES AND SUMS		
Research Story/descriptions of how it works	345	Yes
Strengths communication	326	Yes
Celebrity/faculty endorsement	165	Yes
Completed alumni/friends/volunteers	426	Yes
University leadership endorsement	178	Yes
Interdisciplinary Partnership Team	381	Yes
Collegial/pubbye work environment	55	Yes
Innovative programs/complex problems	219	Yes
Fundraising staff/merch	26	No
Commemorative/legacy	89	Yes
Feeling of pride/loyalty	33	Yes
Donor picnic/Relevance listening	26	Yes
Donor Relationship	109	Yes
Recognition/Gratitude to Donors	57	Yes
Series of success/illustrated through outreach/ Voices of People	251	Yes
Vibrant Region/Economy	18	No
Relationship with University/People's Passions	5	No
Founding History	9	No
Advancement/leadership capability	175	Yes
Enhancement of research and education capability	152	Yes
Exceptional, distinctive mission/positioning	62	No
Quality of faculty with program/award	125	Yes
Health, Medicine	51	No
International status/Nobel Faculty	31	Yes
Faculty or program award, renowned, grants	14	Yes
Art & Technology meet	24	No
Arts, Culture	34	No
National Contact	37	Yes
Programs of National Recognition & International Scope	78	Yes
Top quality, industry leading schools/programs	50	Yes
Internationalization	13	Yes
Inter-national recognized areas of strength/excellence	47	Yes
Civic, Economy	41	No
Innovation	40	Yes
Entrepreneurial/innovative, complex problem solving	34	Yes
Research training and application competency	24	Yes
Innovation/ Solving complex problems	23	Yes
Research & Education that exploits opportunities of region	31	Yes

Appendix H: Text Unit Categories and Sums

Text Unit Categories	Sum	Triangulation across Cases
Research Story/descriptions of how it works	245	Yes
Strengths communicated in diverse messages/media	69	Yes
Celebrity/faculty endorsement	165	Yes
Committed alumni/friends/volunteers	426	Yes
University leadership endorsement	178	Yes
Interdisciplinary Partnership/Team	281	Yes
Collegial/positive work environment	55	Yes
Innovative programs/complex problems	219	Yes
Fundraising staff/metrics	26	No
Commemoration/honor	89	Yes
Feeling of pride/loyalty	33	Yes
Donor centric/Relevance/listening	86	Yes
Donor Relationship	109	Yes
Recognition/Gratitude to Donors	57	Yes
Stories of success/demonstrated through outreach/ Voices of People	253	Yes
Vibrant Region/Economy	18	No
Relationship with University/People's Passions	5	No
Founding, History	9	No
Advancement/leadership capability	175	Yes
Enhancement of research and education capability	152	Yes
Exceptional, distinctive mission/positioning	62	No
Quality of faculty with program/award	125	Yes
Health, Medicine	51	No
International status/Nobel Faculty	51	Yes
Faculty or program award, renowned, grants	14	Yes
Art & Technology meet	24	No
Arts, Culture	34	No
National Centers	37	Yes
Programs of National Recognition & International Scope	78	Yes
Top quality, industry leading schools/programs	50	Yes
Internationalization	13	Yes
Inter-national recognized areas of strength/excellence	47	Yes
Civic, Economy	41	No
Innovation	40	Yes
Entrepreneurial/innovative , complex problem solving	54	Yes
Research training and application competency	24	Yes
Innovation/ Solving complex problems	23	Yes
Research & Education that exploits opportunities of region	31	Yes

Text Unit Categories	Sum	Triagglation across Classes
Entrepreneurial and innovative/ solve real world problems	46	Yes
Education	36	Yes
Student Demand/quality	8	Yes
Smaller, hand tooled education	13	Yes
Undergraduate Education	20	Yes
Undergraduate programs/develop leaders of tomorrow	30	Yes
Environment	14	No
Interdisciplinary	61	Yes
Culture of collaboration/interdisciplinary	41	Yes
Interdisciplinary/collaborative	31	Yes
Interdisciplinary	11	Yes
Interdisciplinary collaboration	64	Yes
Other Strength	17	No
Regional/Economic benefit/ Quality of Life	91	Yes
Student development/benefit/Quality of Life	166	Yes
Faculty development/benefit/Quality of Life	108	Yes
World benefit/ development/Quality of Life	243	Yes
Gifts related to strengths	34	Yes
No gift where no fit	10	No
Total Text Units	4493	

Appendix I. Percentage Change in Giving Dollars at Private Universities, 2003-2005
 (Note: University Number below does not refer to numbering of universities in this study)

University Number	% Change
-------------------	----------

1	730%
2	470%
3	340%
4	444%
5	380%
6	377%
7	370%
8	357%
9	359%
10	357%
11	341%
12	336%
13	330%
14	328%
15	323%
16	320%
17	307%
18	297%
19	296%
20	282%
21	270%
22	266%
23	252%
24	252%
25	231%
26	250%

Mean	345%
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APPENDIX I

PERCENTAGE CHANGE IN PRIVATE GIVING DOLLARS, 2003-2005

Appendix I: Percentage Change in Giving Dollars at Private Universities, 2003-2005
 (Note: University Number below does not refer to numbering of universities in this study)

University Number	% Change
1	736%
2	470%
3	450%
4	444%
5	380%
6	377%
7	370%
8	359%
9	359%
10	357%
11	341%
12	336%
13	330%
14	328%
15	325%
16	320%
17	307%
18	299%
19	296%
20	282%
21	270%
22	256%
23	252%
24	252%
25	221%
26	259%
Mean	345%

Percentage Change in Private Giving Dollars at Public Universities, 2003-2005

University Number	% Change	University Number	% Change
27	615%	67	267%
28	596%	68	265%
29	484%	69	259%
30	439%	70	252%
31	433%	71	251%
32	427%	72	241%
33	420%	73	195%
34	403%	74	193%
35	400%		
36	400%	Mean	340%
37	388%		
38	372%		
39	372%		
40	367%		
41	363%		
42	361%		
43	355%		
44	351%		
45	346%		
46	333%		
47	331%		
48	330%		
49	327%		
50	323%		
51	323%		
52	321%		
53	314%		
54	313%		
55	311%		
56	309%		
57	308%		
58	308%		
59	306%		
60	305%		
61	305%		
62	305%		
63	303%		
64	277%		
65	269%		
66	268%		

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