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University Presidents and the Role of Fundraising at Private Liberal Arts Universities

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Walden University
2016

Abstract

University Presidents and the Role of Fundraising at Private Liberal Arts Universities

by

Greeley Myers

M.T.S., Duke University, 1995

B.A., McMurry University, 1993

Doctoral Study Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Education

Administrative Leadership for Teaching and Learning

Walden University

May 2016

Abstract

In the last decade, private liberal arts universities have experienced financial difficulties requiring the need to raise private funds. The financial viability of these universities depends on the ability of university presidents to raise money; however, challenges remain to carry out this task.   To increase fundraising effectiveness at the university being examined, this case study identified skills and practices of 10 university presidents who achieved fundraising success during their tenure, such as the completion of a capital campaign or the growth of the university's endowment. Transformational leadership style traits were considered to determine their alignment with the successful fundraising behaviors identified. The 10 university presidents were selected to participate through referral sampling that identified peers from the professional networks of study participants that met the selection criteria. The presidents were interviewed, and those data were recorded, transcribed, organized, and coded into emerging themes. Results indicated the importance of setting a vision for the university and implementing behaviors that motivated donors to join that vision. Identified skills were practical applications of a leadership style that were grounded in the importance of personal relationships. The study contributes to positive social change by providing skills and behaviors for university presidents to improve their fundraising effectiveness in order to provide increased resources for universities to better carry out their educational mission.

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Dedication

This is lovingly dedicated to my wife, Carrie, and our three children: Grant,

Nolan, and Emma. Words cannot describe my gratitude for your lasting support and love.

To Carrie, thank you and I love you. To my children, never quit on anything and all

things are possible!

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Section 1: The Problem

Introduction

Since the economic downturn of 2008, the fundraising role of college and university presidents has received increased attention. While many university presidents view fundraising as a primary responsibility in their jobs, many struggle to balance fundraising with other challenging demands (Hodson,, 2010). Rising costs, declining donations, and increasing competition for students are all factors that affect the financial stability of a university (Hodson, 2010). While clear answers to these problems are not obvious, the financial strength and viability of universities are dependent upon the ability of university presidents to raise money. Reduced revenues due to a trend of declining enrollments, especially at private colleges and universities, and a decrease in state funding at public institutions have resulted in an increasing requirement to raise funds from private sources (Bornstein, 2009).

Due to the necessity for increased fundraising efforts, requirements to be a university president are extending beyond established academic credentials (Kaufman, 2004). University boards are raising a crucial question and need to decide if it is more important to have a strong academic leader or an experienced fundraiser (Bornstein, 2009). Concerns regarding the fundraising ability of a university president are taking a primary role in the presidential selection process (Cook, 1997). University boards now define the success of university presidents by the amount of money raised during their presidencies (Bornstein, 2009).

Definition of the Problem

Higher education faces many challenges in the 2nd decade of the 21st century. Rising expenses, a reduction in contributions, and an increase in competition for students are some of the factors that threaten the financial security of many colleges and universities (Riggs, 2005). Due to a reduction in state appropriations and a decline in tuition revenues, higher education institutions have turned to the requirement of raising money from private sources to meet the needs for scholarships, faculty development, and operating budget support (Jackson, 2012). Increased burdens like higher tuition that lead to a potential decline in tuition revenue will continue the necessity for fundraising from private sources (Masterson, 2011).

Considering the increased need for fundraising at colleges and universities, the burden of this undertaking falls on the president of the institution (Bornstein, 2005). While the increasing need of a college or university president to raise funds has become evident, especially in the last decade, challenges remain for him or her to carry out this task (Kaufman, 2004). Allowing the time needed for raising funds at the expense of being a strong internal leader for his or her university has been described as a "juggling act" (Kaufman, 2004, p. 50). Kaufman's analysis and other works found in the literature review confirm that the success of university presidents is often assessed on their ability to raise private funds. In addition, many university presidents whose careers have been spent in academia arrive at the pinnacle of their careers unprepared to carry out the fundraising task (Bornstein, 2003).

Funding challenges, such as the need for increased scholarship funds and the problem of declining tuition revenues, highlight the necessity for raising private funds. The necessity for proper presidential leadership in educational fundraising was also present in the university selected for this study. The university examined was a small, liberal arts university in the southwestern United States. Sixty-four percent of the students come from Texas, the state in which the university is located, while the remaining percentage of students is from out of state (Logan, 2013). As a private institution, there is not a tuition discount for in-state students (Logan, 2013). Of the students who attend this university, roughly 83% receive financial aid assistance in the form of need-based or merit-based aid (Logan, 2013).

The university being studied has received numerous commendations as a result of its focus on academics and the resources it provides for its students and faculty. It has been recognized by the *Princeton Review* in its 2015 edition of *The Best 376 Colleges*, (Franek & *Princeton Review*, 2014). The university studied also has consistently been ranked as a top university in *U.S. News & World Report* Regional Rankings and has been named a 2014-15 Best Value Private College by *Kiplinger's Personal Finance* (Clark, 2015). The accolades that this university has received are noted to provide background information of the local setting by demonstrating its academic excellence and national reputation. With an enrollment of approximately 2,400 students, the university boasts a relatively healthy endowment of $940 million (Logan, 2013). Despite the large endowment, financial issues such as declining tuition revenue and rising operating costs call for an increase in sources of funding.

Evidence of the Problem at the Local Level

The rationale for studying presidential leadership in the role of fundraising is evidenced by several factors: (a) the need for increased revenue from private sources due to a steady decline in tuition revenue, (b) the low alumni giving percentage rate to the institution, and (c) the need for increased large gifts to the university endowment that would generate more endowment income to the operating budget. To gain an understanding of the impact of tuition revenue at this university one must look at the annual budget. Of an approximate yearly budget of $100 million in 2011–2012, 42% was dependent upon net tuition revenue, while 33% of the budget was funded by endowment income (Logan, 2013). The remaining budget is funded through auxiliary income, such as conference fees, summer programs, and annual fundraising efforts (Logan, 2013). The necessity for fundraising at this institution follows a similar path that many liberal arts universities have faced since the economic downturn of 2008. While the university's endowment remained relatively unharmed, the years since 2008 have seen a substantial decline in tuition revenue due to dwindling enrollment. In 2011–2012, there was a 2.3% decrease in net tuition revenue and 2013–2014 tuition revenue remained flat, indicating no growth (Logan, 2013). Despite the drop in student enrollment, the need for funds remains. In order to encourage more students, the institution planned on increasing the amount of financial aid that would be distributed (Logan, 2013).

This university has also followed the trend of private universities across the country by increasing the financial aid awarded to encourage enrollment (Chabotar, 2010). While potentially increasing enrollment, this practice also has the possibility of

negatively impacting net tuition revenue (Chabotar, 2010). In looking at a 10-year history of the university being studied, analysis indicated a harmful growth in the gap between gross and net tuition revenue (Logan, 2013). In 2002, gross tuition revenue per student averaged $17,000 per year, while the net tuition revenue per student, after awarded financial aid from the institution is subtracted from the gross tuition revenue, averaged $12,000 per student, a difference of $5,000 (Logan, 2013). In 2011–2012 gross tuition revenue averaged $32,000 per student while net tuition revenue per student was $17,000, a difference of $15,000 (Logan, 2013). This alarming growth in the gap between gross and net tuition revenues indicates that an important source of income to the institution has drastically been reduced in the last 10 years. In light of such a predicament, the importance of increasing the revenue derived from raising funds becomes more apparent.

The challenge of cultivating and soliciting donors is evident based on the current rate of alumni giving to the university. The university being studied belongs to the Associated Colleges of the South (ASC), a consortium of 16 liberal arts colleges in the southern United States. These institutions in the ASC are peer institutions and share similar characteristics, such as the size of student enrollment, academic requirements, and student demographics. Based on data from the end of the 2011 fiscal year, the percentage of alumni that gave to the university being studied was an underwhelming 13% compared to 40% at its peer institutions (McConnell, 2012).

An example that makes this local problem relevant was that the university being studied was undertaking a significant building campaign. The addition of the new Center for Science is a project that totaled over $120 million. Due to the assistance of the

institution's endowment, the fundraising goal was reduced to $50 million. However, with 2 years already devoted to this project, the university only raised $22 million. This was significant because, despite its solid reputation and commitment to academic excellence, the institution struggles to raise funds. The example also emphasizes that the university's endowment and significant resources are being used for these types of financial commitments, adding a greater need for fundraising success.

While the necessity of raising funds was evident at the institution being studied, it was also important to consider how the role of its president impacted this challenge. With the aforementioned fundraising needs and challenges, the current president of the university has just completed his 3rd year in this role. This individual came to the presidency after serving as an academic dean at several universities and the dean of a business school at a large public institution. Based on an alumni survey conducted at the university, articulation of the vision and need for funds from alumni is lacking (McConnell, 2012). In examining attitudes of alumni giving to the university, the survey revealed that one of the barriers to giving was the attitude that the school did not really need their alumni's money (McConnell, 2012). In the case of this institution, the results of the survey suggested that the vision of the university and the case for support is not being effectively communicated to key constituents (McConnell, 2012).

Evidence of the Problem in the Literature

Fundraising in higher education has become an important factor for the financial management of colleges and universities. Since the end of the last century, observers of higher education have surmised the necessity for outside revenue from private sources in

order to sustain higher education institutions. As early as 1992, studies predicted that public universities would be unable to depend on state appropriations to fund the majority of the expenses needed to deliver an education (Wallace, 1992). This prediction especially came true after the economic recession of 2008. Jackson (2012) cited five studies that were completed after the 2008 recession that indicated that the economic impact had led to a drastic drop in state funding to public universities. In 2010, state appropriations on a per-student basis dropped from $8,035 to $6,451 (Jackson, 2012). This new reality faced by public universities is forcing these institutions to raise money from private sources (Cheslock & Gianneschi, 2008). Eckl and Patterson (2010) called the new funding challenges faced by public universities the "new normal" (p.8).

Raising money from private sources has been commonplace for private higher education institutions for many decades. Since private universities do not have access to state appropriations, they are largely dependent on revenue derived from tuition income (Chabotar, 2010). This dependence becomes problematic when the cost of tuition to attend college increases at a rate faster than the median family income. In the last 3 decades, tuition has increased at a rate of 22.8%; during this same time period, median family income only increased at a rate of 6.4% (Jackson, 2012).

The impact of the decline of state appropriations on public institutions during the recession of 2008 also affected private institutions in a different manner. The financial stability of most small, private universities is dependent on revenue generated from enrollment. Tuition, fees, and room and board produce nearly two-thirds of their annual budget (Chabotar, 2010). Not only did the economic recession of 2008 impact private

universities with large endowments, it threatened smaller institutions' main source of revenue--enrollment. Limited access to student loans due to a tightening of credit requirements, rising unemployment, and a general lack of confidence in the economic recovery led to a drop of enrollment at small private universities throughout the country (Chabotar, 2010).

In an attempt to maintain enrollments, many colleges and universities awarded more institutional financial aid to encourage students to attend their respective institutions (Chabotar, 2010). Kent Chabotar, President of Guilford College in North Carolina (2010), observed that this practice, while trying to increase revenue, actually added to the financial burden as the schools respective discount rates exceeded former limits. Simply defined, a university's discount rate is the total institutional aid divided by total gross revenue from tuition, fees, and room and board (Baud & Lapovsky, 2006). The greater the aid awarded per student, the greater the potential to reduce actual revenue. Difficulties arise when the increase in distributed institutional aid results in less net tuition revenue than originally budgeted. The tuition revenue that is accumulated is offset by the amount of money that is dedicated to institutional aid.

Growing burdens, like decreased state funding, a move from federal grants to student loans, and the recent increase of for-profit, online providers of higher education, have amplified the need for private fundraising (Ehrenberg, 2006). Such factors contribute to the decrease in revenue sources that universities are facing. With the resounding emphasis on the need for fundraising in higher education, the expectation has been passed along to university presidents. The success of university presidents is reliant

on the capability of a president to be a leader in these efforts. Nicholson (2004), in a study on the topic of fundraising and university presidents, emphasized the importance placed on the fundraising task by stating, "There is an understanding that their job is tied to money and they are responsible for the financial well-being of their institution" (p.257). The additional emphasis placed on the fundraising task has added to the expectation that each university president is to be the master of it all: able to lead with a clear mission for the institution, an outstanding academician, and a fundraising genius (Bornstein, 2005).

Due to the increasing role of the president as a fundraiser, university boards' expectations in the selection process of a president have also changed. The correlation of fundraising to the task of the university presidency has become a primary factor in the selection process (Bornstein, 2003). Kaufman (2004) emphasized the changing nature of the presidential selection process by stating, "Gone are the days when the hire of a university president is based solely on a lifetime of scholarship and academic credentials that brought credibility with faculty" (p. 50). Many boards address the question, "What are the best qualifications for a presidential candidate. Is there a demand for a strong academic leader or qualified fundraiser?" (Bornstein, 2003). University presidential candidates are being judged on their experience as fundraisers and their willingness to accept that role (Kaufman, 2004).

After the economic recession of 2008, the expectations of university boards looking for an effective leader in the fundraising arena have only increased. Leadership searches have progressed in seeking individuals who can lead in an entrepreneurial

manner (Kaufman, 2004). Boards are searching for presidents who are able to lead in a creative way to address the economic realities that are now present in higher education (Apthorp, 2012). While academic credentials are paramount in judging the capability of a candidate, boards are also searching for one with previous fundraising experience, the willingness to learn, and the best fit for that specific university (King & Gomez, 2008). Cooper (2009) argued the importance of fundraising experience for potential university presidents, "Intellectual prowess is far down the list of qualities sought in contemporary heads of institutions of higher education. Now instead of hailing the academic chief, colleges and universities are saying hail to the fundraiser in chief" (p.8).

The role of president as a fundraiser and an economic manager has taken priority in the last 20 years and especially since 2008. University presidents have become more attuned to the financial management of their institutions (Pulley, 2012.) . Wesley (2007) noted that increased responsibility of presidents in fundraising has become more significant due to the national economy and the competitive burdens present in higher education today.

The attention paid to financial responsibilities is evident based on how presidents spend their time. In a 2007 survey by the American Council on Education (ACE), 37.7 % of the presidents surveyed noted that the primary use of their time was spent on fundraising (Gomez & King, 2008).. In addition, nearly 35% stated that the primary use of their time was spent on budget or financial management (Gomez & King, 2008). When private university presidents in the same survey were asked what role of their job occupied the greatest use of their time, more than 51% answered "fundraising" (Gomez

& King, 2008). While most presidents recognize that fundraising requires a large percentage of their time, the main concern expressed by many university leaders is how to incorporate that responsibility with other tasks (Gomez & King, 2008).

With the role of fundraising expanded to be one of their primary tasks and the increasing expectations of boards and constituents, studies have focused on the preparation and background of those ascending to the university presidency. The ACE survey of 2007 revealed that nearly 70% of university presidents had previously served as a chief academic officer or a high ranking official in academic affairs (Jackson, 2012). In a study in 2004, Kaufman noted that presidents whose careers have seen success in academia and whose qualifications have been built as scholars, arrive at the job ill-prepared to handle their roles as fundraisers. Cook (1997) stated that "very few people warm naturally to being a fundraiser, particularly among those whose careers have been in the academic world" (p.72).

University presidents also admit their lack of preparation to take on the fundraising task. In a study of first-time college presidents, nearly 20% indicated that they felt inadequately prepared for fundraising responsibilities, which was the top-ranked response (Hartley & Godin, 2009). Other surveys also indicate the same sentiment of university presidents. In a *Chronicle of Higher Education* survey, Cooper (2004) also noted that one of the most humbling aspects of the job according to university presidents was their lack of readiness to handle the aspect of fundraising. In a panel held at a 2008 forum hosted by the *Chronicle for Higher Education*, first-time presidents suggested that more academic provosts and officers should receive more training in the area of

fundraising in order to properly prepare to enter the university presidency (Cooper, 2009).

Definitions

Alumnus, alumnae, alumni: A male, female, or group of individuals who have graduated from a university (Ladd, 2013).

Alumni participation: A calculation used that gauges that the number of alumni who financially support their university (Ladd, 2013).

American Council on Education (ACE): A U. S. higher education agency located in Washington D.C. that is comprised of approximately 1,800 accredited, degree-awarding universities and colleges. The agency advocates for higher education institutions and promotes leadership development (Gomez & King, 2008.

Capital campaign: A strategic initiative by a nonprofit organization to raise a significant amount of money over a specific time period. In many cases, these campaigns may target building campaigns or be designated for programmatic needs (Panas, 2005).

Development, institutional advancement, and advancement: Terms used to describe the office or act of raising private funds (fundraising) at colleges or universities (Kindelsperger, 2012).

Fundraising: The process of raising private funds (Panas, 2013).

State funding: This term represents the state and federal dollars appropriated for use by higher education institutions (Jackson, 2012).

Transactional leadership: Bass (1985) defined transactional leadership as a leadership style that is based on contingent reward, used to provide reward for efforts and punishment for lack of results.

Transformational leadership: A leadership style that emphasizes a commitment to teamwork and shared values by placing an emphasis on individuals and motivating team members through strong personal values and a shared, well-articulated vision (Nicholson, 2007).

Significance

This study assessed the ever-increasing role of fundraising that university presidents face at private, liberal arts universities. In this study, I examined and identified presidents' behaviors and attitudes toward their fundraising roles and identified characteristics of university presidents who achieved success at fundraising. By examining leadership behaviors and practices of successful fundraising university presidents at private liberal arts institutions, this study contributed beneficial information to address fundraising challenges in the local setting. Identifying attributes that assist university presidents in fulfilling their fundraising role has the potential to inform the president and executive staff of the local setting being studied in order to achieve future fundraising success. In addition to identifying attitudes of university presidents toward fundraising and attributes that contribute to fundraising success, this study explored the means through which university presidents become prepared to address their role as a fundraiser. In the study, I investigated their previous occupations and whether those previous jobs assisted them in facing their fundraising task.

Research Questions

Considering the increasing need for universities to raise money, the role of the

university president in this process has garnered significant attention in the literature.

From one of the first studies on the topic in 1994 (Cook, 1994), to the most recent study I

located of fundraising and community college presidents (Ballinger, 2012), traits,

characteristics, and leadership styles have been identified with successful fundraising

presidents. Several studies have focused on the broad topic of fundraising and how it

relates to the university president (Bornstein, 2005; Cabrera, 2010; Cook, 1997; Hodson,

2010). In addition, studies are available that focus on large public universities and

community colleges (Ballinger, 2012; Jackson, 2012). However, there is a lack of studies

that examine successful fundraising presidents at small, liberal arts universities like the

one being observed in this study. The study of presidents who have demonstrated success

in their fundraising roles will help clarify which behaviors and characteristics are needed

to achieve success and meet fundraising demands. The questions examined led to a

project that supported the development of a framework on which to build enhanced

leadership skills and attributes necessary for the university president in the local setting to

fulfill their fundraising task. This project developed took the form of a White Paper that

reflected the findings of the study.

The following questions guided this study:

1. What leadership traits, characteristics, and behaviors are necessary for

   university presidents to achieve success in their fundraising roles?

2. What professional development activities would assist in the application of these leadership traits and practices in order for university presidents to find success in their fundraising tasks?

Review of the Literature

Prior to the mid-1990s, the concern regarding how university presidents carry out their fundraising roles was not an issue found extensively in the literature. Because of the somewhat recent nature of this problem, there are few seminal works on this topic (Altbach, Berdahl, & Gumport, 2008; Cook, 1994, 1997). Therefore, a historically established theoretical framework to guide this study does not currently exist. A theoretical framework on leadership styles will assist in examining fundraising behaviors of university presidents; transformational and transactional leadership styles will be addressed later in this study. However, there are several themes recently established in the literature that will provide a basis for the examination of this problem. Since the end of the last century and through the first decade of the new century, studies have emerged that examine the university president as a fundraiser, along with the challenges of higher education fundraising. For purposes of this study, I identified 25 studies completed in the last decade that investigated the university president as a fundraiser. My review of studies on this topic will begin with a look at the history of the role of fundraising associated with the university president. In this study, I will examine issues such as the need for presidential leadership in the fundraising arena, how university presidents balance their role as fundraisers with other job responsibilities, growing expectations of university presidents to be effective fundraisers, and how university presidents are prepared for the

fundraising task. My review will conclude with studies that examined general themes that the literature identified as behaviors of successful fundraising presidents. These general themes center on styles of leadership that have been effective. My study will build on these themes and examine specific behaviors and practices of successful fundraising presidents.

To prepare for this literature review, an exhaustive search was completed in research databases available through Walden University. Most of my searches focused on education databases including Education Resources Information Center (ERIC) and Education Research Complete. Search terms used in the research included: *university presidents and fundraising, higher education and fundraising, university president duties, college presidents and fundraising, the role of fundraising and the university president, challenges of higher education fundraising, university enrollments, expectations of university presidents, job requirements of university presidents,* and *higher education fundraising trends*. I also searched higher education advancement professional publications such as *Currents* and *The Chronicle of Higher Education*.

History of Fundraising in Higher Education

As mentioned earlier, the preponderance of work found in the literature regarding the university president's role as a fundraiser emerged in the mid-1990s. The growth of articles and research on this topic coincided with the growing emphasis on fundraising, not only in private institutions but also public universities. Cook's (1994) dissertation was the first to provide an in-depth look at the role of the university president in the fundraising process. In this 1994 study, Cook provided a historical examination of higher

education fundraising through a search in the literature in order to provide a context for the importance of the president's role in this process. After this review that details the history of fundraising in colleges and universities, Cook (1996) moved on to a qualitative study of university presidents and experts in the field to determine the evolving role of the university president as a fundraiser. Through surveys and interviews, Cook distinguished numerous themes and eventually concluded that university presidents are the key figures in leading the fundraising process. Cook also emphasized that fundraising is a team effort that must be properly guided by a clear vision and strategy led by the president.

Cook's, "An Era of Uncertainty" (1997), is a follow-up historical and qualitative study that examined fundraising in colleges and universities. In this study, Cook emphasized the blurring of distinctions between fundraising practices at public and private universities. Historically, public universities were reliant on state funding while private fundraising was a practice of private institutions (Cook). Due to state budget cuts in the 80s and 90s, Cook stressed that this distinction has "become more and more blurred" (1997, p.64).

The blurring of the distinction between public and private universities and the practice of fundraising that Cook identified in 1997 becomes even more obscured after the economic recession of 2008. The effects of the recession and its impact on fundraising in private and public universities are discussed in the study of Altbach, Berdahl, and Gumport (2008). The authors of this work pointed out that the negative

impact of the recession had drastically reduced state funding to public universities, forcing universities to seek funding from other sources.

Jackson's (2012) exploratory study was the most recent work I found in the literature that speaks to the specific fundraising challenges of public universities. Jackson focused specifically on the challenge of public universities and the necessity of their presidents to lead those institutions in raising funds. Jackson established the basis for their particular study through a detailed assessment of the reduction in state appropriations to comprehensive public universities. While detailing the challenge of public universities in the current educational environment, Jackson provided a clear articulation of the need for raising funds from private sources. Citing a 2010 presentation by the Moody Investor Service, Jackson defined a "new normal" in higher education (Jackson, 2012, p.32). This normal is a result of declining state revenues and the decrease in appropriations to public institutions (Jackson, 2012). These challenges have forced public universities to change their fundraising practices to mirror those of their private counterparts in the search for increased income to the university. As the need for raising funds increases, the role of the university president becomes ever more important.

As Jackson (2012) highlighted the fundraising challenges at public universities, the same fundraising challenges exist at private universities. Kindelsperger (2012) noted that increasing expectations for annual support and capital fundraising along with changing alumni demographics have all contributed to the increased attention paid to fundraising at private institutions. Robust fundraising efforts at private colleges and universities are important and necessary due to expanding enrollments, low endowment

levels, and rising operational costs (Kindelsperger, 2012). All of these factors have placed significant financial strains on many private institutions (Cohu, 2011). The Grant Thornton report on the State of Higher Education (Ladd, 2013) noted that private universities are at a financial tipping point. The report stated that sharp tuition increases and increasing debts at private universities have placed the financial sustainability of private universities in question (Ladd, 2013).

Role of the University President as a Fundraiser

The ever-expanding role of the university president as a fundraiser has generated examination in the literature regarding the importance and challenge of the fundraising role in the duties of a university president. University presidents understand the importance of this role but struggle with how to balance it with the complexities of their positions (Bornstein, 2009). Multiple studies have examined the time that university presidents spend on fundraising (Cooper, 2009; Kaufman, 2004; Sturgis, 2006; Wesley, 2007). While the specific amounts of time vary slightly from study to study, anywhere from 34% (in Cooper's 2009 study) all the way up to 70% (in Wesley's 2007 study), it is clear the amount of time necessary is significant. When asked where they spent the primary use of their time, respondents in the study conducted by Cooper (2009) indicated that 34% of their time was concentrated on fundraising. Respondents indicated that their concern was not the time spent on fundraising, but the ability to integrate fundraising with their other tasks (Cooper, 2009).

Wesley (2007), in an examination of presidents of Catholic colleges and universities, also emphasized the amount of time consumed by the fundraising task.

Wesley asserted "presidents can expect to spend 70% of their time on fundraising initiatives" (p. 4). Through the mixed methods study, survey results confirmed the importance of the evolving role of fundraising due to recent economic factors and the increased competition for private dollars (Wesley, 2007). Bornstein (2005), stated that 83% of all responding presidents affirm that fundraising is a daily activity. An in-depth quantitative study presented by Sturgis (2006) examined leadership characteristics and attitudes of college presidents regarding fundraising. Through the surveys conducted in this study, respondents indicated that up to 35% of their time is dedicated to fundraising (Sturgis, 2006).

In a study on the presidency and fundraising, Kaufman (2004) addressed the concern of how presidents handle the challenge of being an outstanding fundraiser and strong leader in other aspects of their jobs. In the qualitative study in which presidents from universities around the country were interviewed, Kaufman examined how presidents handle this job that in the study is labeled a "juggling act" (p. 50). Based on data recorded from interviews for the study, Kaufman pointed out that many presidents see the job of fundraising as another full-time responsibility. However, this endeavor must be balanced with the job of being a strong campus leader in other matters (Kaufman, 2004). Bornstein (2005), in a qualitative study of public and private university presidents and how they approach fundraising, stated that the most perplexing question that university presidents face is the determination of the definition of the job. A university president must decide if they are the chief of an academic institution or the external representative connection of the university to its outside constituents.

Bornstein's analysis of the presidential role confirmed Kaufman's observations, also reporting, "Presidents often feel like jugglers balancing those demands although most say they think of their position as a combination of all aspects" (Bornstein, 2009, p.8).

Expectations of the University President as Fundraiser

As the literature has demonstrated, examination of the president's fundraising role has grown in the last several decades. With the increased role of the president in this arena, expectations have also increased. Studies that examine the role of fundraising in the everyday job of the university president are abundantly clear about the expectations that now fall on the president's shoulders. In Worth's (2002) summary of educational fundraising, the point was emphasized that university presidents must comprehend their roles in the fundraising process and be the leaders establishing the missions and visions for their universities. Cook and Lasher (1996), in their study of educational fundraising, concluded that ultimate success is achieved through a team approach. All team members involved in the process (the president, staff, and board of trustees) are crucial in creating and sustaining a successful fundraising program (Worth, 2002). However, the role of the president must be the central figure in order for a university to successfully achieve fundraising capacity (Cook & Lasher, 1996).

The idea of establishing a vision for the institution is crucial to creating a culture for giving (Hodson, 2010). Hodson (2010) argued that it is the university president who establishes a foundation for fundraising success, saying, "It is the president who conveys the vision, who inspires donor confidence and creates a positive fundraising climate around the university" (p.149). Wesley (2007) also pointed to the importance of the

president leading the decision-making process in regards to fundraising. Through interviews with Catholic college and university presidents, Wesley strongly affirmed the expectation that the president must be the individual with the foresight that guides the overall strategy of the university. Wesley affirmed the importance of this trait by stating, "Being able to promote remedies and possible solutions through strategic plans linked to intelligent fundraising are essential if these leaders want their institutions to thrive and flourish (2007, p. vii).

As the role of fundraising has expanded and considering the responsibility of setting a vision and strategy for the guidance of a university's fundraising, qualifications and methods for the selection of presidents have also changed. Review of the literature demonstrated that the requirements for the hiring process of university presidents have received much attention in recent years. As early as 1997, Cook noted that the overall success of the president was dependent upon his or her ability to raise money, an emerging a factor for serious consideration in the selection process. This is summarized by Cook's prediction that " a president in whose tenure does not raise money is a president looking for a new line of work" (1997, p. 53). In a thorough study, that examined leadership behaviors of successful fundraising presidents, Nicholson (2007) emphasized the changing evaluation process of presidents. Through responses from university presidents, the study concluded that there is a realization of their responsibility for the financial stability of their institution (Nicholson, 2007).

Since the measure of success as a president of a college or university has become linked to one's success as a fundraiser, the manner in which boards approach the

selection process has changed. Former university president, Rita Bornstein (2009), affirmed that university boards are asking what requirements deserve top priority-- academic credentials or successful fundraising. Kaufman (2004) also pointed out that the traditional hiring process of university presidents had changed. Kaufman's work revealed that university boards expect that presidents are to have knowledge of fundraising so that fundraising takes an immediate priority when they assume office. Cooper (2009) also placed emphasis on the shift in qualifications deemed necessary by university boards. Historical emphasis placed on academic credentials as the top priority has loosened in order to consider those candidates with fundraising expertise (Cooper, 2009).

Background and preparation for fundraising role.

The increasing need for universities to raise private funds is being addressed by many presidents who are not prepared for this task. The lack of preparation of university presidents to properly manage their fundraising roles is addressed throughout the literature. First, according to the literature relevant to this point, few current university presidents have prior presidential experience in higher education institutions (Hartley & Godin, 2009). The *Chronicle of Higher Education* survey of 2009 revealed that only one-fifth of current presidents has served in that capacity at other institutions. This lack of prior experience is an indication that many university presidents are not adequately prepared to serve in a fundraising capacity.

This lack of preparation for the fundraising role can be credited to the fact that those who are promoted to the presidency arrive from leadership positions in academia and are not experienced in fundraising (Hartley & Godin, 2009). A *Chronicle of Higher*

Education survey in 2009 indicated that 44% of university presidents came from a background as a chief academic officer. Kaufman (2004) noted in a study that "presidents whose careers have been built by sterling academic credentials are often unprepared for this [fundraising] task" (para. 2). Leading universities is natural for many individuals who have come from the world of academics; however, fundraising is an area that is not a natural fit (Hodson, 2010).

The conclusion that presidents are not prepared for this task is one that is shared by many presidents themselves. Utilizing information from presidents who are members of the Council of Independent Colleges (CIC), Levy (2004) employed a mixed methods study that researched the career backgrounds of university presidents, along with their perceptions regarding their fundraising responsibilities. The quantitative aspect of the study used surveys from members of the CIC to analyze their backgrounds and experience. This was followed by individual interviews with selected university presidents. One of Levy's important conclusions was that over half the presidents surveyed would have preferred more training in the area of fundraising. Hartley and Godin (2009) followed Levy's study by examining university presidents' responsibilities in areas in which they felt insufficiently prepared. Their quantitative study utilized surveys that revealed the answer with the largest percentage to be fundraising duties. The ACE study of 2009 confirmed those results as 23% of presidents surveyed also reported fundraising to be the area in which they felt the least prepared (Jackson, 2012).

While university presidents have historically come from leadership positions within academic fields, recent studies suggest the trend may be changing. Cooper (2009)

directly examined this question in a study that addressed whether the emphasis on raising

money has replaced academic standards. In a quantitative analysis, Cooper affirmed the

historical trend that presidential hires have traditionally served as provosts or chief

academic officers (2009). Survey results that Cooper examined, however, point to more

and more chief academic officers being content with their current positions and no longer

having aspirations to become university presidents. Of those surveyed 63% responded

that they were "very satisfied with their jobs (Cooper, 2009, p. 8). Cooper's study, along

with results from the ACE survey of 2009, reveal that the task of fundraising is one of the

main factors that deter many academic leaders from pursuing a university presidency.

This is evidenced by the fact that 66% of chief academic officers and provosts surveyed

by Cooper stated that the emphasis on fundraising is the primary reason they have little

desire to pursue being a university president. Cooper concluded that the notion of

engaging external constituents and raising money are not appealing to those individuals

who have spent their careers in curriculum development and managing academic

departments.

Those conducting searches for presidential positions affirm the tendency of

presidents coming from a chief academic officer or provost positions. Scully (2011)

conducted a qualitative study that interviewed professionals from search firms that

preside over presidential searches. This analysis confirmed previously cited work from

the literature, concluding that searches for university presidents are now placing a higher

emphasis on the importance of fundraising. Due to this essential requirement, Scully's

study concluded that individuals with an advancement or fundraising background are being viewed as more desirable candidates to fill presidential positions (2011).

As the need for development of fundraising skills became more crucial for university presidents, the study of Riggs (2005) provided a detailed analysis of attributes that might better prepare university presidents for the fundraising assignment. The mixed methods study examined the entrepreneurial orientation of presidents at small independent colleges and universities and how those behaviors impact their fundraising responsibilities (Riggs, 2004). Presidents were surveyed regarding 10 entrepreneurial characteristics and asked to give a self-rating. Follow-up interviews were then performed to gain additional information regarding the results. The study concluded that university presidents who believed they were prepared to address their fundraising roles also identified themselves with entrepreneurial behaviors (Riggs, 2004).

Traits for success

The importance and necessity of fundraising at the presidential level in higher education institutions have been clearly established in the recent literature. The challenges of presidents being inadequately prepared have also been noted. Recent researchers have examined and identified the types of leadership traits necessary for university presidents to achieve success. Many studies examined general traits that are deemed important for presidents when approaching their fundraising roles. University presidents interviewed by Kaufman (2009) suggested several characteristics deemed keys for success. First and primary was that university presidents must have an authentic conviction in their roles as fundraisers for their universities. Another trait Kaufman's

study revealed was that university presidents must understand the necessity of committing to developing relations outside of the campus. Results from Kaufman's interviews emphasized the importance of presidents to get outside their offices; they must not grow comfortable staying at their desks and tending to academic matters. The university president must cultivate outside relationships and donors for potential gifts to the institution (Kaufman, 2009).

The work of Nicholson (2007) provided the key study addressing the leadership behaviors needed for successful university fundraising presidents. Nicholson began the work through an in-depth inquiry of leadership styles. By discussing the seminal works on transactional leadership (Burns, 1978) and transformational leadership (Bass, 1985), Nicholson provided a foundation for his study that concentrated on leadership styles necessary for successful fundraising presidents. Transactional leadership, as defined by Burns, is a style that employs a hands-off approach that is dependent upon an understood correlation between the work to be expected and rewards for the work being accomplished (Nicholson, 2007). Transformational leadership, articulated by Bass, is a more dynamic style that motivates individuals to accomplish a task based on a clearly articulated vision and purpose. It is grounded in a deep sense of meaning and dependent on a strong bond between the leader and the "followers" (Nicholson, 2007).

The inquiry into how transactional or transformational leadership styles are integrated into educational fundraising was also conducted by Bornstein (2003). The quantitative analysis utilized surveys to discover how university presidents viewed their own styles of leadership and how they viewed the leadership styles of other presidents.

The survey yielded interesting results as nearly half of the respondents viewed themselves using a transformative style and being more inspirational and motivational in nature (Bornstein, 2003). When asked to describe what style they believed was most utilized by other university presidents, 71% answered a transactional style (Bornstein, 2003). Bornstein summarized the study by proposing a "transformative style," meaning that most presidents used a combination of leadership behaviors (Bornstein, 2003). Combining characteristics of transactional and transformational leadership styles, Bornstein utilized a leadership style in her fundraising practices that motivated donors through innovative and creative methods (Bornstein, 2003).

Nicholson (2007) built on the work of Bornstein (2003) by employing a mixed methods study to further identify leadership traits of university leaders and how those behaviors guide their fundraising activities. Nicholson (2007) affirmed that the success of a university or college depends on its president's ability to discover a leadership style to guide the fundraising duties. The study focused on leadership behaviors that are essential to achieving fundraising success.

The quantitative aspect of Nicholson's (2007) study used a survey in which presidents were asked to what degree they utilized the specific transactional or transformational behaviors. The qualitative part of the study used thorough interviews with four participants to determine which leadership styles and behaviors were used in their fundraising efforts (Nicholson, 2007). Nicholson's findings affirmed Bornstein's (2003) conclusion that a combination of leadership behaviors, the transformative style, is useful for university presidents when carrying out their fundraising responsibilities.

Nicholson offered further details on how the transformative model is most useful by stating that the transactional style builds trust with prospective donors while the transformational style motivates individuals to give money to the institution.

Implications

The literature review revealed several factors that contribute to the challenge university presidents face in their fundraising task. The literature indicated that university presidents face limited preparation to address their fundraising role and identified leadership skills necessary for presidents to successfully carry out this task. This study aimed to positively impact fundraising practices at the university selected. Findings revealed factors that can help provide insights regarding presidential fundraising. Interviews with selected university presidents examined issues regarding their preparation for their fundraising roles, perceptions regarding their fundraising responsibilities, and their ideas regarding successful fundraising practices. Data collected from these interviews revealed findings that can positively enhance fundraising practices at the institution being studied.

The outcome of this project study led to a professional development program for the president at the university selected. A professional development program may focus on the needs of a selected group or individual (Guskey, 2009). A professional development model that could be implemented for this project emphasized necessary leadership attributes and practices intended to lead to improved presidential fundraising at the university selected for this study. This professional development model was delivered in the form of a white paper or position paper.

Summary

  The university selected for this study faces many funding challenges that require strong fundraising practices. The role of the university president in this process is vital, as research in the literature has demonstrated the importance of university presidents' leadership of the fundraising efforts for their universities. Challenges that impair presidents' effectiveness in these roles include the struggle between balancing the fundraising task with other job responsibilities and the lack of preparation to fulfill a fundraising leadership role. Studies are present in recent literature that reveal helpful keys for success in presidential fundraising practices and suggest leadership styles necessary for university presidents in order to meet the funding needs of their respective institutions.

  This qualitative study was developed from the findings in the literature to reveal insights from successful fundraising presidents with the intention of providing insight into the local situation. In Section 2 of the study, I detailed the rationale for selection of a case study, along with presenting a detailed explanation of participation selection. I discuss the process of data collection, data analysis, and coding along with how reliability and validity will be maintained. Section 2 will conclude with the analysis of the collected data that will include a detail of what coding procedures were used. The findings are described as they relate to the research questions posed earlier in the study.

  In Section 3, I describe, in detail, the project selected for the study. I present the rationale for why that particular project was selected and how the problem was addressed through the project. A review of the literature on the genre of the project selected is

presented along with the plan to evaluate and implement the project. My study will conclude in Section 4 where I include my closing reflections and conclusions. There I examine the strengths and limitations of the project and reflect on what I learned during the process of the study.

Section 2: The Methodology

Introduction

This project employed a qualitative research design and explored behaviors and practices of successful fundraising university presidents. The qualitative method is a more flexible research design than the quantitative method and it seeks to discover the meanings that individuals attribute to a particular issue or problem (Creswell, 2009). The type of qualitative design chosen for this project was a case study that sought a deeper understanding of how university presidents effectively fulfill their roles as fundraisers.

Design and Approach

The qualitative design was chosen for this study as it derives from the problem being studied in numerous ways. Through this study, I revealed and explored successful behaviors and practices of university presidents who have excelled at fundraising. The qualitative design was useful in uncovering these insights as this method intends to seek an in-depth understanding and meaning that individuals assign to a particular situation, issue, or event (Creswell, 2009). The interpretations that are reached from the data meet the definition of qualitative designs being interpretive in nature (Lodico, Spaulding, & Voegtle, 2010). The focus of qualitative research is to give a deeper understanding to the

perceptions of the participants in order to explain a certain issue or phenomenon (Lodico, Spaulding, & Voegtle, 2010).

Qualitative methods are employed within the natural setting and within the context of the problem being studied (Lodico, Spaulding, & Voegtle, 2010). Gathering the perspectives of university presidents regarding a key component of their job responsibilities can be more effective when carried out within their own contexts. This study was conducted by interviewing participants in order to explore, gather data, and interpret that data within the context of the university setting.

Rationale for Case Study

The use of a case study was an acceptable method to examine this problem for several reasons. Properly defined, a case study is designed to investigate methods, explore meanings, or attempt to gain a deeper understanding of an individual, group, or situation (Lodico, Spaulding & Voegtle, 2010). This type of design is intended to be a concentrated examination of a "case," but as Glesne (2011) highlighted, a case can be defined in a variety of ways. It can refer to one person, a particular event, or a set of processes (Glesne, 2011). One characteristic that defines a case study is that it is bounded in time and activity (Lodico, Spaulding, & Voegtle, 2010). The analysis of leadership traits and practices of successful fundraising presidents meets Stake's definition of an instrumental case study (Stake, 2000). This study was bound by the number of participants selected and conducted within a specified time.

The study of this problem, using this method, matched another important trait of case study research because it was an in-depth examination of a particular issue. Glesne

(2011) stated that case studies tend to entail a thorough examination by gathering data from observations, interviews, or document analysis. The purpose of this study was to provide insight into the challenges that university presidents face in their fundraising roles. The case study design also allowed a thorough analysis of particular leadership traits and practices of successful fundraising presidents. In this type of case study, examination occurs in order to "provide insight into an issue or to redraw a generalization" (Stake, 2000, p. 437). The use of a case study attempted to determine perceptions of presidents' fundraising roles in order to potentially present workable solutions for the increased effectiveness of university presidential fundraising in the local setting.

Description of the Qualitative Tradition

Glesne (2011) described the qualitative tradition as emerging from an interpretive paradigm . An interpretive framework is one that seeks to discover the ideas, interactions, and events in particular contexts or in the general society (Glesne, 2011). This approach examines how people interpret and give meaning to a particular situation, action, or event (Glesne, 2011). Gaining insight on their perceptions, the researcher shapes a qualitative write-up that is descriptive as opposed to the quantitative method, which frames its results in a numeric fashion (Creswell, 2009).

Several characteristics of the qualitative approach make the choice of this design justifiable. One of the key differences between a qualitative and quantitative approach is the set of philosophical suppositions that each brings to studying a particular problem. The qualitative design attempts to explore and comprehend the meanings that individuals

or groups give to a certain issue (Creswell, 2009). The researcher constructs themes that emerge as data are collected (Glesne, 2011). As opposed to the quantitative method, in which the hypothesis is formed prior to the research, the hypothesis in a qualitative approach is shaped after the research data are collected and are being analyzed (Lodico, Spaulding & Voegtle, 2010). In relation to the problem being examined in this study, a qualitative case study was appropriate as the intent was to bring a deeper meaning and understanding to university presidents' challenges of fundraising. Potential solutions to the problem being studied was determined after the data was collected from the participants and the participants' interpretations were organized into themes.

Participants

Participants for this study were selected purposefully, as is the case in most qualitative designs (Glesne, 2011). In quantitative designs, random sampling is often used in which a large, representative sample is selected in order for generalizations to be concluded (Glesne, 2011). The case study design used in my project is not intended to draw generalizations; rather, the purpose was to explore a deeper meaning and interpret data regarding university presidents and their fundraising responsibilities. The data were intended to provide insight on best fundraising practices by university presidents to help increase effectiveness in the local setting. Therefore, participants in this study were identified using a purposefully selected sample. Purposeful selection allows for the identification of participants who have precise knowledge of a particular issue (Lodico, Spaulding & Voegtle, 2010). Employing this method allowed me as the researcher to

determine which participants would most assist in the interpretation and understanding of the problem being studied.

Participant selection was based on criteria that determined the effectiveness of past or current university presidents in their fundraising roles. The selection criteria included the following:

1. Fundraising success as measured by the growth of an institution's endowment during the tenure of that president.

2. The alumni giving percentage rate at that particular university.

3. The successful completion of a comprehensive campaign or building campaign under the leadership of participant selected.

While many forms of purposeful sampling exist, this study used what Patton (2002) describes as homogenous sampling. In this type of selection, the researcher identifies similar cases or participants that describe a subgroup in-depth (Patton, 2002). This homogenous sampling was appropriate for this study as the participants were university presidents who have demonstrated success in their fundraising role based on the criteria mentioned above.

Ten participants were selected for this study, all meeting the abovementioned criteria. The number selected was not a large number, but contained enough participants to reach data saturation. Reaching this point in the data collection process occurs when no additional or applicable information arises (Glesne, 2011). While more participants could have been selected for this study, I decided to interview fewer participants in order to gain a deeper understanding of their experiences. Glesne (2011) highlighted that selecting

the quantity of participants is based on whether the emphasis of a study is depth or breadth. For a broader knowledge of a topic, the researcher would select a larger number of participants to gain a wider understanding. For a deeper understanding, the researcher would spend extended periods of time with fewer respondents (Glesne, 2011). The aim of this study was to achieve an in-depth understanding of the types of traits, qualities, and preparations needed for university presidents to be successful fundraisers. The number of participants for this study allowed the opportunity to gain more extensive data from the interviews. No additional or new information emerged after interviewing and analyzing the data from the 10 participants, signaling that data saturation had occurred.

Access to Participants and the Researcher-Participant Relationship

Several steps were taken in order to gain access to participants for this study. Prior to any research or interviews, I obtained permission from Walden University's Institutional Review Board (IRB). Approval from the IRB ensured that the rights of the participants are protected and the proposed research fulfills the university's ethical standards (Walden University, 2014). Access occurred through a formal written request to their office and to their office assistant, often known as "gatekeepers" (Nind, 2008, p.9). I achieved access by communicating information with the gatekeeper about the study and describing the potential participants' relevance to the study. For those participants who had retired, access was obtained through a formal written request or e-mail, followed by a telephone call asking for their permission to participate.

After building rapport and trust with the gatekeeper and achieving access to each selected participant, additional information was then communicated in written form to the

participants regarding the study. The purpose of building rapport is to create useful data while simultaneously maintaining respect between the researcher and the participant (Guillemin, 2008). I established the researcher-participant relationship by explaining the study in detail to the participants and affirming their ethical protection, which is outlined in the following paragraph. The purpose of the study was explained and I described the questions that would be used during the interview. Telephone conversations then occurred with the participants that determined the day, time, and location of the interview.

Ethical Protection of the Participants

The participants in this study were protected through a variety of measures. The first was the consent obtained from the IRB of Walden University. The completion of a signed consent form was then secured, which confirmed that the rights of the participants were protected during the data collection process. Creswell (2009) identified several components that should be included when obtaining a consent form. This form identified me as the researcher and the university associated with the research. It informed the participant of the purpose of the research and identified any potential risks in participating in the study. Participants in this study were informed of their right to refuse to participate and assured that confidentiality would be maintained.

For this study, the affirmation of confidentiality was important in protecting the rights of the participants. Glesne (2011) affirmed that participants should expect that their views expressed to the researcher will be held in confidence and their anonymity will be preserved. Because the participants would be disclosing their views regarding the role of

fundraising and the university presidency, they must remain free to truly express their insights regarding this issue. Protection of their anonymity by not revealing their true identity or location aimed to create a climate in which they felt free to be candid regarding the many factors involved in a president's fundraising responsibilities. Protection of their true identity was maintained through the use of pseudonyms.

Data Collection

Data collection for this study occurred through six in-person interviews. Four of the face-to-face interviews were with current university presidents, and they took place on their respective campuses. Two interviews with former university presidents were conducted in the setting of their choice, either at a private residence or place of business. The remaining interviews occurred via the telephone. The personal interview was used in order to gain in-depth understanding of the problem being studied from the perspectives of the participants. Creswell emphasized the purpose of interviews using flexible and open-ended questions; they are intended to produce detailed views and opinions of the participants (Creswell, 2009). Interviews were recorded via a digital device and notes were kept during the interview to be compared to the transcription that occurred after the interview was completed. The notes collected during the course of the interview were kept in a journal that documented themes, keywords, and emerging understandings that occurred during the interview

The interviews conducted in this study included the use of an interview protocol, which ensured that consistent procedures were followed in each interview (Creswell, 2011). Items included in the interview protocol were a brief overview of the purpose of

the study, a journal to record data and transcribe any additional information about the interviewee, and preliminary questions that began the interview. Interviews conducted in this study were what Lodico, Spaulding, and Voegtle (2010) describe as "semi structured" interviews. Using this type of format, I arrived with eight open-ended questions pertaining to the topic and allowed for probing questions in order to add clarity to the conversation. The use of the semi structured interview provided some structure to guide the conversation, but it also allowed for flexibility to pursue more in-depth topics as they arose.

The interviews began with questions that addressed the first research question for this study: What leadership traits, characteristics, and behaviors are necessary for a university president to find success in their fundraising role? These questions included:

- Is there a strategy that guides or guided your fundraising practices?

- Are there particular characteristics that you believe are important to be a successful fundraiser?

- Is there a particular leadership style or leadership practices that are effective in your fundraising activities?

- How do you view your role in forming the mission and vision of the university that drives the funding needs of the institution?

After the participants answered those questions and I allowed for deeper discussion if it was deemed necessary, I presented questions that addressed the second research question: What activities assist in the application of these leadership traits and practices in order for a university president to find success in their fundraising task?

- What are ways do you engage or involve potential donors to the university?

- What percentage of time do you spend on fundraising practices in a normal workweek?

- How do you balance the fundraising role of your job with other responsibilities?

- How do you feel you could have been better prepared for the fundraising role of your job?

There are advantages and limitations to the use of interviews as a method of data collection. One advantage is that participants can give meaning to a particular issue or event based on their own histories and experience. Using the interview as a method of data collection also allowed me to control the line of questioning in order to keep the interview on topic. A survey or questionnaire was not used because the purpose of this study was to comprehend a detailed and in-depth understanding of university presidents and their fundraising role. In this situation, the personal interviews used in the case study approach provided more opportunity for a deeper understanding of the phenomenon being addressed and as previously mentioned above, allowed for more control of the line of questioning. The personal interview was used instead of a survey in order to gain in-depth understanding of the problem being studied from the perspectives of the participants. Having the ability to guide the questioning gave me the opportunity to clarify any points made by the participant that otherwise may not have been able to be clarified through the use of a survey or questionnaire.

Limitations.

Limitations to using this method include the possibility that the data were filtered through the viewpoint of the interviewee. Another limitation was that, unlike quantitative research that relies on objective statistical data, qualitative studies are much more subjective in nature. While the small number of participants was detailed as strength earlier in this study, it could also limit the quality of the data received. Several interviews were completed to achieve data saturation and gain consistency within the data. Another limitation as pointed out by Creswell (2011) is that often times the presence of the researcher may bias the participant's response.

Role of researcher

Frequently, due to the interpretative nature of qualitative research, the researcher may have experience with the participants of the study (Creswell, 2011). Therefore, the importance of stating the role of the researcher and recognizing any potential conflict or bias that the researcher may bring to the study is crucial (Creswell, 2011). I have been a professional in higher education fundraising for the last 10 years. Due to my experience in this profession and my past work experience with university presidents, I recognize that I bring my own views to the study, which has the potential to threaten the validity of the study. The participants selected are all current or former university presidents with whom I do not have a previous working relationship. This assists in maintaining objectivity during the interview process.

Measures were taken to limit any bias that may potentially exist. One of the ways that researcher bias can be limited is by clarification of researcher bias as defined by

Glesne (2011). This clarification allowed me as the researcher to consider the subjectivity that I brought to the study and how I monitored that subjectivity during the research. One way to monitor researcher bias, as suggested by Lodico, Spaulding, and Voegtle (2010), is through the recording of reflective field notes throughout the research process. The recording of field notes and the keeping of a journal permitted me to monitor my perspectives and assumptions through the data collection process. Another way I attempted to reduce researcher bias was through the process of member checking. Participants reviewed the interview notes and summaries to assure the validity of the data collected and to check against any presuppositions that I may have brought to the data analysis. Other reliability and validity measures will be discussed in the following subsections.

<div align="center">**Data Analysis**</div>

Data analysis procedures

Steps involved in qualitative data analysis included analyzing the data collected in the interviews, determining emerging themes from the data, and developing a description that explained insights into the problem being studied (Lodico, Spaulding & Voegtle, 2010). In this study, as in the case of other qualitative designs, data was gradually collected and more general descriptions and conclusions emerged progressively (Lodico, Spaulding & Voegtle, 2010). Data collection and analysis occurred simultaneously in this study, which is a common practice among qualitative studies. The simultaneous collection of data and analysis of data were beneficial as the analysis guided the continuing activity of data collection (Lodico, Spaulding & Voegtle, 2010).

In order to properly identify themes that emerged from the data, I employed several steps. The first step was to organize and prepare the data for analysis. This involved transcribing the interviews and interview notes. The interviews were recorded using a voice recording application on my Phone. This application was compatible with my MacBook Pro and was utilized to record and transcribe the interview notes. In addition to the transcription of the recorded notes, the data were transcribed from handwritten notes to notes on a personal computer. I completed all transcriptions.

The second step in this process was to read through all the data to obtain an overall sense of the information and to reflect on its general meaning. I attempted to gain a sense of the common ideas emerging from the participants' responses. Initial attempts were made at that point to begin to categorize similar themes.

The third and most crucial step employed was the coding of data collected in the interviews. Coding, as described by Creswell (2009), is the process of organizing the material into segments before bringing meaning to the information. The coding process is essential as it generates descriptions of the problem being studied and leads to the development of themes that provide an account of the information that has emerged from the study (Creswell, 2009). This process involved separating the information into categories and labeling those categories with a descriptive term. After the coding process was completed, themes emerged from the data that assisted in addressing the research question being studied.

Initial review of the data was completed to gain a general impression of what was collected and did not involve a detailed reading (Lodico, Spaulding, & Voegtle,

2010). During this initial reading, I noted descriptions that begin to emerge consistently.

After the first reading of the data was completed, the actual coding of the data began.

Creswell (2009) suggested that during coding the material is organized into categories or

segments before meaning is assigned to the information collected. Once this was

completed for all of the interview transcripts, I clustered together similar topics

(Creswell, 2009).

The coding process then moved to the next step when I re-read the transcripts and

assigned codes to the topics that were previously merged together. Creswell (2009)

suggested that researchers can either use codes that emerge from the information

collected, use predetermined codes or uses a combination of emerging and predetermined

codes. For this study, I assigned codes based on the information as it emerged from the

collected data. As these codes were assigned, categories and subcategories emerged.

After the categories were assigned that emerged from the coding process, I began to build

a narrative framework to describe the issues being studied. I collected and arranged the

categories into a narrative in order to report the findings and interpret the data.

The coding process in this study was aided through the use of data analysis

software called HyperRESEARCH (Lofgren, 2013). This software is a cross-platform

system that assisted me in the analysis of qualitative data. The primary interface in

HyperResearch is the study window in which the cases being studied and the codes

assigned to the particular cases are displayed. HyperRESEARCH is equipped with a

code window that allowed me as the researcher to input codes, edit codes and add any

description to these codes if necessary. I viewed and controlled the codes that I assigned

in the code window. In addition to the code window, there is an annotation window that allowed me to add any memo or fuller the description to the codes assigned. The reporting window helped me build reports based on the case and code filters selected. A report displaying the data selected is then generated. The final component of HyperRESEARCH that I utilized in the coding process was the Theory Builder window. Through this window I constructed themes that the software tested against the codes that I assigned to the data.

Reliability and validity procedures

In any research study, measures are put into place that tests the validity and reliability of the data collected. Qualitative reliability indicates the researcher's approach is consistent with similar research on this topic (Creswell, 2009). This was done in several ways. One of the first reliability procedures taken in this study involved verifying transcripts of the interviews to make sure they did not contain obvious errors that had been made during transcription. After the coding of the data was complete, I confirmed the validity of the codes to ensure that there was not a shift in meaning during the coding process.

Qualitative validity is the process that determined whether the findings were accurate from the standpoint of the researcher, the participants, and those reading the description of the research. While there are several methods that can be used to determine validity, the main strategy used in this study is that of member checking, which is presenting the findings to the participants. I conducted follow-up interviews that provided the participants the opportunity to examine the findings. This allowed the participants to

comment on potential findings and on any perceived wrong interpretations. It also provided participants the opportunity to comment on any preliminary findings and to evaluate the adequacy of the data.

Another way that validity was checked was through peer debriefing. Peer debriefing allowed peers to review and ask questions about the study. Allowing peers, who held an impartial view of the study, to examine the findings helped identify any biases or assumptions that were emerging. Input from peers through this process helped me become and remain aware of any biases that may be occurring and also gave me the opportunity to explain or defend any emerging conclusions. This step helped identify points of emphasis and acknowledged any ambiguities in the conclusions that were reached. Peer debriefing validated whether the study resonated with other people rather than the researcher and examined

Data Analysis Results

As the data were collected and analyzed, several specific themes emerged that the participants identified as important to achieving success in the fundraising role. The first of these themes is that a university president's fundraising success is connected to the presence of a vision or direction of the institution. The president is the key figure that establishes a vision for the university that resonates with supporters and donors. In addition, the president must be the individual who empowers the university community to embrace that vision to the point of financially supporting the implementation of the vision. The second theme that emerged from the interviews was that the university president must embrace a style of leadership that develops genuine relationships with key

stakeholders including faculty, alumni, and donors. This type of leadership style unites

the university in a coherent fashion and focuses the university on specific priorities that

inspire those stakeholders to participate in implementing that vision. A third theme that

emerged from the data was that the president must be the face of the university and the

primary storyteller of the university's vision. Participants consistently highlighted the

importance of prioritizing the institution's vision and communicating that to all key

stakeholders in a manner that results in inspiring supporters to action.

Research question 1 findings

The first four questions of the interviews addressed the first research question:

What leadership traits, characteristics, and behaviors are necessary for a university

president to find success in the fundraising role? As mentioned previously, two specific

themes emerged as a result of the first four questions. The first primary theme developed

from the question, "How do you view your role in forming the mission and vision of the

university that drives the funding needs of the institution?" All participants agreed that a

primary factor in successful fundraising was the ability of the university president to

establish a vision for the university. Participant 1 stated that articulating a vision "sets

priorities that develop into funding priorities and opportunities." While there was a

consensus that the president must work with key university stakeholders in establishing

this vision, selected participants made it clear that the university president must take the

lead. A retired university president stated that it is the president's responsibility to guide

the visioning process. This participant remarked, "while consultation and planning among

constituents of the university are important, the president is the one that must take the

lead in setting a course for the university" (Participant 3). He continued by stating, "focus groups, committees, all have their place, but it is the president that sets a path for the university to follow" (Participant 3).

Once the vision is established, the president must work to empower university supporters to embrace and contribute to implementation of the vision. Another retired university president noted the importance of being asked to "say a few words." "Whenever the opportunity presented itself, I spoke publically and articulated and reiterated the vision for the institution" (Participant 6). He continued by explaining that the consistent expression of the challenges and opportunities set the course for the university and engaged supporters to join the cause. The importance of the vision was summarized by his remark that "there is nothing more exciting than the vision" (Participant 6). A current university president also noted that, while it is important to establish the vision for the university, one must also rally the university community around the vision. Garnering support is crucial, "you can set the course and goals for the institution to achieve, but you must also attain buy-in, which ultimately leads to financial support" (Participant 4). Important to that idea of implementing the vision is to lead in a way to only talks about change, but effects change. One participant noted that while it was a primary responsibility to lead the vision for the university, the support of key decision makers is needed. He described leadership by stating, "leading in a manner that inspires consensus, that is the ultimate goal, but difficult to attain." (Participant 9).

Articulating a vision and working to achieve support for that vision leads directly to the second theme that emerged: The university president must exhibit a style of

leadership that inspires supporters to follow the course set by the president. "Everyone talks about leadership", says one participant, "but one must exhibit the right kind of leadership to be an effective fundraiser" (Participant 2). This theme was addressed in the question: Is there a particular leadership style that you find effective in achieving fundraising success? While there was no unanimous answer, participants were consistent when citing the type of leadership they exhibited to be successful fundraisers. The primary description that emerged from the participants' answers was that the president's leadership must inspire or motivate others to support the vision or priorities that have been established. Simply being actively engaged with the university's constituents is one way this inspiration and motivation can occur. This idea of being involved with the donors was eloquently stated by one participant, "being present and building genuine relationships with donors is the first key to being successful" (Participant 5). Participant 7 remarked that by genuinely engaging donors, presidents learn donors' interests and passions, deeming presidents able to connect those donors with the matching funding priorities of the university. This characteristic was summarized by a participant who remarked, "at the heart of all successful fundraising is genuine relationships with the donors, plain and simple. Easy to say, but it takes time and genuine investment" (Participant 9).

While none of the participants mentioned the concept of "transformational leadership" by name, they described the behaviors that are associated with that concept. Examples, which are detailed below include articulating a vision for the university and inspiring people to participate in that vision. The first two themes that developed during

the interviews, articulating a vision for the university and exhibiting a leadership style that inspires people to participate, are examples of transformational leadership behavior. As stated earlier in the study, Bass (1985) described transformational leadership as a more dynamic style that motivates individuals to accomplish a task based on a clearly articulated vision and purpose. Engaging people in genuine relationships, earning their trust, and inspiring people to support the university's vision are all behaviors that are consistent with transformational leadership. Basham (2010) affirmed that fundraising success could be achieved when a university president engages donors and potential donors through inspiration, exemplary practice, collaboration, and trust.

Research question 2 findings

The second set of interview questions addressed the second research question: What activities or practices would assist in the application of these leadership traits in order for a university president to find success in the fundraising task? A theme that emerged connects to an earlier mentioned theme, namely establishing a vision for the university. The president must commit himself or herself to that vision and achieve buy-in for that vision. A primary practice that is vital for success is the constant and consistent communication of that vision. This practice was affectionately described by one participant as being "the chief storyteller" for the institution (Participant 3). Other participants echoed this sentiment. The opportunity to share the story was summed up by one participant who stated, "every time I had an opportunity to speak publically at any university related event, I somehow always articulated our vision and current funding priorities (Participant 6)."   A current university president also emphasized that at every

donor event they tell a "feel-good" story that connects to the mission of the university. This particular participant believed that is vital to constantly demonstrate the impact that financial support has on the university's programs and students. The ability to communicate the vision and priorities of the university build a culture in which donors are likely to imagine "what could be."

Discrepant cases

Discrepant data, that which is varying or not conforming to the data revealed during the analysis, were limited in this study. All respondents provided similar responses and no varying data was uncovered. There were no relevant cases that provided an alternative perspective on emerging data and data patterns.

Conclusion

The purpose of this study was to gain a deeper understanding of behaviors and practices that allowed university presidents to succeed in their fundraising task. This chapter discussed participant selection, methods for data collection, and analysis. A qualitative case study methodology was used to collect data through personal one-on-one interviews. Data were coded and analyzed in order to discover emerging themes. The themes that emerged from the data collected are connected to the themes found during the literature review. The themes identified during data collection were the importance of the president establishing a vision for the university, leading in a manner that inspires constituents to embrace that vision and implementing a consistent practice of being the "chief storyteller" for the university that constantly shares that vision. These themes that developed during the interviews, articulating a vision for the university and exhibiting a

leadership style that inspires people to participate, are examples of transformational

leadership behavior and are connected to themes that emerged during the literature

review. As stated earlier in the study, Bass (1985) described transformational leadership

as a more dynamic style that motivates individuals to accomplish a task based on a

clearly articulated vision and purpose.

Section 3: The Project

Introduction

This qualitative case study was conducted to identify behaviors and attitudes of

university presidents toward their fundraising roles. The study sought to identify

characteristics of university presidents who have achieved success at fundraising and,

based on the data received, will aim to increase leadership skills and practices of

university presidents and the university president in the local setting. Analysis from the

data collected was used to develop a project to help address the issue, promote positive

change, and contribute to social change. The project of this study, in the form of a

position paper, is presented in the following section. The position paper (Appendix B)

presents my findings and recommendations for the community being studied and aims to

increase the fundraising productivity of university presidents.

Description and Goals

The data gathered in my study led me to develop a project that aimed to

recommend leadership behaviors and practices that assist university presidents to succeed

in their fundraising roles. In order to fulfill this goal, it was determined that a position

paper would be an applicable project. The position paper was directed toward the university president, administration, and advancement staff at the university being studied. The structure of the position paper was as follows: the introduction of the purpose of the paper, the problem addressed by the paper, analysis of the findings of my study, discussion of emergent themes, and recommendations for university presidents at private, liberal arts universities.

The goal of the position paper project was to communicate the findings, conclusions, and recommendations for university presidents at private, liberal arts institutions in order to enhance and improve their success in fundraising. The position paper recommended identified leadership characteristics and behaviors of university presidents that proved beneficial in achieving success in fundraising tasks. Identifying these characteristics then led to a recommendation of best practices that emerged from the study's findings. Such recommendations are intended to assist presidents at similar institutions to properly address the fundraising role.

Rationale

Of the projects that could have been implemented as a result of this study, I decided on a policy recommendation in the form of a position paper, also known as a white paper. For this study, there was not a formal program in place that educates presidents on their fundraising practices that would warrant a formal evaluation. While a professional development program in the form of a seminar or workshop for university presidents could be beneficial, the time constraints and logistics of such a program are barriers to such an implementation. A position paper is a guide or report that informs

readers in a concise manner regarding a particular issue (Purdue University Online Writing Lab, 2015). It is intended to assist readers in solving or addressing a challenge or problem. Therefore, a position paper that presents my findings and subsequent recommendations seemed the most rational project to be implemented.

As stated earlier in this study, the rationale for studying presidential effectiveness in fundraising is evidenced by several factors: the need for increased revenue from private sources due to a steady decline in tuition revenue, the low alumni giving percentage rate to the institution, and the need for increased large gifts to the university endowment that would generate more endowment income to the operating budget (Ladd, 2013). Findings from my interviews provided consistent themes that, when properly communicated, could enhance fundraising practices and behaviors of university presidents at private, liberal arts universities. Therefore, a position paper was developed to present recommendations of how university presidents could improve their fundraising performance.

The practices and leadership behaviors of successful fundraising presidents can help provide insights regarding presidential fundraising and in the position paper I aimed to reveal findings that can positively enhance fundraising practices at the institution being studied. The information that emerged from the study included were general objectives that were beneficial in assisting university presidents at fundraising, rather than precise practices that made one a successful fundraiser. The position paper detailed the importance of the president establishing the vision for the university that is communicated in a manner that resonates with donors. Establishing a culture of giving is

dependent upon clear priorities being formed that are in line with a precise vision and mission for the university. By becoming the chief storyteller at all times, the university president is always advancing the mission of the university. Therefore, fundraising becomes a part of every function of the presidential role.

The position paper then details the practices that emerge once a vision and priorities are established. Selecting the right team around the president is essential. The paper details the importance of the relationship between the president and the advancement staff. Building and developing a board of trustees that actively participates in fundraising enhances the president's effectiveness. Although the position paper itself does not present a precise solution to the challenges that university presidents face, it may provide vital information and recommendations to enable the university president in the local setting to achieve more success in fundraising.

Review of the Literature

This literature review details the genre of the project study selected, which is in this case, a position paper. The position paper detailed the results of my study and recommendations to the administration and president of the university being studied. The recommendations suggested in the position paper were results from my study with support from evidence found in the literature review. The literature reviewed for this study affirmed several themes that helped university presidents achieve success in their fundraising roles. These themes included employing a transformational style of leadership that establishes a vision for the institution, telling the story of that vision at all

times, and empowering those around the president to lead in the fundraising effort. The review also included literature that detailed the impact of position papers as a genre.

Many sources were used for the literature review. The databases included ERIC, EBSCOhost, a dissertations and theses database, Walden dissertations, and ProQuest Central. The references in several articles provided leads to additional literature. Search terms included *white paper*, *gray literature*, *transformational leadership*, *university presidents,* and *importance of a vision*. Although examples of a position paper were available, there was limited information on its form and uses; none appeared in peer-reviewed journals.

Position Paper (White Paper)

The project decided upon for this study was the writing of a position paper that outlined recommendations for university presidents in succeeding at the fundraising role. Position, or white, papers are defined as reports that are distinctive in purpose that addresses a purpose or proposed solution to a particular problem (Purdue University Online Writing Lab, 2015). Historically, position papers or white papers, titled "white" because the cover of the paper is always white, were official government reports that were informational and authoritative in nature (Purdue University Online Writing Lab, 2015). In recent years, position papers have become popular tools for companies to promote their services or products and are used to influence the decision-making processes of current and prospective customers (Stelzner, 2010). Different from marketing materials, a position paper is intended to present facts or findings to promote the organization's product or service (Purdue University Online Writing Lab, 2015).

Aside from trying to persuade their readers from selecting a particular product or service, position papers are also effective when addressing the needs of the audience (Stelzner, 2010). For this reason, I selected a position paper for this project. It addresses a certain challenge--the need of presidents to be more successful in their fundraising roles in order to increase resources for the university. Increased resources allow the institution to address needs, grow programs, and achieve new initiatives. Rather than beginning the position paper with the products, services, or recommendations one might have, Stelzner (2010) argued that first addressing existing needs establishes credibility with the readers. After this credibility is built, the author is well positioned to present the recommendations or solutions, "Use the following test to determine the right place to mention your solution: Have I clearly addressed the problems and reasons my solution can overcome them?" (Stelzner, 2010, p. 5).

Transformational Leadership and Establishing a Vision

The first recommendation detailed in the position paper is that a university president's fundraising success is connected to the presence of a vision or purpose for the institution. For an organization or institution, recent studies emphasize the importance of establishing a vision that resonates with supporters and donors. Clarifying an institution's vision is an aspect of transformational leadership that brings followers together to pursue collective ambitions (Basham, 2010). Employing a process that engages alumni, donors, and other key stakeholders in a review of the institution's accomplishments and needs focuses the university on specific priorities that inspire those stakeholders to participate in implementing that vision (Legon, Lombardi, & Rhoades, 2013). My paper

recommends that the president and leadership at the university being studied implement such traits in a manner that is authentic, credible, and congruent with the campus values. Legon, Lombardi, and Rhoades (2011) stated the importance of the president establishing a vision in a manner that does not drastically deviate from the institution's strengths and identities.

Once the vision is established for the university, the president's leadership must inspire people to participate in the vision's implementation. This is a key aspect of transformational leadership (Fu, Tsui, Liu, & Li, 2010). Actions motivate individuals to accomplish a task based on a clearly articulated vision and purpose (Caboni, 2010). Basham (2010) reiterated that a president exhibiting a transformational leadership style sets high standards and purposes for followers. Fundraising success can be achieved when a university president engages them through inspiration, exemplary practice, collaboration, and trust (Basham, 2010). In K.J. Cooper's (2011) study of Dr. Norman Francis of Xavier University of New Orleans, transformational leadership styles were credited to his fundraising success. While Dr. Francis exhibited many leadership styles in multiple years of service, Cooper emphasized the one constant: "One strand that has always been consistent is he is able to incite this enthusiasm about human potential and the transformative power of an institution of higher education." (Cooper, 2011, p. 49).

Communicating the Vision: Being the Chief Storyteller

In order to be successful in the fundraising role, the university president must consistently communicate the university's mission. Taking on the role of the "chief storyteller" was a consistent theme found in my study and was a key recommendation

emphasized in the white paper. This idea of the university president fulfilling the role of storyteller was also found in recent literature. The previously mentioned study of Dr. Norman Francis of Xavier University emphasized the importance of precise and consistent communication by saying, "It is crucial that the president be judicious in sharing and collaborating institutional vision with all constituencies. How this vision is communicated, to a great extent, will determine the university's success" (Cooper, 2011, p.50). Basham's (2010) study also cites the importance of prioritizing the institution's vision and communicating that to all key stakeholders in a manner that results in a clear and consistent direction.

The ability to communicate the institution's vision is a trait that has recently been emphasized in presidential searches. In a 2010 study, Skinner outlined the challenges in presidential communication. Skinner (2010) argued that the issue was not the amount of information to communicate to constituents, rather it was how to shape that message. Skinner argued that a successful candidate for president would possess "the ability to convey a simple institutional narrative that relates to the lives of an audience" (p. 13). Sommers (2009) also emphasized the importance of communicating identified priorities and values. The university president's effectiveness requires systematic communication that refers to the identified priorities and values (Sommers, 2009).

In conclusion, this literature review examined the genre of position papers, including the nature of a position paper, the trait of transformational leadership, the action of establishing a vision for the university, and the practice of properly communicating that shared vision and the established priorities of the university. The

position paper is distinctive and addresses a purpose or proposed solution to a particular problem (Stelzner, 2010). Establishing a vision for the institution is an aspect of transformational leadership that brings followers together to pursue collective ambition. Basham (2010) reiterated that a president exhibiting a transformational leadership style sets high standards and purposes for followers. Communicating that vision in a manner that motivates key stakeholders is also an important trait of effective fundraising presidents. The university president's effectiveness requires systematic communication that refers to the identified priorities and values.

Implementation

Proposal for Implementation Timeline

Recommendations suggested in the position paper will be implemented rather quickly. After the approval of the study, I will deliver the position paper to the president at the university being studied and also the vice president for advancement. The delivery of the paper will occur in the summer of 2016. Subsequent meetings will occur throughout the summer to discuss the findings and plans to implement the recommendations. Throughout the summer and fall of 2016 I will work with president, vice president, and other key stakeholders to develop a plan where these recommendations can be implemented. In the winter of 2017, I will work with the abovementioned individuals to evaluate the implementation of the recommendations. After delivery to the individuals at the university being studied, I hope to present the position paper and my findings at future professional conferences. The timeline for the

implementation of the recommendations in the position paper is dependent upon the receptivity of the university president being studied.

Potential Resources and Existing Supports

Several resources and supports were necessary in order to write the position paper. The study was completed with support provided by Walden University. Faculty provided much needed guidance and library resources were also utilized to conduct the study. Other resources and support that were needed were the individuals who participated in the study. The interviews conducted produced the data for the recommendations described in the white paper. To complete the white paper and the recommendations found within, research was completed through a review of recent literature. Again, resources and support through Walden University Library were utilized.

The recommendations detailed in the position paper will all require resources and support: the necessity for the president to establish a vision for the university that motivates key stakeholders, the need to properly communicate that vision by taking on the role of the "chief storyteller," and building a strong internal base of support for fundraising. While the implementation of these recommendations is dependent upon the president's willingness to enact them, other supports and resources are needed. The most important resource is the gathering of the approval and cooperation of the key stakeholders at the university. The stakeholders involved in the implementation on the project are several. The first is obviously the president of the university. The president must be willing to accept the recommendations of the position paper and be open to the implementation of the recommendations. In the case of private, liberal arts universities,

other important stakeholders are the members of the board of trustees. In order for the president to move ahead with implementing these recommendations, they will need the support of these individuals. They will provide collaboration in assisting with the development of priorities and the vision for the university. They also have the ability to direct any financial resources needed to support these initiatives. A final key stakeholder is the chief advancement officer of the university, the vice president of institutional advancement. This individual is the top fundraising professional and will be an important figure in assisting the university president with the implementation of the recommendations.

Potential Barriers

One potential barrier that could arise with the implementation of the project study would be the hesitancy of the university president to accept the position paper recommendations. This is why I will clearly present my findings and connect my findings to previous literature that will help strengthen the validity and reliability of the findings. It will also be important to achieve buy-in from other colleagues who have a strong working relationship with the president. This will help with the credibility of the recommendations being presented.

Achieving the buy-in of key stakeholders is another potential barrier. It is necessary for the vice president for advancement and key members of the university's board of trustees to accept the recommendations and be willing to work with the president to enact the recommendations. The primary objection could the time needed to enact these recommendations. One solution to this objection would be to present a clear

timeline and methods of working with the president to adopt the practices suggested in the recommendations.

Project Evaluation

The position paper project suggests recommendations that the university president could implement in order to help the president achieve success in the fundraising role. The recommendations listed in the paper aim to meet the overall goal of increased efficacy of the president in the fundraising role. Over a period of time, this could be measured through a summative evaluation using some of the same criteria that were used to determine participants in the study. These included the growth of an institution's endowment over a period of time during the president's tenure, the alumni giving percentage rate over a selected number of years, and any successful completion of a comprehensive or building campaign.

While these measure the long-term success of project's recommendations, I believe a formative evaluation is more applicable in this case. Formative evaluations are evaluations that occur during the implementation of a project and are designed to improve performance (Glesne, 2011). In this case, I propose follow-up interviews with the president and staff of the local setting to discuss the implementation of the position paper's recommendations. These interviews would help determine any improvements in the president's fundraising responsibilities. Quantitative criteria such as the growth of the institution's endowment and increase in alumni giving percentage may also be used as measures of progress. Follow-up interviews would assist in monitoring the perception of the president's fundraising ability among peers and colleagues. Quantitative data would

also demonstrate increased fundraising effectiveness. Such data would include the growth of major gifts to the university and the increase in the university's endowment.

Implications Including Social Change

Local Setting

The content of this position paper project meets the needs of the local community by providing the findings of leadership behaviors and practices of successful fundraising university presidents at private liberal arts institutions. The position paper will contribute beneficial information that may address fundraising challenges in the local setting. Identifying attributes that assist university presidents in fulfilling their fundraising role has the potential to inform the president and executive staff of the local setting to achieve fundraising success. In addition to identifying attitudes of university presidents toward fundraising, and attributes that contribute to fundraising success, this project will explore the means through which university presidents become prepared to address their role as a fundraiser. It will investigate their previous occupations and whether those previous jobs assisted them in facing their fundraising task.

Far Reaching

The recommendations listed in the position paper do have some far reaching implications. As mentioned earlier in this study there are several factors that contribute to the challenge university presidents face in their fundraising task. The position paper will aim to positively impact fundraising practices at the university selected. The recommendations in the position paper also help provide insights regarding presidential fundraising. The importance of strong, educational institutions in our society is important

to educating and training our society's future leaders. Resources must be available at these institutions in order to provide this service. Successful presidential fundraising is key in providing universities the resources they need. This position paper will aim to provide insights for university presidents to find success in this task.

Conclusion

This section described the project selected for this study, in this case, a position paper. I detailed my findings regarding the genre of the position paper through a detailed literature review. I also highlighted the findings that are detailed in my position paper that emerged from my study and from analysis found in the literature. I discussed the resources need for implementation, the potential barriers, and the proposed timeline for implementation. Lastly, this section concluded with a discussion of the local and far-reaching implications for social change.

Section 4: Reflections and Conclusion

Introduction

In this section, I will conclude the study by examining the strengths and limitations of the study. I will explore potential solutions for the identified limitations and reflect on the project development. In this section, I will also reflect on what I learned about myself as a scholar, practitioner, and project developer.

Project Strengths

The study and project were relevant because universities face constant financial challenges. Rising costs, declining donations, and increasing competition for students are all factors that affect the financial stability of a university. While clear answers to these problems are not obvious, the financial strength and viability of universities are dependent upon the ability of university presidents to raise money. Reduced revenues due to a trend of declining enrollments, especially at private colleges and universities, and a decrease in state funding at public institutions have resulted in an increasing requirement to raise funds from private sources.

Considering the increased need for fundraising at colleges and universities, the burden of this undertaking falls on the president of the institution. While the increasing need of a college or university president to raise funds has become evident, especially in the last decade, challenges remain for him or her to carry out this task. This study and project highlighted behaviors and practices that will increase the president's fundraising skills in the local setting. The strength of this study and corresponding project was that it identified behaviors, attitudes, and characteristics of university presidents who have achieved success at fundraising. The personal interviews provided in-depth insights into the real life experiences of university presidents at similar institutions. By examining leadership behaviors and practices of successful fundraising university presidents at private liberal arts institutions, the recommendations in the project contributed beneficial information that addressed fundraising challenges in the local setting.

In the project, I detailed the importance of the president establishing a vision for the university that is communicated in a manner that resonates with donors. Establishing a culture of giving is dependent upon forming clear priorities that are in line with a precise vision and mission for the university (Nicholson, 2007). By becoming the chief storyteller at all times, the university president is always advancing the mission of the university. Therefore, fundraising becomes a part of every function of the presidential role.

Recommendations for Remediation of Limitations

There were several limitations that emerged during the study. The first was the possibility that the data were filtered through the viewpoint of the interviewee. Another limitation was that, unlike quantitative research that relies on objective statistical data, qualitative studies are much more subjective in nature. While I believed the use of personal interviews with a small number of participants was a strength, it could also limit the quality of the data received.

Another limitation was the potential role of the researcher. Therefore, the importance of recognizing any potential conflict or bias that I may have brought to the study was crucial. Because of my experience in this profession and my past work experience with university presidents, I recognized that I brought views to the study, which had the potential to threaten the validity of the study.

The primary limitation of the position paper was the uncertainty that the recommendations will be implemented. While I will attempt to meet with the university president and key stakeholders that I mentioned previously, the individuals must be

willing to implement the practices suggested. I will work to eliminate any potential barriers to implementation and work with the key stakeholders I identified earlier in the study.

The study's main limitation was that qualitative studies are much more subjective in nature. While the small number of participants was detailed as a strength earlier in this study, it could also limit the quality of the data received. Several interviews were completed to achieve data saturation and gain consistency within the data. A recommended alternative approach could have been to distribute surveys to a larger number of university presidents.

An alternative approach that could limit any bias that may potentially exist was clarifying researcher bias. Clarification allows me the researcher to consider the subjectivity that I brought to the study and allows me to monitor that subjectivity during the research. The recording of field notes that I used during the study allowed me the opportunity to monitor my perspectives and assumptions through the data collection process. Another way to reduce researcher bias was through the process of member checking. Participants reviewed the interview notes and summaries to assure the validity of the data collected and to check against any presuppositions that I may have brought to the data analysis.

Scholarship

Before this experience, I never considered myself a scholar or one who could contribute to scholarship in my profession. The composition of this project study has been a long and challenging process. One area that needed improvement was my writing

ability. Many hours were spent writing and rewriting my proposal and my final study. This is one area of growth that I have experienced during this process.

Another area I have seen growth is my ability as a researcher. As I never considered myself a scholar, I also never considered myself a researcher. This program has taught me many valuable lessons on the different types of research and how to effectively conduct research. Before this study, the idea of conducting a study seemed like a daunting task. However, this study taught me how to approach research and carry it out in a manner that was effective. As I have progressed through this program I have learned how to research and closely read peer-reviewed journal articles.

This study taught me that I could identify a problem in my profession and apply research to that issue. Before this study, I failed to connect how academic research could be applicable in my profession of higher education institutional advancement. This experience has taught me that through careful research and study I can arrive at solutions to challenges that my profession faces on a daily basis. This developed skill will assist me in addressing other challenges and help me become a leader in my profession.

Project Development and Evaluation

There were multiple ways to develop a project for this study and many methods to choose from to evaluate it. My rationale for studying presidential leadership in the role of fundraising developed out of years of professional experience and witnessing the challenges that university presidents face regarding this task. I decided that a policy recommendation in the form of a position paper was the most effective project. For this study, there was not a formal program in place that educates presidents on their

fundraising practices that would warrant a formal evaluation. While a professional development program in the form of a seminar or workshop for university presidents could be beneficial, time constraints and logistics of such a program were barriers to such an implementation. A position paper is a guide or report that informs readers in a concise manner regarding a particular issue (Stelzner, 2010). It is intended to assist readers in solving or addressing a challenge or problem. Therefore, a position paper that presented my findings and subsequent recommendations seemed the most rational project to be implemented.

Leadership and Change

When I first started in this profession over 10 years ago, I knew that I aspired to be a leader. As I grew in my profession and saw the challenges that many university presidents faced when addressing their fundraising task, I knew that I wanted to help present a solution. However, I was unable to figure out how I could promote positive change. It was through this process of writing this study that I learned how I could lead in a positive way.

As I learned the different ways to conduct research and understand the research process, I gained an understanding of an important concept of leadership. First of all, a leader must be properly informed. One must take the time and opportunity to gather all the facts, perceptions, and understandings of a particular topic. This study allowed me to do that. By researching this topic, applying the research method, and properly analyzing results, many themes began to emerge. My thoughts regarding this topic were clarified, confirmed, or in some cases altered by the process of gathering the appropriate data.

The development of this project also taught me another important lesson in leadership, namely how to bring about change. After making conclusions based on my findings, this study challenged me to develop a project that produced deliverable outcomes. Leadership involves seeing a problem and presenting solutions. The development of a position paper that made recommendations to the problem being studied allowed me to develop that skill. As I progress in my career I feel equipped because of this experience to face the new and additional challenges that lie ahead.

Reflection and Importance of Work

The purpose of this study was to gain a deeper understanding of behaviors and practices that allowed university presidents to succeed in their fundraising task. A qualitative case study methodology was used to collect data through one-on-one interviews. The themes that emerged from the data collected were connected to the themes found during the literature review. The themes that were identified during data collection were the importance of the president establishing a vision for the university, leading in a manner that inspires constituents to embrace that vision, and implementing a consistent practice of being the "chief storyteller" for the university that constantly shares that vision. The themes that developed during the interviews, articulating a vision for the university and exhibiting a leadership style that inspires people to participate, are examples of transformational leadership behavior and are connected to themes that emerged during the literature review.

This study and project sought to examine behaviors and practices that will help the president in the local setting to increase their fundraising success. The strength of this study and corresponding project were that it identified behaviors, attitudes, and characteristics of university presidents who have achieved success at fundraising. Through the interviews, I learned that the practices and behaviors that allow university presidents to be successful at the fundraising task were rather simple in their nature. They were not complex theories; rather, they were a practical application of a leadership style that was grounded in the importance of personal relationships. I believe this is the importance of this work, namely the proper implementation of leadership. Presidents and fundraising professionals can be successful in their task if they exhibit behaviors that inspire collaboration and trust.

Implications, Applications, and Directions for Future Research

In this study, I examined the leadership behaviors and practices of successful fundraising university presidents at private liberal arts institutions, and the study contributes beneficial information that may help address fundraising challenges in the local setting and potentially other universities. Identifying attributes that assist university presidents in fulfilling their fundraising role has the potential to inform the president and executive staff of the local setting in order to help achieve fundraising success. In addition to identifying attitudes of university presidents toward fundraising and attributes that contribute to fundraising success, through this project I explored the means through which university presidents become prepared to address their role as a fundraiser. I investigated their previous occupations and whether those previous jobs assisted them in

facing their fundraising task.

This study and project examined several factors that contribute to the challenge university presidents face in their fundraising task. The project intended to positively impact fundraising practices at the university selected. The recommendations in the position paper also help provide insights regarding presidential fundraising. The importance of strong, educational institutions in our society is important to educating and training our society's future leaders. Resources must be available at these institutions in order to provide this service. Successful presidential fundraising is key to providing universities the resources they need.

There were a few areas discovered during this study that call for additional research. While I studied particular practices or behaviors of successful fundraising presidents, I would recommend for more research to be completed regarding prospective presidents' backgrounds prior to becoming a university president. One area would be to examine one's comfort or success with the fundraising role as it specifically relates to their previous employment. Another factor to consider is the role that fundraising played in their previous job.

Another area for further research would be to examine university presidents' perceptions towards the fundraising task. While my study focused on the behaviors, I did not examine how university presidents felt about their fundraising role. An important question to examine would be if there is a relationship between where the president ranks fundraising as a priority and their fundraising success in this area. I would also call for a more statistical inquiry than this study provided. Additional research could be carried out

through the use of a survey to include a greater number of participants.

Conclusion

This study has been a culmination of many years of reflecting on and studying an issue that impacts my work as a professional in higher education advancement. Having the opportunity to learn from highly successful university presidents about their insights on how to be successful at fundraising has been extremely rewarding. The benefit of this study is that it identified behaviors, attitudes, and characteristics of university presidents who have achieved success at fundraising. The personal interviews provided in-depth insights into real life experiences of university presidents. The information they provided allowed me to examine my own practices as a fundraiser and helped me to identify ways in which I can be more of an asset to the university where I am employed. The recommendations in the project contributed beneficial information that addressed fundraising challenges in the local setting and lessons that can be applied beyond the local setting. This study has taught me perseverance in many ways and confirmed that as a scholar-practitioner I am able to benefit where I am employed and my profession as a whole.

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Appendix A: Project Study

Project Study: Position Paper

Addressing the Challenge

As the literature has demonstrated, examination of the university president's fundraising role has grown in the last several decades. Considering the increased role of the president in this arena, expectations have also increased. Studies that examine the role of fundraising in the everyday job of the university president are abundantly clear about the expectations that now fall on the president's shoulders. In Worth's 2002 summary of educational fundraising, the point was emphasized that university presidents must comprehend their roles in the fundraising process and be the leaders establishing the mission and vision for their universities. Cook and Lasher (1996), in their study of educational fundraising, concluded that ultimate success is achieved through a team approach. All players involved in the process, such as the president, staff, and board of trustees, are crucial in engaging in a successful fundraising program. However, the role of the president must be the central figure for a university to achieve success in presidential fundraising capacity (Cook & Lasher, 1996).

When searching for a new university president, the measure of success being linked to one's success as a fundraiser has changed the manner in which boards approach the selection process. Former university president, Rita Bornstein, affirmed that university boards are asking whether academic credentials deserve top priority while fundraising background should be secondary, or vice versa. (Bornstein, 2009). Kaufman (2004) also pointed out that the traditional hiring process of university presidents had

changed. Her work revealed that the expectations of university boards are that presidents are to have knowledge of fundraising in order that fundraising takes an immediate priority when they assume office.

Lack of Preparation for the Role

Many presidents who are not prepared for this task are addressing the increasing need for universities to raise private funds. The lack of preparation of university presidents to properly manage the fundraising role is addressed throughout the literature. The first observation that is found in the literature that is relevant to this point is that few current university presidents have prior presidential experience in higher education institutions (Hartley & Godin, 2009). The *Chronicle of Higher Education* survey of 2009 revealed that only one-fifth of current presidents has served in that capacity at other institutions. This lack of prior experience is an indication that many university presidents are not adequately prepared to serve in a fundraising capacity.

This lack of preparation for the fundraising role can be credited to the fact that those who are promoted to the presidency arrive from leadership positions in academia and are not experienced in fundraising (Hartley & Godin, 2009). A *Chronicle of Higher Education* survey in 2009 indicated that 44% of university presidents came from a background as a chief academic officer. Kaufman (2004) noted in a study "presidents whose careers have been built by sterling academic credentials are often unprepared for this [fundraising] task" (para. 2). Leading universities is natural for many individuals who have come from the world of academics; however, fundraising is an area that is not a natural fit (Hodson, 2010).

The conclusion that presidents are not prepared for this task is one that is shared by many presidents, themselves. Utilizing information from presidents who are members of the Council of Independent Colleges (CIC), Levy (2004) employed a mixed methods study that researched the career backgrounds of university presidents and their perceptions regarding their fundraising responsibilities. The quantitative aspect of the study used surveys from members of the CIC to analyze their backgrounds and experience. This was followed by individual interviews with selected university presidents. One of Levy's important conclusions was that over half the presidents surveyed would have preferred more training in the fundraising area. Hartley and Godin (2009) followed Levy's study by examining university presidents' responsibilities where they felt insufficiently prepared. Their quantitative study utilized surveys that revealed the answer with the largest percentage to be fundraising duties. The American Council on Education study of 2009 confirmed those results as 23% of presidents surveyed also confirmed that the area of fundraising was the one in which they felt the least prepared (Jackson, 2012).

While university presidents have historically come from leadership positions within academic fields, recent studies suggest the trend may be changing. Cooper (2009) directly examined this question in a study that addressed whether the emphasis on raising money has replaced academic standards. In the quantitative analysis of the study, Cooper affirmed the historical trend that presidential hires have traditionally served as provosts or chief academic officers. However, survey results that Cooper examined pointed to more and more chief academic officers being content with their current positions and no longer

having aspirations to become university presidents. Of those surveyed, 63% responded

that they were "very satisfied with their jobs" (Cooper, 2009, p. 8). Cooper's study, along

with results from the American Council on Education survey of 2009, reveal that the task

of fundraising is one of the main factors that contributes to the attitudes of many

academic leaders who are not eager to pursue the university presidency. This is evidenced

by the fact that 66% of chief academic officers and provosts surveyed stated that

fundraising is the primary reason they have little desire to pursue being a university

president (Cooper, 2009). Cooper concluded that the notion of engaging external

constituents and raising money is not appealing to those individuals who have spent their

careers in curriculum development and managing academic departments.

The tendency of presidents coming from chief academic officer or provost

positions is affirmed by those conducting searches for presidential positions. Scully

(2011) conducted a qualitative study that interviewed professionals from search firms that

preside over presidential searches. This analysis confirmed previously cited work from

the literature: Searches for university presidents are now placing a higher emphasis on the

importance of fundraising. Due to this important requirement, Scully's study concluded

that individuals with an advancement or fundraising background are becoming more

desirable fill presidential positions .

As the need for preparation as a fundraiser became more crucial for university

presidents, the study of Riggs (2005) provided a detailed analysis of attributes that might

better prepare university presidents for the fundraising assignment. The mixed methods

study examined the "entrepreneurial" orientation of presidents at small independent

colleges and universities and how those behaviors impact their fundraising responsibilities (Riggs, 2004). Presidents were surveyed regarding 10 entrepreneurial characteristics and asked to give a self-rating. Follow-up interviews were then performed to gain additional information regarding the results. The study concluded that university presidents who believed they were prepared to address the fundraising role also identified themselves with entrepreneurial behaviors (Riggs, 2004).

Recommended Steps

Transformational Leadership and Establishing a Vision

The first recommendation is that a university president's fundraising success is connected to the presence of a vision or purpose of the institution. Recent studies emphasize the importance of establishing a vision for an organization or institution that resonated with supporters and donors. Clarifying an institution's vision is an aspect of transformational leadership that brings followers together to pursue collective ambitions (Basham, 2010). Employing a process that engages alumni, donors, and other key stakeholders in a review of the institution's accomplishments and needs focuses the university on specific priorities that inspire those stakeholders to participate in implementing that vision (Legon, Lombardi and Rhoades 2013). It is recommended that the president and leadership at the university being studied implement such traits in manner that is authentic, credible, and congruent with the campus values. Legon, Lombardi, and Rhoades (2011) stated the importance of the president establishing a vision in a manner that does not drastically deviate from the institution's strengths and identities.

Once the vision is established for the university, the president's leadership must inspire people to participate in the vision's implementation. This is a key aspect of transformational leadership. Actions motivate individuals to accomplish a task based on a clearly articulated vision and purpose (Caboni, 2010). Basham (2010) reiterated that a president exhibiting a transformational leadership style sets high standards and purposes for followers. Fundraising success can be achieved when a university president engages individuals through inspiration, exemplary practice, collaboration, and trust (Basham, 2010). In K.J. Cooper's study (2011) of Dr. Norman Francis of Xavier University of New Orleans, transformational leadership styles were credited to his fundraising success. While Dr. Francis exhibited many leadership styles in his multiple years of service, Copper emphasized the one constant, "One strand that has always been consistent is he is able to incite this enthusiasm about human potential and the transformative power of an institution of higher education." (Cooper, 2011, p. 49).

Communicating the Vision: Being the Chief Storyteller

In order to be successful in the fundraising role, the university president must consistently communicate the university's mission. Taking on the role of the "chief storyteller" is a consistent theme found in my study and is a key recommendation emphasized in the white paper. The idea of the university president constantly telling the story is also found in recent literature. The previously mentioned study of Dr. Norman Francis of Xavier University emphasized the importance of precise and consistent communication, by stating "it is crucial that the president be judicious in sharing and collaborating institutional vision with all constituencies. How this vision is

communicated, to a great extent, will determine the university's success" (Cooper, 2011, p.50). Basham's (2010) study also cited the importance of prioritizing the institution's vision and communicating that to all key stakeholders in a manner that results in clear and consistent direction.

The ability to communicate the institution's vision is a trait that has recently been emphasized in presidential searches. In a 2010 study, Skinner outlined the challenges in presidential communication. The issue, Skinner (2010) argued, was not the amount of information to communicate to constituents; rather it was how to shape that message. Skinner argued that a successful candidate for president would possess "the ability to convey a simple institutional narrative that relate to the lives of an audience" (p. 13). Sommers (2009) also emphasized the importance of communicating identified priorities and values. The university president's effectiveness requires systematic communication that refers to these identified priorities and values (Sommers, 2009).

In conclusion, this literature review examined, the trait of transformational leadership and the action of establishing a vision for the university, and the practice of properly communicating that the shared vision and established priorities of the university. Establishing a vision for the institution is an aspect of transformational leadership that brings followers together to pursue collective ambition. Basham (2010) reiterates that a president exhibiting a transformational leadership style sets high standards and purposes for followers. Communicating that vision in a manner that motivates key stakeholders is also an important trait of effective fundraising presidents. The university president's

effectiveness requires systematic communication that refers to the identified priorities and values.

Implementation

The recommendations detailed in the position paper will all require resources and support: the necessity for the president to establish a vision for the university that motivates key stakeholders, the need to properly communicate that vision by taking on the role of the "chief storyteller," and building a strong internal base of support for fundraising While the implementation of these recommendations is dependent upon the president's willingness to enact them, other supports and resources are needed. The most important resource is the gathering of the approval and cooperation of the key stakeholders at the university. In the case of private, liberal arts universities, these stakeholders are the members of the Board of Trustees. In order for the president to move ahead with implementing these recommendations, he will need the support of these individuals. They will provide collaboration in assisting with the development of priorities and the vision for the university. They also have the ability to direct any financial resources needed to support these initiatives.

Appendix B

Interview Questions

1. Is there a strategy that guides or guided your fundraising practices?

2. Are there particular characteristics that you believe are important to be a

   successful

   fundraiser?

3. Is there a particular leadership style or leadership practices that are effective in

your

   fundraising activities?

4. What are ways you engage or involve potential donors to the university?

5. What percentage of time do you spend on fundraising practices in a normal

   workweek?

6. How do you balance the fundraising role of your job with other

   responsibilities?

7. How do you view your role in forming the mission and vision of the

   university that drives the funding needs of the institution?

8. How do you feel you could have been better prepared for the fundraising role

   of your job?