THE INVOLVEMENT OF ACADEMIC LEADERS IN FUNDRAISING EFFORTS AT PUBLIC RESEARCH INSTITUTIONS

by

ELIZABETH GAUGHF KOZAK

(Under the Direction of Libby V. Morris)

ABSTRACT

The purpose of this study was to explore how academic leaders are involved in fundraising efforts in public research institutions. The findings contribute new knowledge about fundraising structure and processes occurring between development staff and academic leaders. Fundraising accounts for a large part of the operating budget of public research institutions and there is little research about how it happens, especially parts of the process involving individuals outside of fundraising staff. There are no known research studies exploring this topic.

In-depth qualitative interviews were conducted with 15 academic leaders identified by fundraising staff as playing a significant role in fundraising efforts. The academic leader participants were significantly involved in fundraising efforts, they learned from experience, they collaborated often with fundraisers, and they report experiencing some challenges. They are eager for better fundraising training opportunities and most feel fundraising will become a more significant responsibility for all individuals in academia – even faculty members who are not in leadership roles. The findings have implications for leaders of public research institutions, development practitioners, and higher education scholars. The findings detail current trends of academic leader involvement, the impact of academic leaders on fundraising practices, and challenges associated with fundraising in academia. The findings suggest a need for the development of best practices to improve future outcomes as academic leaders become more greatly involved in fundraising efforts.

INDEX WORDS: fundraising, faculty member(s), politics, finance, organization, structure, process, academia, dual-nature, donor engagement, donor-centered, development staff, development, loose coupling, centralized, de-centralized, fundraising priorities, academic leaders

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DEDICATION

My brilliant, patient, kind husband David is arguably the person most responsible for my completing this program.

In the fall of 2013, after we had been dating for a few years in Nashville, he looked at me and said, “you’ve been talking about getting your PhD at UGA - we need to do this now while we can!”

And just like that, he quit his job in Nashville, got a great job in Athens, and moved back there - *Before* I even had a job lined up or was accepted to the PhD program. He believed in me and uprooted his life to get this ball rolling! All along he said he knew we could do this together. When he left, I had no choice but to follow him to Athens and follow through. We have done this together every step of the way.

Back in 2014 when I enrolled, I had to spend days, nights, and weekends away from him to study and write. Over time, we married in 2016, had our first baby Michael in 2017, our second baby Frances in 2020, during a global pandemic no less. My time invested into this program turned into not only time away from him but days, nights, and weekends away from him and our amazing children. David supported me every step of the way - even when it meant extra time with the kids and additional responsibilities on his plate. He did it all with a smile. He is one of a kind. We would be so lost without him.

Every decision we make, we make together, we are a true team – and this success of reaching completion and graduation is an example of that fact. I would not be here without him as my partner, my supporter, my guide, and I am so grateful and humbled he chose me.

We graduated from our undergraduate experience at the University of Georgia in May of 2010 and Alton Brown was our commencement speaker. I do not remember much about what he said except for this quote, "*Marry once and marry well.*" I think David and I have really come full circle on those meaningful words as we approach our second University of Georgia graduation together, hand in hand.

I would like to officially dedicate this work to him, and to our children, Michael, Frances, and our third unborn baby who is "on the way" and will join us in the spring. Our children have unlocked a dimension within us we never previously knew and make this life meaningful in ways I am still learning to fully comprehend. They are our everything.

Cheers David! **We** made it.

ACKNOWLEDGEMENTS

Although David has been my partner, rock, and guide for the last decade, especially through this PhD journey, many people have encouraged me and played a pivotal role in my successes along the way.

First and foremost, my parents, Barbara, and Allen, who did not themselves have the ability to experience and complete a college degree in the traditional way, made sacrifices so I had access to every opportunity for an excellent education. They laid a foundation for me throughout life that prioritized education in high school, college, and a masters program. They made it possible for me to focus solely on school, dream big, and unlock possibilities for myself without financial burden.

My dad is one of the hardest working people I know. He creates, builds, and will not stop until he has succeeded. He taught me the importance of hard work, not forcing things when they do not fit, doing things right the first time even when it takes longer, and that the early bird always catches the worm. I am not afraid of baiting a hook, hopping into a high-speed batting cage, slalom skiing, or speaking in front of a large crowd thanks to him.

As a child, I remember watching my mom leave in the evenings as she went back to school to complete her undergraduate and masters degrees. She set an example for me early on about dedication to pursuing education, hard work, and most importantly, following through. She taught me how to be a “present” and loving mom while also working, providing for family, and pursuing my own dreams. She taught me to have compassion for all people – especially those who do not look like me or have the same

privileges I do – and these are lessons I carry with me daily. Most recently, she has been an inspiration and an example of how to be brave and resilient --she received an unexpected breast cancer diagnosis in May of this year. Since then, she has been fighting through surgeries, chemo, side effects, and soon, radiation treatments. I never imagined she would fight cancer, and her journey is a reminder about what really matters in life. I am excited to celebrate her milestone of finishing cancer treatment and turning 70 this December --- the same month I walk for my diploma.

My grandmother, Lois O'Neill Koehnemann, is in my opinion the ultimate example of how to live. At 91, she is the smartest and most "with it" person I know – she still works a couple days a week in my uncle's water and ice shop and keeps the books for their operation. She never misses birthdays, anniversaries, or names of distant relatives – and that is impressive because she has 6 kids, and over 50 grandchildren and great grandchildren – she is the ultimate matriarch. She has lived through some of the darkest times our world has seen, survived her own personal tragedy of suddenly losing the love of her life, my Grandpa Billy, and all the while has maintained resiliency, faith, strength, and humor through it all. Her approach to life has taught me to keep my shoulders up and "act like I know something" even when I may be lost, the importance of recognizing and acknowledging "angel dust" moments in life where a greater power pulls us through, the beauty of having both a bucket list and a "f*ck it" list, and utilizing each one when needed and necessary, the beauty of brevity, and finally, simply put, the importance of reading and being present with others. She is a timeless, class-act, a constant light, support, and example of how to face the deepest of challenges life provides with a relentless faith and a sense of humor. Along this PhD journey, I have often thought of how countless women in her generation, Lois included, did not have the opportunity for education after high school – that was primarily for men. I felt a sense of deep responsibility to finish this PhD (when many times I wanted to quit!) because so many others never had the opportunity to do so. I maintain a deep sense of gratitude for her – she reminds me that no degree is a substitute for being *smart* and *good* in this life. And being *smart* in the Lois sense of being *smart* could not possibly be learned in a classroom.

Randy and Currin Kozak raised the most amazing man, my husband David. They have been in our corner throughout all our decisions, moves, transitions, and I am incredibly grateful for the opportunities they afforded to David and to our family to get us where we are – most importantly for how they shaped the most influential person in my life. They are an important source of encouragement, love, and support for our family – and live as examples for how to be.

My wonderful committee - chaired by Dr. Libby Morris – with members Dr. Jim Hearn and Dr. Kathleen deMarrais, got me to this finish line.

I chose the institute for my PhD because I met Dr. Hearn in the summer of 2012 while working at Vanderbilt University where he was a guest lecturer and realized immediately, "I'd be so lucky to learn from him!" Meeting him put the institute on my radar. Later, when I told Dr. Hearn we were expecting our first baby, and I was nervous about finishing while juggling the responsibilities of a baby, he quickly told me that he and his wife, both completed PhDs while juggling the births (and chaos) of two children… He said, "You **will** get through this, just focus on, "*Diapers*.....

Dissertation…. Diploma!" This became my mantra. He is so wise, kind, and encouraging.

I was fortunate to cross paths with Dr. deMarrais while I worked in the College of Education – she was a department head while I was director of development and we worked together on several projects. She took an interest in my studies and suggested I take some classes in her department. She helped me develop a roadmap for my study and guided me through the methods --- she was a source of encouragement and helped me refine my research questions, my research approach, and my interviewing skills. I am so grateful for her expertise --- and her taking an interest in me.

Dr. Libby V. Morris, guided, mentored, and championed my efforts through it all. She was calm, reassuring, and practical – she always said the right thing at the perfect moment – to keep me motivated and on course. I was convinced I could not finish when I became a mom and she helped me realize that was not true, things would just take a bit more time – and here we are. Her example as a brilliant university administrator, a faculty member, researcher, a director --- all the hats she wears so well --- provided the perfect lens to guide me through both as an impactful mentor and as my chair. I am so grateful.

Dr. Timothy Caboni and I met for the first time in the winter of 2010 when I came to visit Vanderbilt to decide if the higher education program was the right fit for me. Immediately I knew I wanted to study with him. I was fortunate to be his student and work for him in admissions – he connected me to opportunities in athletics and in the chancellors' office. He helped me create a meaningful student experience at Vanderbilt that focused on both research and practice. Little did I know he would go on to shape my

PhD studies from afar because of his research presence. He is a pioneer in the advancement field. His countless articles and his most recent book laid a strong foundation for my literature review. Beyond his work as a scholar, he is an incredibly skillful administrator, fundraising expert, and university president. Western Kentucky is lucky to have him. I am so grateful for his impact on my path and his continued example of excellence in higher education.

I worked for Dr. Craig Kennedy from 2014 to 2017 – when I first enrolled in the PhD program. He was the dean of the college of education and my supervisor. He approved my taking courses in the PhD program during work hours --- without his approval I could have never started this program and would not be here. He supported me both academically and in my career, took a chance on a young and inexperienced woman for a big role, especially when there was doubt from other leaders on campus, and I am so grateful. He set a leadership example I will not forget of empowering those who are seeking professional development and supporting them in their efforts.

President Jere W. Morehead also played a significant role in getting me to this finish line – 15 years ago he answered an email from a stranger in Franklin, TN – and that email set off a chain of events that resulted in me meeting my husband, David. In the spring of 2006, David was denied application to the University of Georgia. He and his family were devastated as it was the only place he wanted to go. They were also shocked because he was an outstanding student and prior to the application process, due to his grades and test scores, he was receiving recruitment materials from the UGA honors program – as well as many of UGA's aspirants. His parents, having lived in Nashville for their entire lives, felt a bit disconnected from UGA but they contacted everyone in their networks pleading for help with a contact at UGA who could investigate David's situation. Finally, after dozens and dozens of emails and phone calls, and hitting dead ends with various UGA staff members, they received a name from a distant contact of an administrator they recently met at a UGA event -- Jere W. Morehead.

With nothing to lose, the Kozaks contacted Morehead to plead David's case. President Morehead, who was overseeing the honors program at the time, took their email seriously and responded quickly. He contacted admissions, and David's application decision was quickly reversed – he was accepted. It turns out that somewhere along the way there was an error when his transcript was input into the UGA system, making it look like he had a much lower GPA. I am so very grateful for the Kozaks' persistence – and for President Morehead's time and attention – without it, the path would be different. I would not have met David, I would not have the family I have today, and I would not be graduating with the PhD this December. Life would have turned out another way.

In the summer of 2011, before I knew David well or how President Morehead had intervened in his situation, I had completed one year in the masters program at Vanderbilt, and was trying to figure out if enrolling in a PhD program was the right thing to do for my career. I went to Athens that summer to talk to my higher education mentors and make sense of my path. A friend suggested I meet with President Morehead, then Provost Morehead. Once again, he took time out of his busy schedule for someone he did not know. We met, he listened to my background, and encouraged me to pursue the PhD.

During the last year, as I have finalized my dissertation, one of the projects I was fortunate to work on in my professional life is managing parts of the fundraising effort to raise $11 million for the Honors College to name it for President Morehead. Personally, this has been such a meaningful “full-circle” project for me because without President Morehead, David would not have come to UGA, and we would not have our family – but beyond the personal reasons, President Morehead is an outstanding administrator and leader who cares deeply about students. I am so grateful for his impact on me and his example to all. I am glad I could contribute in a very small way to finalizing one of his many legacies at UGA – the naming of the Honors College – especially this year as I complete the PhD he and I discussed a decade ago.

Lastly, I would be remiss if I did not mention the USG Tuition Assistance Program. Without it, I would not have had such an easy path to pursuing this degree – all free of charge to me as a student. This program is incredible, and my family and I are deeply grateful for its mission to promote education and professional development to the USG work force.

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CHAPTER 1: INTRODUCTION

Public research institutions face an impossible task: they are expected to provide excellent research, teaching, and service while being equitable and accessible for a low cost to students (Bowen,1980, Hearn & Holdsworth, 2002). University presidents and senior leaders must deliver results for these incompatible goals and the stakes are high (Bowen, 1980). The expectation to deliver transformational outcomes occurs amidst challenging financial realities (Hearn 2006, Gumport & Sporn, 1999, Weerts, 2007, Bastedo, 2012). Public funding has significantly diminished in recent decades causing major consequences for leaders and their constituencies. Public universities have been forced to respond by "increasing tuition, reducing faculty, limiting course offerings, and in some cases closing campuses" (Mitchell, Leazman, and Saenz, 2019). These lasting effects are felt across all states and institutions of public higher education as all public institutions historically relied heavily on allocations from their state governments.

The trend of decreasing public allocations began in the late 1970s but sharply accelerated because of the great recession that began in 2008. Public institutions were once conceived as "state-supported" and are now known as "state-assisted" because their allocations have diminished to such low levels. Between 1978 and 1998 public universities experienced a 25% decrease in state appropriations as a proportion of their total revenue (Duderstadt & Womack, 2003, pg. 103). States saw increases in appropriations in the late 1990s but those stopped in 2001 because of the 'tech bust' recession of 2001 (SHEEHO, 2020 report). Education appropriations per full time enrollment (FTE) fell from $9,979 per FTE in FY2001, an all-time high, to $6,830 per

FTE in FY2012, an all-time low with FY2012 marking the worst year for the effects of the great recession (SHEEO, 2020 report). Since 2012, there have been slow yet steady increases in state allocations per FTE. The most current SHEEO data reflects FY2019 which shows recovered funding at $8,196 per FTE. Overall, the country has experienced a net increase in state appropriations since FY2012; however, states have recovered only 66% of their pre-recession funding and most remain well below their pre-recession funding levels (SHEEO, 2019 report). Only seven states - Alaska, California, Hawaii, Nebraska, New York, Oregon, and Wyoming - have met or exceeded pre-recession education appropriation levels while seven other states - Alabama, Arizona, Delaware, Louisiana, Mississippi, Oklahoma, and Pennsylvania – "remain more than 30 percent below their pre-recession education appropriations per FTE" (SHEEO, 2019 report). Financial and enrollment trends identified because of the last two recessions suggest the current global pandemic and resulting economic crisis will have severe consequences for public higher education. The diversification of revenue streams is now more important than ever considering most public institutions have not fully recovered from the great recession.

Public universities responded to the last decade of financial downturn by diversifying their revenue streams and privatization is commonplace (Hearn, 2006, Slaughter & Leslie, 1997, Weerts, 2007). Leaders of public research universities now rely on private philanthropy as one of the newer revenue channels to alleviate some of the financial pressures (Drezner & Huehls, 2016, Weerts, 2007, Caboni & Proper, 2014). Over time, the process of garnering private philanthropy has become institutionalized and systematic. Current financial realities cause even the most prestigious and well-endowed public research institutions to invest heavily in fundraising units. These fundraising organizational units are commonly known as 'development' or 'institutional advancement' units; they offer an institutionalized structure and are expected to increase revenue and provide revenue for the organization (Rowland, 1986; Tromble, 1988; Hunt, 2012; Austin and Sorcinelli, 2013).

During the growth and transformation of private philanthropy efforts came an influx of professional staff members to carry out fundraising and engagement initiatives (Caboni & Proper, 2014). Within these operations, special emphasis was placed on the cultivation and solicitation of major gifts. Staff members focused on raising major gifts became known as 'development officers' or 'major gift fundraisers'. They are responsible for finding significant revenue for the missions and priorities of academic leaders (Conley & Tempel, 2006, Caboni & Proper, 2014). University presidents, deans, and other leaders spend up to half of their time working with external constituents to promote the well-being of the institution with the hope of increasing private funds for their priorities and for positive results in national rankings (Caboni & Proper, 2014).

When fundraisers work with donors and other external constituents to find a fit between their personal interests or experiences and institutional funding needs, the necessity for an academic expert within the institution often arises (Gasman, 2005). To provide a donor-centered experience, fundraising staff members may call on members of the university community – academic leaders, members of the administration, faculty, students, and other staff-- to help in their donor engagement efforts (Gasman, 2005). Anecdotal accounts suggest academic leaders and faculty members are becoming increasingly involved in donor interactions during major gift attainment.

Purpose of the Study and Research Questions

Although philanthropy has become one of the most emphasized revenue streams in public research institutions, there is little to no research about its organizational presence and internal impact on institutions - specifically the involvement of academic partners engaged in the process - leaving much to be discovered (Caboni & Proper, 2014, Drezner & Huehls, 2015). We know very little about the organized activities of higher education development teams, how their activities affect campus partners, and how those campus partners, often integral to their actions and processes, contribute to fundraising activities. This qualitative study explores the role of academic leaders in donor engagement and fundraising. The purpose of the study was to learn more about the role academic leaders play in fundraising efforts at public research institutions.

Given the increasing importance of fundraising for the viability, persistence, and financial health of public research institutions, and the lack of scholarly inquiry into its mechanisms and processes, this topic merits attention. An exploration of this area provides a better understanding of how the increased focus on institutionalized fundraising has affected faculty members and academic leaders below the level of dean.

The following research questions guide the study:

1. What do faculty members in academic managerial roles in public research institutions understand about fundraising and how do they learn about the process?
2. How are faculty members in academic managerial roles in public research institutions involved in fundraising efforts?

3. What obstacles hinder the involvement of faculty members in academic managerial roles in fundraising?

To answer the research questions above, I conducted a qualitative research study resulting in 15 in-depth interviews with faculty members who held leadership positions within their departments and had administrative responsibilities. Throughout this study I refer to these participants as *academic managers*. Academic managers are members of the faculty who have taken on leadership roles within their department. They fall at the level directly below a dean and most commonly serve as department head or department chair, but some serve as a director of a center or institute. Participants were employed at one of two top ten comprehensive, public, research institutions according to US News and World Report's 2021 review of "Top Public Schools" (US News and World Report, 2021). During this qualitative research study, I utilized a lens of organizational behavior to examine the ambiguous role academic managers play in fundraising efforts at public research institutions.

Definitional Elements

Caboni and Proper (2014) define institutional advancement as a field that includes fundraising, alumni relations, public relations, and marketing. They acknowledge the phrase *institutional advancement* is synonymous with the term *development* and explain the *advancement* or *development* units at institutions are responsible for both communicating with the public and raising funds (Caboni & Proper, 2014). They note advancement functions are not central to the university's mission and are not a core function of the academy; instead, advancement functions are "necessary to the functioning of the organization rather than central to its mission" (Caboni & Proper, 2014, pg. 4).

There are many definitions of *fundraising* in non-profit organizations and academia. For the purposes of this study, *fundraising* refers to involvement in activities, events, or correspondence that encourages any major or planned gift ($10,000 and above) and furthers the relationship of an institution with an individual constituent (alumnus, donor, parents of current student, retired faculty member, etc.), a corporation, or a foundation. This terminology does not, in this instance, include the advancement of the institution as it relates to research grant funding through a sponsored programs office although the areas seldom overlap.

There are universally accepted best practices in the development field that define working with donors across a timeline called the *donor engagement process* (Plus Delta Partners, 2016). The *donor engagement process* is defined as, "a disciplined sequence of interactions between fundraisers and donors artfully managed using effective communication skills and donor insight" (Plus Delta Partners, 2016). This terminology and concept give the advancement field a way to define its strategic work with donors. This process is thought of as a continuum and development officers use it to describe and identify where a donor is in their philanthropic relationship with the institution and their receptiveness to becoming more involved. The phases begin with identification, qualification, followed by cultivation, solicitation, and stewardship. In the identification and qualification phases, donors are identified based on their capacity, giving history, and inclination. In the qualification phase, development officers verify a donor's capacity and inclination through strategic questions. Once donors are qualified, they enter cultivation and solicitation phases. In these phases, development staff “leverage the organization’s resources to demonstrate ability to achieve goals, clarify the critical role the donor plays [in the organization’s ability to meet goals], and collaborates to identify the most meaningful way for donors to achieve their desired impact while meeting the organization’s funding needs” (Plus Delta Partners, 2016). Donors enter the stewardship phase once they have pledged or documented a gift with the institution. I utilized this universally accepted development concept to explore where academic managers are involved across the donor engagement continuum. This research is significant because fundraising efforts are quickly becoming important sources of revenue for institutions.

The literature review in Chapter 2 provides a historical analysis of institutionalized fundraising efforts in public research institutions, reviews the state of scholarly research on institutional advancement, an abbreviated history of organization and governance in public higher education, and a deeper look into the culture of the faculty, their expectations, and their divided loyalties.

CHAPTER 2: LITERATURE REVIEW

In response to diminishing state budgets and external expectations to deliver excellent education for all at low costs, public research universities rely on institutional fundraising efforts (Weerts, 2007, Bowen, 1977). This intense focus on fundraising caused new organizational structures to emerge within public research universities and necessitated change for internal stakeholders. In this chapter, I provide contextual information to allow for a better understanding of the implications caused by an increased reliance on fundraising dollars.

The first section presents a brief history of the professionalization of fundraising in public research institutions. The second section reviews the state of research on institutional advancement. The third section provides an abbreviated history of organization and governance in public higher education that accounts for the differences between staff and faculty members and their normative roles. The fourth section provides a deeper look into faculty culture, expectations, and divided loyalties. The chapter then transitions into the theoretical framework.

The History of Fundraising in Public Research Institutions

While institutionalized fundraising efforts now play a prominent role in public research institutions, that has been true only since the early 1980s (Conley & Tempel, 2006; Thelin, 2011). Although public institutions have only recently invested in systematic fundraising operations, university fundraising has existed informally since the inception of public American higher education in 1785.

Cash (2003) in “Private voluntary support to public universities in the United States: An early history,” provides a helpful overview of how private giving played an important role in the early years of state universities but followed an inconsistent pattern. He explains most private support came through in-kind gifts during small scale fundraising campaigns encouraged by university leaders and students. State universities at the time resembled the early sectarian and colonial colleges meaning they relied on inconsistent, private support during times when the state could not adequately subsidize their needs. Many state universities saw benefit from privately given tangible assets in the form of land. The University of Georgia, birthplace of U.S. public higher education, received its charter in 1785 (Thelin, 2011). The university’s first president, Abraham Baldwin, put together a committee of individuals tasked with finding a suitable physical location for the university. The committee settled on the land along the Oconee River and one of the committee members, John Milledge, purchased the land and then donated it to the university. Many state universities benefitted from similar gifts of land and set their location accordingly. Before and during the Civil War, state institutions sought out support from nearby individuals through ‘subscription campaigns’. This type of private giving appealed to local pride or the special interests of local citizens and fostered a sense of “giving with others” and belonging to the institution; this likely gave way to the “booster spirit” of the antebellum United States (Cash, 2003, pg. 68). He cited multiple examples from state newspapers in the late 1700s and early 1800s where individuals were encouraged to join subscription campaigns to local universities – some for the University of Michigan, University of Georgia, Bacon College, among others. Presidents and trustees at these early state institutions acknowledged their role in raising private, voluntary support for public institutions and they would personally seek out individuals who could fund various projects. They embarked on recruitment trips throughout their state in order to garner funds, and many of the larger gifts came to universities through bequests and wills. Cash described students of the time as taking on fundraising efforts by seeking out private support through literary societies to finance the construction of buildings for their activities. Another popular form of private support came to universities by way of important books and texts; many state universities were able to fill their library shelves because of in-kind book donations from individuals and even foreign governments.

In the article, “Private voluntary support to public universities in the United States: Late nineteenth-century developments,” Cash (2005) further elaborated on private giving noting several significant events in the history of higher education affected the delayed coordination of fundraising in public institutions. He explained it was not until after the Civil War the pattern of private giving to state institutions became more consistent because of several powerful social and political factors - America began to industrialize, urbanize, and expand westward, and ultimately the evolving aims of education in state universities strengthened their state allegiances. He noted state universities came to be a significant influence on economic development, which caused an increase in state appropriations; however, private, voluntary support remained unstructured. Through the mid-1800s, educational training primarily focused on vocational training and the liberal arts. Cash and others described a shift as American institutions adopted the “German method” – a rigorous focus on research where matriculation through a doctoral degree was emphasized (Conley and Tempel, 2006).

This shift resulted in the emergence of the American university and an associated expansion of fields and increased demand for higher education. Around the same time, the American economy experienced rapid growth. General industrialization, the growth of the American railroad system, and the petroleum industry caused increased demand for research and instruction in science, engineering, and agricultural science. The occupations of law, medicine, and business all experienced professionalization which increased the demand for more highly equipped facilities and expert instructors. Due to the expanding demands for and needs of state universities, institutional leaders focused on the management of budgets, establishment of standards, and development of external relations. Veysey (1965) suggested progressive administrators of the time worked to increase their institution's private support. Cash noted administrators realized the importance of voluntary support and built coalitions with both affluent volunteers and members of the state house for improved state funding. During this time, university presidents became isolated from the faculty ways of thinking, and they prioritized business operations and activities that advanced the funding and reputation of the institution.

Another important trend affecting patterns of support for state institutions was the changing federal interest in higher education during the mid to late 19th century. In 1862 Congress passed the Morrill Act which signaled the beginning of a period of increased federal funding for higher education (Thelin, 2011). The act dedicated federal funding and land for public institutions and established the idea that these institutions were responsible to the citizenry (Thelin, 2011, Conley and Tempel, 1996). State support stabilized toward the end of the 19th century because several federal acts guaranteed appropriations. The passage of the Hatch Act in 1887 dedicated federal funds to land-grant institutions to establish agricultural research stations and the second Morrill Act in 1890 guaranteed funds to institutions that could prove race was not a part of the admissions criteria or to designate funds for institutions for people of color (Thelin, 2011). This stabilization set the stage for the following first few decades of the new century which rarely saw a need for philanthropic gestures (Conley & Tempel, 1996).

The twentieth century brought a great number of changes for public higher education. Prior to 1950, only a few state institutions created organizational units to receive private gifts: these “instances were limited and represented no widespread movement” (Conley & Tempel, 1996, pg. 156). Following the end of World War II enrollments in higher education greatly increased due to the GI Bill (Thelin, 2011). These new students both diversified the student population and increased student demand dramatically as enrollment numbers grew (Thelin, 2011 & Conley & Tempel, 1996). Both an increase in volume of students as well as a diversification across the student body of students with varied needs put an increased strain on institutional resources. Leaders of public institutions, who took notice of the growing endowments of private institutions, and their own current funding models being stretched thin, called a meeting in 1957 (Conley & Tempel, 1996). This meeting took place in Greenbrier, West Virginia, and included over 70 presidents of public institutions as well as public relations and alumni relations professionals (Brittingham & Pezzulo 1990, Caboni and Proper, 2014, Conley & Tempel, 1996). In many ways, this meeting and the resulting “Greenbrier Report” is widely recognized as the inception of ‘institutional advancement’ in public higher education. This report called for campuses to identify a leader of fundraising efforts that would have a combination of expertise areas and could focus on raising private endowments funds as well as reputation enhancement through strategic communications, alumni relations, and fund-raising (Brittingham & Pezzulo 1990, Caboni and Proper, 2014, Conley & Tempel, 1996).

From that point forward, fundraising, alumni relations, and public relations offices began to find a place in public higher education. The growth of institutional advancement staffs accelerated when state appropriations to public higher education significantly decreased in the 1980s (Cheslock & Gianesschi, 2008, Hearn, 1996). Public institutions that were once “state-sponsored” organizations increasingly became “state-assisted” (Weerts, 2007). Administrators and governing boards of public institutions now focus on revenue diversification as a means of organizational survival (Hearn, 1996). Harsh financial realities caused administrators in public institutions to invest in advancement units.

Although the “Greenbrier Report” was drafted and accepted in 1957, institutional advancement as we know it today did not become professionalized until the later part of the 20th century. *Institutional advancement* is the combination of strategic efforts in alumni relations, fundraising, enrollment management, and government relations (Hunt, 2012). Weerts (2007) noted public higher education institutional advancement was once the result of uncoordinated efforts to identify and engage alumni and is now “high-powered-machinery” within institutions that include large-scale staffs with expertise in major gift fundraising, stewardship, prospect research, alumni relations, special events, and strategic communications. Public institutions are prioritizing revenue diversification to improve technology and enhance campus amenities, and as a result, fundraising has become an essential part of public higher education operations; effective fundraisers are highly sought-after, compensated, and incentivized (Bloland, 2002, Hearn, 2006, Conley & Tempel, 2006).

The Association of Fundraising Professionals, founded in 1960, and the Council for Advancement and the Support of Education (CASE), founded in 1974, are the two main professional organizations that provide resources and content for higher education staff professionals focused on alumni relations and fundraising (Brittingham & Pezzulo 1990, Caboni and Proper, 2014, Conley & Tempel, 1996). CASE is the most notable professional development organization, as it serves over 3,300 institutions across 82 countries, and has over 90,000 individual members (CASE website, “About”, 2021). CASE holds professional development conferences and offers staff members the opportunity to present information and connect with other colleagues to discuss successes and failures in their advancement approaches.

Although scholars and administrators alike identify the somewhat recent proliferation of advancement offices on campuses as the evidence of professionalization in the industry, there are several who question if advancement has actually professionalized as there is a lack of national data, research-informed best practices, and institutionalized mentoring within the field (Caboni & Proper, 2014 & Drezner & Huehls, 2015). Some offer a critical viewpoint of CASE and the advancement field in general because it has failed to emphasize strategic research that informs practice (Caboni and Proper, 2014 & Drezner & Huehls, 2015).

Fundraising Research in Higher Education

Voluntary support through fundraising is vital in order to have a competitive edge in public institutions, yet there is little research available on institutional advancement practices (Brittingham & Pezzulo, 1990, Caboni & Proper 2007, Caboni & Proper, 2014, Drezner, 2011, Drezner & Huehls, 2015). There exists a small group of scholars who contribute to what scholarly research is available. Gasman (2014) notes "many of us who consider ourselves scholars of philanthropy in higher education cut our academic teeth on Brittingham and Pezzullo's *The Campus Green: Fund Raising in Higher Education*, which provided a map of existing literature and areas in need of research (Brittingham and Pezzullo, 1990, Gasman in Caboni & Proper, 2014). Their work came at a pivotal time as they noted the prior two decades saw an increase in the importance of fundraising at all institutional types across the United States yet very little underway. They noted four major changes and trends in the field at the time the book was published:

- Traditional church-affiliated and individual and personal solicitation has been replaced with increased direct institutional appeals of an organizational and professional nature.
- The notion of charity has been replaced with philanthropy, and theories of donors' behavior have changed accordingly.
- While once considered an adjunct to the duties of the president or a few trustees, fund raising has become a central institutional activity.
- Though once limited to independent colleges, fund raising in public higher education has become accepted (Brittingham & Pezzullo, 1990, p. 5).

In addition to the trends above, they found a clear and consistent association between dollars spent on fundraising and results of fundraising; but noted increased spending is not always carried out strategically and that little research was available to direct leaders on how to spend well and achieve results (Brittingham & Pezzullo, 1990, p. 5). Their analysis outlined the existing literature about spending on fundraising, donor behavior, ethical issues faced by fundraisers, suggestions for institutions regarding research to practice, and future considerations for scholars focusing on philanthropy in higher education (Brittingham & Pezzullo, 1990).

In a 2007 analysis, Caboni and Proper reported a significant challenge for this evolving profession is the lack of inquiry into the fundraising function within the institutional environment (Caboni & Proper, 2007). They explained of the dissertations related to fundraising published in research journals, none were included in any of the three major higher education journals--*Research in Higher Education*, the *Review of Higher Education*, and *The Journal of Higher Education* (Caboni & Proper, 2007). Two possible reasons for this trend were identified by Kelly (1998): individuals in the development field pursue a terminal degree to further their professional career; they do not have academic aspirations and do not contribute academically; and faculty members who guide their dissertations have limited knowledge and experience with fundraising or related research. This results in studies that focus primarily on single institutions and donor characteristics for that single institution (Caboni & Proper, 2014). Broadly, this type of research results in duplication of work and redundancy (Kelly, 1998). Payton (1987) argued the reluctance to include research about institutional fundraising in core journals is because faculty members view the work as tasteless.

Caboni and Proper's 2014 *Institutional Advancement What We Know* is in many ways a thoughtful follow-up to *The Campus Green*; where they acknowledge the previous work as foundational for institutional advancement practice, and then offer a current "scorecard" for the goals Brittingham and Pezzullo established in 1991. Caboni and Proper (2014) analyzed around 600 publications dated between 1991 and 2013 and provided significant insights into the status of fundraising and the literature in this domain, which is summarized in the following paragraphs.

Although the amount of scholarly research in this area is limited, it has increased in recent decades, and Caboni and Proper (2014) attributed the increase around the millennium to the launch in 2000 of the CASE Journal of Institutional Advancement, which ceased publication in 2011; however, the demise did not result in a significant decline in the number of dissertations or publications in other outlets. Nearly 75% of the dissertations and publications analyzed fell under the category of "fundraising," "dwarfing the amount of research on alumni relations, public relations, or marketing in higher education" (Caboni & Proper, 2014, p.25). They noted "the lion's share of fundraising research focuses on questions of effectiveness and donor motivation, examining institutional factors that make fundraising successful and individual characteristics that increase the propensity of making or increasing donations" (Caboni & Proper, 2014, p. 25). Much of the published work within fundraising focuses on fundraising as a profession, the role of leadership in fundraising, the history of fundraising, giving to minority serving institutions, community colleges, religious institutions, giving abroad, giving to athletics and influenced by athletics, giving to student affairs and other units within institutions. They noted how fundraising efforts change or effect institutions as one distinct gap in the literature and they identified the following as areas needing further research: consistency of mission, spending and effectiveness of fundraising, the use of broader methodologies in research, donor motivation, the effects of fundraising on institutions, ethical issues in fundraising, the role of leadership in fundraising, and historical studies that are broader than one institution.

Fundraisers who receive doctorates typically return to practice instead of pursuing faculty positions and as a result have no incentive to publish original work. "With so few individuals pursuing fundraising research as an extension of their doctoral training joining the professoriate, little is done to resolve the issue of faculty with limited understanding of college and university advancement guiding and mentoring the next generation researchers interested in fundraising" (Caboni & Proper, 2014, p. 45). This trend prolongs the cycle of deficits in available research.

They surmised the scant amount of research poses implications for leaders of higher education and its stakeholders because the "field's understanding of an essential part of the mechanisms of colleges and universities is woefully underdeveloped" (Caboni & Proper, 2014, p. 45). They further note that unlike alumni relations, fundraising is not specific to higher education, and fundraisers often have experience outside of education such as in places like museums, libraries, or hospitals. They point to this differentiation as a potential reason for why the scholarly literature on the topic is small. They noted the advancement field's size and continued growth provides another reason for increasing research on its mechanisms.

Organization, culture, and impacts of institutional changes on faculty and academic leaders

The organization of public higher education looks much different today than it did at its inception (Thelin, 2011, Birnbaum, 1988). In the new American colonies, faculty members organized under a scholarly president and associated with that leadership style (Finnegan, 1997). They were responsible for instruction and managed many of the institutional processes. After the colonial period, they shifted to a more autonomous professional status where they explored and redefined their relationships to one another and to their institutions through their disciplines (Finkelstein, 1984). In the mid nineteenth century, there was a shift from vocational training to a strong academic curriculum (Thelin, 2011). Faculty members became more focused on research and instruction and less involved in institutional management (Birnbaum, 1988). The decisions related to curriculum and instruction shifted to faculty members and away from boards of trustees and non-faculty members; this gave faculty members more autonomy and control over the academic mission within their areas of expertise (Birnbaum, 1988). Besse (1973) lamented that the "faculty…. tend to think of themselves as being the university. This leaves the board of trustees with little authority over the [major] function of the university, instruction" (Besse, 1973, p. 109). This shift provided the basis of 'faculty governance' in a collegial environment, one of the fundamental cultural foundations of the technical core; faculty members govern their programs and departmental affairs (Birnbaum, 1988).

Public higher education saw enormous change during the mid-1900s that brought diversification and strain to institutions. The GI Bill caused an increase in student enrollments, especially of students from varying backgrounds. This expansion caused organizational strains on institutions; new needs became clear and as a result, differentiated, robust staffs with expertise in admissions, financial aid, student affairs, academic advising among other specialty areas evolved over time (Birnbaum, 1988 & Thelin, 2011). To ensure their institutions would persist and survive, presidents sought the help of academic deans and other leaders to “define and manage the growing organizational complexity of their institutions” (Finnegan, 1997, p. 481). Inconsistent state funding forced campus leaders to explore new ways to create revenue. Some scholars argue the higher education enterprise began to prioritize business operations more so than the academic core to save money and promote efficiency (Kezar, 2014).

Public institutions once governed and organized solely by the faculty shifted to having a distinct structural difference between those in academia and those in administration (Thelin, 2011 & Birnbaum, 1988 & Gumport, 2012). The need for staff members with expertise in “legal precedents, federal regulations, management information systems, student financial aid procedures, grant and contract administration, and many other areas” caused a significant increase in the hiring of administrative support staff (Birnbaum, 1988, p. 7). Faculty and administrators fill different roles and experience and influence aspects of the institutions in different ways; as a result, they are separate, isolated from one another, and rarely engage in communication with people outside of their unit (Birnbaum, 1988). This division of responsibilities and work fosters a disconnect in lines of communication, coordination, and outputs (Weick, 1976). There are significant differences in the cultural norms, authority structures, focus areas, and educational work of faculty members and staff members (Corson, 1960, Birnbaum, 1988, Bastedo, 2012).

Campus leaders often focus their conversations and decision making on business related items like enrollment growth, maximizing productivity, marketing, and branding, and fail to take academic and professional values into account in planning and governance (Kezar, 2014, Slaughter and Rhoades, 2004). The dualism has resulted in "an erosion of shared interests and trust between faculty and administrators" regardless of institutional type (Kezar, 2014, p. 11).

Corson (1960) suggested a "unique dualism in organizational structure" because he conceived the university as including two parallel structures: one as the formal, administrative hierarchy and the other as the structure through which faculty members made decisions on the aspects for which they hold jurisdiction. He discussed the dual nature of control was further complicated because members in each structure failed to make decisions in a consistent, predictable manner, and faculty governance structures varied based on each institution's structure and norms (Corson, 1960). The notion of the dual nature of institutions of higher education forms the basis for the constantly conflicting goals between the professoriate and the administration because different authority types govern the two structures. The two systems are not only structurally separate but have different authority and governance systems. Administrative authority based on a hierarchal system is the authority structure for university staff. The academic structure, governed by professional authority, is "predicated on autonomy and individual knowledge," which is not hierarchal in nature (Birnbaum, 1988, p. 10).

What makes matters more complex is the background and composition of those in senior leader positions. Many senior administrators, with no formal academic training or experience as faculty members, dominate university decisions and operations; they are not coming to their positions through the faculty ranks and have less familiarity with the culturally complex inner workings of the academy (Leicht & Fennel, 2008). In addition, they tend to be increasingly sensitive to external pressures particularly those that provide funding (Leicht & Fennel, 2008, Kezar 2014). Leicht and Fennel (2008) point out non-faculty senior administrators tend to give deference to external stakeholders. Instead of adequately buffering the faculty from parents, donors, alumni, and research funders, they accommodate their requests as legitimate work, which places undue strain on the faculty. This external focus complicates the faculty's ability to carry out the academic mission of the university (Leicht and Fennel, 2008).

Today, faculty members continue to balance autonomy and accountability within their varying spheres of authority and expected productivity. Faculty members struggle to meet the expectations of various areas – to their departments, their disciplines, their institutions, and to their own professional development (Hearn & Holdsworth, 2002). "The degree to which - and the number of people - to whom faculty members are accountable for their complex set of actions has escalated within the recent past" (Finnegan, 1997, p. 481). The missions of public research universities further complicate this already precarious balancing act. Institutions, rather than the individuals that comprise them, are the 'primary vehicle' for delivering on competing expectations and meeting the needs of society (Hearn & Holdsworth, 2002). However, colleges and universities work largely through their individual faculty members, who deliver the crucial and primary outputs - education, research, and service. Faculty members are at the "core" of higher education from a historical, cultural, and organizational sense (Hearn & Holdsworth, 2002). Although they are the primary component of an institution's ability to deliver on expectations, there exists an often-ambiguous relationship between the faculty and senior leaders on public research campuses. Hearn and Holdsworth (2002) point out faculty are neither positioned nor motivated to complete external goals; however, as the primary employees of institutions they become responsible for the institution's ability to appease external stakeholders. This ambiguity and lack of coordination between the academy and the administration presents a significant opportunity for researchers and scholars to learn more about coordinating between the two structures.

CHAPTER 3: THEORETICAL FRAMEWORK

This chapter presents a theoretical framework to account for the structural challenges in higher education and how they impact individuals involved in university fundraising efforts. The framework provides a conceptualization of collaboration between differentiated subunits that comprise systems within institutions; the subunits have varying goals, responsibilities, governing, and authority structures. Understanding the subunits and the mechanisms that occur between them is essential for understanding how together they affect the actions and perceptions of individual actors within the organization. The emphasis placed on the individual academic leader's experience throughout this research will promote a better understanding of how they learn about fundraising, how they are involved, and how their involvement is carried out amidst the layers of competing expectations and goals of the organization. To this end, I draw on systems theory, structural theories of organization, and loose coupling theory to provide a blended conceptual lens for understanding academic manager activities within the fundraising process in public research institutions (Corson, 1960, Parsons, 1960, Thompson, 1967, Weick, 1976).

The following research questions guide the study:

1. What do faculty members in academic managerial roles in public research institutions understand about fundraising and how do they learn about the process?
2. How are faculty members in academic managerial roles in public research institutions involved in fundraising efforts?

3. What obstacles hinder the involvement of faculty members in academic managerial roles in fundraising?

Systems Theory and its Boundaries

An organizational system is a set of component parts that are interdependent and connected (Birnbaum, 1988). The external environment is everything not contained within the system and is more complex and differentiated than the system itself (Bess & Dee, 2008). Boundaries separate systems from their environments and "allow the system to define its identity, provides protection for the system through its filtering or selection mechanism, and acts as a point of contact and exchange with other systems in the environment" (Bess & Dee, 2008, p. 95). Systems and subsystems within them have boundaries with varied permeability that are more or less 'closed' or 'open' based on their technology and responsibility. The permeability of a system's boundary determines whether it is 'open' or 'closed'. Institutions of higher education are complex, dynamic organizations that require both a closed and open systems strategy to approach the understanding of its organizational complexities (Thompson, 1967, Birnbaum, 1988).

Open systems carry out exchanges with their external environments more easily than those that are closed (Birnbaum, 1988). At a basic level, the open-system model is a useful conceptual tool for studying institutions of higher education; institutions search for inputs in the form of dollars, students, and social support in a resource limited, tumultuous environment (Birnbaum, 1988). Simply put, in an open-systems strategy, we assume that a system contains more variables than we can comprehend at one time and because of their unpredictability, they contain a great deal of uncertainty (Thompson, 1967). Before emerging as outputs, inputs are processed within the institutional structure in varying ways. Open systems theory suggests systems are environmentally dependent and complex; so complex that even key actors within the organization often struggle to understand and navigate its complexities (Pfeffer & Salancik, 1978).

The logic of open-systems organizations provides a basic model for viewing the organizational structure in higher education, but it does not provide a complete representation of an institution's "organizational realities;" it provides only one part of the whole (Thompson, 1967, Birnbaum, 1988). Thompson (1967) first identified a unique concept in the study of organizations; he posited organizations could have two internal yet extreme component parts that are simultaneously both determinate, closed systems, and indeterminate, open systems (Thompson, 1967). The linear, 'closed system' extreme, is characteristic of the technical core, known for its impenetrable, rigid internal boundaries; the inputs are definable, controllable, and simple. The outputs disappear and do not re-energize the system (Birnbaum, 1988). Closed system components do not change, and they offer predictability. The dynamic, non-linear, 'open system' extreme has permeable external boundaries and experiences many internal and external interactions; the inputs are very complex and may consist of ideas, resources, people, or even interactions with other institutions or systems; the outputs do not disappear but instead return to the environment where they can become inputs once again (Birnbaum, 1988). For institutions of higher education specifically, some examples of inputs include students, research grants, potential donors, tuition, and private donations. Some examples of outputs include new knowledge, graduates, tax credits, waivers, and scholarships.

Boundaries separate systems from their external environments but they also separate subsystems within the larger system from one another. The external boundary separates the institution from its external public; subsystems within the institution have internal boundaries that separate them from other subsystems within the larger institution. Boundaries not only keep the system protected and help internal actors form an identity, but they also promote the system's "external identity" or public image (Gioia & Thomas, 1996) by creating a clear division for those outside to perceive an organization's collection of activities as interconnected and whole (Fombrun & Shanley, 1990). Boundaries may encourage actors within the organization to find a sense of identity within the system; this allows individuals to develop allegiances to the institutions with which they work. Individuals separated from others in various parts of the organization will identify and relate to their own subsystem creating an 'internal identity' that is felt for the larger organization as well as the subarea. The entrenched faculty culture within the academic core is an example of an identity and culture fostered by internal boundaries. Because an individual's personal identity may be closely tied to the organization, members can develop strong allegiances to their institution and even their department or program within the institution (Bess & Dee, 2008).

Structural Theories

Structural theories of organizational development aim to explain the coordination of work between highly specialized areas within the organization (Bess & Dee, 2008). Actors with specialized knowledge free up actors in other areas to focus on unrelated tasks; this promotes efficiency but coordination between the separate units can prove difficult. Thompson's structural conceptualization said systems could be both simultaneously closed and open, and this built on Parsons' (1960) suggestion that organizations are composed of three distinct levels of responsibility and control - *the* *technical core, the managerial level, and the institutional level* – where the technical core is closed, the institutional level is open, and the managerial level intermediates between the two *(*Parsons 1960, Thompson, 1967). The two extremes are the technical core, conceived as the closed, clearly defined rational system with little uncertainty and the other extreme is the institutional level, conceived as an open, irrational system, permeable to external variables and forces (Parson, 1960, Thompson 1967). A managerial level separates the extremes, mediates workflows, and exchanges between the institutional (open) and technical (closed) systems within organization. The distinction of these three levels is significant because the functions within each level respond to different sources of authority although the levels are interdependent (Parson, 1960). Each "level" or layer is composed of individuals with highly differentiated skills and objectives.

Thompson (1967) discussed that organizations achieve technical rationality by decreasing the uncertainty at their core; he defined 'uncertainty' as the organizations' variables and inputs. Rationality increases within the technical core when properly buffered from variables and inputs. Coping with uncertainty is a central problem for organizations; they do so by creating component parts, or sub-units, that specialize in dealing with different types of uncertainty. Thompson (1967) identified resource acquisition as one of the primary processes that increases organizational uncertainty; the external environment creates the uncertainty by introducing many new variables and inputs into the system. Building on the notion that organizations are comprised of three distinct yet interdependent layers, with both open and closed systems extremes, loose coupling theory provides a lens to further explore the micro-level mechanisms occurring between the three levels of organization (Weick, 1976, Birnbaum, 1988, Bastedo, 2012).

Loose Coupling Theory

Loose coupling theory elaborated on Thompson's (1967) research and builds on systems theory by considering the exchanges within and between an organization's subunits to explain the indirect linkages and connectivity between those subareas in achieving organizational work (Weick, 1976). Knowing more about the weak yet responsive connections between subunits allows for a better understanding of how institutions accomplish various goals.

The words "coupled" or "coupling" describe how parts of the system, people, and their work are interdependent and linked together. The words "tight" and "loose" describe the differing levels of strength and intensity of the linkages or variables (Weick, 1976). "Conceptually they can be differentiated on two criteria: the extent to which the subsystems have common variables between them and the extent to which the shared variables are important to the subsystems" (Birnbaum, 1988, pg. 39). Those subunits or subsystems with high commonality and importance are 'tight' and extremely responsive to one another while those with low commonality are 'loose' and less responsive to one another (Birnbaum, 1988).

"Loose" or "loosely" indicates a weak connection where two or more areas are interconnected yet they retain their identity despite affiliation to others (Orton and Weick, 1990). Linkages between subunits that are 'loose' are characterized by flexible workflows; elements within these subunits are responsive to one another but retain their separateness and original identity (Weick, 1976). These connections are infrequent, weak in their mutual effects, unimportant, or slow to respond. One element of loosely coupled systems is a decentralized organizational structure. In a decentralized structure, communication and authority between subunits is weak; a problem in one does not result in a shut down across the organization (Weick, 1976). Decentralized, autonomous subsystems within a loosely coupled organization promote efficiency where the 'causes' and 'effects' between the areas are weak and allow for persistence when not all functional units are effective. This weak affiliation means that dysfunction and disorganization in one subunit will not necessarily cause another to fail; subunits undergo separate processes so that they accomplish work and progress at varying degrees (Weick, 1976). Loosely coupled systems do not have formal organizational connections bound by managerial control but are instead held together through the "interactions and sentiments that organizational members construct together" (Bess & Dee, 2008, p. 224).

Tightly coupled subunits have strong, intense, dependent linkages where a change in one subunit causes immediate change in another. One unit's reaction to another is significant and a problem in one will cause the entire system to collapse. Centralized organizational structures are an element of tight coupling where communication and decision-making flow through a centralized authority and little is achieved without their oversight (Birnbaum, 1988). Tightly coupled structures enforce responsiveness and constrain the autonomy of subunits whereas loosely coupled structures have weak connections to one another yet remain responsive (Orton & Weick, 1990). When autonomous subunits experience no connection or responsiveness to others the structure is decoupled (Orton & Weick, 1990). When units are not responsive or decoupled, they never engage with one another and operate as separate systems.

Loose coupling theory provides a more in-depth theoretical frame for understanding the individual's position within the organizational processes that occur between varying sub-systems. To that end, utilizing loose coupling theory and the varied levels of responsibility and control within institutions, I created several unique organizational models for this study. The models illustrate the structure of public research universities and the infinite ways they process inputs to outputs. The figures provide a better understanding of how academic managers members become involved in the donor engagement process.

Connecting the theories

Figure 1, below, is an overly simplified high-level organizational model representing a general structure common for public research institutions. This figure does not portray the intricacies within each subsystem but instead how the subsystems are related through Thompson's (1967) institutional, managerial, and core layers.

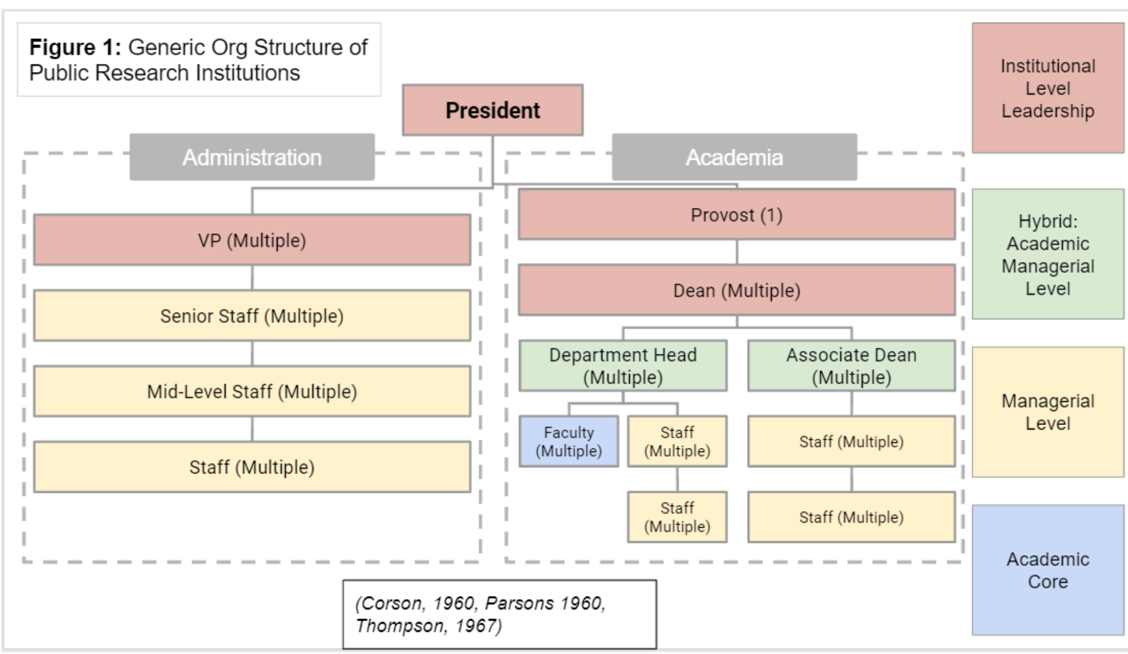


Figure 1: Generic Org Structure of Public Research Institutions

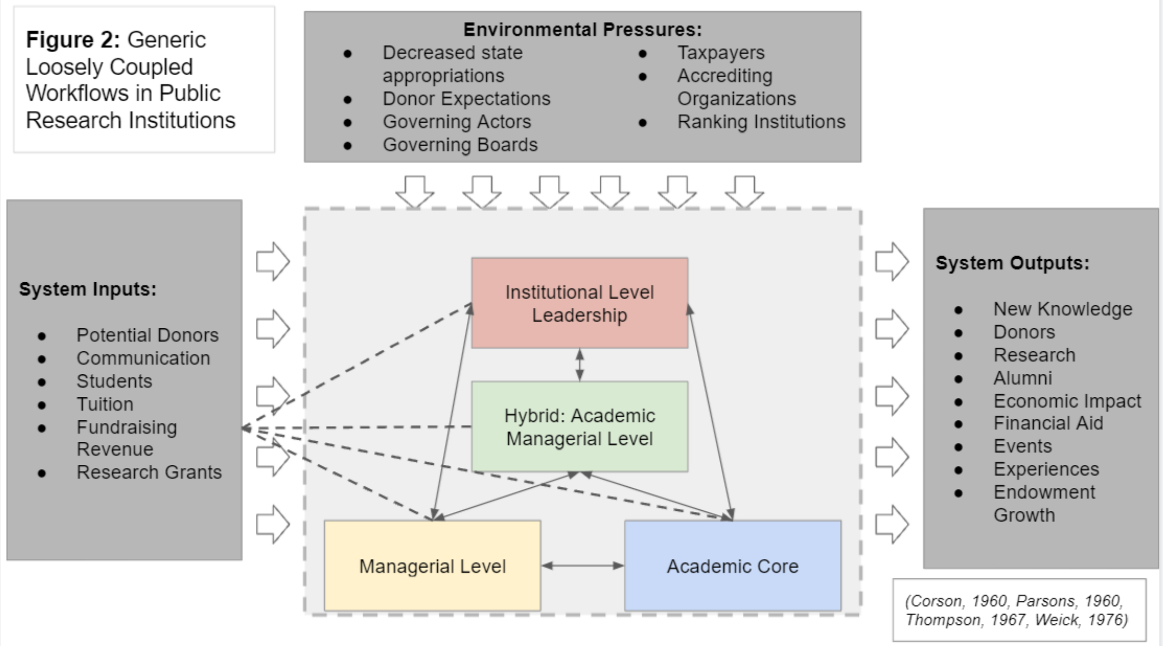
The complexity of an institution's structure and its resulting layers with subunits cannot be adequately depicted in one model because the complexities of the subunits simply would not fit. The dual nature of public research institutions, the separation between individuals in the academic structure and individuals who manage logistics in the administrative structure, reflects how accountability and governance exists within each side (Corson, 1960). The hierarchy and systems of authority are different on each side. Institutions embrace many conflicting goals, and the "lack of clarity and agreement on institutional goals and mission has equally important effects on organization and management" (Birnbaum, 1988, p. 11). Corson 1960 writes,

The simultaneous existence of two internal structures within the college or university – the academic structure, made up of departments, schools, and colleges, and the administrative structure, responsible for supporting services and business affairs – reflects the self-governance granted the teaching and research staffs. And the flat organization of the academic structure (i.e., the limited organizational distance vertically between professor and senior academic officer) reflects the relative independence accorded the individual teacher and researcher (Corson, 1960, pp. 78-79).

Although there is goal confusion and competition, the dual structure allows for high degrees of specialization within each side; this ensures the buffering of faculty members from external pressures. Notably, the academic side has a much flatter structure whereas the staff side is steeper with a more bureaucratic orientation. The global, general view of the organization illustrates the loosely coupled nature of decentralized public research institutions. The academic core, buffered from external pressures, can teach and research without encountering management or logistical issues. Similarly, staff members in the administration can carry out their management of day-to-day activities without involvement in academic instruction and faculty affairs.

Based on Thompson's (1967) conception of varying levels within higher education organizations, I categorized individuals in each subunit into four levels: the institutional level made up of senior level leaders, the hybrid academic managerial level comprised of department heads and directors, the managerial level, comprised of administrative staff, and the academic core consisting of the faculty. Figure 2, below, is a model that portrays the institution in relationship to its external environment.

Figure 2: Generic Loosely Coupled Workflows in Public Research Institutions



(Corson, 1960, Parsons, 1960, Thompson, 1967, Weick, 1976)

Figure 2 provides an extremely simplified snapshot demonstrating the loosely coupled levels and resulting workflows occurring within and between the academic core, managerial level, hybrid academic managerial level, and institutional level leadership of public flagship institutions. This model does not account for the structural nuances within each level. Figure 2 depicts the omni-directional workflows but does not account for the intensity of the coupling with respect to authority, control, or responsibility. The dotted lines represent system inputs, and each dotted line symbolizes a multitude of possible incoming variables. The dotted lines go to each of the varying levels within the figure because external inputs are unpredictable and encounter each of the different levels for processing. Not all inputs touch each level and not all inputs touch all the levels – the figure is meant to show there are infinite possibilities for processing. To process inputs, workflows are established between all the levels. Some of the workflows between levels may be tightly or loosely coupled based on authority or control; this model does not account for how responsive workflows are between the varying levels but instead simply identifies they exist. Public, research institutions are complex, large in scope, and are decentralized, meaning communication between the four levels may often be weak and workflows occurring within each level are interrelated to the other levels but not necessarily dependent on them (Weick, 1976).

As illustrated in Figure 2 above, the institutional level is the open-system extreme within the larger system and is permeable to the external environment and encounters a multitude of variable inputs and pressures. It exists to buffer the rest of the system from the external environment. Two managerial levels engage in buffering; one level is comprised of faculty members turned administrators, for the purposes of this study known as academic managers, and one is staff. The hybrid academic managerial level that is both academic and administrative in nature includes department heads and directors who are faculty members that have administrative responsibilities in addition to their academic workloads; they perform administrative operations while simultaneously holding academic appointments. The managerial level made up solely of staff members includes staff members on a wide-ranging spectrum of responsibility. Finally, the academic core, consisting of faculty members - primarily those without any managerial or administrative responsibilities, exist within the closed system extreme where, ideally, the environmental inputs and variables are minimal and result in discriminate certainty (Thompson, 1967).

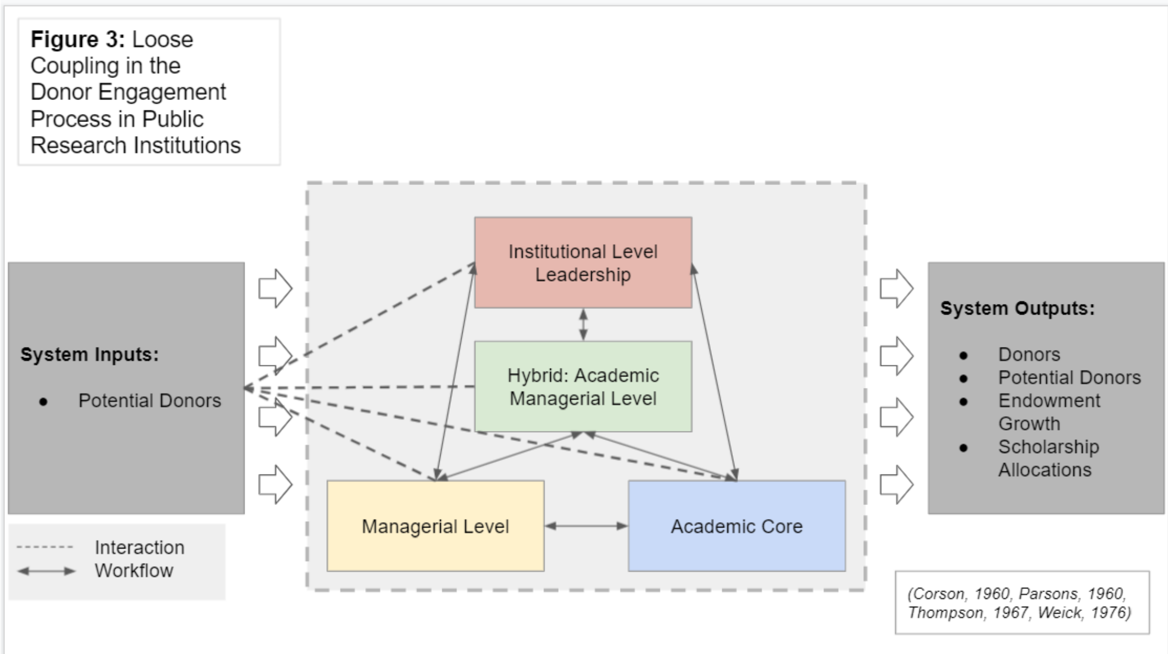
A professor within a subunit in the academic core, for example the kinesiology department, may receive an input in the form of an email communication from a former student looking to donate money to a retired professor's endowment. The faculty member, presumably not having knowledge of how to operationalize the donation request, would likely then forward the email to their department head and ask for input on how to handle. The department head, potentially through a series of emails involving administrative staff, would eventually delegate the communication by connecting it to an individual staff member for resolution. The staff member may need to contact other administrative staff members both within their unit and outside their unit to fulfill the alumnus' request. In this example, the inputs are both an e-mail communication from an alumnus and eventually a contribution to a university endowment and the output is an award or allocation. This overly simplified example is one way an input can cause a workflow that would reach multiple levels and subunits within a system (Weick, 1976).

Inputs or pressures felt in the institutional level can cause workflows that require attention in both the managerial level and the academic core. For example, a university president in a conversation with a trustee hears that the trustee's high school aged nephew is interested in applying to and learning more about the university's math education program. A managerial staff member in the president's office would likely start a workflow to the math education department's staff requesting they contact faculty members and put together a personal visit for the family of the trustee. In this example, the input is a communication from a trustee to the president about the interested student and the output is a campus tour and personal visit for that student to the math education department. The workflow required for the output can become complicated and involve many individuals within and between varying subunits in any or all the levels in order to reach a desired outcome.

Inputs and environmental pressures affect the different levels and their subunits in various ways; some have no affect and others may stay within just one level while some may require traveling between levels to become an output. Within each level, there are differentiated subunits that process inputs to decrease uncertainty. Certain workflows may become outputs solely from the level with which they first correspond while some require processing from multiple levels and subunits before becoming an output.

Figure 2, while extremely simple provides insight for the possibilities of complicated and varying workflows between each of the levels as they process inputs to outputs. The focus of this study is to discover more about how potential donors, who are inputs, are processed among and between the varying subunits of academic managers and managerial staff, to ultimately become donors, organizational outputs. Because this process is specific, I created a micro-level model, Figure 3, to best illustrate the goal of the study.

Figure 3, below, is a model that represents specific types of interactions with the external environment.



Dotted lines represent potential donor inputs as their interactions with individuals across the varying levels. The dotted lines are omni-directional because donors can both initiate and receive the interactions. Interactions can occur with individuals internal to the institutional system in any level. Sometimes workflows stem from the interactions, and workflows are represented by the omni-directional solid lines. Figure 3 illustrates the area of focus for this study. As demonstrated in the research questions, this study was designed to learn more about the interactions and workflows existing between the hybrid academic managerial level and the managerial level within the loosely coupled, decentralized institutional structure.

This chapter presented a theoretical framework and several models illustrating relevant structural and system realities in public higher education. The frameworks discussed in this chapter provide a lens for us to better understand the perspective of the academic managers mediating various workflows between two system extremes. The following chapter discusses the study methodology and data analysis techniques.

CHAPTER 4: METHODOLOGY AND DATA ANALYSIS

This study examined the role of academic managers in fundraising efforts at public research institutions. The focus of this study was to learn more about the processes in which academic managers contribute to the fundraising process.

The following research questions guided the study:

1. What do faculty members in academic managerial roles in public research institutions understand about fundraising and how do they learn about the process?
2. How are faculty members in academic managerial roles in public research institutions involved in fundraising efforts?
3. What obstacles hinder the involvement of faculty members in academic managerial roles in fundraising?

Study Overview

Qualitative research is a broad methodology that crosscuts disciplines, allows for varying approaches to discovery, and supplies in-depth information from participants (Denzin & Lincoln, 2005). This study employs qualitative inquiry to seek out individual academic managers' frames of reference within complex organizational dynamics of public research institutions. If done well, this type of research study yields strong detailed conclusions and recommendations. There are three current, extensive reviews of the existing literature in advancement, and none delve into the perspective of faculty leaders and their involvement in these practices (Marshall & Rossman, 2011, Caboni & Proper, 2014, Drezner, 2016). Using interviews, I heard directly from academic managers, which allowed for rich description about the organizational dynamics at play in fundraising.

The study identified common themes with the purpose of theoretical development in the higher education advancement field, informing best practices in the creation of sound policies so universities can improve organizational processes between the administration and the academic core.

My Role as the Researcher

I approached this study from a unique perspective informed by lived experience; I am a full-time major-gift higher education fundraiser and a part-time Ph.D. student. I utilized Marshall and Rossman's (2011) reflexive table about triangulated inquiry to reflect upon how my internal voice, my experiences, and my prior knowledge could shape the study.

I became fascinated with the complexities of higher education organization and governance when I was a higher education master's student, almost a decade ago, particularly around the duality represented within institutions. The somewhat rigid boundary between administration and academia captivated me – especially because I identified with and found great value in the work of both sides. That academic and personal interest, coupled with my professional experiences, fueled my passion for learning and experiencing more around this topical area – fundraising and how it affects public research institutions – because of its importance and prominence for leaders of institutions.

Through anecdotal accounts from my mentors in higher education (several of whom are now deans, provosts, and presidents in public institutions), I became aware that fundraising was a relevant area of concern for those applying for senior level leadership positions in public research institutions. Because of my aspirations to become a senior leader in a public institution of higher education, I sought out a professional role in development and alumni relations while I began my Ph.D. coursework. I chose this area specifically because it was the only area I had not yet experienced; I previously worked in student affairs, admissions, financial aid, and athletics – but had no exposure to development and alumni relation. Admittedly, I did it to "round out" my potential as a future campus leader. Little did I know it would become the inspiration for my dissertation and the focus of my doctoral studies.

My current professional title is "senior regional director of development" and my position is centrally organized. I am not housed within an academic unit but instead report directly to another more senior fundraiser and up to a vice president for development. In this role, my goal is to raise major gifts for a public research university. Specifically, I am supposed to raise $2.3 million dollars this fiscal year. I have no fundraising boundaries within the institution; I can secure a gift in any area including athletics. I manage a team of fundraisers who have similar goals to my own – building a culture of philanthropy within our geography territory – with no boundaries for where gifts are located.

My current role is very different from my previous professional role in development. In my previous role, I was the "director of development and alumni relations" in a College of Education within the same public research university. The boundaries of my fundraising were very clear; I focused solely on alumni and donors making gifts to the College of Education. I managed a team and had a split reporting structure where I reported to a dean 50% and another more senior fundraiser in the foundation 50%. In that role, I utilized associate deans, department heads, and faculty members often in my fundraising efforts and donor engagement. I worked with faculty members who had interests in fundraising for their own labs, classrooms, graduate students, and projects. I experienced closing gifts with both current and retired faculty members. My professional experience is relevant for several key reasons: I have experienced two reporting structures – both centralized and decentralized - which informs my perception of the nuances of power dynamics and governance structures on campuses, and I have personally involved academic leaders in my fundraising efforts.

These collective experiences have shaped my perspective. I am close to the information although I do not have preconceived ideas about how the process happens; I recognize that my own experience is just one of many. Despite my professional experiences, I was committed to an open-minded, objective research approach. To keep track of how my perspective affected the study, I followed Marshall and Rossman's (2011) suggestion of keeping a self-reflective journal throughout the course of the study. In the journal I logged my "reflections on what worked (or not) in gaining access, entry, maintaining access, ethics, and gathering data" (Marshall & Rossman, 2011, p. 97). Carefully written field notes allowed me to incorporate my emotions, passions, and biases as research tools.

Research Design

This qualitative research study is guided by an in-depth interview design (Roulston, 2010). Roulston (2010) suggests in-depth interviews allow researchers to obtain a thorough understanding of the interviewee's experience. This type of design allows the opportunity to gain insight into how academic managers understand and perform their role in fundraising through their perceptions and behaviors and encourages rich descriptions during the analysis of the data (Marshall & Rossman, 2011). They argue, “early investigations of a phenomenon can also demonstrate the benefits of maintaining some flexibility” within the research design (Marshall & Rossman, 2011, p. 95). Because there is no available research or information about how academic managers are involved in fundraising efforts, a qualitative interview study of this type allowed me to create a research process that was systematic but also allowed me to change some questions and wording along the way as I learned from participants. After I conducted several pilot interviews I met with my dissertation chair and together we decided some of the language and parameters could be more clear, and we reworded the research questions to isolate more clearly the work of academic managers versus faculty members. This flexibility allowed for improvement and clarity as the study progressed and gave way to periodic assessments and comprehensive data analysis that yielded intricate explanations of the desired fundraising activities and processes (Marshall & Rossman, 2011). In the following section, I discuss two pilot studies that improved the subsequent research design.

Pilot Interview Studies

Prior to launching this research, I conducted two pilot studies on this topic that resulted in eight interviews. One study focused on the perspective of faculty members, and one study focused on the experience of fundraising staff members who incorporate faculty members into fundraising efforts. These pilot research experiences allowed me to improve my interview guide, interviewing skills, and highlighted gaps in my previous data collection. (Sampson, 2004, Marshall & Rossman, 2011). Two specific areas of this study were strengthened due to the pilot studies. Because of this previous work, I decided to more specifically define the disciplines included in this study, as well as the type of faculty administrator who should be included in the study. These improvements in specificity were critical for in-depth discovery about the fundraising process between fundraising staff and academic managers.

Faculty member pilot interviews

The need to specify the disciplines for consideration became obvious as the experiences of faculty members from disciplines with different cultures and expectations generated findings that were broad in scope and did not allow for in-depth understanding. For example, I conducted pilot interviews with faculty members who had no administrative responsibilities from a college of education and a college of arts and sciences within the same institution. They had very different levels of knowledge about fundraising within their schools, their schools had different fundraising processes, and they were all involved at varying levels or not at all. These interviews were extremely helpful in determining how I should create parameters for this study that would allow for specific and in-depth findings. I was exposed to the significant cultural differences between disciplines that are partly responsible for the differences in expectations among faculty members (Kezar, 2014).

Pilot studies helped me better define who exactly to pinpoint during this study which ultimately informed my research models. Prior to the pilot studies I could not accurately explain the type of faculty member I wanted to know more about; I was open to interviewing anyone on the academic side of the organizational chart instead of just those who had administrative responsibility (Corson, 1960). As I progressed through my pilot interviews, I realized it was important to specifically define an *academic manager* as someone who is a full-time faculty member who also has administrative responsibility. In previous studies, when I interviewed both academic managers and ‘regular’ faculty members without administrative responsibilities, I realized that their experiences were too different to incorporate into one study. I learned non-academic manager faculty members are very rarely brought into fundraising processes, and they knew very little about fundraising as a whole outside of sponsored programs and research expenditures. Often, their limited knowledge was gained through tangential exposure, and the information they described was second or third hand information which they heard from colleagues or by listening in a meeting rather than from direct, lived experiences. Without the experience of pilot studies, I would have a lower-quality study with less in-depth understanding into the experiences of faculty participants (Marshall & Rossman, 2011).

One of the most important improvements the pilot study process afforded me was the ability to sharpen my interviewing skills. One of the pilot studies was conducted in a qualitative research course. I met with the professor, who is also the methodologist serving on my faculty committee. Together we listened to the recording of my pilot interviews, and she gave me real-time feedback about my interviewing skills and where I could improve. For example, I did a lot of rambling when attempting follow-up probe questions. Her feedback allowed me to focus on clarifying my questions prior to speaking and improved my practice tremendously. I believe these pilot studies, which allowed for focusing on more specific variables, as well as improving my interviewing skills, improved my research design and ability to carry out the research.

Fundraising staff pilot interviews

The perspective of fundraising staff members who utilize academic managers in their fundraising efforts was critical for this research study. I interviewed fundraising staff from a variety of schools and colleges at different institutions, and their experiences and perspectives helped me understand how to determine my research sites and faculty participant parameters. I began with broad outreach and sought out individuals from both private and public institutions as well as from professional and non-professional disciplines. The differences in process between private and public institutions were extreme, and it became clear that I should focus on one institutional type to have more in-depth findings (Caboni & Proper, 2014). Pilot interviews with staff helped me decide how to focus within the faculty. Prior to those interviews I was unsure who from the faculty should be involved. I noticed the perspective of staff members who worked with faculty members in "professional" disciplines such as business, engineering, law, and medicine were very different from those in more traditional disciplines. These differences made me decide to focus solely on disciplines outside of business, law, engineering, and medicine. Focusing on individuals in subject-based disciplines, allowed for in-depth conversations about processes in areas that were similar enough to achieve saturation (Lincoln & Guba, 1985). To achieve saturation, I added participants until I felt I achieved redundancy and data replication through the analysis of their interviews (Bowen, 2008). Interviews with staff helped me identify which type of academic leader should be considered for the interviews. Staff indicated department heads and faculty members with additional administrative responsibility were most helpful to them outside of their dean or director. This feedback coupled with my faculty pilot interviews helped me create the definition for an ‘academic manager’ and to focus my attention on that level within this study.

Research Sites, Participant Criteria, and Sampling Strategies

Based on my previous research experiences, I developed a purposeful sampling strategy that yielded a robust group of academic managers from a variety of disciplines from two prominent public research institutions (Patton, 2015). Because of cultural differences between different disciplines, I decided to focus solely on academic managers who were not in the business, law, medicine, or engineering fields. I found in the pilot studies that faculty members and administrators in those academic areas had more exposure to fundraising and would potentially skew the data. Outside of avoiding those four fields, I sought a diverse representation of disciplines. I decided to focus on public research institutions since there are cultural difference among private institutions that impact fundraising and because public research institutions face more tenuous financial strain due to decreased state appropriations (Caboni & Proper, 2014, SHEEO, 2020 report). Public research institutions are the best fit for this study because of their increased reliance in recent years on fundraising efforts and significant growth in staffs that focus on development efforts (Drezner, 2011, Caboni & Proper, 2014).

This research study focuses on higher education fundraising, an area where I am professionally ‘immersed’ daily. Because of that dynamic I was careful to choose two public research institutions outside of my own institution for several reasons. I did not want to conduct research within my own setting due to concerns that my expectations would interfere with the study because of familiarity, because of potential ethical and political dilemmas that might arise, and the potential risk of uncovering potentially negative or damaging information (Alvesson, 2003, Marshall & Rossman, 2011).

The two sites are prominent research institutions included in the top ten of US News and World Report's 'top public schools' ranking (US News and World Report, 2021). One of the universities is in a city setting while the other is in a smaller, suburban area. Both have undergraduate student enrollments between 30,000 and 35,000. They offer robust undergraduate and graduate academic programs of study and include schools of business, engineering, law, and medicine. They are in two different regions of the country as one institution is in the south while the other is in the northern Midwest. The endowments of the schools are significantly different as one school's endowment is not yet $2 billion and the other school's endowment is over $7 billion.

Criteria for Fundraising Staff and Academic Manager Participants

This section includes information about criteria for fundraising staff members who utilize academic managers in their work. These individuals made referrals for academic manager participants for the study.

The first phase of communication at each institution focused solely on fundraising staff members within the managerial level of the institution (Thompson, 1967). Fundraising staff members were sought out through criterion-based selection techniques (LeCompte and Schensul, 2010). I knew two fundraising staff members at one of the research sites and I knew none at the other. I reached out to the two people I knew, explained my study, and asked for help in connecting to other fundraising staff members in academic units who could ultimately make referrals for academic manager participants. When I knew no one for an initial contact, I utilized web searches to find contact information for fundraising staff and moved forward with outreach about the study.

The criteria for fundraising staff included:

- Fundraising staff members with at least 3 years of experience in academic major-gift fundraising.
- Fundraising staff members who have worked with academic managers during the donor engagement phase in qualification, cultivation, solicitation, and stewardship.

These two criteria ensured fundraising staff members had the necessary exposure to cultural complexities and environmental demands within academic fundraising. Staff members who lacked work experience with academic managers did not have relevant experiences or relationships relevant for this study. In effect, the fundraising staff members were the gateway to academic managers on their campus, as I utilized recommendations from fundraising staff about which academic managers would be a good fit for my study. This type of recommendation process is a purposeful sampling technique and provided a sample population that promoted in-depth understanding (Patton, 2002).

The logic and power of purposeful sampling lie in selecting information-rich cases for in depth study. Information-rich cases are those from which one can learn a great deal about issues of central importance to the purpose of the inquiry, thus the term purposeful sampling. Studying information-rich cases yields insights and in-depth understanding rather than empirical generalizations (Patton, 2002, p. 230).

As previously discussed, I defined an *academic manager* as a faculty member who has now moved into an administrative role within their college or university. They are typically one step below the dean level on an organizational chart. I made the academic manager definition clear to the development staff members to ensure consistency in the types of participant referrals they provided.

Fundraising staff selected for this study received specific points of criteria for participants during a phone meeting. This conversation allowed me to provide clarity about those who are a desired fit for the study. During conversations with fundraising staff members, I explained the scope of the study and then requested the names of academic managers who have been involved with the cultivation or solicitation of major gifts with donors and donor prospects.

The criteria for participants required involvement with fundraising staff in major-gift fundraising efforts as determined by fundraising staff (LeCompte & Schensul, 2010). Fundraising staff were provided the following information in our communication about faculty referrals:

- An “academic manager” is a faculty member who has moved into an administrative role within their college or university, for example, ‘department heads’ and/or ‘directors of institutes, programs, or centers’.
- “Fundraising efforts” are defined as face-to-face interactions with donors during the cultivation or solicitation of a major gift ($10,000 and above).
- “Cultivation” is the period leading up to a solicitation; it often involves on campus, in person, or virtual meetings with students and faculty, and discussions about needs and priorities and putting together a proposal.

- The “solicitation” or “ask” phase is the period where a donor has received a major gift ask from a development officer or senior campus leader. Both phases can vary in time and have multiple interactions and meetings within each phase.

It is important to note that in my effort to obtain a purposeful sample of academic managers, by requesting that development officers make recommendations for academic managers they involved in fundraising efforts, that some bias was introduced to the study that could be viewed as a limitation. Development officers likely recommended only those academic managers who were “good” fundraising partners and who helped their efforts – not those who were not as helpful. This reality could lead to some bias in the interview data and findings as this whole group likely feels very comfortable and confident with their fundraising experience.

Communication with Fundraising Staff and Academic Manager Participants

My communication with fundraising staff and study participants happened in two phases. In the first phase I emailed fundraising staff members and requested phone meetings so I could explain my study and ask for faculty member referrals. The second phase consisted of communication with academic managers. Participants were contacted initially by email and phone call interviews were scheduled once they responded. I kept track of my ability to access them in google documents and a research journal. Sample recruitment emails for both fundraising staff and academic managers can be found in Appendix A (staff) and Appendix B (academic managers).

Although the preferred interview method is in-person meetings for interviews, I conducted interviews over the phone due to travel constraints. My research occurred prior to the global Covid-19 pandemic. If I were conducting the research now, I would request that interviews be completed via zoom but at the time I had not been exposed to zoom or its capabilities. I was pleasantly surprised to receive 79% participation from the academic manager population. I contacted nineteen academic managers total, three people never responded, and one responded that they did not want to participate. Aside from that individual the other 15 academic managers responded within two business days and were open to participating. Interviews were scheduled based on a convenient time for them.

I created a semi-structured interview based on Roulston's (2010) recommendations for in-depth interviews. Toward the end of the interview guide (Appendix C), I asked them to participate in network sampling to identify other potential faculty members involved in fundraising efforts (Patton, 2015). Although I asked academic managers to participate in network sampling, I did not receive any referrals from participants. After completing 15 interviews with academic managers, the responses reached saturation as I began to hear redundancy in the respondent's answers (Lincoln & Guba, 1985). My goal was to maximize information within my sample, so I 'terminated' interviews as "no new information (was) forthcoming from new sampled units; thus redundancy (was) the primary criterion" (Lincoln & Guba, 1985, pg. 101).

Academic Manager Participant Profiles

This section includes descriptive paragraphs of each academic manager participant. Pseudonyms were used to ensure anonymity.

Rod Bronson - Dr. Bronson is in a hybrid managerial role as a faculty member and director of his academic area within forestry. He works closely with several deans and reports to a senior vice president. He has worked at his current institution for two years and prior to his coming there served as chair of a forestry department. He is involved with his unit's office of advancement and has been heavily involved in donor interactions both at his current and previous institutions. As director of his academic area, he describes himself as the 'conduit' between the advancement office and the faculty of the three programs under his leadership.

Paula Smith - Dr. Smith is in a hybrid managerial role as both a faculty member in an endowed chair position and the director of an interdisciplinary center within a College of Education. She had direct involvement in obtaining the funding for and establishment of the center. She's been at her current institution for almost two decades. Prior to her role at her current institution, she reported having significant exposure to fundraising in previous roles at former institutions.

Hannah Logan - Dr. Logan is in a hybrid managerial role as a faculty member and director of a school of special education within a College of Education, where she holds her academic appointment. She manages three academic programs within the School of Special Education and her area of focus is literacy. She served in a non-tenure line in her original appointment and eventually moved to a tenure line. She has been at her institution for several decades. She is heavily involved in major gift asks and related fundraising efforts through her involvement with her school's advancement staff.

William Scott - Dr. Scott is currently a retired Professor Emeritus of Forestry but started his career over 40 years ago at the same institution as an assistant professor. He rose through the academic ranks and eventually served in a hybrid managerial role. He was even asked to return out of retirement to serve as interim dean for the college. During his career, he was director of the school and managed several centers within his school's portfolio. He described himself as “very involved” in fundraising efforts, particularly as director of the school. He said he dedicated one to two days per month to travel with fundraising staff.

Harriette Carson - At the time of our interview, Dr. Carson was in a hybrid managerial role where she balanced a 25% teaching load as an associate professor in agriculture and a 75% administrative position where she ran a leadership institute. She was an associate professor in agriculture and life sciences. Several months after our interview she moved into a dean role at another institution. She credits her experience in fundraising as part of the reason why she was offered the dean position and why the new institution thought she would excel. She has been heavily involved in major gift fundraising throughout her career.

Jill Sam - Dr. Sam has been at her institution for 17 years and serves in a hybrid managerial role as department chair in the geography department. She has extensive experience with the college’s development office on engaging, cultivating, and stewarding donors. As department chair, she executed engagement plans to get her alumni base re-engaged after a long period of not hearing from her department. She views fundraising as a very important part of her work and put an emphasis on working with development for several of the key faculty members in her department. She described herself as the ‘conduit’ between her faculty and the development office and encourages them to be involved in both large- and small-scale projects.

Paul Austin **-** Dr. Austin is an associate professor in a College of Education who specializes in education technology. He plans to go up for tenure in two years. He is called upon by the development office about four times a year to engage with major gift prospects and donors. Dr. Austin is the only participant in the study that is not in a hybrid managerial role. His time is spent researching and teaching and he is not yet tenured. He has been at his current institution for six years. Although he is not technically an academic manager, I included him because he was significantly involved in fundraising efforts even though he was an untenured general faculty member who was asked to participate by his dean and department head because his research is often a good fit for those interested in giving.

Caroline Ride - Dr. Ride is a clinical professor in a College of Education. She is hired on a contractual basis rather than through a tenure process. She has been at her institution for two decades and prior to that she had a career as an K-12 educator. Her primary responsibility is to teach and develop programs but also conducts research and publishes in professional journals for applied work. She is the coordinator of a center and has been involved with the development office to find funding for expanding her programs and often participates in donor meetings.

David Carter - Dr. Carter is a professor of mathematics and just finished serving as department chair after five years. He has worked at his institution for over 40 years. Serving as chair in a hybrid-managerial role, he experienced major gift fundraising often and worked closely with his area's development office. He mentioned that he served as the conduit between the faculty in his department and the foundation. He saw working with development to ensure funding for his department and keep his programs competitive.

Matt Moore - Dr. Moore is a professor of sociology and has been at his institution for over 30 years. He just completed his 5-year term as department chair. He currently serves as a director of an undergraduate program. In addition to his course load in sociology, he regularly teaches courses in the business school. As chair of his department and as director of the program, he served as the liaison between his college's advancement office and the faculty in each academic area. He was involved in fundraising efforts for those programs by meeting with prospective donors and doing larger speaking engagements.

Clay Mill - Dr. Mill is an associate dean for arts and sciences and has been with his university for over 30 years. Prior to his associate dean appointment, he served as chair of the anthropology department and was a director of a center. He has been most involved with fundraising efforts in a tangential way either by speaking to large groups of prospective donors on behalf of the university and his program or by writing thank you notes to donors who give consistent smaller amounts to his academic area. He went on a few meetings with potential donors but indicated that was a rare occurrence.

Don Potter- Dr. Potter is a professor of English and has been at his institution for over two decades. He is currently serving as chair of his department and is very involved with his college's advancement office. He has seen and carried out many positive innovations for his department using private funds and sees them as essential for the positive evolution of his programs. He candidly discussed the challenges fundraising can present and is passionate about universities developing strict best practices to not become beholden to donors or outside organizations.

Charlie Sifford - Dr. Sifford is a professor of political science and has been at his institution for over a decade. He recently served as department chair for six years and his term recently ended. He was very involved with the development office in his unit during his tenure as department chair. He was involved in several seven figure solicitations as well as many other donor meetings and events. He now offers advice to other chairs to meet with their development staff early and often and make sure they receive support in developing priorities that will be fundable. He indicated there were faculty members in his department involved in donor meetings when their research or expertise aligned with donor interests.

Dan Forbes - Dr. Forbes is a professor of geology and currently serving as department chair. He has been in the chair role for six years. Prior to serving as chair, he was associate chair for seven years. He has been at this institution for over 20 years. Dr. Forbes has been heavily involved in fundraising efforts including writing proposals for six figure asks and attending donor meetings and events. He believes that private funding allows his department to be innovative and provide students with excellent experiential learning opportunities and travel to research conferences.

Preston Schaffer - Dr. Schaffer is a professor of history and is the director of the oral history program. He has been at his institution for a little over a decade. He views his role as 50% teaching and research and 50% administrative. Because he arrived at his institution around the beginning of the economic downturn, he had to rebuild his program financially. Although he has been involved in a few engagement opportunities with major donors, most of his fundraising experience is in annual giving. He raises gifts of $1,000 and below through annual letter writing campaigns and through distributing a newsletter. He indicated he has been involved in fundraising in every faculty role he’s held and even was involved in fundraising as a graduate student.

Interviews

The main purpose of a qualitative interview is to discover in-depth information that is unobservable (deMarrais, 2004). Qualitative interviews allow researchers the unique opportunity to create space with research participants for a guided conversation centered around a topic for discovery (deMarrais, 2004). Patton (2015) explains, "the purpose of interviewing…. is to allow us to enter into the other person's perspective" (p. 426). To prepare for the interviews with the faculty and staff participants I built on my previously created interview guide based on Roulston's (2010) text that I improved after initial pilot interviews were conducted in previous studies. The guide was informed by the theoretical frameworks discussed in chapter three and emphasized open-ended questions which allowed participants to provide rich and meaningful answers in their own words (Roulston, 2010).

During the interview process, I utilized precise listening skills and attempted to remain as open-minded as possible despite my personal connections to the topic (Roulston, 2010, Marshall & Rossman, 2011). Follow up probes were used with the participants' own terminology throughout the discussion (Marshall & Rossman, 2011). Based on interview skills I honed throughout the pilot process, I approached each interview with the same level of methodical diligence and repetition; this allowed for accountability to procedure and ensured accuracy in capturing participants' data. I opened each interview with a description of the study's purpose, a review of the consent form and an invitation for questions. I wanted to make sure that participants felt comfortable with all aspects of the study (Roulston, 2010). In the beginning of each interview, I built rapport (Roulston, 2010) with participants and emphasized my commitment to confidentiality (Marshall & Rossman, 2011). I was careful not to start the audio recording and interview questions until I had verbal consent from the participant, and they had no further questions about the study (Appendix D). I utilized several methods of audio recording to safeguard accuracy of meaningful data, one on my cell phone and one on my laptop computer. I did not know any of the participants personally and that made it easy to stick to a formal and methodical protocol for the interviews.

Data Generation and Analysis

Methodologists approach the process of data analysis in a variety of ways. Marshall and Rossman (2011) suggest a best practice is for researchers to find an approach that blends efficiency and design flexibility; too heavy an emphasis on efficiency could result in the loss of important and descriptive detail (Marshall & Rossman, 2011). Researchers must be open-minded, reflexive, and treat the process as a means of enlightening discoveries about complex cultural and environmental phenomena (Marshall and Rossman, 2011). Marshall and Rossman (2011) identify seven phases of the data analysis process: “1) organizing the data, 2) immersion in the data, 3) generating categories and themes, (4) coding the data, 5) offering interpretations through analytic memos, (6) searching for alternative understandings, and (7) writing the report or other format for presenting the study” (p. 209). I utilized their suggestions for a phased analysis approach.

Organizing the data

During data collection through emails with fundraising staff members and then through phone interviews with faculty members, I kept detailed logs in Google sheets. The log mirrors Marshall and Rossman’s (2011) table with categories for ‘date, place, activity, who, and what' and will correspond with my journal entries and transcription data for each email and interview (p. 211). Having a clearly organized log that matched entries in my research journal was essential for my ability to keep the participants and their associated pseudonyms clear. As the number of participants grew and time elapsed between the first interview and the fifteenth interview, having clear processes allowed me to reference prior interviews, transcripts, notes and participant contact information with ease. I am thankful for google sheets as they are all web based and password protected which allowed me to maintain research protocols while easily accessing them from any computer with internet access.

Immersion in the Data

I utilized a professional transcriber for my data transcriptions. I sent each audio recording to the transcriber within hours of completing an interview. She would return a transcript to me within three business days although usually they came back the same day. I read the transcript while listening to the audio recording to check the transcription against the tape for a quality measure. I jotted thoughts and ideas into my research journal as I listened. Patton (2002) notes, "the data generated by qualitative methods are voluminous….. organizing and analyzing a mountain of narrative can seem like an impossible task" (p. 440). I utilized a clearly organized and methodical process between google sheets, google documents, and my research journal, which ensured precision and clarity during the process.

Coding the Data

My first few transcript reads took a great deal of time and required listening and re-listening to each audio recording. My thoughts and ideas started to relate to one another as I would move on from one transcript to the next and then return to a prior one. As I got more familiar with my process and the data, I began to create codes as I read through sections of each transcript. Marshall and Rossman (2011) explain, "coding data is the formal representation of analytic thinking" (p. 212). Codes can take on a variety of forms – abbreviated words, numbers, colors – all based on what makes the best sense for the transcript and trends in the data (Saldaña, 2016). Initially I utilized free or open coding; I wrote anything that came to mind. In conjunction with advice from my faculty committee member, I reviewed Johnny Saldaña's 2016 text about coding analysis and identified that I was using a blend of both *structural coding* sometimes described as "utilitarian coding" and *concept coding* which "suggests an idea rather than an object or observable behavior" (Saldaña, 2016, pgs. 98 & 119). Structural coding is framed and driven by specific research topics from the interview guide; it allows for situating portions of the transcript into sections based on the questions. In the structural codes I lifted sections of the respondent's own words and use them as the code (Saldaña, 2016). This type of coding lends itself to quantitative representation within the results through tables and other descriptive information.

As I continued reading and re-reading transcripts, I built on the structural coding while entering the next phase of concept coding. I took sections of the transcript and put them into my own words or would generate a new idea with analysis about what a respondent said. This concept coding eventually became categories that generated themes. Content-based concept coding suggests a "bigger picture" beyond what is tangible and apparent within the transcript; "conceptual processes consist of smaller observable actions that add up to a bigger and broader scheme" (Saldaña, 2016, p. 119).

They served as prompts and triggers for critical thought and writing during thematic analysis.

Writing Analytic Memos and Generating Categories and Thematic Findings

As the analysis progressed, I searched for clusters of structural and concept codes that related to the study's research questions and conceptual frameworks. The clusters eventually became categories. Saldaña (2016) explains, "to codify is to arrange things in a systematic order, to make something part of a system or classification, to categorize" (p. 9). Themes themselves are not individual codes and are achieved only through careful analysis of the codes, subcodes, and categories (Saldaña, 2016).

To organize my data, I created a somewhat elaborate set of spreadsheets in google sheets. I created one spreadsheet for each transcript, and I copy pasted the text from the transcript into the sheet. Each section received a code. I utilized a combination of writing on the paper copies of the transcripts while simultaneously following along on the computer document. I coded as I read and re-read. Over time each transcript's codes became more and more related. After I completed all 15 interviews, I took each of the coding columns and combined them into one main google document that eventually became my findings document. This resulted in 635 lines of data that I organized into four columns - the transcript text, the coding, the category, and the participant pseudonym. I created categories based on crossover between the participants' responses and the research questions and aspects of the conceptual framework. I used colorful highlighting to separate various sections of text; colored visualization created separation between different ideas. After all transcripts were coded, categorized, and organized by color within my google sheet, I drew clusters and diagrams to help further my understanding of the interconnectedness of the participants' experiences and perceptions (Marshall & Rossman, 2011). Along the way I jotted thoughts in my research journal with the hope that I was moving the analysis from "mundane to creative" (Marshall & Rossman, 2011, pg. 213).

Quality, Rigor, Trustworthiness

Building quality, rigor, and trustworthiness in a study goes far beyond disseminating consent forms, documenting participant consent, and ensuring confidentiality (Marshall & Rossman, 2011). While those are important components to the quality of qualitative research, I took measures beyond those initial details to guarantee a quality study. Freeman, deMarrais, Freeman, Preissle, Roulston, and St. Pierre (2007) argue that the quality of the study is "constructed and maintained continuously throughout the life of a research project and includes decisions that researchers make as they interact with those they study and as they consider their analyses, interpretations, and representations of the data" (p. 27). I worked with my faculty committee throughout the course of the study to ensure the study would be viewed as credible, transferable, dependable, confirmable, and replicable (Marshall & Rossman, 2011). Credibility was established during the literature review and conceptual framework; these sections are the foundation of the study as they describe the setting and interconnections between the individuals and the environment of interest.

I took particular care to ensure transferability during the design and site selection for the study. Scholars of higher education philanthropy have criticized our field for studies that focus on one institution; a systemic pattern that can be attributed to individuals who see the doctoral process to develop professionally within the administrative hierarchy (Caboni & Proper, 2014). They typically will collect and analyze data only at their institution because of its convenience. I purposefully chose not to include my own institution in my study because of this critical feedback. Because I chose two public research institutions in different parts of the country, results are transferable to public research settings regardless of their size and geographic location. I was also careful to focus on academic managers in a variety of disciplines to make sure the findings are transferable to faculty members across various disciplines.

In addition to systematic data analysis, documenting consent from all participants (Appendix D), and ensuring their confidentiality with the use of pseudonyms, I kept a research journal. The journal included my notes, feelings, thoughts, experiences, and details related to my research process (Roulston, 2010). Rossman and Rallis (2011) explain that in qualitative research, the researcher is the primary instrument for data collection and analysis, and as a result, the knowledge generated from the study is just as much about the researcher's process as it is about the data itself. Keeping a journal allowed me to document my process systematically and keep notes about my own reactions to the interactions with the participants. Patton (2002) advocates for researchers to be reflexive during the process and to document their reflections, feelings, experiences throughout.

With specific regard to confidentiality, I went beyond the use of pseudonyms to ensure participant confidentiality; I took special consideration when including meaningful quotes, stories, and experiences in the findings not to jeopardize any of the research participants or their research sites due to the sensitive nature of the work being completed (Roulston, 2010). I utilized password protected google sheets to keep track of my information, and I required that the transcriber agree to confidentiality prior to her receiving any participant information (Appendix E).

Ethical Considerations

In addition to measures listed above I include a detailed subjectivity statement about how my role as the researcher and how my prior knowledge and expertise affected the study in the section above entitled “My Role as the Researcher.” Beyond the confidentiality of utilizing pseudonyms, I guaranteed each participant that our discussions and the audio recordings will remain confidential. I take this commitment very seriously as our discussions were related to donors, staff members, and faculty members, and were sensitive in nature (Marshall & Rossman, 2011). Even though I began the research with initial thoughts and opinions about what would be generated within the data, I planned to keep an open-mind and present an accurate representation of the raw data whether I view the results as positive or negative (Marshall & Rossman, 2011). This required diligent thoughtfulness as I did not want to confuse my own bias, past experiences, and opinions for what is (or is not) present within the data. Beyond these primary areas of focus and attention, I did not encounter potential ethical issues as this study did not require that I deceive or manipulate participants during data collection (Marshall & Rossman, 2011).

CHAPTER 5: THEMATIC FINDINGS

The purpose of the study was to learn more about the role academic managers play in fundraising efforts at public research institutions. This was achieved by asking questions about interactions between academic managers and fundraising staff during the fundraising process. This qualitative study focused on the perspective of the academic manager to discover more about the roles they play in higher education fundraising. In-depth interviews with 15 academic managers were the primary data collected. All 15 academic managers were directly involved in major-gift fundraising and some mentioned being involved in other aspects of development work as well. Academic managers were integral in every phase of the donor engagement process. The context, thematic findings, and subthemes discussed in this chapter provide relevant information on financial realities, how academic managers learn about and are involved in the fundraising process, and the impact of academic managers on fundraising, and challenges for academic managers (Bastedo, 2012, Thompson, 1967).

Thematic Findings

The following six thematic findings were drawn from the academic manager interviews and subsequent analyses.

Finding 1: Financial declines have caused increased reliance on fundraising in institutions of public higher education and this new focus means academic leaders are involved in fundraising.

Finding 2: Experienced academic managers learn about fundraising processes and structures through experience.

Finding 3: Academic managers play a significant role in fundraising, and frequency and intensity of involvement varied across the participants.

Finding 4: A strong and collaborative working relationship between academic managers and development staff is critical for fundraising success.

Finding 5: There are individual, professional benefits for academic managers, and rewards and advantages felt by their departments, when academic managers are involved in fundraising efforts.

Finding 6: Academic managers perceive many fundraising challenges falling outside of the control of academic managers and made suggestions for improved best practices.

Thematic findings were identified through the coding of interview transcripts from the 15 academic manager interviews. Interviews detailed academic manager personal thoughts, experiences, and involvement in fundraising processes. Across all 15 interviews academic managers discussed the realities of diminishing funds and the need for increased private support from external donors. The next section introduces the financial context for the study and includes participants' perspectives on the evolution of financial decline in public higher education. It details how declining state support has caused the expansion of fundraising in public higher education and the resulting involvement of faculty in private revenue generation. It sets the stage for the following themes.

Finding 1: Financial declines have caused increased reliance on fundraising in institutions of public higher education and this new focus means academic leaders are involved in fundraising.

During interviews, the participants answered questions about how fundraising works at their institution and how they are involved in fundraising efforts. Many participants described fundraising in higher education today as an evolutionary process that became necessary because of changing financial realities for public institutions. They described significant financial declines in public higher education as the reason for why they participate in fundraising and how they now have come to see it as a part of their role. When asked about the financial declines felt by public research institutions, Dr. Smith lamented,

> When I first came [to my current institution], we were not enjoying the greatest support from our state legislature with respect to support for higher education. And so, fundraising became very, very important, you know, to have supplemental funds to do things that state funds or even federal funds weren't, you know, as federal research dollars were shrinking, were not going to be permitting us to do.

Most noted sharp financial declines changed the ways public institutions' function. Dr. Bronson said, "two decades of consistent decline means public institutions began to rely more heavily on fundraising to make up for the losses." Participants described financial hardship as the reason deans, associate deans, department heads, and some faculty have become interested and involved in fundraising to secure new revenue streams to support their academic programs and research. Discussing examples of why fundraising is necessary to enhance the student experience, Dr. Forbes explained,

> There just isn't enough university money to provide the experiential learning component that goes along with the normal laboratory or classroom or on-campus learning, just, it just wouldn't happen without it. So, I think it's critically important to our students.

All participants mentioned the necessity of fundraising for enhancing the academic experience and believe it will only become more vital for the future. Dr. Carter discussed the increased reliance on outside funding for future progress, “Fundraising will become even more important than it is today due to decreasing state budget allocations. It will be needed to survive.” All participants noted significant financial declines over previous decades caused shifts in higher education organizational structure and areas of focus.

As a result of the declines, many participants described witnessing the fast-paced growth of alumni and development offices across their campuses; they mentioned the recent professionalization of fundraising staff and a heightened focus of universities on fundraising efforts. Dr. Austin noted, “I have witnessed fundraising in higher education development as more of a focus in the last 10 to 20 years…” and other participants shared similar feedback. Academic manager participants said the heightened focus of fundraising efforts began with increasing the number of staff members who could lead the efforts to secure resources but mentioned now some of the efforts are shifting to members of the faculty. Dr. Carson, an associate professor at the time of her interview who became dean at another institution shortly after our interview lamented, “more faculty members will have to become involved [in fundraising] as budgets are diminishing and not all program needs fit neatly into the grant-writing or awarding process.” Some participants drew similarities between academic fundraising and the grant-writing process, where faculty members are expected to find funding for their research. When describing the expectations around faculty members to bring in revenue streams Dr. Bronson commented, “faculty members are expected to be entrepreneurs…

we expect them to bring in their own resources that will support graduate students and the research enterprise." Many academic managers indicated fundraising should not be viewed differently from grant funding opportunities. Dr. Austin sees fundraising as a similar process:

> I feel like the job is very similar in the sense that you're trying to convince an audience that you're trying to address an important problem and it's worth investing in. And so I connect to what development folks do on that level, because I constantly ask for money to do research. It's just different people.

As faculty members are encouraged and expected to bring in research dollars, Dr. Moore mentioned he sees faculty members being told to make their work more relatable to the public so a grant reviewer or a donor might find interest in their topic. He thinks that type of encouraged relatability will only increase as time moves on and more outside revenue streams are needed.

Academic managers noted fundraising has become such a prominent focus of university leadership that deans are now hired for their fundraising experience and abilities in addition to other job prerequisites. Dr. Carson mentioned fundraising experience is a key component of any dean level search in higher education by stating, "But, you know, experience in fundraising is a key component to the new position as dean…. Everybody is looking for external dollars now." Participants indicated individuals an organizational step below a dean or director, in academic manager roles, are active in fundraising efforts and job descriptions at that level are expanding to include development responsibilities.

Finding 2: Academic managers learn about fundraising processes and structures through experience.

This theme covers what academic managers understand about internal fundraising structures and processes within large, public research institutions, and how they learn about fundraising over time. Academic managers at the time of our interviews were extremely knowledgeable and experienced in fundraising, however, when they began their administrative roles they had no prior experience and many mentioned they often felt "helpless" or "clueless."

Academic managers are inexperienced in fundraising when they begin leadership roles.

A common theme among interviewers was starting their administrative role with no prior exposure to or knowledge of fundraising and then realizing they are being expected to be involved in fundraising but having no standardized way to get information about how fundraising works. Many mentioned wishing they knew how important fundraising would be, and how to be effective in getting private funding for the academic department earlier in their leadership role. Dr. Forbes mentioned, "being aware of just how much benefit we get out of it [fundraising] early would have made a difference." He indicated he would have developed priorities sooner and communicated them to the development staff. He also wished he knew how long the process of fundraising can be, "these things take a long time…..things that I do may not come to fruition for two or three more chairs beyond me… but that's just how you have to view it." He went on to mention that he made a point of sharing information about fundraising in faculty meetings so faculty members would have the opportunity to learn more about its importance. Dr. Potter mentioned previous chairs told him they took a passive role in fundraising and waited for development to present potential donors to them. He learned to take a different approach,

> I've been involved with that in a much more proactive way than other chairs, going to various cities and meeting with people, instead of just waiting for them to appear. And that's, it's not something I particularly enjoy, but it seems to work. And the rewards have been quite impressive for the department.

Dr. Schaffer shared he was clearly told by his department head he would be expected to bring in outside funding by any means possible. He said, "in my first week as an assistant professor at another institution we were all very clearly told 'everyone is in development now." He mentioned taking it upon himself to contact potential donors to find funding for a graduate student lab. Hoping his graduate students who want to be career faculty members will be more prepared for involvement in fundraising, he prepares them by saying, "… where you go now, you're going to be tasked with keeping things going, with fewer and fewer resources over time." All participants echoed similar learning experiences about the shifting expectations of academic leaders to be involved in fundraising due to decreasing state funding for their institutions.

Development staff are responsible for teaching academic managers about donors and fundraising processes.

There is no formal training about fundraising for academic managers, and informal education about fundraising for academic leaders often falls on the development staff. Participants mentioned they leaned on development staff for information and coaching for their participation. They described the need for instruction on how fundraising works on a large scale down to needing small-scale preparation for individual meetings. A development officer's ability to do both – inform academic managers on the process, provide transparency around university politics and cultural norms – and prepare them for the specifics of individual donor preferences and expectations drastically affected their ability to be successful. When discussing how to be successful in fundraising interactions, Dr. Smith mentioned "faculty members can't be successful when development officers don't adequately prepare them or get to know the donors well." Development staff are viewed by participants as experts, and they manage relationships strategically. Participants mentioned viewing development staff as experts who are highly skilled, strategic, and professional. They were described as having professional expertise that lends itself to guiding both internal partners and external constituents through the donor engagement process. Dr. Logan described the whole development division, comprising both centralized and de-centralized fundraising staffs, as a "huge enterprise" that was intricately connected across varying levels and many participants across both institutions described it in a similar way.

Dr. Austin discussed university 'development efforts' as a 'science' because of the rigor development staff put in to maintaining accurate data on their constituency and the interactions they have with individuals. He described their work as "precise, strategic, and thoughtful" and said, "they come to faculty with a strategy for a donor, they incorporate the faculty member's expertise and perspective and then they execute accordingly." All participants echoed those descriptions using various language and examples. Dr. Sifford delineated,

> The development people were very helpful and very honest. They would spell out exactly what it was the donor was thinking. They would talk about how that might fit with our needs. And then they would talk about what would be the best way to bring those two things together.

Participants relied on development staff for direction and education about fundraising. Most of them utilized the development staff to help them outline their program's fundraising priorities. Dr. Sifford described his experience,

> .... Development came in right away and asked me, so what are your goals? What do you want funding for? And my reaction was I have no idea, because I had no idea how this works, right. I just didn't know what sorts of things do people ask for funding for and what sorts of amounts of money do people give…….. It would be really useful if development were to give a set of examples of things that previous chairs had tried to do, not in your department, but in say for me, other social sciences departments. Or even if they knew about things that political science departments had done elsewhere. Because you just don't have the conception of that when you start out.

Likewise, Dr. Smith mentioned it became clear she needed to connect with the development office in a proactive manner to learn about their goals and how connect with faculty in her area. Dr. Smith said, "So I learned over the years about the importance of understanding from the development side of things what their goals are, and how they operate in terms of identifying donors who have potential interests in areas that might be a good alignment with faculty." Although some participants mentioned utilizing their dean or other academic managers for development training, most relied on fundraising staff. Dr. Potter described how he worked with his development officer,

> And he is a sounding board for me, and like a coach for me. Like if I go and have a lunch with somebody, he'll brief me on the person's bio and your basic strategies for what to talk about, what not to talk about and how to time an ask, and all that kind of thing. So it's kind of, he's a liaison, but he's also sort of a coach for the chair, helping me understand what I'm supposed to do in these situations, kind of a handler, I guess you could call him.

Many participants mentioned relying on development staff for education and training on the fundraising process.

Participants described understanding organizational structure as an important aspect of fundraising.

Participants described development work in public research universities as occurring at three different levels within the institution across two main organizational structures. The philanthropic arm falls within university administration and is separate from the academic arm. Dr. Smith described this blended, decentralized structure in a way that was echoed by participants at both institutions,

> Those two entities work together, in my experience, they work together at the level of the vice presidents. So the Vice President for Development …..works very closely with the administrative team at the university level. And that includes the other vice presidents, but also the deans, directors, and department heads.

Across those organizational divisions, participants described development happening at different 'levels' within the institution. Dr. Potter relayed this concisely, "Development happens at three levels within the institution, at the university level through the central foundation, at the college level through the advancement office and their work with the dean, within the department which is coordinated by the head or chair." The participants explained coordination between the central development office and their individual college-level office as handled by development officers. They characterized development work as 'strategic', 'deliberate', 'systematic', 'fluid', 'process-oriented', 'interactive', and 'proactive'.

They described each college and its programs as having assigned fundraisers specific to their areas who become knowledgeable 'experts' about their content and their needs. These fundraisers report to the dean and are responsible for the college's fundraising progress. College based fundraisers are considered part of 'decentralized' offices. There are more general university fundraisers who report centrally to the vice president and are responsible for more broad fundraising progress. Dr. Moore explained, "we have a central university office in the university, you know, [there are] 19 schools and colleges at the university and each one has its own fundraising unit." There is coordination between these two levels between members of the development staff. Academic manager participants described working mostly with the fundraisers housed within their college but mentioned there are select few times they are brought into development conversations with other fundraisers outside of their college's office, especially when a donor at a high level is interested in their area.

Participants perceive faculty members as lacking knowledge and awareness of fundraising which poses challenges especially because many believe faculty will be expected to be involved in fundraising in the future.

Participants discussed they are unable to become prepared for the fundraising responsibilities expected of academic leaders because there are no clearly defined ways for faculty members to gain fundraising knowledge or experience. They perceived faculty members as lacking fundraising knowledge and awareness. Some participants suggested including fundraising information in faculty meetings to educate faculty members about its importance and potential value for their work. Dr. Scott mentioned, “If faculty members could understand the process and how they could benefit from the process that would be a strong first step in getting their buy-in.” Likewise, Dr. Bronson believes it is important to teach faculty members about the importance of diversified revenue streams so they might see this as a benefit to their area much like they already do when applying for research grants. Dr. Austin suggested “to encourage faculty members to be involved and see the value in fundraising, use data to make the case and use peer and aspirant institutions as examples for the work.” Dr. Smith believed faculty would be more involved if they better understood the benefits for them,

> I guess one suggestion I would have is to help faculty understand what’s in it for them, obviously, which would be very important. But also, more broadly, what's in it for their unit or college or university as a whole. Right. It would be nice if faculty could think about it as a form of service.

Dr. Smith went on to say that she believes faculty involved in fundraising will be necessary as time moves on.

Some participants suggested graduate programs should add professional development courses on institutional management because academic managers are underprepared for many aspects of leadership roles. Dr. Carson lamented,

> Like where do you get the skills to do this, to feel comfortable, to feel confident? Like we could take a ... I could take as a grad student a class on grantsmanship and how to write a grant, but there’s no place for how to be a fundraiser, how to solicit money, that kind of thing.

She also mentioned she believes faculty will have to be prepared for fundraising in their graduate programs,

> I think, we're going to have to think about do you also include some sort of fundraising component. Because that's going to be an expectation of future faculty. But I feel like most faculty are going to shy away from it, because they just, they've never had to do it. They've never had to go on one of these visits. They've never had to go make small talk. They've never had to go like ask for some sort of money. So we're not equipping people to do it.

Similarly, Dr. Sifford indicated, “I'm in a position where I had literally never talked to an alum or a potential donor about giving money and now all of a sudden, you're being asked to do this. And I just wasn't quite sure how you do this, right, how do you make the case?” Others felt similarly to Dr. Smith due to lack of formalized training and preparation.

While some participants felt faculty members should become more aware and involved in fundraising, others believed only academic managers in leadership positions should take on work with the development office and it would not be an appropriate activity for most faculty. Dr. Carson Mill does not think it is reasonable to expect faculty members to become involved in development work given their primary responsibility of generating new knowledge and teaching it to their students. He explained,

> And for most faculty, it’s just not. I mean, they are doing their research and they're doing their teaching and they're working with their students, and that's what they do. And they just would not consider this to be something they need to be concerned about.

He does not believe faculty members will become more involved in fundraising despite higher education’s increased reliance on fundraising for its effectiveness and success. Dr. Sam offered a different opinion as she believes faculty involvement in the future will become much more prominent as funding is cut back and people are looking for ways to support their programs and students. Dr. Sam shared,

> I think it probably will become more common because a lot of funding is being cut back or we have a lot of restrictions on how different funding sources can be used. And if we want to improve our programs, often we have to do it by finding private donors for things. So I think it will probably become more prominent…..

Dr. Austin and others mentioned faculty members will be more likely to become involved if the expectations are discussed explicitly by their department heads and deans especially for those not yet tenured. As many participants mentioned feeling overwhelmed at the need to on-board themselves with the fundraising staff, Dr. Forbes mentioned he would give this advice to new academic leaders,

> The first thing I would tell them is that you need to work on developing priorities, that you're not going to be able to ask for money. That's done by other people. So

> you need to have the indirect influence on that… And the other thing is to always be positive about it, you're not going to get, you know, these things take a long time. And if things that I do may not even come to fruition for two or three more chairs beyond me. And that's just how you have to view it. It’s a long, it’s a long-term thing. And I think that, you will need to understand that, as something ... You know, it’s something that I have, over time, have made sure I've inserted into faculty meetings as to what we're doing and just letting them know that, you know, where this pans out now or pans out in five years, or ten years, who knows, but we're working on it.

Throughout interviews all participants mentioned a barrier to their involvement and the overall willingness of faculty members to recognize fundraising as a legitimate use of their time is the lack of a formal reward system for their involvement. Some participants mentioned they felt fundraising involvement should be viewed as a legitimate form of service to be considered for promotion and tenure especially because it is revenue generating and a way to increase the value of the program. Dr. Forbes explains,

> Part of it is a time commitment that faculty are pulled in so many different directions. As an R1, they're ultimately being evaluated on their research and their teaching. Service is something they're supposed to do to get part of the evaluation process. But ultimately, if they're going to get tenure, they're going to get a promotion, they're going to get university are going to be based on their research. So that, it’s just a time commitment that not a lot of people have until, you know, until it becomes a part of their position.

When asked about faculty members becoming involved in fundraising, Dr. Sam lamented:

> I mean, we have service as part of our assignment. So I think that's something that wouldn't necessarily need to be considered some kind of voluntary work. It would be matching individual faculty members to different service assignments. And one of those service assignments would be fundraising and kind of alumni development, really. But that would certainly be doable, because we already do a lot of work like that with other groups, be it, you know, trying to recruit graduate students or undergraduate program development. Or like I think over time it will develop as kind of a third angle of that and be part of our job. But not everybody should do it.

Other academic manager participants agreed that it could be considered a part of their service to the department. Dr. Austin mentioned that it could be considered as part of tenure requirements. He discussed feeling responsible to find funding for his work whether it is through sponsored program grant writing or through private donations.

Finding 3: Academic managers play a significant role in fundraising, and frequency and intensity of involvement varied across the participants.

Each of the 15 faculty participants discussed their vast fundraising experiences which included both internal and external organizational involvement. Academic managers play many roles in fundraising efforts both internal and external to the institution. They are subject matter experts for development staff and donors, they are fundraising partners for development staff, they educate development staff on their priorities and departmental activities, and they are “conduits” between their faculty and external development staff. They add value to the fundraising process by creating special engagement opportunities for donors to interact with faculty members and hear directly from them about how their funds will impact the department. Dr. Potter discusses the value added by academic managers,

> I'm often able to create conversational spaces for people that, and conversational opportunities of a certain kind that I think that probably evoke for some people good memories of college, memories of having in-depth stated intellectual types of conversations and I think people enjoy that. I think they're probably a little bit bemused by it, but also somewhat nostalgic. And oftentimes they enjoy it, and they respect faculty expertise. And they respect faculty dedication to the life of the mind, and that kind of thing. And getting to be involved in the rituals of a kind of intellectual give and take, I think they often enjoy it. And as a faculty member, that's something that we get good at in these jobs and it's an experience that we can provide.

Other participants described the role of academic managers as educators about their subject matter both to donors and development staff. Dr. Forbes discusses working with development staff at 'higher levels' outside of the college to inform them about his department's priorities. He explains,

> ….. the higher-level foundation people have those larger potential donors in their portfolios and again, letting them know what our priorities are. But also, I'll communicate with them just sort of informally….. letting them know what's going on in the department… those bigger gifts usually get developed at a higher level.

By keeping in touch with development staff he felt he was able to keep his department's needs on their radar. As a subject-matter expert, Dr. Forbes describes his ability to enhance the fundraising process with donors by providing context for their impact in specific terms. He stated,

> … I can identify specific things that people can do at different levels, that is where I can make an impact when the ask is made, because the person doing the ask can say, look, if you contribute this much, it's going to go into basically modernizing a particular teaching lab that you had interest in and made a difference in your career. And so some people do … identify with that.

Many academic managers described themselves as "conduits" between their academic department and the external fundraising structures and processes. As "conduits" they funnel information between their faculty and the development office and insulate their faculty members from development requests. They described intercepting all requests for development involvement and deciphering which requests were a good use of the department or faculty's time. They mentioned becoming experts on their faculty members' interests and personalities so they could know who would be best suited for a donor meeting. When development staff contact department heads or chairs about a potential gift, academic managers identify faculty members to be involved in the process when their area of expertise overlaps with interests of the alumnus or donor. Dr. Sifford said, "faculty members are often involved in fundraising efforts when they are relevant to the topic of interest from donors." Similarly, department heads mentioned faculty members in their departments were approached on a case-by-case basis to meet with donors if their research overlaps with a donor's interests. They facilitate those meetings based on their assessment of the situation.

Academic managers primarily play the role of "subject matter expert" for both the development officer and the donor and are involved in all phases of the donor engagement process (Plus Delta Partners, 2016). This includes some activity that is both internal and external to the organization.

Academic manager roles in the donor engagement process

I found academic managers to be involved in every phase but were most heavily involved in the *cultivation* and *stewardship* phases and less involved in the *qualification* and *solicitation* phases. Their actions and partnership at each phase are outlined in the phases below.

Donor Identification

This work occurs before a donor is in the qualification phase. Participants mentioned donor identification happens in one of two ways. A dean, director, or a development staff member identifies a donor, and outreach by the development staff member or dean occurs. Donors are often identified by reviewing lists and alumni data. Dr. Scott and others shared they were often engaged by development staff to review lists of potential donors because of their strong connections with alumni from their departments. Dr. Scott mentioned the development officer in his unit approached him and said,

> …..you know the people and you know the needs. I need introductions. And so, we would, I would go through our alumni list and between the two of us, he would use the resources of his office and I would use my familiarity and we would target a number of people in a way that we could be efficient in our travel and maybe hit three or four up at one time, in sort of a loop run…..

Academic managers who served as faculty in their departments for a long time were more called upon by development staff to assist with reviewing lists because of their historical knowledge of the alumni base.

The other way donors are identified and brought into the donor engagement process is by faculty members or academic managers who bring the donor to development's attention because of a pre-existing relationship or knowledge about the individual. For example, Dr. Logan had a mutual connection with an alumnus and potential donor, and because she knew the development staff and what they value in a potential prospect, she realized the connection could be relevant for their efforts and she made the introduction. Once she did, the development staff member began qualifying the donor and was able to start the process. Dr. Logan described the alum,

> And so, we had an idea of a donor about five or six years ago, that we identified as someone potential. He was an alum and our kind of focus in special ed on literacy has been on dyslexia, and this alum has dyslexia. And we had other connections with him and so forth. So, we contacted him, and he has a foundation, and he was very interested, and his family was very interested, but we didn't, we weren't successful in getting his foundation director and foundation board interested.

Once donors are identified they move into the qualification phase of the donor engagement process. The next section describes the qualification phase of the donor engagement process.

Qualification

The *qualification* part of the donor engagement phase occurs as development staff members make initial contact with potential donors to see if they are interested in engaging and learning more about giving to the university (Plus Delta Partners, 2016). If a prospect or donor is ‘qualified’ they are interested in learning more about engagement or investment opportunities and they will be moved into the ‘cultivation’ phase. If they are ‘disqualified’ that means they are not interested, or the timing is not right for them to become more involved, and they will be removed from major-gift efforts. Most of the involvement of academic managers in this phase is accomplished internally between the academic manager and the development officer; academic managers provide information to the development staff to prepare them for qualification meetings.

Very few of the academic managers were involved in initial meetings with alumni and potential donors during the qualification phase unless they held a pre-existing relationship with the external contact in which case development staff would rely on them for an introduction. The main way academic managers are involved in the qualification phase is by providing departmental updates and other pertinent information to development officers prior to a meeting with a donor who may have interests in their area. For example, Dr. Sam is often asked to give development staff advice before they go and see donors who may be interested in her area. When she took over as department head there had not been a lot of positive outreach and connectivity with alumni. She spent a great deal of time re-engaging alumni and re-building their network before she or the development staff could qualify, cultivate, and solicit alumni.

Although most academic managers are only internally involved during this phase, Dr. Logan was active in qualification meetings. She was tasked with finding $3 million to start an academic center. Overwhelmed by this call to action, she knew she would have to partner with development to find interested donors. She was proactive and set regular meetings with development. She reviewed donor names with development regularly and she participated in making initial outreach and contacts with people who fit the criteria based on development data. She had a personal connection to one alumnus that resulted in development sending them a proposal. She explained,

> But it was someone, I did have a personal connection in that I was working with someone who had actually tutored him when he was a kid. And so that helped us make the connection with him.

She was the only participant out of 15 who was actively involved in qualifying donors. The next section describes academic manager involvement in the cultivation phase of donor engagement.

Cultivation

The *cultivation* part of donor engagement occurs as donors are introduced to and engaged with different areas of the institution to see if any are a good fit for their philanthropic choices (Plus Delta Partners, 2016). This part of the continuum is where academic managers were most heavily involved. Once it is determined that a donor is qualified and has interests in a faculty member or an academic manager's area of expertise, then the development staff member or the dean, brings in the academic manager to be part of the process. At that point the academic manager may need to include a faculty member to be involved if the expertise falls outside of the academic manager's scope. Many participants mentioned viewing their role as a 'co-fundraiser' or 'partner fundraiser' throughout this phase.

All academic managers mentioned being involved in meetings with development staff and donors. Some of the donor meetings included overnight travel to cities outside of their area or happened around a larger event like a professional conference or awards ceremony for the college or department. Dr. Austin said he traveled with development 2-3 times a year to help them engage donors and alumni. Likewise, Dr. Scott mentioned blocking off his calendar for 2-3 days of the month where he made himself available to development for traveling out to see donors and alumni.

The meetings discussed most frequently followed a similar format. They were intimate as it was just the academic expert, the development officer, and the donor or donors. The development staff member would set up the meeting with the donor and academic manager, send the academic manager a meeting agenda and bio about the donor making clear why their input and involvement is relevant, the development staff member would usually review a script with key talking points to cover prior to the meeting, and once the meeting was over, they would meet to debrief agreed upon next steps. This was the format that all participants mentioned being most effective. They said in the best scenarios the development staff made it 'easy' on them to be involved.

Dr. Mill said he "co-fundraised" with development staff over dinners or other engagement opportunities where gifts are cultivated and solicited. On meeting with donors who are interested in their academic areas, Dr. Potter indicated it was an opportunity he would not pass up. He explained, "And so, you know, any chair would want to have a meeting like that because the chair is responsible for events in the interest of the department. And every chair would recognize that an opportunity like that is too good to pass up." Dr. Bronson took the most active role in fundraising of all participants as he claimed ownership for fundraising over his area. He would bring the development staff in only when donors asked him a question he could not answer. He indicated he is very active in ‘cultivating’ relationships before a donation occurs. He explained his process,

> But over the years I've become a little bit more adept at making the ask of a potential donor, but I'm still not really good at it, not nearly as good as the professionals who do it. So I bring them in to help and I would say that the faculty members are probably even less experienced than I am in making those kinds of asks. So I try to connect them with the professionals who can ... You know, the faculty member has the relationship, a professional can come in and talk the details about this is how we would execute an agreement, a gift agreement. You know, you can include this in your estate planning. And they can get down into the nitty-gritty that even I as an administrator or especially a faculty member can’t cover.

From Dr. Bronson’s perspective, he saw himself as the fundraising lead for his department and he would partner with advancement when he or other faculty members needed their professional skills to close a gift.

Dr. Moore participated in fundraising visits and indicated that he met with donors and potential donors regularly. He described the fundraising process as collaborative; he would work with a member of his college's development team to prepare for a meeting and then do follow up after a meeting then he said, "they would do the work." Likewise, Dr. Scott indicated most of his time was spent in the cultivation phase with donors and alumni. He explained,

> And we did a bit of visiting until we developed, I guess, a good friendly rapport and where you could sense what a person’s, what their needs and interests were.

> And then, try to match up a gift request with what we thought they might be interested in.

He said once the relationship is established between the development office and the alumnus, and it is decided that their interests are in the academic program, the faculty members let the development team take lead on the soliciting.

Solicitation

The *solicitation* phase of the donor engagement process occurs as donors are given an ‘ask’ or proposal to consider (Plus Delta Partners, 2016). Academic experts were frequently involved in this phase but mostly by playing an internal role and providing relevant information for the proposal as opposed to being involved with the discussion externally with the donor(s). Several mentioned writing proposals themselves and others reported being involved in solicitations directly with donors with two making the ‘ask’ solo without the support of development staff in the conversation.

Many participants were involved in the proposal writing phase but mostly by supplying development staff with relevant information for donors to consider. Dr. Forbes described writing several proposals for major gifts. He said he did the substantive work on the proposal and then gets approved by the development staff before being given to the donors. He explains,

> So I've written a couple of very detailed proposals that have gone up through the development office and they sort of get translated into, sort of their glossy donor-speak, which doesn't look necessarily exactly the way I wrote the proposal, but find it translates out. And I've gone and met with these people (donors) along with

> people that basically hold their portfolio (development officers), so that we can, you know, discuss what their interests are and what their priorities are.

Similarly, Dr. Logan shared a learning experience about the proposal writing process. In one of the scenarios where she partnered with development to write a proposal, a potential donor who reviewed her work had a negative conception of a word used in her academic work, “intervention.” In the academic setting, that word is used frequently and does not imply a negative connotation but because the donor read the proposal with a different lens, they immediately thought of different uses than the intended meaning. She explained, “For him, intervention sounded like, you know, we're having an intervention and somebody’s doing ... Like a negative connotation of that word. And it was just something that we had never thought about…” The donor’s input on her proposal helped her realize she needed to reconceptualize her work and think of it with an outsider’s perspective to make it more relatable to the outside world. Through interactions with potential donors, she realized academic language was often misinterpreted and she implemented changes in her writing style to improve how they are received.

Many of the participants stressed the role development staff play in the actual solicitation of funds with donors. Dr. Forbes said, “… my ability to ask is not there. That's sort of specified from a higher level. But I try to interact as much as possible.” He communicated he enhanced the relationship with donors by showing them “what some of our potential needs are and how any future giving would impact the department.” He says after he interacts with donors the development staff make the ask. All participants except one echoed Dr. Forbes’ experience that staff are the ones who solicit donors. Dr. Carter was the exception. He worked with a retired faculty member from the department to establish and finalize an estate gift. The retired faculty member was very particular and private and only wanted to communicate and work with Dr. Carter. Dr. Carter described the encounter,

> He said, I'm going to give you the whole thing, it's going to be every penny that I have. And I don't want my family to know about it. So it was sort of awkward. But the foundation, you know, is showing me the way. Here's what you need to get him to sign.

The development staff in his unit coached him internally on the right questions to ask, information to share with the retired faculty member's financial planner and attorney, and how to finalize the gift with the university. He ultimately made the ask on his own and then relayed the pertinent paperwork back to the staff to be documented with the university. He did this because it is the process the donor felt most comfortable with, and he indicated he was out of his comfort zone but wanted to honor the donor's preferences. He felt supported by the development team, and he kept his dean updated so that everyone was aware of his actions.

In another scenario Dr. Carter described two faculty member colleagues who brought in a $150,000 gift on their own because they had a relationship with an alumnus who wanted to support their work. They contacted the development office when it came time to finalize the paperwork and send in the money but handled all the cultivation and solicitation steps prior to bringing in development. The next section discusses academic managers' involvement in stewarding major gifts.

Stewardship and Managing Funds

Stewardship is one of the phases of donor engagement phase where academic managers spend the bulk of their 'fundraising' time. 'Stewardship' of funds indicates any activities that demonstrate to a donor how their investment is being utilized and how they are making an impact on the organization (Plus Delta Partners, 2016). Academic managers oversee spending allocations and scholarship awards and ensure the department is engaging in fiscally responsible behaviors with attention to the donors' intentions as outlined in university fund agreements. Dr. Potter mentioned "chairs are expected to be good stewards of the department and fundraising falls into that expectation." Participants described managing the department, program, or center's funds as one of their primary responsibilities. One of the ways stewardship occurs is through writing to donors to demonstrate the impact of their funds on the department. Dr. Bronson emphasized the importance of communicating with donors the "long-haul" of their investment. He said,

> And to me, that's very rewarding to know that you can let them see the fruits of their investments. It may be a student who has gotten a scholarship, that they wouldn't otherwise be able to go to school. It may be that they got the opportunity to travel to a professional meeting and without the support of that donor, they wouldn't have been able to do that. And so, I think it's important to maintain those touches with those stakeholders and donors to let them know that we're in this for the long haul and we intend to use the resources that you've given us, entrusted to us, in a productive way.

Academic managers communicated with donors about their established endowments, and most did so on an annual basis through a letter or report. The most common format was an annual letter in coordination with the development office that provided spending updates and provided an opportunity for the department to thank the donor for their support. Dr. Smith initially began to learn about donor engagement through the stewardship of donors for the endowed professorship that she held prior to becoming director of school. She described the process,

> So early on, my interactions with folks in our college, in the development office, and with the foundation, had to do with my holding the [name] chair. And so that involves things like writing annual letters to the donors, and learning about stewardship of existing endowments.

She would write letters to the family once a year to provide updates about her research and the impact their generosity made on new discoveries and student life. Likewise, Dr. Sifford updates endowment donors monthly about department activities and considers communication with them a regular activity.

A few participants mentioned donors who expected more regular updates. Academic managers would send those donors quarterly emails. In a few cases, academic managers sought out the donors' thoughts about spending and allocations. Dr. Logan noted the donor who gave the initial $3 million to fund her center has been extremely engaged with her and other faculty members. She explained,

> …and he is a very, extremely engaged donor, you know, which I'm, you know, I haven't been involved with that many of the big donors. But the ones that I know of, you know, they want kind of annual updates of things, but that's kind of it. We talk with him at least once a month. He's come to campus. Last week, he went with us to [city name] to do some, to launch the state's, the state's literacy week. And to

> talk with the governor, the new governor about what we're doing. A lot of what we want to do is also to get the legislature to support the implementation of some things we're developing with this fund. And so, he’s out there helping us….

Although Dr. Logan’s stewardship involvement was very frequent and sometimes unpredictable, this was the exception as most academic managers mentioned predictable, annual involvement when describing their involvement in the stewardship phase. Dr. Mill discussed the responsibility he felt as department chair for stewarding the donors’ investments. He explained the role,

> As a chair, I, and actually as a director of that center, I had the role of overseeing existing funds, right. So the way that it works as a donor, if they make a big enough gift, then that goes into an endowment and then that endowment spins off each year a certain amount of funding that you can use. And so I would oversee that….

He felt as the single person overseeing and approving the private endowment spending an obligation to take that part of the role seriously and thoughtfully.

Dr. Bronson explained that faculty in his department were being exposed to the impacts of fundraising through their involvement with the department’s accounts. Dr. Bronson explained,

> Many of our faculty members now have their own foundation accounts that folks contribute to, through a variety of mechanisms. I'm not sure that they're endowed, necessarily. But they try to get support for their research and extension activities through a variety of means and giving is one way. So I think more and more, it’s becoming something that's hitting our faculty members’ radars.

The value of academic manager involvement in fundraising

Academic managers play many roles in the fundraising process from subject matter expert to co-fundraiser, and throughout all phases they add value and enhance the institution's relationship with donors in ways fundraising staff cannot. Most participants shared the opinion that donors appreciate hearing directly from faculty members or academic leaders because they can speak directly to needs within their departments and programs.

When asked about what academic managers bring to the fundraising process, Dr. Ride said, "I think what I can do is, in a friendly communicative way tell the story of the work. And make it sound compelling and in a way that a donor can understand, and say, oh, that would feel good to be part of that." Likewise, Dr. Smith said, "Faculty create images for donors about the work and why it's important to invest in faculty who are preparing the next generation of students." Similarly, Dr. Bronson described why donors enjoy meeting with faculty members and academic experts. He said,

> And they want to know that our folks are enthusiastic about what they're doing, and they pick up on that enthusiasm and they see value in talking to somebody who doesn't just push papers all day, that they're talking to somebody who's actually going out and doing the research or working with the students on a daily basis.

Participants echoed the sentiment that academic managers and faculty members are really the only individuals in a university setting that can speak directly to the impact donors make on students, departments, and programs. The next theme details the importance of the relationship between academic managers and development officers for fundraising success.

Finding 4: A strong and collaborative working relationship between academic managers and development staff is critical for fundraising success.

Participants explained working with highly competent and capable development staff is necessary for fundraising success. During their involvement in fundraising processes, academic managers primarily work and interact with fundraising staff housed in their college or academic department – these fundraising staff members are decentralized and report to the dean or chief academic officer in their academic area and liaise to the central fundraising unit. As noted in theme one, academic managers were knowledgeable about other fundraising staff members outside of their academic unit, but their interactions and descriptions focused solely on the staff in their unit.

Regular communication between academic managers and fundraisers about goals and expectations is key to success.

Dr. Sam describes the relationship between her college's development office and her department as a two-way open line of communication. As department head, she invites development staff to their faculty meetings each semester and they present information to each other; development staff want to be a resource and want to have current faculty updates for when they encounter donors that may have interests that align with their research or their needs. She noted the importance of cultivating a relationship with the development office because she felt if they know about her department's work and research then they are more easily able to draw conclusions about when donor's interests overlap with their work. She explained,

> So from their point of view, obviously they rely on the different departments, be it individual faculty or a voice from the chair, whatever it may be, to continuously,

> but not too much, but like, but be updating them on the different things we do and the different areas of research, what different faculty do and what different areas of expertise our different faculty have. And the more we can have that information kind of at our fingertips, and also for them to know what that information is, the better it is.

She experienced several gifts come to her academic program solely because the development officer knew her area's needs and could articulate them to the donor. Dr. Carson Mill mentioned development staff in his area meet with department heads regularly to get information, feedback, and communicate about goals. He shared the information flows in both directions, and it is helpful that both sides can learn about the other. Dr. Smith appreciated when development officers were transparent with her about the expectations of the donors making the gift to her department. She was told donors would expect to be involved with some decision making and it allowed her to thoughtfully compose parameters that would keep her, and her colleagues' work streamlined.

Transparency, trust, and professional competency are crucial to a strong relationship.

Trust building was a very important component of work between faculty members and development staff. Participants, aside from Dr. Schaffer, discussed working only with decentralized development staff in their fundraising activities. Because they have proximity to staff in their departments, and a shared understanding of priorities within their college or department, they developed strong rapport and trust with them. Dr. Ride described her college's development staff as incredibly trustworthy and dedicated to her area of expertise. She said development staff saw supporting her program as part of their job even when it meant participation in activities that were not directly fundraising related. She provided this example,

> So one of the things they do, which I think is probably unusual, is they attend our events. They'll, for example, last summer, two of the people from the Development Office came out to our summer ESL program and helped the kids build bird houses. And they have been extraordinarily supportive of our ESL program and the partnership. They seem to perceive that to be part of their job. And, but also, they're just good people. When I asked for volunteers, we needed more adults to do this, they came out and did it.

She was impressed they showed up for something that had nothing to do with raising money. After that experience, she and her colleagues felt like development staff had a genuine interest in their work and they were "bought-in" to their programming.

In some cases, trust between the development officer and the faculty member was achieved more readily when development staff were alumni of the institution or more specifically the program. For example, Dr. Carson became friends with the development director for her area because the development officer was a former student of the department. Dr. Carson found it easy to 'do the work' with her because she can 'speak the language very well'. Dr. Carson believes she does a great job solely because she knows the program from first-hand experience. Likewise, Dr. Sifford felt he could trust development staff to operate in ways that kept his program's goals in mind because they would approach him about a donor's ideas and make sure they were relevant to his department before introducing him to the potential donors. He felt he could be honest about the viability of their idea and development could adapt accordingly based on his answer. He felt comfortable being honest with the development staff when a funding idea was not a good fit.

Dr. Austin suggested if development staff need more faculty members to be involved in fundraising efforts transparency is key. He said faculty members and academic managers need to understand the ‘why’ behind being involved and then have a clear picture of how to get there to decide if they have the time to contribute toward the efforts. He explained how he would encourage more academic managers to value and become involved in fundraising,

> I would say, just some of it is being transparent. And just say, here is the situation with the college. Here is the funding we receive and here are our enrollments and things like that. And this is how we currently allocate money, funds, right….I would say and here’s where we need more money in these things that we care about deeply, right…. And this is where we don’t have money and nobody’s going to give it to us unless we get it ourselves. And here are ways to do it and here are some of our peer institutions that do it. Same people that you cite in your papers, go meet with donors, likely, and help their college generate funds. Yes, I know a lot of people really don’t want to hear it, or don’t like this, or whatever. But, it’s a reality, just like everything else that's changing. This is changing and so, yeah, that's how I would approach it, I guess, kind of come from a problem.

Dr. Ride mentioned feeling like trust is built through development staff making the effort to show they care about her programs outside of getting gifts specifically for the area. She appreciates development staff who “actually care” about the program and are genuine, not just in it for a gift. She sees it as beneficial when development staff have a long history with the institution and program. I asked Dr. Ride how she engaged development staff to care" about her program, particularly those who had no previous connection, and she said,

> … Just my life experience has been that when people are brought in, when we work with our development people, as persons, who find participating in knowing about the actual work and the impact of the work, particularly in the School of Ed, it's pretty irresistible to like make a bird house with a kid, you know, a kid who's learning to speak English. It's hard to do something like that and not care about that program.

She and many others emphasized the need for fundraisers to be genuine, know the programs inside and out, and felt fundraisers with a long history and passion for their program and organization are most trustworthy. These items affect an academic manager's willingness to become involved with development staff in their efforts.

Working with development staff can be difficult especially when there is a lack of trust, competency, and they display inconsistency.

Although most participants' discussion of working with development staff was positive and favorable there were also descriptions that included negative situations and suggestions for improvement. Dr. Carson described feeling extremely protective over her alumni lists because she felt development officers from her institution would attempt to "poach" her alumni. She indicated this gave her a "pessimistic view" of fundraisers because her alumni were the "best, brightest, and most successful" in her college and she felt development viewed them in a transactional way – just for their money. She described the encounter that made her feel this way,

> And so, I can remember very vividly one of the fresh, young, just hired fundraisers came down to my office, this is early on in my career. And he's just charming and oh, I've heard so much great things about you, and the fantastic work you're doing in the program, and blah, blah, blah. And I'm like, you want my list. And he's like, well, I heard there was a list. And I was like, go work, go meet people, don't try to take the shortcut, and no. And I was pretty like, kind of witchy to him, because I'm like, no, this is not why these people are part of the program, to now get visited by every fundraiser because ... anyway.

She worried development staff would ruin the relationship because they did not value them for the right reasons and may create negative feelings in them if not approached in the right way. She shared development officers did not always seem to have the best interests of the program or the alumni in mind when attempting to bring in money. Others mentioned respecting only those development officers who had established loyalty with the institution or academic program.

Dr. Smith shared she felt frustrated several times when she felt development officers were not adequately prepared to utilize her in an interaction with a donor. She explained,

> Where I have found those interactions to be less than successful is when either the development officer or officers don't really take the time to get to know the person that they're trying to introduce the donor to, to steward the gift. And by that I mean without an understanding of what the faculty member can bring to the interaction.

> Those meetings then with the donor often fall flat because the faculty member, the development officer isn't able to negotiate as much as I think is important or navigate maybe is a better way, not negotiate, because that has a very specific meaning in your field, too. But navigate the meeting as well.

Although most participant responses included positive descriptions of fundraisers, there were some noteworthy challenging situations describes by several participants and these are described in theme 5.

Finding 5: There are individual, professional benefits for academic managers and rewards and advantages for their departments when they are involved in fundraising efforts.

Participants mentioned both personal and departmental benefits they received because they or others in their department were involved in fundraising. These include the personal enjoyment of making new relationships with donors, receiving significant investments for their academic area which sometimes increases funding for their own research, improving the quality of their academic programs, and the ability to be flexible in how they use funds.

Individual and professional benefits

Academic managers mentioned both individual and professional benefits they experienced due to their involvement in fundraising. Individual benefits included personal enjoyment from the interactions as well as finding funding for their own research, labs or classrooms, or students. Professional benefits included professional development opportunities especially for those individuals aspiring to be in university administration.

Some academic managers mentioned enjoying the experience of connecting with alumni and potential donors. Dr. Bronson shared "… I get such a personal satisfaction out of developing a relationship with these people and hearing their stories, and what motivates them, that personally I find it a very satisfying part of the job, developing those relationships….." Other participants mentioned enjoying the experience as well. Dr. Moore explained, "but what I've discovered is that a lot of it is actually quite fun. I mean, it's you know, most of the people are very down to earth and they're really, they're interested in what we do. And they're very easy to talk to. And they really want to help."

Most participants mentioned enjoying building relationships with external constituents they would not otherwise meet unless it were for a development interaction. Dr. Austin mentioned building a personal friendship with one of the donors as they had a great deal in common and he would ask him to come speak to his classes and saw great value in having his students interact with someone in his industry. Similarly, Dr. Potter discussed a very positive lunch meeting with a donor,

> And I experienced that lunch as a very positive one because we connected around a number of his interests, which I happen to share. So that made it a genuinely fun conversation. And then he also was very thoughtful about some of the challenges involved in advancing our new journalism initiatives and had a lot of great ideas……It was just a wonderfully successful brainstorming session that left me much better informed about what the possibilities might be, and also left me with a sense of confidence where we could be successful at making some of these things happen. We now have the foundations of a relationship between the two of us that I could come call on him and say, look, you know, look what we've done in light

> of this conversation. Would you be able, would you be able to chip into that, the next stage? So that felt to me like a very positive conversation.

In addition to individual benefits, participants also mentioned department and college level benefits.

Department and college level benefits

The most discussed benefit among participants was receiving funds for their program area because of involvement with fundraising staff and with donors. All participants discussed program improvement as a top reason to be involved, and all shared the understanding that more resources meant better programs, students, and faculty. Dr. Mill succinctly articulated an idea that all participants referenced throughout their interviews. He explained, "it is important to be involved in supporting fundraising efforts at universities because the size of the university's endowment affects its ability to perform, and these effects are seen in university rankings." This broadly accepted idea was echoed by all participants. Dr. Forbes similarly mentioned he makes a point of communicating the impact of private dollars to students because they enhance their educational experience. He stated,

> We wouldn't have the ability to …. subsidize their travel to a national conference, to present their undergraduate or graduate research. We wouldn't have the ability to adapt our teaching equipment. We wouldn't have the ability to basically subsidize the food for the end of year awards banquet…. And to me, we would be a very, with the money we get from our state allocations ….., we would basically be inside this building doing pretty mundane teaching. We can be excellent teachers, we can use modern pedagogy, but we can't have those external experiences that are so ….

> And ultimately, you know, whether they're going into industry or academia.… those experiences would not happen without the external funding.

Dr. Potter discussed the idea of faculty incentives and remarked they would be obsolete in his department without private funding. He relies on funding from donors to recruit the best faculty members possible and keep their salaries competitive on the job market. Dr. Potter utilized private funds to compensate faculty members to work over the summer to develop new courses. Those new courses encourage innovation and growth in the department. He explained,

> And I've offered to pay faculty to spend time over the summer developing these new courses with the understanding that if they're approved, they'll teach the course two or three times over the next couple of years. And so basically, it’s kind of a nudge, encouraging faculty to try something new and to help the department grow in new directions. And again, that's not something, those kind of incentives are not something we could do without gift funding.

Several other participants specifically mentioned private funding allowed for innovative courses. Dr. Carson remarked she too utilized the development staff and external connections to alumni to improve her program by increasing resources. She indicated without that exposure her department would miss out on opportunities. Dr. Carson manages an institute that was funded completely from private donations and maintains strong connections with the donor family. Without their involvement and investment there would be no center and as a result no research, innovation, or instruction. She is cognizant of that reality and feels personally grateful to fulfill her passion in that environment.

Likewise, Dr. Smith was an integral part of the establishment of a center for academic excellence solely through private funding. She explained plans for the center were put together on the "academic side" of the university and it required a great deal of interaction and support over five years from the administrative side to establish funding and make it happen. She was very involved in the development process. She described feelings of personal fulfillment and happiness felt during the process. She mentioned "Well, what's in it for me is the opportunity to have, is the opportunity to establish a legacy here that will live beyond me in perpetuity, which makes … that's what was in it for me." Several other participants mentioned feeling connected to a legacy when their work is affected by a donor or donors naming and endowing something in their area of expertise.

The impact on students and their opportunities was frequently mentioned by participants as well. Dr. Potter mentioned before private funding for his program there were no experiential learning opportunities for their students. He remarked those opportunities are what set them apart in the job market and on graduate school applications. Their students had much better job opportunities coming out of the program once private funds made it possible for them to have unique experiences alongside the research and coursework. Dr. Forbes described private funding impact on his program by saying,

> It's obvious that it's critically important to a department like ours. There just isn't enough university money to provide other ... The experiential learning component that goes along with the normal laboratory or classroom or on-

> campus learning, just, it just wouldn't happen without it. So I think it's critically important to our students and for the development of a strong faculty.

Most participants provided examples of reasons why they view private funding as essential for the improved quality of their work and their department's impact. They mentioned private funding allows for innovation and experimentation in ways that federal grants do not. Dr. Logan mentioned private funding being more flexible than traditional grant funds. She described the differences between receiving a private gift from a donor versus the restrictions placed on work by a federal agency,

> Private funding allows [us] to respond to needs in nimble and flexible ways….. So if I had gotten instead a grant … if I'd gotten a grant from a federal agency, I would have been very restricted in how I could use those funds. And you know, we have a budget, but he [the donor] doesn't care if we move things around in it. He's fine with that.

Other participants mentioned the ability to be flexible and respond to immediate needs rather than applying to a longer, drawn out grant process and feeling restricted by rules and regulations associated with that type of funding.

Finding 6: Academic managers perceive many fundraising challenges falling outside of the control of academic managers and made suggestions for improved best practices.

Throughout the interview process challenges and obstacles were paramount to each participants' discussion of fundraising structure and process and included specific examples of the following issues: organizational challenges due to internal competition, challenges in working with donors, and challenges when working with development officers. These observations were made regardless of discipline, years of experience, or institution. Fundraising challenges for academic managers and faculty members include a lack of knowledge and exposure to fundraising, limited time to contribute to fundraising outside of their academic responsibilities, no formal reward system for their involvement, internal competition among colleges and units for donor dollars, and the unpredictable nature of donors that demands flexibility of expectations and outcomes.

Academic managers suggested improved practices and policies for working with fundraising staff.

Although participants mostly relayed positive descriptions for the development staff, they made suggestions for development officers to improve the process when working with academic managers. Academic managers discussed the importance of transparency from the onset of their involvement with a donor; they expect development staff to clearly articulate the potential for the investment to go to another area and prepare them for internal, organizational expectations for how to operate appropriately. They mentioned clear communication and preparation from the development staff would improve their expectations. Many of the participants learned these realities and processes over years of involvement. Everyone said it would be helpful if there could be streamlined education about fundraising and fundraising activities so there is less confusion overall.

Other suggestions for improved practice centered around how to handle difficult donors, especially those who have agendas that fall outside of what is practical or reasonable for university academic leaders to manage. Dr. Potter explained, “Well, one best practice is to make sure that you're ready to decline gifts. That's essential, right. That if it appears that a gift has too many strings attached, or it's the relationship is such that one might anticipate the strings will be attached, it's best to decline." Other participants agreed it was critical for academic leaders to feel empowered to make decisions in the best interest of the university, their program, and their students, regardless of how it might impact the relationship of the donor with the institution.

There is internal competition for donor dollars.

All participants mentioned competition both internal and external to their unit for fundraising dollars. Participants described the donor experience as one where they learn about various funding needs and then select one or several that fit best with their philanthropic goals. This causes internal competition between colleges and units for donor dollars. Participants described this process as potentially frustrating for academic managers especially when the outcome comes as a surprise. Dr. Forbes explained he was very involved in meeting with a particular donor at the beginning of their engagement but as meetings progressed, the meetings became more "high-level" and included his dean and the head of the foundation. Even though he was removed from the meetings with the donor, he wrote the proposal the university used to solicit the donor, but the gift went to another area. He explained, "And ultimately, what was given was a major part of the proposals I wrote, but to another unit on campus. So, we didn't benefit at all from that process, even though it stemmed from the proposal that I developed." Other participants had similar experiences. Some described long-term cultivation with a donor only to have the central office become involved and steer the donor in another direction.

Participants described the need for development officers to become familiar with a donor and their interests prior to bringing in an academic manager to avoid as much unnecessary work on their end as possible. They acknowledged it is sometimes unavoidable and donors need to interact with academic managers to decide whether their work meets their philanthropic goals. The outcome can be disappointing if a donor determines the work is not the right fit for them. Dr. Smith mentioned the need for university leaders to be flexible when working with donors because donor interests may ultimately lead them to other parts of campus outside of their designated academic unit.

Donor challenges include philanthropy interest that is not an institutional priority, unpleasant interactions, unrealistic expectations

Participants discussed potentially disappointing outcomes associated with being involved with donors and potential donors yet still saw value in their involvement despite the risk of unfavorable outcomes. They discussed specific challenges related to donors that can make working with them difficult. Donors may have interests that do not align with priorities and want to narrowly define the use of their gifts. They may also want to be overly involved with their gift and overstep the boundary for philanthropy**.** Many participants mentioned donors had interests that were not priorities of the institution or impossible expectations because donors lacked a clear understanding of what it takes to operationalize a gift. Dr. Bronson suggested academic managers need to feel empowered to have candid conversations with donors so they have realistic expectations, he said academic managers should tell donors, "you can't 'buy' an outcome with research or a program."

Participants described the idea of gifts coming with 'strings attached' and described the need to be cautious when dealing with donors who want a say in how gifts are utilized. All felt universities must be ready to decline gifts that infringe on an institution's values or academic freedom and cautioned against allowing money to sway decisions that put their mission at risk. Dr. Sifford described a colleague from another institution having to reject a gift as department chair because a donor suggested faculty members research particular topics that had a heavy political background. Dr. Potter and others mentioned the importance of donors respecting and trusting faculty expertise. He described witnessing certain academic departments "losing a bit of their identity" when they attach to the will of donors. He explained they allow donors to become too involved with the inner workings of their departments and they lose the ability to act in their own self interests. Dr. Potter explained,

> I've seen situations even here ….. where major donors have remained deeply invested in the programs that they've been attached to and taking that kind of investment involvement to a point that it's actually disrupted the internal workings of departments, because they just have a bit too much sway and commanded too much deference. Such that a department is no longer being guided by its own sense of its self-interest and either is bending towards the will of the donor. And that could be deeply problematic in all sorts of ways.

Academic managers were in consensus: institutions should not stray from their internal values to placate the will or wishes of a donor or potential donor.

Participants communicated there may be unpleasant interactions with donors. Many participants indicated they find some of the donor meetings boring and unpleasant. Dr. Potter explained he's felt some donor encounters are "boring",

> …The challenging ones are just boring. There are a number of key people who, yeah, they're very successful ….And we discover at lunch that we don't actually

> have much in the way of shared interests….. then the role basically becomes, well, it's just providing them an occasion to go on and on about their own careers in sort of an ego gratification exercise for them. And I don't very much enjoy that. And nothing much happens, I mean, you know, I guess we exchange business cards and we can say we've met each other…. the kind of event that I think sort of gets stereotyped and caricatured. And is the reason why people don't really look forward to these roles, because it involves a certain amount of just obsequiousness and flattery of people with already excessively large egos.

He also mentioned having nothing in common with some donors he had to meet with,

> And I think probably finding grounds for a genuine connection can be a challenge. Talking to a hedge fund manager, it's a very different world, right. It's not one that I have any exposure to, and I don't know anything about it. And I don't know how to talk about it and I don't know how to talk about the things that they want, they're good at talking about. And that is just a kind of mismatch of interests and values, which can sometimes make for a painfully strained or artificial seeming conversation. And that's not much fun. It's a challenge and it's not something people particularly look forward to.

Dr. Austin mentioned a situation where he was involved with a donor at a sporting event who seemed to have a prejudice against him because he is not American. He explained,

> Yeah. So basically, you know, I was invited to go to a football game and sit with this donor who is kind of an older individual. And many, and oftentimes they are, you know. And I'm generally good with maintaining a conversation and things like

> that, but I felt like that person didn't really care for me and I kept wondering if it was because of my accent or my like, I mean, I'm not from around here. This is not, you know, Southern accent. So, yeah, so I kind of felt like they didn't maybe want to be there. And we had an okay time, but I was like, oh, there is, you know, three hours of my life I'm never getting back…..

Dr. Austin said that was the only negative donor experience in his history, but it was very unpleasant and made him question development more thoroughly about who he would be involved with and how they would perceive someone who is foreign.

Summary of Findings

This qualitative research study focused on the role academic managers play in university fundraising efforts in public research institutions. Fifteen interviews were conducted with academic managers at two prestigious 'top 25' public institutions (US News and World Report). The following research questions guided the study:

1. What do faculty members in academic managerial roles in public research institutions understand about fundraising and how do they learn about the process?
2. How are faculty members in academic managerial roles in public research institutions involved in fundraising efforts?
3. What obstacles hinder the involvement of faculty members in academic managerial roles in fundraising?

This qualitative research study contributed new knowledge to the field of higher education as there are no previous studies that explored the involvement of academic leaders below the level of dean in fundraising efforts. The interview guide used with the 15 participants sought to answer the research questions about their knowledge, involvement, and challenges associated with their experience in fundraising. The analysis of the findings and the development of the themes provided information to answer the following research questions.

Research Question One: What do faculty members in academic managerial roles in public research institutions understand about fundraising and how do they learn about the process?

Results of data analysis showed academic managers are incredibly knowledgeable about the nuances of fundraising but only become knowledgeable after they begin their leadership roles, and they learn through experience. At the onset of their leadership responsibilities, they claim to feel “clueless” and even frustrated at their lack of knowledge about fundraising and how to be an effective partner for development staff. They indicated they could be more effective earlier on if they had access to a standardized fundraising training for academic leaders. Once they learn through experience and have mentoring or coaching from the development staff in their academic unit, they become very knowledgeable and experienced.

Participants utilized professional language to describe the fundraising phases in the donor engagement process such as the words “qualify,” “cultivate,” “solicit,” and “steward” (Plus Delta Partners, 2016). These are words typically used by development professionals, this usage signaled their knowledge level and comfort with fundraising efforts. Descriptions of their perceptions of fundraising included specific organizational realities impacting how fundraising tasks are operationalized. These organizational descriptions included the organizational divide between the academy and the administration, the levels of authority and control between staff, faculty, and senior leaders in the administration, nuances between being centralized and decentralized, and how they and development staff must at times cross those barriers during the fundraising process. Many participants included organizational descriptions in their discussions because they considered it important because the realities impact how fundraising occurs.

In summary, academic managers and very knowledgeable about fundraising but not until they can learn through experience. They believe a standardized training for academic managers would be highly beneficial. Their understanding of fundraising is extensive, they discussed the understanding the organizational realities of public higher education as critical for someone to be successful in fundraising.

Research Question Two: How are faculty members in academic managerial roles in public research institutions involved in fundraising efforts?

Results of the analysis of participant interviews showed academic managers are involved in all phases of donor engagement – donor identification, qualification, cultivation, solicitation, and stewardship. They are most frequently involved with donors in the cultivation and stewardship phases. They play more of an internal role during qualification and solicitation as they provide pertinent information for the development staff to utilize. Participants mentioned a strong relationship with development staff is critical for their success in fundraising. They view themselves as playing several primary roles during fundraising. They are "conduits" between their department and the development staff, they are subject matter experts both for development staff and donors, and they sometimes function as "co-fundraisers" to development staff by partnering to engage donors. As conduits, they keep faculty members insulated from development requests and assess development needs before suggesting certain faculty members be involved in development work. They indicated it is rare for faculty members to be involved but if their research or expertise overlaps with the interest of a donor, the academic manager facilitates the process and establishes clear parameters for their involvement. As subject matter experts for development staff, they keep staff aware of ongoing needs and challenges, and offer current, relevant information about how funds are spent to support stewardship efforts. When acting as subject matter experts for donors, they indicated how compelling it is for donors to hear from academic managers directly about the impact their funds have on students, programs, and facilities. No one can discuss the work more accurately or profoundly as can academic managers, the individuals who are doing the work of the institution. Academic managers enhance the solicitation process as they offer relevant and persuasive language for proposals given to donors as they are considering funding various initiatives.

All participants discussed feeling the responsibility to be fundraising partners for development staff because they believe fundraising provides necessary revenue to enhance the quality of their academic programs. They identified both personal and departmental benefits for their involvement; personal benefits included finding funding for their own research or students, and departmental benefits included recruiting the best faculty and students, providing experiential learning opportunities for students, enhancing need-based support for students, and improving the overall quality of their programs. Several participants mentioned that increased fundraising revenue directly impacts national rankings that have become increasingly important in demonstrating the value of academic programs.

In summary, academic managers were involved in all phases of the donor engagement process (Plus Delta Partners, 2016). They play various roles when partnering with development and add value to the process as they provide information no one else would have the ability to provide. Their involvement enhances the process and when they have a strong relationship with development staff, they see successes and advantages for both themselves personally and for their academic departments. The next section details how the third research question was answered during the study.

Research Question Three: What obstacles hinder the involvement of faculty members in academic managerial roles in fundraising?

Participants identified different types of challenges because of fundraising in public higher education, and all the challenges fall outside the control of academic managers. Challenges occurred due to lack of knowledge and standardized trainings for academic managers, no formal incentives for faculty involvement, difficulties encountered with development staff and donors, and internal conflict and competition for donor dollars between different departments and leadership levels.

The most common and emphasized challenge among participants was the lack of standardized fundraising training for academic managers. They all wished they could have been exposed to and learned about fundraising before overseeing the fundraising efforts for their department, institute, or center. They felt this lack of knowledge put them at an extreme disadvantage and felt it would benefit colleges and universities to invest in this type of training for academic leaders. In addition to their lack of knowledge, academic managers indicated a lack of formal incentives for faculty member involvement makes it difficult for them to make time for fundraising as they balance other responsibilities. They are paid to research, teach, and serve, and fundraising is not considering a formal part of service. Several participants mentioned they thought fundraising would be an appropriate type of service to be considered for tenure requirements, but it is not currently something that is included at either institution.

Most of the feedback about development staff was extremely positive but some participants identified challenges in working with development staff, especially when staff seemed underprepared for meetings. Examples included development staff not having a thorough understanding of the academic manager's expertise and inaccurately pairing them with donors. Some other examples included development staff failing to adequately prepare the academic manager for all aspects of a meeting with a donor. Those development staff who had not established a loyalty for an institution or program were not as readily trusted by academic managers which poses a challenge since most participants said a high level of demonstrated competency and loyalty was needed for a successful relationship with a development staff member.

Across the university, challenges occurred because public research institutions are large and comprehensive and have inherent internal competition for donor dollars across varying levels and programs. Because of this reality, academic managers faced frustrating situations where they lost out on funding to other parts of campus even though they dedicated a lot of time and energy into a donor's cultivation. When discussing how they might prepare the next academic manager who would take over their position, they stressed preparing academic leaders for the possibility of working with a donor and seeing no result. They said knowing that was a possibility would have been helpful information for crafting their expectations. Those who worked with development staff who were transparent about those organizational realities, and what it means to be "donor-centered", felt better prepared and appreciative of the warning.

Challenges in working with donors included a few unpleasant interactions with donors, donors having an interest in something that is not an institutional priority, and donors wanting to be overly involved in how their gifts are used. The unpleasant interactions included one participant being discriminated against by a donor's actions at a football game, and another participant mentioned having to sit through a late, six-hour dinner in another city, where he was then expected to follow the donor to his office for more meeting time, only to have no gift come from the extremely long interaction. Other general challenges occurred when working with donors who wanted to give to areas that were either not a priority for the institution or when donors may have a potentially controversial motive for a gift, such as trying to influence the type of research being completed in a program. Participants felt strongly universities should reject gifts from donors who try to stipulate expectations or who give with "strings attached." One unique challenge occurred for a participant who worked with a donor over many years, finalizing the donor's intentions for an estate gift. Unfortunately, the donor passed away very unexpectedly and never made their intentions final in their will, and the gift, upwards of $15 million, went to an entirely different cause. The participant felt disappointed because he knew the donor intended to impact something different, but no one could prove that without the will language being made official.

In summary, participants identified challenges because of their initial lack of fundraising knowledge, unpleasant encounters with underprepared or incompetent development staff, internal competition among varying units for donor dollars, lack of recognition or incentives for academic leaders to be involved in fundraising, unpleasant interactions with donors, donors who want to give to areas that are not institutional priorities, and extenuating circumstances that derail a gift to their area after many hours of work in cultivating the gift.

Given the financial declines facing public institutions of higher education, and their increased reliance on fundraising to create new revenue streams, it is imperative that researchers and administrators develop a deeper understanding of how fundraising is affecting academic leaders on campuses. Academic managers, faculty members in administrative leadership roles at the level below the dean, such as department heads, department chairs, or directors, are significantly involved in fundraising efforts to build private revenue streams for their departments and programs. To better understand the complexities of this ongoing expectation for academic managers and the partnership between them and development staff, this study sought to explore how they learn fundraising is important, how they become involved, what they contribute to the fundraising efforts, and what challenges exist. These findings provide the foundation for a set of best practices that will improve the approach of university fundraisers when engaging academic managers in the fundraising process.

CHAPTER 6 – DISCUSSION AND CONCLUSION

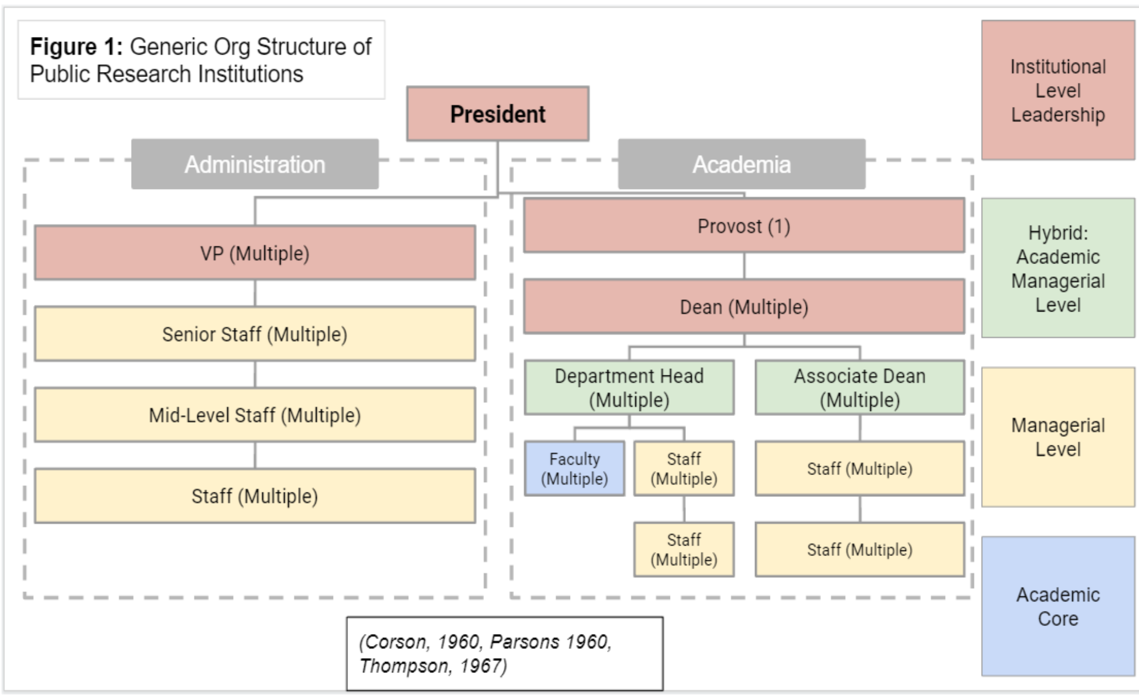
This chapter provides a discussion of the connection between the findings of the study and the theoretical frameworks used to design the study, suggested future research for further discovery about fundraising, implications for professional practice, and a conclusion summarizing the study. The theoretical frameworks provide a useful tool for a deeper understanding of the thematic findings.

Connecting thematic findings to theoretical frameworks

This study is rooted in organizational and structural theories as they provide the most appropriate lens for us to achieve a better understanding of the impacts of fundraising workflows and activities on academic managers (Weick 1976, Parsons, 1960, Corson, 1960, and Thompson 1967). The purpose of this study was to explore how academic leaders are involved in fundraising efforts in public research institutions. Throughout the course of the study, I learned about how they learn about the fundraising process, how they are involved in major gift fundraising, and what challenges impact them. This section explores how academic managers' learning about and knowledge of fundraising, and their fundraising experiences, are influenced by the organizational structure of public higher education. This discussion details how the selected theoretical frameworks provide a deeper understanding of how fundraising occurs between academic managers and fundraising staff.

Dual Organizational Structure

The dual organizational structure, illustrated in Figure 1 below, present in public higher education institutions may be one of the main contributors for the lack of



All except for two had no prior exposure to fundraising before they assumed their current roles.

Participants blamed their knowledge gaps and lack of exposure to fundraising on the structural divide in higher education, noted above in Figure 1. Their responses further solidified the dotted lines in the first theoretical model detailing the siloed, separated structure of higher education -- where the division between academic roles and the administration is emphasized. Their lack of knowledge or general exposure stems from the uncoupling of these two structural entities. The surprising part of their responses was that they clearly described their lack of exposure as a symptom of the divide. They explained fundraising and its associated efforts as something that historically has "lived" on the administration side of institutions. For example, Dr. Paula Smith described the dual structure, and varied levels of leadership and management within each side, and even how members of institutional leadership worked with one another during fundraising. She described the nuances between unit development officers, central development officers, and how she would work with each of them in different ways as an academic manager. Others echoed her description in less specific ways. It became clear to me the structure I relied on for better understanding this topic was critical for them as well.

Participants saw their inexperience as a weakness and felt the need to quickly educate themselves on fundraising. Regardless of how their learning process was instigated, all participants mentioned relying on fundraising staff, both senior and mid-level staff within the managerial level, to educate them on how to be successful. Participants learned by exposure and experience with development staff, and participants blamed their inexperience as a symptom of the structural divide of public higher education institutions.

Loose coupling

Loose coupling allows for an enhanced fundraising process between fundraising managerial staff and academic managers, while also creating significant challenges. This section provides a discussion of how loose coupling both enhances the fundraising process by allowing individual actors from varying subunits to add value through their expertise and hinders the fundraising process through competition and difficult coordination among subunits.

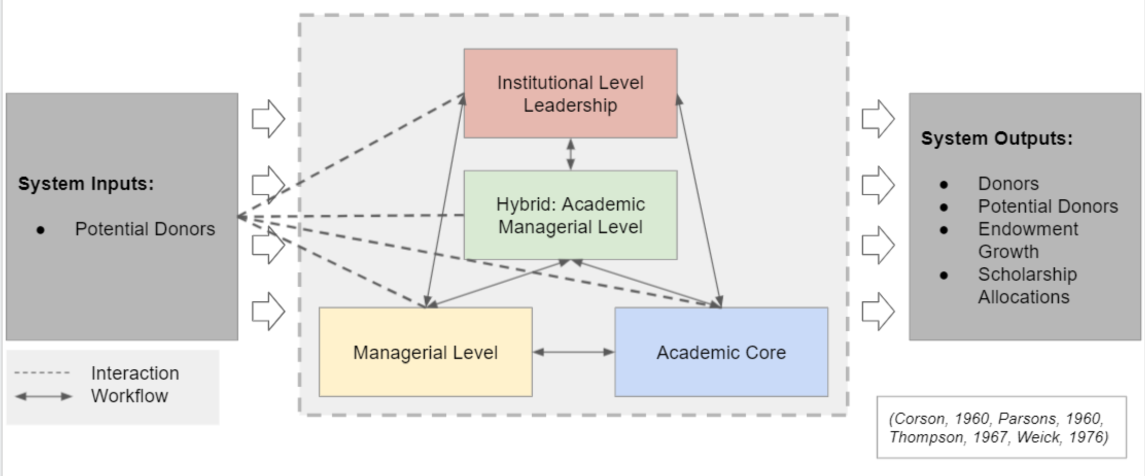
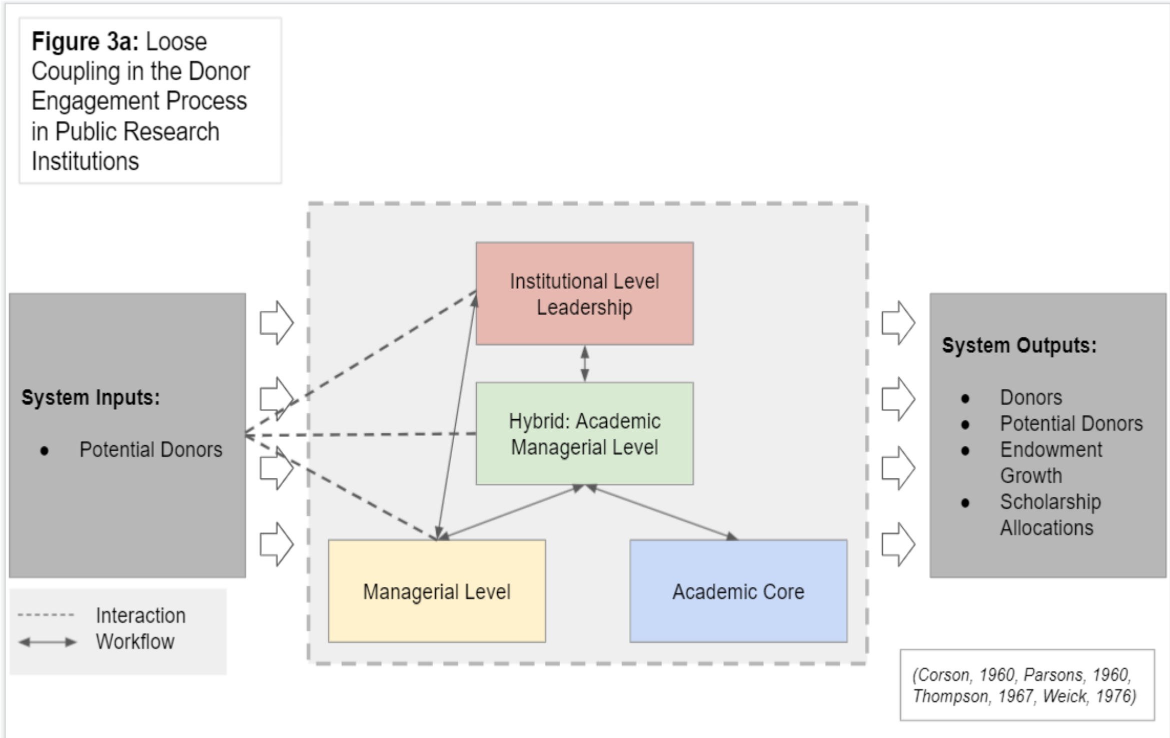


Figure 3: Loose Coupling in the Donor Engagement Process in Public Research Institutions



The theoretical model shown in Figure 3 above, is especially relevant as it illustrates workflows and interactions within the fundraising process being carried out in a multitude of unpredictable ways. Because the participants' experiences differed and workflows and information flows were multidirectional in each of the examples, the concept of loosely coupled workflows fit the participant descriptions of how information and workflows were instigated. Loose coupling proved an appropriate theoretical concept for these unpredictable, intricate scenarios – namely because there are no patterns to how this work is accomplished and the work itself requires actors from various individual subunits to work together. The beauty of loosely coupled subunits is that they allow for intense specialization among actors which promotes efficiency (Weick, 1976). Academic managers are specialized within their discipline and administrative duties, fundraising staff are specialized as experts in the fundraising process, and together they interact to complete the fundraising process.

The 15 study participants shared around 5 scenarios each where they had significant involvement with fundraising staff and donors. Throughout the discussions, examples included workflows that were prompted in various ways. Some of the workflows were initiated because a donor knew a faculty member and contacted them about donating and then a workflow was established. Some workflows were initiated because a department head was asked by their dean to host a particular donor. In other examples, development officers called on academic managers to respond to an immediate need like a call for proposal from the central office, or the settling of an estate gift, or a disgruntled donor needing clarification on how their endowment is being spent. Figure 3, loose coupling in the donor engagement process, is a useful model in depicting the unpredictable and multidirectional nature of this work and participant descriptions further proved this theoretical model is advantageous for a deeper understanding of the complexities involved. Although figure 3 is a useful model for depicting this work, participant responses made clear the need for an improvement to one aspect of the model, i.e., how the academic core is involved.

Most participants served as department heads and claimed to play the role of ‘conduit’ between their program’s faculty members and the development staff. My understanding of this ‘conduit’ role deepened significantly during interviews, and as a result I ultimately decided I needed to clarify my original Figure 3: Loose Coupling in the Donor Engagement Process. Below is a revised conceptualization of Loose Coupling in the Donor Engagement Process, Figure 3a.

In this new model, the academic manager's role of "conduit" is more accurately depicted based on participant responses. The main difference between Figure 3 and Figure 3a is most workflows and all interactions have been removed from the academic core. Although there were some exceptions noted by the participants, most of the time the core remained completely insulated from fundraising practices. Academic managers identified one of their primary responsibilities as a buffer for faculty members. Many participants believed this reality, of keeping the core insulated from fundraising involvement, will change over time, and faculty will become expected to be involved, but as of now general faculty members are mostly uninvolved in fundraising. The department heads and directors described themselves as functioning "conduits" of information and workflows between the faculty in their academic departments and fundraising staff and donors. They see a primary portion of their role as mitigating administrative workflows and keeping faculty insulated and able to focus on their primary roles within the institution. Academic managers encourage faculty involvement when appropriate and necessary but the workflows and interactions flow through academic managers first, as demonstrated by the workflow line that originates from the academic managerial level and moves toward the academic core. If faculty members are relevant for engagement with a donor, the department head or dean initiates the workflow and provides parameters for the faculty member's involvement. The revised Figure 3a demonstrates the core remaining insulated during the fundraising process meaning they can function with maximum rationality and predictability within the institutional context (Parson, 1960). If participants are accurate in their predictions, that faculty members will become more integral to and involved in the fundraising process, then their position within the academic core may become less secure and safe from external interference over time.

The concept of loose coupling provides an appropriate lens for the fundraising process because the process brings together actors from various subunits and organizational levels, with specialized expertise, to achieve a common goal. Organizational subunits are more tightly or loosely coupled to one another based on common variables between the units and how important those variables are to functioning of the subsystems (Weick, 1976). In this context, increased fundraising revenue is a shared goal between academic managers and fundraising staff even though they are in different institutional levels and on different sides of the organizational divide. When fundraising, academic managers and managerial fundraising staff share the variable inputs of potential donors and have increased interactions and exchanges during the fundraising process. Although they become slightly more coupled to each other during the process, they both retain individual identities, and are governed by different authority and governing structures, allowing for increased efficiency. The value of public research institutions being organized in a decentralized structure allows for all colleges and academic units to have specialized fundraising efforts for individual needs. The institutions are large and comprehensive – decentralization allows for specialization and efficiency – but it also allows for competition among subunits.

Although loose coupling provides many benefits to the fundraising process it also poses challenges. There are limitless competing goals and priorities across institutions of public higher education. This competition impacts the fundraising process and the ability for fundraising staff to coordinate with academic managers across various units. Certain academic areas may be more highly valued by leadership and therefor prioritized differently. Participants mentioned only those fundraising priorities recognized at the level of dean or president will be prioritized and operationalized by development staff. Participants discussed the differences between fundraising or institutional priorities held at the level of department head, at the level of the dean, and at the level of the provost and the president. For example, within an academic unit, if the dean does not value the work or goal of a department head, the development staff will give that priority less attention because their authority comes from, and their accountability is to the dean. Likewise, if there are priorities held by deans that are not valued by the president and other senior leaders, they will not be supported by central fundraising staff because ultimately their authority comes from the president. Development officers housed in academic units take direction from the dean and those in the central unit take direction from the president or his proxy. These differences in authority, accountability, and goals can create challenges for academic managers as they attempt to enhance their academic departments with private funds.

Another challenge presents when donor interests are not aligned with university priorities. Academic managers described a ‘balancing act’ encountered by development staff as they attempt to be donor centered while also keeping in mind the institution’s priorities. The organizational structure becomes important in these scenarios because development staff are in constant communication with potential donors, and they typically control the information a donor receives about opportunities on campus. If a development officer within an academic unit works with a donor, they may present opportunities for involvement differently than would a centrally based fundraiser.

Academic managers can set strategic priorities, but they must be supported by institutional level leadership, and development staff must become familiar with them, in order to have them reach interested donors. The loose coupling between the varying subunits does allow for breakdowns between different units, that ultimately impact donors who then miss out on complete information about funding opportunities, especially when there are differences in priorities, goals, and needs between different authoritative levels and subunits.

My Expectations

Throughout my fundraising career I have intentionally engaged academic managers in the fundraising process especially in situations where I believed an academic manager would enhance the university's relationship with the donor. I valued their expertise and ability to speak directly to how private funds could enhance their department's impact on students. Due to my eight years of experience in working with academic managers in fundraising, especially department head academic managers, I naturally developed expectations and assumptions about what academic managers know, how they learn about fundraising, and how they are involved in fundraising. I encountered many surprises throughout the interviews and subsequent data analysis.

The academic managers I utilized in fundraising engagement were generally not very knowledgeable about fundraising even when they claimed to have a great deal of experience or exposure to fundraising. When working with academic managers, I spent a lot of time educating them on the process and coaching them on the 'how's' and 'why's' behind different scenarios. As a result of these experiences, I expected the academic managers in this study to confirm my preconceived ideas; I believed their responses would confirm lack of exposure, a symptom of the organizational division between the academy and the administration illustrated in figure 1. Throughout the 15 interviews with academic managers a few of my assumptions were validated, however, I was mostly surprised by their deep knowledge of intricate fundraising processes. They were incredibly knowledgeable and experienced.

Their knowledge on the subject was deeper than I expected and even when they were not sure about the specifics, or they were not personally involved in certain aspects, they could allude to areas or processes that existed beyond their scope. For example, participants were uninvolved in but aware of the coordination between development staff housed in academic units and those in the central unit. They discussed the differences between central development officers as ‘centralized’ and unit development officers as ‘decentralized’ – many alluded to central development officers having more access to better prospects. Their answers made it clear they work only with decentralized fundraising staffs located in their academic units. These types of specifications signaled they had deep knowledge of both the processes and the organizational realities that impacted the processes.

One area that surprised me was the academic managers overwhelmingly indicated faculty members without administrative responsibility have little to no involvement in fundraising. In my career, I worked with many general faculty members during the fundraising process. I learned that my experience is an exception and for the most part faculty members are unaware and uninvolved, remaining completely insulated from the fundraising process. Many predicted this will change over time, and faculty members without administrative responsibility will become more involved, but for now they remain buffered and insulated from fundraising.

I expected to find academic managers were involved in only some phases of the donor engagement process, but they were in fact involved in all of them – qualification, cultivation, solicitation, and stewardship. While the participants were most heavily involved in cultivation and stewardship, they also had substantive experience in the other phases. I was especially surprised to hear multiple academic managers report experience in soliciting donors. The several who solicited donors were exceptions as most academic managers relied on development staff as experts to carry out that part of the process. Two individuals solicited donors and functioned as the professional expert in those scenarios, a role rarely played by anyone other than a fundraiser.

The biggest surprise of all was how highly regarded development and fundraising staff were by the academic manager participants. Academic managers, throughout each of their interviews, talked about fundraising staff with a high level of respect and credited them for the success of the efforts. I did not expect academic managers to attribute most of their fundraising success to a strong partnership with development staff. I anticipated hearing more negative stories and opinions about fundraising staff and instead most of their descriptions of development staff were very positive. I had this expectation because in my personal experience faculty members, and academic managers alike, have been suspect of the fundraising process and as a result are weary of development staff until they have established significant trust and rapport.

Both the dual organizational structure of the administrative and academic sides of public higher education systems, and the impacts of loose coupling within the system, provide a lens for deeper understanding of academic manager experiences in the fundraising process. These structures both allow for an enhanced fundraising process, but they also may contribute to some of the challenges. The loosely coupled, de-centralized nature of public higher education institutions allows for uninterrupted work between specialized actors in different subunits. In the case of fundraising, loose coupling allows fundraising experts to carry most of the responsibility in the process, and academic managers can intersperse their expertise when needed. Thus, academic managers add value to staff and donors without neglecting their primary responsibilities. This type of involvement across varying units keeps the process efficient – a breakdown in one subunit does not cause a breakdown in the other. Specialization allows fundraising staff and academic managers to bring expertise and value to the process that neither actor can provide alone. Loose coupling, however, can cause some challenges by encouraging internal competition among subunits. Subunits are competing for limited resources thereby creating stressed relationships between staff and academic managers, especially those in varying subunits. Competition can cause distrust among actors and ultimately create barriers for external donors to receive complete information about opportunities.

Knowledge contribution

This study and its findings are important for the field of higher education because there are no previous studies exploring the connections between university fundraising efforts and the academic side of the university. The findings address gaps in our knowledge about how academic leaders learn about fundraising, become involved, add value to the process, and experience challenges. The findings will hopefully improve the overall quality of the process for both fundraisers and faculty members as well as donors.

This study comes at an especially pivotal time in public higher education as significant financial declines in previous decades have caused public institutions to heavily rely on private funding streams to enhance and maintain their missions. This reliance caused professional fundraising staffs to permeate campuses; as fundraising staffs have grown; development officers have since begun involving academic managers in fundraising activities. This study provides insights into what academic managers contribute to the fundraising process and how it can be improved for the future.

Practical Implications

This study demonstrates a distinct gap in fundraising knowledge felt by academic leaders at comprehensive, public research institutions where fundraising is an essential portion of the operating revenue for institutions. This limitation hinders their ability to be successful in finding additional revenue streams for their departments. The findings necessitate an improved process for partnering between individuals in administration and the academy in fundraising efforts. .Although this study focused solely on the perspective of faculty members in academic managerial roles, based on a decade of professional experience in higher education, and the pilot interviews completed with fundraising staff, I believe there is also a significant knowledge gap for staff members about the culture and expectations of faculty members, and how that impacts their perceptions about and involvement in fundraising. An improved understanding and knowledge base for both academic managers and development staff members, as well as some agreed upon institutional best practices, would enhance the fundraising process.

For there to be improvements to the fundraising processes, institutional leaders must consciously agree to make fundraising process improvement an institutional priority. Something institutional level leaders should consider adding a fundraising training component for academic managers as they take on their leadership roles. Trainings should include:

- Organizational structure of institution and how the structure informs the authority and direction of units and subunits about fundraising,
- How blended, centralized, and de-centralized institutional fundraising fits in to the organizational structure,
- Different types of fundraising (annual giving, major giving, foundation, and corporate giving),
- the phases of the donor engagement process, what development staff is working to accomplish during these phases, and how academic managers can partner with staff in these phases,
- what it means to be "donor-centered" and how that impacts where gifts are given,
- how the university's development is expected to support the institutional mission,
- how university leadership develops their priorities,
- how academic managers should develop their priorities,
- parameters around gift acceptance at the university.

For development staff, trainings should be made available about how to work with academic managers most effectively when engaging donors. There are many reasons why academic managers enhance the fundraising process, and provide unique information and touchpoints for donors, but unless development staff utilize them strategically, there can be unintended outcomes for all involved. Trainings for development staff should include:

- Orientation to the academic programs in their per view, including relevant data, needs, and fundraising priorities,
- Emphasis on the concept that academic managers have varied knowledge of and comfort with fundraising, develop questions for initial meetings with academic leaders that help development officer assess their knowledge base, desire, and comfort level in being involved in fundraising efforts, and understand more about areas where they may need or want coaching or more information,
- Emphasis on the importance of building a strong relationship with faculty members, by building rapport, establishing trust, and getting know to know them both for their expertise and their personality,
- Discussion about a preferred process for working with academic manager's departments – standard format for preparation for donor meetings, feedback process, and agreed upon next steps,
- Discussion about the importance for open communication with academic managers about all potential outcomes of working with a donor, including how to be 'donor-centered', including transparency of internal competition.

In addition to a standardized training for academic leaders, and development staff members, institutional leadership should develop best practices for partnering between development staff and academic leaders. These practices would stretch across the organizational divide between the academy and the administration and bring clarity to a somewhat ambiguous process. Best practices will be unique to each institution based on their size, scope, organizational structure, and fundraising organization, and should be developed by those who are experienced ‘experts’ in fundraising and academic leadership and endorsed by institutional level leaders focused on fundraising and academics, likely a vice president for development and the provost. Deans and other academic leaders should be involved in feedback for those practices as well. Developing these types of best practices will create efficiency and effectiveness in the fundraising process ultimately resulting in more funds raised.

As a result of the feedback and analysis of this study, I plan to create training models for academic leaders and development staff members. For academic leaders the training would be focused on improving their knowledge about fundraising and how to increase revenue more effectively for their academic areas regardless of their discipline or position, and for development staff members about how to work with faculty members in leadership roles more effectively. I plan to utilize my professional and academic networks to pilot these training seminars and through this work I hope to influence and encourage streamlined fundraising practices across campuses that bring in more revenue for colleges and universities. In February 2020, I conducted a training for staff members around best practices for working with academic leaders, at the professional CASE conference, and it was heavily attended and well received.

Future Research

This qualitative interview study and its findings are specific to two public top-ten research institutions, in different parts of the country, and represent the perspectives of academic leaders in eleven disciplines – education, anthropology, geography, forestry, agriculture, mathematics, sociology, english, political science, geology, and history. As discussed in the sampling section in the methods chapter, there is likely some inherent bias generated in the interview data because all of the participants are individuals who were recommended by development officers because of their contributions to fundraising and associated success. To the extent the experiences of these academic managers is transferrable to other public research institutions, this study merits the attention of higher education researchers and institutional leaders. The findings demonstrate a need for improved knowledge transfer and practice, and lead to other questions.

Generally, there is a need for more research on fundraising broadly. Fundraising has become one of the most important revenue streams for public research institutions and yet there is very little research on this topic (Caboni & Proper, 2014, Drezner & Huehls, 2014). There is a need for future research to focus on the perspective of donors, development staff, how organizational structure impacts fundraising outcomes, and the impacts of private giving on institutions.

Future studies that target academic managers and faculty members broadly, without gathering referrals from development staff, would allow us to learn more about the complexities around fundraising. The tone of the answers of the participants in this study were primarily positive toward fundraising and its practice, likely because they had similar feelings and experiences about the value of fundraising to their programs. It would be helpful to know more from those who may not have the same positive sentiment or experience, especially how they perceive fundraising its impacts.

For future research on the involvement of academic leaders, creating a study that focuses on the perspective of higher education donors, those who are involved with academic leaders and those who are not, would allow for deeper understanding of how academic leaders impact donors' perceived relationship with the institution and their philanthropic investment. Future research on academic leaders in the fundraising process from the perspective of development staff would inform trainings and best practices to better understand the opportunities and challenges in working with academic leaders allowing for further improvements.

A study focusing on the perspective of university presidents and senior development officials discussing the trends and future of fundraising would enlighten us about where the field is moving. It would help if these studies focused specifically on how universities will investment in fundraising units and how the organizational structure of fundraising will be impacted – and how the changes in investment and structure will impact the units outside of fundraising.

Organizationally, it would be helpful to have more information about how organizational structure impacts the fundraising process. Both institutions in this study had a blended, centralized, decentralized fundraising model where development officers were both housed in academic units and in the central office. Having a blended model means there are different authority lines and coupling, ultimately allowing for conflict and competition. Understanding more about the different types of organizational models and how they impact fundraising would allow administrators to assess and account for challenges and opportunities because of structure. Having more information through future research would enhance our knowledge and ability to improve practice in an area that is vital for persistence and mission fulfillment.

In conclusion, I would be remiss without saying it is my belief academic managers enhance the fundraising process in the most meaningful of ways, and without their informed, active participation and feedback in fundraising practice and policies, universities are not realizing their full fundraising potential and are not providing their constituents with the best possible engagement experiences. My hope is that with more fundraising research and attention to our knowledge gaps, there will come improved practice and increased philanthropy in institutions of public higher education.

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APPENDIX A

Sample recruitment email for fundraising staff

Hi Fundraiser,

I hope you are well. I spoke with X yesterday and he recommended that I get in touch with you in order to take next steps on connecting with faculty and staff for research for my dissertation.

I believe you'll be reaching out to faculty on his behalf to see if they are amenable to scheduling a 30-45 phone interview for my study. As a result, I thought it would be helpful for you to have some background to include in your request.

Background: Elizabeth Kozak is a development director and PhD candidate at the University of Georgia. She's pursuing her PhD in higher education policy through the institute of higher education. Her research interests are focused on philanthropy in higher education and her dissertation is about the role that faculty leaders play in philanthropy efforts at public research institutions. Her approved research sites are the University of X and the University of Y. She hopes to speak to 10-12 faculty leaders who have been identified by development staff as individuals involved in major-gift fundraising efforts.

Would you let me know if you need any other information from me in order to make the email requests/intros easier on you?

I greatly appreciate your help.

Thank you –

Elizabeth Kozak

Regional Director of Development

Nashville, Tennessee

APPENDIX B

Sample recruitment email for academic manger participants

Hi Academic Manager Participant,

I hope this email finds you very well. I was given your name and contact information by my development colleague X – they indicated it would be alright to contact you about an interview for my dissertation research. I'm a Ph.D. candidate exploring organization behavior in universities with a primary interest in the role that faculty leaders play in philanthropy efforts at public research institutions. As a result, I've asked development colleagues to connect me with faculty leaders who have been involved with development.

Would you be willing to meet over the phone so that I can ask you some questions about your development experiences? I'm attaching the consent form for this study. If you're alright with meeting over the phone, do you have availability the morning of Friday March 8, or anytime on March 19 or 25? I'm happy to look at other dates as well.

I look forward to our conversation.

Sincerely,

Elizabeth

Elizabeth Kozak

Regional Director of Development
Development and Alumni Relations
Nashville, Tennessee
UNIVERSITY OF GEORGIA

APPENDIX C

Interview Guide: Academic manager involvement in fundraising efforts at public research

Research Question 1: What do faculty members in academic managerial roles in public research institutions understand about fundraising and how do they learn about the process?

- Describe your position/rank within the college.
- How long have you been employed at this institution? Where were you employed prior to this role?
- Do you see yourself moving toward administration at the college or university? If so, is fundraising something you are involved with to develop those skills?
- How does fundraising work within your institution? Will you explain the processes and structures that make fundraising possible?
- Who is responsible for fundraising in your department? In your college? At the university?
- How have you experienced fundraising within your institution?
- What is your opinion of fundraising within your institution?
- Have you had contact with any of these individuals for the purposes of fundraising? Tell me about that.

Research Question 2: How are faculty members in academic managerial roles in public research institutions involved in fundraising efforts?

- Are faculty at your institution encouraged to be involved in fundraising efforts? Tell me how you are aware of that?
- Tell me how you became involved in fundraising efforts.
- How often are you called on to participate in fundraising efforts? What types of efforts? How do you think you were selected to participate in these efforts?
- Think about a time you met with donors (potential) donors and tell me about that.
- Describe a time you were involved with donors that was successful. Describe a time that was challenging.
- How do you see your expertise as a faculty member contributing to fundraising efforts?

- Are you aware of other faculty members who are more involved with fundraising? What roles do you think they play?

Research Question 3: What obstacles hinder the involvement of faculty members in academic managerial roles in fundraising?

- In your experience of working with fundraising efforts, what challenges did you face?
- In general, what do you think are the challenges for faculty being involved in fundraising?
- What suggestions do you have to improve the process of involving faculty in fundraising?
- Where do you see fundraising efforts evolving at public research universities? What do you see as the faculty's role in these efforts?
- What would you like to tell me that we haven't already discussed?

APPENDIX D

UNIVERSITY OF GEORGIA

Consent Form

Faculty Leader Involvement in Philanthropy Efforts in Public Research Institutions

Researcher's Statement

I am asking you to take part in a research study. Before you decide to participate in this study, it is important that you understand why the research is being done and what it will involve. This form is designed to give you the information about the study so you can decide whether to be in the study or not. Please take the time to read the following information carefully. Please ask the researcher if there is anything that is not clear or if you need more information. When all your questions have been answered, you can decide if you want to be in the study or not. This process is called "informed consent." A copy of this form will be given to you.

Principal Investigators:

Kathleen deMarrais, faculty member and department head, University of Georgia College of Education

Elizabeth Gaughf Kozak, doctoral candidate, Institute of Higher Education

Purpose of the Study

The purpose of the study is to explore the role of faculty members in institutional fundraising efforts and public research institutions. You are being asked to participate in this study because of your involvement in fundraising efforts as identified by colleagues in development or other faculty members at your institution. The information generated during this study will be used for academic research and possibly publication. All information obtained will be treated confidentially.

Study Procedures

Participation requires a 60-minute interview regarding your experiences within your academic role(s). The researcher will need to audio record your interview in order to perform analysis of your interview data. By participating in this study you provide the researcher with a varied and well-rounded interview sample that will be used to help represent the experiences of development officers utilizing academic partners in their fundraising efforts.

Risks and discomforts

No risks are anticipated by participating in this research. However, there may be some discomfort from talking about the topics of the research study. If you experience any discomfort you may request that the interview be stopped at any time.

Benefits

We do not anticipate any direct benefits to you for participating in this study. However, there will be benefits based on how this study will contribute to knowledge regarding the experiences of development officers and their utilization of academic partners. The findings from this study will contribute to both theoretical and practical knowledge of the role of academic partners in fundraising by providing rich description of individual experiences.

Audio Recording

In order for the researcher to perform analysis of interview data, audio recordings are necessary. Only the researcher will have access to these audio recordings. These audio recordings (and/or transcriptions of these recordings) may be used in the future to present findings at research conferences, for publication, and/or in teacher settings. Because of this, all material from you interview will be retained. If you do not want your data retained, you may choose to have all identifiable material removed from your data as soon as collection is completed.

Any material used from the audio recordings will be kept confidential. Pseudonyms of any participants will be used so that identifying characteristics are left out of findings. Additionally, these recordings will be archived after transcriptions electronically.

Privacy/Confidentiality

All information obtained during this research project will be treated confidentially. Pseudonyms will be used rather than your real name. When reporting findings, the researcher will take care not to include details that may identify you as a participant. No affiliations will be used in the findings.

Taking part is voluntary

Taking part in this study is completely voluntary. You are free to withdraw your participation from this study at any time you should become uncomfortable with it.

If you have questions

Please contact me at emg@uga.edu. Please ask any questions you have now. You may also contact me if you have questions at a later time. If you have any questions or concerns regarding your rights as a research participant in this study, you may contact the Institutional Review Board (IRB) chairperson) at 706.542.3199 or irb@UGA.edu.

Research Subject's Consent to Participate in Research:

To voluntarily agree to take part in this study, you just sign on the line below. Your signature indicates that you have read or had read to you this entire consent form, and you have had all of your questions answered.

____________________________	____________________________	
Name of Researcher	Signature	Date
____________________________	____________________________	
Name of Participant	Signature	Date

APPENDIX E

CONFIDENTIALITY AGREEMENT
TRANSCRIPTION SERVICES

I, __(name redacted)_ transcriptionist, agree to maintain full confidentiality in regards to any and all audio recordings and documentation received from Elizabeth G. Kozak related to dissertation, or audio recordings related to any other subject. Furthermore, I agree:

1. To hold in strictest confidence the identification of any individual that may be inadvertently revealed during the transcription of audio-taped interviews, or in any associated documents;

2. To not make copies of any audiotapes or computerized files of the transcribed interview texts, unless specifically requested to do so by Elizabeth G. Kozak;

3. To store all study-related audiotapes and materials in a safe, secure location as long as they are in my possession;

4. To return all audio recordings and study-related documents to Elizabeth G. Kozak in a complete and timely manner.

5. To delete all electronic files containing study-related documents from my computer hard drive, online storage spaces, and any backup devices.

I am aware that I can be held legally liable for any breach of this confidentiality agreement, and for any harm incurred by individuals if I disclose identifiable information contained in the audiotapes and/or files to which I will have access.

Transcriber's name (printed): (name redacted)

Date:

Transcriber's signature: (signature redacted)