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THE ROLE OF PERSONS OTHER THAN PROFESSIONAL DEVELOPMENT
STAFF IN THE SOLICITATION OF MAJOR GIFTS
FROM PRIVATE INDIVIDUALS FOR
SENIOR COLLEGES AND
UNIVERSITIES

DISSERTATION

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By

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The purposes of this study were to determine and describe the roles of persons other than professional development staff in the solicitation of major gifts from private individuals for selected senior colleges and universities as perceived by senior development officers. The activities of four groups of nondevelopment staff, trustees, president/chancellor, private citizens, and nondevelopment staff/faculty, were examined through the four steps of the major gift solicitation process: identification and rating, cultivation, the in person solicitation, and the thank-you process following the gift.

The population encompassed all accredited, degree granting four year colleges and universities in the United States which solicit major gifts from private individuals. The sample consisted of the 223 schools which had received one or more gifts of one million dollars or more from private individuals as reported in Giving USA, Philanthropic Digest, or The Chronicle of Higher Education, between

January 1, 1985, and December 31, 1987.

The research instrument was a mailed questionnaire which was sent to the Chief Development Officer of the 223 schools in the sample. Replies were received from 162 institutions, for a response rate of 72.7%.

Examination of the results of this study indicated that the services of nondevelopment personnel were used in the major gift solicitation process at the vast majority of schools in the United States, that over half of the major gift dollars solicited were attributable to the efforts of these individuals, and that the president/chancellor was the most important advocate for an institution's development program followed by the trustees, private citizens, and finally the nondevelopment staff/faculty. Further examination of the data revealed specific determinants which a senior development officer should, for different nondevelopment groups, weigh more or less heavily when deciding which individual(s) will have the greatest likelihood of being influential with major donor prospects.

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CHAPTER I

INTRODUCTION

The solicitation of funds for nonprofit organizations is a tremendously large industry, garnering over 93.7 billion dollars during fiscal 1987 alone (Weber, 1988, p. 8). Of this amount, fully 76.8 billion (82.0%) was given by private individuals (p. 8). An exceptionally important component of this giving involves major gifts, generally defined as those of \$100,000 or greater in value (Gibson, 1982, p. 48; Marks, 1987, p. 42; Prather, 1981, p. 11; Strand, 1986, p. 25; Winship, 1984, p. 1).

Traditionally, nondevelopment personnel have had significant involvement in the solicitation of major gifts (Lawson, 1986, p. 34; Lord, 1983, p. iii; Williams, 1979, p. 170). With regards to higher education, these non-development personnel can be divided into four groups: private citizens, trustees, presidents or chancellors, and nondevelopment staff including the faculty (Dunlop, 1986, p. 332; Gabrielsen, 1975, p. 134). Their services have been used in the four steps of the major gift solicitation process: identification and rating of the potential major donor; cultivation of the potential donor; the actual in person solicitation of the gift; and finally the follow-up

after the gift (Lawson, 1986, p. 36; Seaman, 1986, p. 110; Wolshon, 1981, p. 158). This study will focus upon the use of nondevelopment personnel in carrying out these processes.

The research literature on this question is limited. The potential benefits of this study through increased understanding of the use of nondevelopment personnel in this multibillion dollar industry are vast. An improvement in major gift solicitation of only a few percentage points will result in tens of millions of additional dollars being available each year for higher education.

Statement of the Problem

The problem of this study was the role of persons other than professional development staff in the solicitation of major gifts from private individuals for selected senior colleges and universities as perceived by senior development officers.

Purpose of the Study

The purpose of the study was twofold, as follows:

1. To determine the role of persons other than professional development staff in the solicitation of major gifts from private individuals for selected colleges and universities as perceived by senior development officers.
2. To describe the role of persons other than professional development staff in the solicitation of major gifts from private individuals for selected colleges and

universities as perceived by senior development officers.

Research Questions

To carry out the purposes of this study, the following questions were answered:

1. In what percentage of the schools surveyed do non-development personnel commonly play a significant role in some aspect of the major gift solicitation process?

2. If nondevelopment personnel are not used in the solicitation process for major gifts, why not?

3. What percentage of total major gift dollars are solicited with nondevelopment personnel having played a significant role in some aspect of the solicitation process?

4. What percentage of major gift success can be attributed to each of the four groups of nondevelopment personnel?

5. What is the relative importance attached to each determinant by the Chief Development Officer when deciding which nondevelopment personnel will be most influential with a particular major donor prospect?

6. What is the relative importance of each of the four groups of nondevelopment personnel to each step in the major gift solicitation process?

Significance of the Study

The significance of this study was that it directly contributed to knowledge about how the services of non-

development personnel were used in the solicitation of major gifts by successful development programs. The literature survey presented in Chapter II demonstrated that prior to this study, research on this question was very limited. The knowledge garnered from this study was used to generate theories regarding the effective utilization of non-development personnel, which could ultimately lead to increased funds being available for use by institutions of higher learning.

Definition of Terms

The following terms will have restricted meaning and are thus defined for this study.

1. Major gifts are defined as any gift of \$100,000 or greater (gift may be cash, land, stock, insurance, etc.).

2. The terms Advancement Office and Development Office are considered to be interchangeable.

3. Nondevelopment personnel are defined as members of the following four groups: private citizens, trustees, president/chancellor, and nondevelopment staff/faculty.

4. Rating of the prospect is defined as the process by which the Development Office determines what size gift the major gift prospect is likely to consider favorably (Prather, 1981, p. 24).

5. The major gift solicitation process is seen as falling into four sequential steps: identification and rating, cultivation, in person solicitation, and the thank-

you process following the gift.

Organization of this Report

This report is organized into five chapters. Chapter I introduces the problem of the study, the purpose of the study, the research questions developed to accomplish the purpose, the significance of the study, and defines the terms which have restricted meaning for this study. Chapter II reviews the literature relating to the problem of the study. Chapter III describes the research design employed in this study, the procedures used for the selection of subjects, the instrument used for the collection of the data, and the procedures for the collection and treatment of this data. Chapter IV presents the data and the results of the analysis of the data. Chapter V contains a summary of the study, a discussion of the results, the conclusions derived from the results, and recommendations for further research.

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CHAPTER II

REVIEW OF THE LITERATURE

Introduction

The solicitation of funds for nonprofit organizations is a tremendously large industry, garnering over 93.7 billion dollars during fiscal 1987 alone (Weber, 1988, p. 8). Of this amount, fully 76.8 billion (82.0%) was given by private individuals (p. 8). An exceptionally important component of this giving involves the solicitation of very large gifts. Gifts at this very high level have been described in the literature by a bewildering variety of different names and actual cash amounts. They have been called, for instance, advance gifts (Ashfield, 1965, p. 118), challenge gifts (Robins, 1982, p. 22), special gifts (Cramer, 1965, p. 121), leadership gifts (Frantzreb, 1981, p. 57; Gabrielsen, 1975, p. 134), major gifts (Winship, 1984, p. 1), and ultimate gifts (Dunlop, 1986, p. 323). To further obfuscate, the cash amounts described by the term major gift, alone, have ranged from a dollar value of as little as \$5,000 (Van Genderen, 1976, p. 26) or even less (Lemish, 1985, p. 71), to "\$500,000 or more" (Handlan, 1981, p. 75). While there is still no universally accepted terminology for naming these very large gifts or the exact

dollar amounts that they represent, much literature suggests that a widely used term is major gift, being used to represent a dollar value of \$100,000 or greater (Gibson, 1982, pp. 48-49; Marks, 1987, p. 42; Prather, 1981, p. 11; Strand, 1986, p. 25; Winship, 1984, p. 1), and this name and amount have been utilized for the purposes of this study. Whatever the chosen name or dollar amount, the relevant point is that these gifts are "really the heart of a fund-raising program. . . the very heartbeat" (Panas, 1984, p. 9).

The Importance of Major Gifts to Higher Education

With specific regards to educational fund-raising, Hayden W. Smith (personal communication, April 21, 1988), Senior Vice President of the Council for Aid to Education, reports that for the 1986-87 school year, gifts to higher education reached a record total of \$8.5 billion (McMillen, 1988, p. A1). Of this amount, fully \$4.412 billion (51.9%) came from private individuals. A common misconception is that the bulk of private support for higher education comes from corporations (\$1.819 billion; 21.4%), foundations (\$1.513 billion; 17.8%) and religious or other organizations (\$756 million; 8.9%) (Weber, 1988, p. 80). While these gifts are certainly quite significant, it can be easily seen that giving by private individuals far surpasses the donations from any of these other constituencies. Martin (1982) reports that "As a general rule 80 to 90 percent of

all gifts to education come from approximately 10 percent of the donors" (p. 32). C. J. Young (1981) in Francis Pray's book Handbook For Educational Fund-Raising gives even more emphasis to the importance of these gifts by reporting that:

An increasingly higher percentage--90 percent or more--of gift dollars come from a decreasing percentage--5 percent or less--of an institution's total donor constituency. This changing picture is not new, but development officers would do well to constantly remind themselves to concentrate their efforts on individuals and other sources that will generate the most gift dollars. (p. 73)

In addition, Cramer (1965) in his dissertation Financial Development in Private Higher Education and the Effects of Related Variables reported "a significant correlation between the amount of money received as special gifts and total voluntary support" (p. 121).

Major gifts are also extremely important to the success of college or university capital campaigns. J. P. Smith (1981) accurately identified modern day capital campaigns as "concentrated, full-throttled efforts to achieve predetermined dollar goals for a variety of purposes during a specified period of time" (p. 60).

Brossman (1981) notes that "The old fund-raising rule of thumb that 80 percent of a campaign's funds would typically come from 20 percent of the givers has given way in many cases in the face of evidence that more than 90 percent of a campaign's money will increasingly come from fewer than 10 percent of the donors" (p. 69). Emily Henderson (1986) reports even higher percentages in "Finding

the Fabulous Few: Why Your Program Needs Sophisticated Research", stating that "We now know that 90 to 95 percent of our gifts are going to come from 5 to 10 percent of our donors. The decisions of these fabulous few will spell success or failure for our campaigns" (p. 35). Sarge Whittier (1980, p. 60) and Richard Seaman (1986, p. 110) report similar, though slightly lower, percentages stating that in a successful capital campaign, 80 to 90 percent of the funds will come from 10 to 20 percent of the donors.

With the aforementioned comments in mind, the following statement made at the CASE Summer Institute in Educational Fund Raising by master fund-raiser G. T. "Buck" Smith (1986) is most pertinent:

Since 90 percent or more of total gift results normally are received in the form of special and major gifts, a proportionate share of resources (staff, time and budget) should be allocated accordingly.

My hunch is that there is not a single institution represented here today applying this principle fully. But I will wager that any institution that does so will, within two years, far exceed its present level of gift support. (pp. 2-3)

Nondevelopment Personnel and the Major Gift

Traditionally, nondevelopment personnel have had significant involvement in the solicitation of major gifts (Lawson, 1986, p. 34; Williams, 1979, p. 170). With regards to higher education, these nondevelopment personnel can be divided into four groups: private citizens, trustees, presidents or chancellors, and nondevelopment staff including the faculty (Dunlop, 1986, p. 332; Gabrielsen,

1975, p. 134). Any and all of the four groups of nondevelopment personnel can and will at different times have a significant impact on each of the four steps in the major gift process: identification and rating of the potential major donor; cultivation of the potential donor; the actual in person solicitation of the gift; and finally the thank-you process following the gift.

It is important to emphasize the contributions made by each of these four groups of nondevelopment personnel to the various steps of the solicitation process. Frantzreb (1981) states, for instance, that "Trustees are a key to the identification of prospects--individuals, businesses, foundations, and organizations--that may represent large-gift potential" (p. 57). Speaking specifically about the efforts of trustees in capital campaigns, Seaman (1986) noted that the trustee's National Major Gifts Committee "is perhaps the single most important committee. In most campaigns 80 to 90 percent of the funds come from 10 to 20 percent of the donors. The national major gifts committee has primary responsibility for the identification, cultivation, solicitation, and stewardship of these top prospects" (p. 110). Diffily (1984) also points out the importance of trustees as givers to campaigns when she quotes Henry Sharpe, chairman of a highly successful \$182 million dollar campaign for Brown University, as saying that "the key to any campaign is the willingness of the inner

circle--the governing board, the trustees--to contribute fully" (p. 11).

The president/chancellor also plays a crucial role in the major gift solicitation process. To begin with, the 1987 CASE Conference on Major Donor Solicitation's General Information handout notes that in the evaluation of prospects one should spend "much more effort on evaluating prospects for the Top Ten gifts than the lower levels" (p. 3), and continues by stating that the "CEO" of an organization may be an important member of this evaluation committee (p. 4). To identify the president in entirely different roles, Anderson (1984) speaks of the president as "the main solicitor, particularly of large gifts, and often the only cultivator of major prospects" (p. 18). Edward Foote (1986), speaking of the role of the president in a capital campaign, while serving himself as the president at the University of Miami, notes that "The campaign is the translation of a vision to the most demanding reality of all, money. The president is both the principal author of the vision and, as the university's chief advocate, the ultimate asker for big money" (p. 73).

Private citizens also play key roles in the solicitation of major gifts. For example, Martin (1982) points out that "frequently a volunteer is our first point of contact with a prospective major donor. After that, he or she is a continuing source of advice and information

about the cultivation process" (p. 34). The private citizen can also serve a key function by, for instance, accompanying the president on an important major gift solicitation (Coll, 1982, p. 46), or perhaps by being involved in the thank-you process following a major gift (Young, 1981, p. 76).

The faculty, too, often play significant roles in the major gift process. Leed (1987) notes that:

Many faculty members stay in touch with former students, who let them know of their marriages, address changes, business promotions, and so on. Encourage your faculty to pass this information on to you for your alumni database. This can not only help you stay in touch with alumni, but it may even suggest gift potential.

To carry this sort of "informing" one step further, some institutions are involving faculty in prospect rating sessions. (p. 16)

Most commonly the faculty's role is that of the "ultimate authority on the specialized programs and projects and research in which their own work is of central importance" (Pray, 1981, p. 140). When campus visits are made by potential major donors these same faculty are afforded the opportunity to "convey their excitement and enthusiasm for their disciplines, the students they teach, and the school itself. When potential donors see and feel that dedication, they are often moved to consider a substantial gift" (Martin, 1982, p. 35). Finally, the faculty can be involved in the thank-you process following the gift by keeping in active contact with the donor, and thus keeping the donor appraised of the achievements that are the result of their gift (Cosovich, 1979, p. 22).

The Major Gift Solicitation Process

The process of major gift solicitation can actually be subdivided in a variety of different ways, depending upon the views of the author and the practices of his or her organization. William F. Dailey (1986), Principal Gifts Director at Stanford University, reports that "A successful major gift solicitation may involve as many as seven steps, but not every solicitation must begin with the first step" (p. 82), and lists the seven steps as "1. prospect identification; 2. research and qualification; 3. strategizing the approach; 4. involving the prospect; 5. making the ask; 6. closing the solicitation; and 7. after-solicitation follow-up" (p. 82). Prather (1981) describes the "model" process as one containing five basic steps: "1. Identification (includes research and rating functions); 2. Cultivation (involvement is part of the cultivation process); 3. Planning the approach; 4. Solicitation; 5. Follow-up" (pp. 22). G. T. Smith (1981) also describes the process in five steps, but sees it as an ongoing "cultivation cycle" involving first identification, then information, interest, involvement, and finally investment by the major gift prospect (p. 25). For the purposes of this study, the major gift process was divided into four steps: 1. identification and rating of the potential major donor; 2. cultivation of the potential donor; 3. actual in person solicitation of the gift; and finally, 4. the thank-

you process following the gift. Similar delimitings of the process have been reported by Lawson (1986, p. 36), Seaman (1986, p. 110), and Wolshon (1981, p. 158).

The Identification and Rating of Major Gift Prospects

The first of the four steps in the major gift process is involved with the identification and rating of the potential major donor. Prather (1981) states that "The challenge, simply put, is to identify those who have the financial capability of making a gift of \$100,000 (or whatever) to the institution and who would have some reason to be interested in doing just that" (p. 22). The rating is that part of the process specifically involved with "determining what size gift the prospect is likely to consider favorably" (p. 24).

The process of identification and rating follows a series of well defined steps. Institutions begin by developing a data base of potential donors from which a list of potential major donors will eventually be gleaned. This initial prospecting list draws its names from the ranks of such individuals as previous donors, lists of donors to other local philanthropies, giving society members, trustees and former trustees, alumni, friends of the university, parents, faculty/staff, prominent families in the local area, relatives or descendants of families memorialized by the institution, prominent local business and civic leaders, and descendants of early founders of the institution

(Grieff, 1986, p. 39; Marks, 1987, p. 38; Ray, 1981, pp. 82-83). Additional names can often be added to this preliminary screening list by talking with wealthy or influential persons who have ties to the school, and asking them for the names of other individuals to contact (Conrad, 1985, p. 17; Ray, 1981, p. 83).

Depending on the number of prospects names which have been generated, staff time which is available, and the sophistication of the institutions computer facilities, a prescreening may or may not be done at this stage, to help focus efforts on those individuals who seem to show the greatest potential for eventually becoming major gift donors. This process "may consist merely of removing all nondonors--the 'never-nevers'--from your lists. Or you may want to target only constituents in certain large cities where you know you have both strength in numbers and a strong volunteer corps" (Caldwell, 1986, p. 57).

In programs with sophisticated computer facilities, prospects are screened using confidential information such as school records of past giving and data from alumni questionnaires (Grieff, 1986, p. 39), as well as more publicly available information including, among others, "real estate values, income estimates, high-ticket merchandise purchases, educational status, Standard Metropolitan Statistical Area codes, and local corporate and foundation directories" (pp. 39-40).

After this initial compilation and screening has been completed, the refined list of prospects is broken down into a number of different subcategories, and each of these subgroups goes through another round of screening and ratings which in almost all cases involves the use of one or more of the four groups of nondevelopment personnel which are presently under study. The nondevelopment personnel who carry out this next step in the identification and rating process are drawn from many sources. Stanford University, in preparation for the 1987 announcement of its \$1.1 billion Centennial Campaign, used trustees, past donors of major gifts, volunteers from their annual and large gift solicitation programs, current large gift prospects (both alumni and nonalumni), donors who had given \$1,000 or more within the last three years, and other selected alumni from their graduate and undergraduate programs as their primary source of evaluators (Marks, 1987, p. 40). To contrast somewhat, it was recommended in the General Information handout at the 1987 CASE Conference on Major Donor Solicitation that the process be carried out by an Evaluation Committee made up of individuals from three groups:

1. Knowledgeable professionals--people whose business it is to know about people's financial circumstances. People like bank officers, especially trust officers; attorneys; accountants; realtors; stockbrokers; estate planners, etc.
2. People of means -- individuals who are the major prospects themselves and who will probably be doing

much of the asking in the campaign.

3. The organization's staff (especially the CEO or research director) who may fit into the first category above. (p. 4)

Specialized groups, or even single individuals are sometimes used to aid in the identification and rating of certain select groups of prospective major donors. For instance, a list may be generated from the pool of all members from a specific class year for evaluation by members of that same class year, with extra emphasis often being placed upon the rating of classes with "living alumni who were graduated thirty years ago or more" (Ray, 1981, p. 83). Another rating session might best be done by a long-time faculty member evaluating a list of majors from his or her department, or possibly the chairman of a previous capital campaign would be the best source of information for the rating of previous major donors and volunteer leaders (Caldwell, 1986, p. 58).

It is important to remember that the ratings given in these evaluation sessions should reflect the potential major donors capacity to make a sizable contribution, not necessarily their present willingness or inclination to make the gift (Bailey, 1984, p. 39; Caldwell, 1986, p. 61; Lord, 1983, p. 83; Ray, 1981, p. 84). It is equally important to remember the statement by James Lord (1983) in The Raising of Money that "Those who put in long hours as anonymous members of evaluation committees are among the unsung heroes

of fund-raising. Without them, few campaigns would succeed" (p. 85).

The actual screening process usually takes place in one of two ways. Caldwell (1986) notes that:

In group screening, participants arrive at a consensus through discussion. . . Group screening makes everyone aware of the collective potential for donor and volunteer leadership and thus serves as a sight-raising tool. . . and gives the staff and prospecting leader a chance to evaluate the quality of each volunteer's rating when he or she expresses and justifies it.

Silent screening has the advantage of preserving confidentiality, and this may encourage some volunteers who are not as confident or who have knowledge they don't want to share aloud. . . And silent screening is essential for self-rating. (p. 57)

It should also be remembered that "the purpose of a screening session is twofold: It provides you with sound direction in assigning gift ratings and it can be used as an opportunity to cultivate" (Grieff, 1986, p. 41).

The identification and rating process is followed by a period of staff research, the goal of which is to "supply enough information without burying vital facts in the body of a lengthy report. The search should always be focused on answering the pertinent questions:

1. What is the prospect's financial worth?
2. What are the prospect's most vital interests?
3. Who are the persons with greatest influence with the prospect?
4. What is the current status of the relationship between the prospect and the institution?" (Strand, 1987, p. 4)

This information comes from research into such diverse directories as, among many others, Who's Who in America, Social Register, Dun and Bradstreet Reference Book of Corporate Management, Directory of Medical Specialists, and the Directory of Corporate Affiliations (Ray, 1981, pp. 88-90; Strand, 1986, p. 29). Additional information can be obtained from the prospect's peers, and ultimately, from the prospect directly (Lord, 1983, p. 84). The end result of this process is that the institution has as complete a portrait as possible of each prospective major donor, and thus has, at least as far as the identification and rating step of the process, ensured to its best ability that eventually "the right solicitor will ask the right prospect for the right amount for the right project at the right time" (Strand, 1986, p. 39).

It should be reported that Morris in his 1970 dissertation An Analysis of Donors of \$10,000 or More to the \$55 Million Program at the University of Michigan stated that "Five of the 10 donors of \$50,000 or more who were not specifically rated, were not rated at all because they were not on any of the pre-\$55 Million Program prospects lists" (p. 102). Similarly, Prather (1981) reported in his dissertation that "Only 17 of the 40 donors of the major gifts studied had been identified as prospective givers of \$100,000 or more" (p. 74). These reports substantiate the comments of such individuals as Arthur Frantzreb (1981) that

"success in philanthropic support is 90 percent planning and 10 percent implementation" (p. 58), and Grieff (1986) that "The success of your capital campaign will depend on the quality of your research--on knowing whom to ask and for how much" (p. 44).

It must also be remembered that "cost-benefit considerations require that the overwhelming proportion of research staff time and effort be applied to the few hundred (really, few score) prospects whose participation will make all the difference" (Ray, 1981, p. 86). Finally, it should be noted that "The prospect profile is a growing file which is never complete" (Strand, 1986, p. 28), "not a 'once and done' process, but an ongoing one" (Grieff, 1986, p. 42), and that "The development program is severely handicapped if, as so many do, it attempts to cut corners on research and staff support" (Ray, 1981, p. 81).

The Cultivation of Major Gift Prospects

The second step in the major gift solicitation is involved with the cultivation of the prospect. Prather (1981) sees this process as "a conscious effort to draw a prospect closer to the institution. The goal is to make him love, or at least respect (which is a form of love) the college and what it stands for in the way of results, ideals and aspirations" (p. 25). G. T. Smith (1986) sees the process as one in which, after initial identification and rating, the prospect is led through a series of steps, the

I's, during which he or she is informed, which in turn leads to interest, and ultimately personal involvement by the individual in the activities and interests of the school (p. 4). This personal interest and involvement will hopefully, following the in person solicitation, help influence the prospect to make a major gift to the school. G. T. Smith (1981) also reports that "During the 1970's, the cultivation of individual donors became increasingly recognized as the key to successful development" (p. 25). In addition, Craig (1987) quite wisely points out the importance of getting a prospect's wife involved in the activities of the institution in the course of the overall major gift cultivation process (p. 10).

There are many ways to increase a prospects interest and involvement in the activities of a school. Mitchell (1986) recommends that "an appropriate peer be used to get the prospect involved in the organization" (p. 20). Dunlop (1986) reports that for a major gift prospect it is best to let the school's cultivation initiatives be centered around the activities of one individual, "for example, a friend, classmate, student, business associate, or former professor--who provides a natural link between the prospect and the institution. . . this person, designated as a prime, will, with a member of the development staff, have the primary responsibility for developing, coordinating, executing, recording, and evaluating fund-raising

initiatives toward a given prospect" (p. 328). Any number of additional people may be designated as secondaries, and they will be "consulted about these initiatives and will be kept informed of developments affecting the prospect's relationship with the institution" (p. 328).

To contrast somewhat, Ray (1981) points out that at many schools "The special gifts committee is the principal volunteer group to help with policy and implementation. This committee--assisted by the chief development officer and the president of the institution--concerns itself with the evaluation and development of strategies designed to unlock the gifts of donors of highest potential" (p. 86).

Dunlop (1986) feels that it is important to remember that "Not all of the prospects friends associated with the institution will be willing and able to help manage initiatives. Some may be too close to the prospect to perform this role. . . Those who are willing and able to help with the prospect become the key players" (p. 328). Williams (1976, p. 167) and Young (1981, p. 76) note that the initiatives should be individually tailored for each major gift prospect, and Dunlop (1982, p. 56) and G. T. Smith (1986, p. 5) recommend that top prospects should, on the average, be involved in some meaningful cultivation activity once every four to five weeks.

Initiatives or "moves" as they are sometimes called, can take many forms. Unquestionably the most important of

these initiatives involve, in some way, person to person contact between a representative of the college or university and the potential donor. As Young (1981) notes, "there is no substitute for the personal visit as the key to enlisting the prospective donor's interest and deeper involvement with the institution" (pp. 75-76). In the early stages of cultivation these contacts may involve something as simple as talking to the prospect at a social gathering (Conrad, 1985, p. 13). Later on in the process the initiative might be in the form of inviting the prospect to a major sporting event, or possibly a bit later asking the prospective donor for advice in an area of his or her expertise which is of special interest to the school (Williams, 1976, p. 167). As the cultivation process grows nearer to the time when the individual will be asked for the major gift, a private dinner with the president might be in order (Dunlop, 1982, p. 56) or the prospect might be asked to join the Board of Trustees of the institution (Conrad, 1985, p. 13).

An excellent measure of the success of the cultivation phase of the major gift solicitation process, is the extent to which the prospects eventually see themselves as personally involved in the activities of their respective schools: as individuals who are "actively engaged in helping to shape the fortunes of their institutions" (Cheshire, 1980, p. 11). Much literature underscores the importance of

involving the prospect in the activities of the institution prior to asking for a major gift. Korvas (1984), in his dissertation The Relationship of Selected Alumni Characteristics and Attitudes to Alumni Financial Support reported that in his review of thirteen prior studies with literature relevant to characteristics of alumni donors, "The single individual characteristic studied most often was direct alumni involvement with alma mater. This was found to have a positive relationship to alumni giving in all studies where it was considered" (p. 41). Similarly, a 1986 national survey The Charitable Behavior of Americans, commissioned by Independent Sector, reported that "Giving increases among those who are involved as volunteers, and giving generally increases as the amount of volunteer time increases" (p. 27). In addition, the report noted that among educational charities close involvement was the single most important primary motivation for giving (p. 24). Mitchell (1986) reports similar findings when he states that "those who are actively involved in or affiliated with our organization are apt to be our best supporters. And, if they're wealthy, it follows that they become our best prospects for major gifts" (pp. 19-20). Perhaps the case for the importance of involvement is stated most pungently by Prather (1981) when he states that "Many professional fund-raisers believe that cultivation that stops short of involvement is not cultivation at all" (p. 26).

The amount of time involved in a major gift cultivation will vary for each individual prospect. However, "the hard facts of practicality and concern for the welfare of the institution demand that attention to and investment in cultivation must vary in proportion to the size or likelihood of realizing a major donation to the institution" (Ray, 1981, p. 85). Young (1981) reports that G. T. Smith maintains that "cultivation of persons who are not good prospects is a double error. The wasting of time and effort on unlikely prospects is, of course, the obvious error, but the resultant lessening of emphasis on those who are the best potential sources of support only compounds the mistake" (p. 74).

Williams (1976) reports that "The best cultivation takes place slowly over a period of months or years", and goes on further to say that "It is not usually effective to try to speed up the cultivation process" (p. 167). Gurin (1986) notes similarly that "when solicitors rush major prospects, the result may be token gifts" (p. 6), and Prather (1981) states that "At best they simply will not receive the support they might very well deserve. At worst, they will find their volunteer representatives -- on whom hang the success of the development program -- placed in positions of extreme embarrassment. If this happens, it may take the institution years to recover its lost prestige" (p. 27). Martin (1982) of Dartmouth College reports that

"As a rule, we must spend more than two years cultivating the large gift. . . What's more, the 'more than two years' can mean cultivation periods of five, 10, or 20 years!" (p. 32). Ultimately it must be remembered that "the purpose of cultivation is not just to get one major gift but to build your prospects into a profitable constituency that will endure" (Williams, 1976, p. 167), and that "Cultivation begins when a prospective donor first hears about an institution. It should never end. But it reaches its highest point when he or she asks, 'How much will it cost?'" (p. 168).

The In Person Solicitation of Major Gift Prospects

The third step in the major gift process is involved with the in person solicitation of the prospect. Jones (1982, p. 43) speaks of this call as "an essential, indeed the quintessential, element in obtaining major gifts". He goes on further to note that "you should pay a great deal of attention to preparing and effecting this vital encounter" (p. 43).

A number of key decisions must be correctly made in advance of the actual meeting at which the prospect will be asked to make the major gift. These judgments are all made with the hope of creating an environment in which the potential donor will be most likely to respond favorably to the request. One of the first, and most important of these

decisions involves deciding which person, or persons, should actually be present for the solicitation. In general, "The nature of the case to be presented, the identity of the prospect, and the purpose of the call determines who should make it" (Jones, 1982, p. 43).

Each major gift solicitation will in its own way be unique, and there are no set guidelines for making these decisions. However, distinct patterns do emerge which suggest which types of individual(s) are most likely to succeed with these requests. Fisher (1985) reports that:

People generally give because of the individual who makes the request. Certainly donors must believe that the cause is important as well as support the institution and its mission, but these factors are not as important as the person who asks. Sometimes the 'right' person is the president; other times it will be the development officer; but often it will be a person similar in background, status, and influence to the potential donor. Use trustees and friends of the institution who have already been solicited to ask others. They can often raise more money in less time than will result from the grandest case presentation the president or staff could make. (p. 51)

Cosovich (1979) reports that "Our experience has been that those who have made large gifts are the most effective askers" (p. 23), and Fox (1984) states that "the greatest asking power comes from the volunteer solicitor who has already made his or her gift" (p. 43). Conrad (1985) recommends that "Present donors should be your first choice" (p. 67), and McCaskey (1983) also reports that "First, the volunteers who solicit major gifts should be major donors themselves" (p. 48).

Another pattern which is readily apparent, involves the use of the president or chancellor at the actual in person solicitation. Foote (1986) reports that "Almost always, the president should be part of the team" (p. 78). Stanford University reports in Winship's (1984) The Quest for Major Gifts: A Survey of 68 Institutions that "Our staff has been quite successful in strategizing major gift solicitations by the President and the Deans" (p. 37). Broce (1986, p. 226), Fazio & Fazio (1984, p. 12), Ferin (1981, p. 69), and Rockefeller (1984, p. 40), also all emphasize the importance of having the president of the institution in attendance at major gift solicitations.

Several other characteristics should also be considered when deciding which person or persons should actually be present for the major gift solicitation. These individuals should, generally speaking, be on the same peer level or higher with the potential donor, and they should also be respected by the potential donor (Lord, 1983, p. 78; Prather, 1981, p. 29). Prather (1981) notes that these characteristics "make it difficult for the donor to reject the proposal without at least giving it careful consideration" (p. 29). Patton (1986) also suggests that often "the right solicitor is one who fully understands the organization and strategy of the campaign", and who is "able to communicate the importance of the campaign with enthusiasm and confidence in a way that makes it appealing

to the prospect and easy for him or her to participate in the effort" (p. 166). Finally, Henderson (1986) in the article "Finding the Fabulous Few: Why Your Program Needs Sophisticated Research" makes the germane observation that "researchers are in an excellent position not only to identify who should be solicited but also to suggest the name of the persons to make the call" (p. 38).

Another key decision made prior to the "ask" is the number of persons who will be chosen to represent the college or university at the solicitation. The consensus among many development professionals is that two individuals sent as a carefully prepared team, often have the greatest chance of making a successful solicitation. McCaskey (1983) recommends that in teams of two "One person can serve as director of the conversation and solicitation, the other can observe prospects' behavior and serve as the person who reinforces the first person's comments" (p. 48). Fox (1984) states flatly that "The best solicitations are carried out by two people. One presents your institution's case, and the other listens, watches, and participates if needed" (p. 43). When speaking of the solicitation of trustees, Ferin (1981) recommends that "A two-person team conducts face-to-face solicitations. The team membership is discussed and recommended through the strategy process and consists of two of the following: board chairman, development committee chairman, president, and vice-

president for development" (p. 69). Dailey (1986) in the article "Organizing Yourself for Major Gift Success" notes that "In my experience, the best asks have been made by a two-person team composed of a volunteer with strong influence on the prospect and the university person (officer, dean, faculty member) with the strongest interest in the proposal being advanced" (pp. 85-86). Broce (1986) recommends that "There are three effective teams: 1. Volunteer and chief executive officer; 2. Volunteer and staff member; 3. Chief executive officer and staff member" (p. 226). In addition he states that "Team members not only reinforce each other but also are better prepared to answer questions and cover any points that may arise during the visit" (p. 226).

There is literature which suggests that, at times, sending a team of two is not the best approach for the solicitation of a major gift prospect. Dailey (1986) specifically recommends that institutions "Avoid asks by more than two people. You don't want to seem to be 'ganging up' on the prospect" (p. 86). To contrast, Jerome Stone, in an article by Bailey (1984) notes that an effective strategy is sometimes to have a group of three make the solicitation. Stone, speaking as a member of the board of trustees, suggests that:

If possible, it's always good to have another board member and the institution's president accompany you. That's because, first, if the two board members know the prospect, the prospect has a difficult time--

in fact twice as difficult a time--turning you down. Second, the president's presence will also demonstrate that the donor's support is important to the institution. Also, the president will know intimately the university's programs and will be able to speak from a professional and comprehensive knowledge of the institution.

Three people are also helpful because two can keep the conversation going while the person who's doing the asking takes time to think. (p. 40)

Similarly, Panas (1984) recommends that one not be fearful of overwhelming a prospective major donor by sending more than two persons to make the solicitation. Rather, he suggests that one "takes as many people as you need. No fewer, no more. Evaluate carefully in advance what will comprise the most forceful and potent team. For the really large potential gifts, this should almost always include the senior officer of the institution" (p. 194). Finally, Patton (1986) offers an excellent overview as to the number of representatives to be sent to a major gift solicitation when he recommends that:

When you make these decisions, the rules of common sense and courtesy should carry the day. Some people may feel threatened by a two-on-one approach; others will be flattered by top-level attention. If you have done prospect research and cultivation effectively, you should be able to trust your judgment of particular situations (p. 166).

A third group of critical decisions prior to the major gift solicitation centers on properly preparing the institution's representatives for that meeting. To begin with, the solicitors "should be thoroughly prepared with the facts not only about the university and the need, but about the donor's needs and interests" (Foote, 1986, p. 78).

Jones (1982) goes so far as to recommend that "The staff must equip volunteers with all information about the program that conceivably might interest the prospect" (p. 43). It is especially important that the representatives:

Know thoroughly the institution's case: Why it wants the gift and how it intends to handle it. Know too, who else you're approaching, how large a gift you will ask the prospect to consider, when you can expect the gift or pledge, and what recognition you will give the donor (p. 43).

Bayley (1988, p. 103) points out the importance of actual practice for the meeting by the solicitors, and G. T. Smith (1986) recommends that the solicitors should rehearse their presentation "with the same care as one would a major speech" (p. 3). Fox (1984) notes the special importance at this preparatory meeting of "determining ahead of time which solicitor will take the lead in presenting the proposal and in asking for the gift" (p. 43).

In addition to the aforementioned considerations, decisions about the timing of the ask, and its physical location must be made. Ferin (1981) notes the importance of being aware of those periods in a potential donors life when they might have "additional disposable income because of dividend payments, children leaving the household, loss of a loved one, and so on" (p. 68). Both Foote (1986) and Schrum (1982) acknowledge the importance of carefully selecting the physical location of the solicitation. Foote suggests that "A business lunch in pleasant surroundings is often a good setting, but some prefer a formal call at the donor's

office" (p. 78). Schrum, in speaking of a successful solicitation of over \$12 million dollars for a new campus library for his school went so far as to say that:

In hindsight we believe that choosing the site for our meeting was one of the most important details in the solicitation. We met in the stately old Administration Building. We had recently finished an exquisite renovation of this and another building on our campus. One of the first completed projects of our Master Campus Plan, they stood as examples of the quality work we hoped to accomplish over the next ten years. (p. 38)

Ferin (1981), to contrast, reports that for trustee solicitations "We try to solicit in a trustee's home", but that this occurs "only after he knows the purpose of the visit" (p. 69).

Following the aforementioned preparations and planning, it is then time for the actual meeting with the major gift prospect. The importance of the actual face-to-face encounter should first be emphasized. Robins (1982) states that "There's little doubt that personal solicitation is the most effective way to produce a gift. When we talk about personal solicitation, we mean that a solicitor and a potential donor meet to discuss the gift" (p. 20). Goodale (1987) reports that "solicitations made by telephone or by letter almost never result in an important gift, and often produce no gift at all" (p. 35). Patton (1986) maintains that "Personal presentations are **essential** for major gift prospects. . . This face-to-face exchange has an immediacy and a psychological weight rarely found in boilerplate

proposals or mailings" (p. 162). Finally, Schneiter (1985) relates that:

Fund-raisers who make appeals face-to-face with their prospects have three major advantages. 1) **Urgency and commitment.** Their personal presence tells prospects that the matter at hand is an important one to which the fund-raisers are clearly, sincerely committed. It also tells prospects that the fund-raisers regard them as people worthy of personal attention. These factors make for a positive beginning -- before a word is spoken. 2) **Optimum, responsive communication.** Face-to-face asking gives fund-raisers the enormous advantage of asking with their total being -- voice, eyes, mannerisms -- and all that they mean in terms of conviction, sincerity, charm, and persuasiveness. Such fund-raisers have the advantage of receiving feedback from prospects, so they can tailor their presentations for maximum impact. 3) **Pressure.** It's hard to say "no" to another human being whose cause is just, who has appealed to your noblest instincts, and who is only three feet away. (pp. 45-46)

The actual events of the in person solicitation should next be examined. Conrad (1985) notes that "in its simplest form face-to-face solicitation is a process whereby you draw out your prospect's needs, then offer your organization as a way he or she can meet those needs" (p. 132). The actual process begins with the setting up of an advanced appointment. G. T. Smith (1986) suggests that the solicitor(s) should ask for 35-45 minutes (p. 3), while Jones (1982) recommends that "No call, except one involving a meal, should last longer than one hour" (p. 44). Coll (1982) interestingly suggests that you should "have the president call personally for the appointment" (p. 46).

Jones (1982) recommends that "After greeting the prospect, it's well to break the ice with a little small

talk" (p. 43), discussing "items of mutual interest" (G. T. Smith, 1986, p. 3), and Foote (1986) notes that the overall demeanor of the "solicitation should be straightforward and businesslike" (p. 78). Craig (1987) emphasizes that "In any person-to-person encounter, the opening, to a large extent, will determine the outcome", and that "One of the major goals that you're trying to accomplish in the opening is to light a fire under your prospect. It is critical that you involve the prospect in what you're saying-- and one of the most effective ways to do this is to talk about the prospect's most important subject -- himself or herself" (p. 1). "By drawing the prospect out, you will have a better chance to bring them into a meaningful relationship with your institution" (p. 2). Craig (1987) states that other key skills to observe during this process are to "never talk to your prospect, but rather talk with them. . . listen closely, and reinforce their positive statements. . . Always speak from the prospects point of view; always ask for their reactions; and above all, talk about their accomplishments" (p. 2).

After initially capturing the prospect's attention and arousing his or her interest, the next step is to state the reason for your visit. Craig (1987) emphasizes that at this period in the meeting it is most important to make sure that "the prospect is aware of the need of your institution before you show them how that need can be met" (p. 2), and

Foerst in Prather's dissertation (1981) reports that it is important to "tie the prospect into a particular aspect of the overall project, which is in keeping with his known interests or previous benefaction" (p. 30). G. T. Smith (1986) notes the importance of "not letting this presentation become a monologue, but allowing ample opportunity for the prospect's participation in the conversation" (p. 3). Craig (1987) emphasizes the importance in this process of questioning as a means by which the solicitor can "keep the prospect's attention and deepen their involvement" (p. 2), going on to state that "The only way a prospect will invest in your solution is if they think you've understood their position" (p. 3). Craig (1987) also warns that:

We often have a tendency to emphasize our institution and its problems rather than the benefits that our institution can bring to the prospect's needs. Basically prospects want the answer to four questions about your institution:

1. Is it the best?.
 2. Will it perform the way you say it will?
 3. Will it remain the best in the future?
 4. How will I be paid back for my investments?
- (p. 5).

Jones (1982) recommends that "By the midpoint in the visit, you should make 'the ask'" (p. 44), and G. T. Smith (1986) suggests that "With at least one third of the allotted time remaining, come to the point of asking for participation, making clear the level you hope will be considered" (p. 3). Sweeney (1980) emphasizes that "The key word in a personal solicitation should be **consider**" (p. 18),

and Fox (1984) points out that one should "Never use such language as, 'We have you down for \$XX dollars'" (p. 43). Jones (1982) recommends that immediately following "the ask" the solicitor "should pause and let the prospect respond", noting that "The pause is all-important. Wait. Say nothing until the prospect speaks" (p. 44), letting the potential donor have the opportunity to "give clues about the scope of his or her dream" (McKenna, 1982, p. 30). Conrad (1985) also suggests that:

After asking for the gift, it's a good idea to BE QUIET. Silence is the best pressure. Generally, a solicitor who speaks first after the request for the donation loses. Why? Because the more you say after asking for the donation, the more excuses your prospect will find to stall. (p. 152)

With knowledge of the response, the solicitor can now effectively proceed. Assuming that the response is favorable, the solicitor should proceed by further "pointing out some of the benefits to the donor" (Jones, 1982, p. 44), after which it is customary to ask for the signing of the pledge card. Gurin (1986) notes that "My usual advice is, tell the donor that only if he or she signs a pledge card can the pledge count toward campaign progress--and only then will it encourage others to make their pledges" (p. 10). Gurin (1986) also recommends "that campaign solicitors get donors to put their pledges in writing immediately" (p. 9), going on to note that "Many campaigns have lost substantial gifts because solicitors failed to get the commitments in writing immediately" (p. 9). Conrad (1985) suggests that:

When you've won the gift, congratulate your new donor on his important decision. He wants support. Give it to him. Then end the solicitation as quickly and diplomatically as you can. You don't want to give him any more reasons to take back his donation. (pp. 152-153)

Similarly, Cadigan (1982), when describing the highly successful techniques used by Ashley Priddy in soliciting for Dallas, Texas's, Hockaday School, notes that after a successful solicitation "he says thank you and leaves quickly before the donor changes his or her mind" (p. 19). Dailey (1986) recommends that "the verbal ask should be followed by a letter from the asker, summarizing the earlier conversation, confirming the exact proposal, and requesting a positive response" (p. 86).

If the prospect responds with some objections to the "ask" the solicitor will, of course, proceed differently. Craig (1987) reports that a key skill in overcoming objections is to "remember that an objection is not an attack, but rather a question" (p. 6). He goes on further to state that when an objection is raised the solicitor should "always show understanding of your prospect's position" (p. 6) and that "The main point is to let the prospect know that their objection is acceptable, that others feel the same way that they do, and that their type of question has helped us find constructive solutions to the problem" (pp. 6-7). To further promote the resolution of objections, Prather (1981) recommends that "the approach to a prospect should always be flexible enough so that if he

says no to an outright gift the solicitor(s) are ready to show him other possible ways to provide support" (p. 83). Craig (1987) recommends that if the solicitation simply is not proceeding well, then as a last resort such approaches as "Is there anything I did wrong that kept you from making a gift?" (p. 9), or "As you start to leave, 'Won't you reconsider?'" (p. 10), might open the opportunity for continuing dialogue. It might also be wise to remember the statement on tenacity by Lord (1983) that "Before a commitment can be secured from a prospect, a volunteer may have to call on the person two, three or four times. As the old fund-raising adage says, 'You can't make a good pickle overnight, just by squirting a little vinegar on a cucumber. It takes a while'" (p. 86).

It is interesting that the most consistently reported reason for failure in major gift solicitations is the error of never specifically making the ask for the gift. Foerst (1970) as quoted in Prather (1981) states that the request "must be done outright; the round-about innuendo is no good" (p. 30). Craig (1987) lists "Not asking for the gift" (p. 12) as number one in his list of 14 Major Errors in Solicitation. Prather (1981) reports that "too many major prospects (not suspects) are cultivated endlessly and never asked to make the big gift" (p. 72), and Lord (1983) notes that "where most of us go wrong is in waiting **too** long. Too many times, the volunteer leaves the prospect without having

'asked for the order'" (p. 88). Lord went on to quote a more contemporary sage, Will Rogers, who said that "Even if you're on the right track, you'll get run over if you just sit there" (p. 88). Finally, Schneiter and Nelson (1982) remind the solicitor that:

Asking is the essence of fund-raising. It is the eternal verity of the profession. If you ask, you will not always receive; but if you don't ask, you will almost **never** receive. Fund-raisers who find it difficult to ask should bear in mind that in the very process of asking they are also giving--giving their prospects the opportunity to derive meaningful, measurable benefits that cannot be obtained in any other way. (p. 6)

The Thank-you Process following the Major Gift

The fourth step in the major gift process is involved with the thanking of the donor, and the stewardship and cultivation of the donor following the gift. Cosovich (1979, p. 22), G. T. Smith (1986, p. 3), and Taylor (1976, p. 69) recommend that immediately following receipt of the gift, there should be a written thank-you from the president or chancellor of the institution. Cosovich (1979) states that the letter "should express personal and institutional thanks", and "should properly suit both the size of the gift and the relationship between the president and donor" (p. 22). Prather (1981) suggests that acknowledgments of thanks should come from "those who should rightfully be appreciative -- this includes the person who did the asking, the president and anyone else closely involved as, for instance, the head of the history department if the gift is

to be used in his or her area" (p. 32).

Horton (1981) recommends that the tone of the letter should be "warm and with dignity convey a sense of genuine appreciation sufficiently powerful to assure that subsequent appeals will be received with respect, if not glee" (p. 265). Horton (1981) further recommends that the letters should be "highly personalized, not only in appearance but in content" (p. 268), "that they need not be ponderously formal", that "brevity and directness are assets", and that "there is merit in keeping them 'light,' provided that they are sincerely and clearly so" (p. 266). Also of importance is the insight by Jones (1982) that "Even if your call failed to achieve its purpose, you should never fail to send a thank-you letter. You should view this letter as an integral part of the call itself, so write and send it promptly" (p. 44).

The nature of the public announcement and publicity surrounding a major gift should be carefully considered. Panas (1984) notes that "It encourages others and it can be a very effective and tasteful way of saying: 'See, we have a person who has done something special for us. Why don't you?'" (p. 62). Taylor (1976) reiterates this theme stating that "The value of publicizing the awarding of a major gift to encourage others to do likewise is obvious", (p. 70), but goes further to recommend that "it should be done only upon the willing consent of the donor" (p. 70).

Panas (1984) notes that "It is extremely difficult to distinguish the line between those who wish recognition and those who really do not" (p. 54). He goes on to point out, however, that "I believe it is much wiser to err on the side of giving the recognition. Care, thoughtful, considered recognition. Done with a quiet flair, a certain style. But recognition" (p. 54). Lemish (1985) gives the insight that "judging by the small number of anonymous donors in various institutional donor honor rolls, it can be inferred that few persons really do not want to be recognized for their major gift support" (p. 78). Lemish (1985) goes on to suggest that:

There is a good way to handle the individual who says that he or she prefers no publicity or recognition. Acknowledge the person's desire; however, point out that publicity and recognition of the gift and the individual are the major factors that will encourage others to make similar gift commitments. This approach, which generally works positively on most donors, is also an appropriate method of discovering how serious the donor is about not desiring recognition. (pp. 78-79)

Panas (1984) in his book Megagifts quotes a million dollar donor, George Pardee, as stating that "We don't give for recognition. I think that that is something which has to be handled very carefully. We don't really look for it, but I must admit it's nice when people know what you've done" (p. 61). Perhaps the best suggestion also comes from Panas (1984) when he states that "The smart fund-raiser works with the donor in planning for the recognition" (p. 63). He goes on further to recommend that the fund-raiser must:

initiate the idea, encourage it, review it with the donor, enhance it until it is precisely to the point of providing the proper recognition for both your institution and the donor. The dividends for the careful planning and development of such activity will be immense. And it initiates the first step in securing another and larger gift. (p. 187)

Lemish (1985) notes that "Opinions differ on how much should be spent on recognition; however, donor recognition is reasonable when the total cost is less than 5 percent" (p. 79).

G. T. Smith (1986) reports that "Once a donor has made a significant gift, cultivation can move to a new and higher level. It is in expressing gratitude that we are able to show the human quality of an institution with sincerity" (p. 4). This subsequent stewardship and cultivation of the donor can take many forms. Horton (1981) reports that "The idea of stewardship is often in our minds, of course-- reporting back to donors on the benefits derived from their gifts. There could be almost no end to this" (p. 267).

Cosovich (1979) states that:

Each large gift solicitation has unique characteristics and should be considered a separate and distinct campaign in itself. The same concept applies to the post-gift relations with the donor. What you do will depend on the personality of the donor, the size of the gift, its purpose or designated use, and other factors. (p. 22)

Conrad (1985) recommends that in the follow-up after a big gift there should be a "focus on one goal: Showing your donors and prospects that your organization is the best way that they can meet their needs" (p. 193). Prather (1981)

states that proper long term follow-up "means that if you sought the donor's wisdom and experience before the gift, you should seek it after the gift. It also means that if you kept him informed about the institution before the gift via newsletters, invitations to lectures, etc., you should continue to keep him informed" (p. 32). He goes on to warn that:

The surest way to lose a supporter is to get the gift, write a simple thank-you, and then ignore the person. Common decency aside, the long-range health of the major gifts program requires the continued good will of those who have given. It is a major mistake to cultivate someone for years, get the gift, and then stop cultivating. The receipt of a gift should increase the cultivation level since those who have given before are the ones most likely to give in the future. (p. 99)

Hardin (1984) points out that "Gifts are means to ends, not ends in themselves. The end result of successful fund-raising is not the receipt of the gift but expending it as planned and promised, seeing the desired result take place, and reporting that fact back to the donor" (p. 17). G. T. Smith (1986) reiterates this same theme when he states that "the real opportunity to say 'thanks,' will come in six months or a year when the effect of the gift is more fully known" (p. 4).

Conrad (1985) states that "the key to new and continuing gifts is involvement" (p. 190), including "workings of your organization unrelated to fund-raising" (p. 191). "Show your donor that you care about him as a person--a source of ideas and opinions as well as of money.

This is how you inspire repeat donations and larger gifts" (p. 192). There are many specific ways that a college or university can maintain and hopefully increase a major donor's involvement with the school. Cosovich (1979) reports that "In our experience at Stanford, most large gifts--gifts of five figures and above--are directed for some specific purpose. Usually the larger the gift, the more sharply focused its purpose" (p. 22) He goes on further to "divide the purposes into five main categories as follows: faculty support, student aid, buildings, programs support, and libraries" (p. 22). In addition there is sixth category: "general donor-relations activities" (p. 22). Many donor involvement activities are listed for each category. Representative functions include, among others:

FACULTY SUPPORT: regular contact by the faculty member with the donor; regular information to donor about the faculty member and any of his or her special awards, prizes, and achievements; dinner hosted by the president with the faculty member and others, including perhaps the dean and department head or related faculty. (p. 22)

STUDENT AID (scholarships/fellowships/loan funds): regular reports on recipients of the student aid funds; opportunity to meet personally with the students at lunch, dinner, tea; letters from the student recipients to fund donors. (pp. 22-23)

BUILDINGS: ground breakings--range from simple to elaborate; commemorative book of construction photos; plaques and other name identification within the building; regular invitations to participate in or attend events held in the new facility; reports on activities in named facilities, e.g., an important discovery made in the lab. (p. 23)

PROGRAM SUPPORT (international students, human biology, etc.): regular meetings with the faculty and students

in the program; mailings of publications from the program; visiting committee assignments. (p. 23)

LIBRARY (book funds, program funds, curatorships, special collections): bookplates; participation in library support group activities; special events in the library such as a ceremony for a significant library milestone; regular communication and personal contact with directors and curators. (p. 23)

OVERALL (more general donor relations activities): receptions--university seminars; football lunches hosted by president, deans, vice president; special communications from senior university officers; appointment to advisory boards and visiting committees; direct involvement in gift procurement activities. (p. 23)

Additional donor involvement activities are suggested by Taylor (1976) who recommends that major donors should, as appropriate, be invited to cornerstone laying ceremonies (p. 69), and should be "be placed in a preferred position on the president's V.I.P. list for continuing cultivation and counsel" (p. 70). Conrad (1985) suggests, among others, such techniques as "naming a room, a wing, or a building after the donor, Major Gift Society, special briefings (i.e. inside information), and personal visits by key organizational people" (pp. 197-198). The end result of successful stewardship and renewed cultivation is that previous major donors will become the best prospects as repeat donors (Bidgood, 1986, p. 15; Brakeley, 1980, p. 53; Martin, 1982, p. 36; Prather, 1981, p. 99; Van Genderen, 1976, p. 27), often at an even higher level (Panas, 1984, p. 53). G. T. Smith (1986) sees the process of ongoing stewardship as a continuing "Cultivation Cycle" which in

nearly every instance ultimately results in added financial investment by the previous donor (pp. 3-4). As Hardin (1984) states: "Donors need more than tax deductions and the inner glow of sharing wealth. They deserve the deep satisfaction of seeing good things happen because of their generosity" (p. 17).

Situations in which Nondevelopment Persons Are Not Utilized

There are circumstances in which nondevelopment personnel have a limited role, or are not involved at all in the solicitation of major gifts. A variety of factors can be responsible for these situations. In Winship's (1984) The Quest for Major Gifts: A Survey of 68 Institutions, the representative from Wellesley College reported that "We have few volunteers who are both willing to solicit and are good at it" (p. 36), and the representative from Yale University stated that "we have not had a formal volunteer force in recent years" (p. 38), but went on to state that "That should change in the future" (p. 38). In that same publication (Winship, 1984) a representative from the University of Minnesota Foundation noted that "It cannot be overemphasized that we are oriented to staff solicitation of major gifts. Because the University has such a pervasive influence among our constituents, its fund-raising officers have considerable influence and credibility" (p. 37). To contrast, Martin (1982) reported that:

Many development professionals believe that alumni

volunteers have important roles to play in raising smaller gifts and promoting annual giving but that, for cultivating a very large gift, a volunteer is not close enough to the institution to be effective. That view is shortsighted. While we cannot expect any volunteer single-handedly to bring the most significant gifts to our schools, frequently a volunteer is our first point of contact with a prospective major donor. After that, he or she is a continuing source of advice and information about the cultivation process. (pp. 33-34)

Ashfield (1965) in her dissertation The Role of the Trustee, as it Relates to Fund Raising, in Six Independent Liberal Arts Colleges stated that a significant number of trustees who were interviewed said that "they would be quite willing to become more deeply involved and to spend more time on fund-raising if only someone asked them" (p. 102). To contrast, Gurin (1986) states that "Too many board members don't like to raise funds, don't approve of fund-raising, and view with misgivings the addition of new board members capable of doing it" (p. 12). In addition he states that:

Too many boards give too little attention to their institution's financial support, which is a board responsibility second to none. . . Too often board members fail to recognize that they are central to the success of all fund-raising and that their strength determines the institution's fund-raising effectiveness. (p. 12).

When speaking of the importance of presidential involvement to the success of institutional fund-raising, Fisher (1985) noted that:

Presidents, particularly public college and university presidents, often lack the professional background to fully appreciate this important area. Most come from an academic milieu where fund-raising is associated with the local community chest drive and where the

prevailing attitude is one of skepticism coupled with cynicism and ignorance. Quite simply, a change in attitude must be the first order of business for all new presidents. Only then will they and their institutions be more fully appreciated and their development programs begin to produce results. (p. 50)

Some individuals recommend that nondevelopment personnel should be used for only certain parts of the major gift solicitation process. Winship (1984) states that representatives from the Massachusetts Institute of Technology reported that "Most volunteers are not effective in asking for the major gift - but very helpful in contacts and staging and joining visits" (p. 38). Similarly, Martin (1982) recommended that:

We must use volunteers carefully in the functions for which they are best suited. Nothing can be better than to have the right volunteer make the right introductions that eventually bring the donor for a visit to the campus. Then the top officers can take over and interest the person in some particular aspect of the institution. (p. 34)

Some authors suggest that the lack of availability of nondevelopment personnel is sometimes a critical factor in their not being used. Dunlop (1980) reports that Charles L. Taggart, Director of Development at Princeton University, commented that "If we always had the right volunteer available at the right time we would prefer to use a volunteer. But we do not always have the right volunteer willing and able to solicit, so sometimes staff will carry out assignments we would prefer to have given to a volunteer" (p. 30). Taggart goes on to explain, however, that "the substitution of staff for volunteers usually

occurred at the lower levels of campaign giving. At the higher levels of giving, the role of the volunteer becomes more important" (p. 30). In response to the question "If there is no good volunteer or available university officer or trustee to make the ask, should a development staff person do it alone?" (Dailey, 1986, p. 86), William F. Dailey, Principal Gifts Director at Stanford University stated: "Certainly, particularly if the alternative is that no ask is made" (p. 86). Finally, Whittier (1980) recommends that "a staff member should only make an asking call when there is no volunteer available who can do it nearly as well. A volunteer might not be as thorough in articulating the case, but he or she has infinitely more credibility" (p. 65).

Another problem involving the use of nondevelopment personnel, revolves around the fact that "Most people do not like to ask other people for contributions" (Sharpe, 1986, p. 71). Similar sentiments are echoed by Foote (1986) when he states that:

Most people, even trustees, would not choose fund-raising as their favorite pastime. Most would prefer to talk about other valuable human endeavors. Basic research, the quality of teaching, or the football team is always a more interesting subject than the gritty realities of asking people for money. (p. 75)

Sweet (1981) reports that "Volunteers often find participation in a fund campaign difficult -- even distasteful" (p. 22) because they are "generally uncomfortable about asking other people to give money. . .

anticipate being turned down. . . anticipate alienating those they ask. . . believe that they need an extraordinary amount of information and detail before they can meet someone. . . consider face-to-face conversation about giving a tough way to go" (p. 22). In a similar vein, Boyer, Associate Director of Development, Major Gifts, for The UCLA Foundation is reported by Jones (1982) as stating that "Beginning fund-raisers must realize that, when a prospect says no, it is not meant personally. . . This is the single most important reason why people are reluctant to make calls" (p. 43).

Several individuals suggest that there is presently a trend towards the solicitation of gifts by professional staff rather than by using nondevelopment personnel (Cosovich [cited in Dunlop, 1980, p. 30]; Dunlop, 1980, p. 31; Lawson, 1986, p. 34). In addition, Gurin (1986) reports that:

Once it was the practice for volunteers to make campaign solicitations; now that practice is no longer religiously observed. Columbia, which recently increased its campaign goal from \$400 million to \$500 million, has raised more than \$400 million to date mainly through staff solicitations. The university hired fund-raisers it believed could ask for even the largest gifts--and they got them. (p. 6)

There are many possible reasons for the rise in the use of paid solicitors. Lawson (1986) reports that "Because many of the most able solicitors are leaving the volunteer ranks, paid solicitors are on the rise, undermining the development officer's traditional role as a coordinator of

volunteer talent" (p. 34). He goes on to state that "Nor is paid solicitation as effective as peer-to-peer solicitation" (p. 34). Sterling, director of Major Gifts at Dartmouth College suggests that "the increasingly complex tax laws that now control the means of giving may be a factor causing this trend" (cited in Dunlop, 1980, p. 31), and Severance, Director of the Volunteer Leadership Appeal for M.I.T.'s \$225 million campaign notes that "the sheer magnitude of campaign goals and the size of constituencies have put a stress on fund-raising that has forced schools to look to new fund-raising procedures" (p. 31). Despite the apparent necessity of using paid solicitors in some situations, Dunlop (1980) strongly warns that:

The trend towards increased levels of staff solicitation must be viewed with some apprehension. The decision to use staff in place of volunteers should be carefully considered within the context of both long and short term objectives and of the fund-raising process as a whole.

Many contend that fund-raising, like selling, is primarily a matter of getting the order to commitment. This focuses a great deal of reliance on asking for the gift and it suggests that a campaign prospect's decision is largely conditioned by the "ask." This view may serve in the short run and for the objectives of a single campaign, but our institution functions in the long run and that perspective must also be taken into account. In the long run the campaign fund-raiser who focuses only on the "task," caring nothing for the institution's on-going relationship with the donor, does a disservice to the school and its benefactors.

Educational fund-raising is a business of taking initiatives to create awareness, interest, and involvement leading to commitment. To use staff in place of volunteers to accelerate these activities discards a golden opportunity for volunteer involvement at the moment it is most needed. It ignores the basic character of educational fund-raising and instead gives unbalanced priority to solicitation that may be a

detriment in the long run, all for the sake of "getting the job done." (p. 31)

Influencing Major Gift Prospects to Give

There are many reasons that nondevelopment personnel may be influential with potential major gift donors. Because of this, the process of carefully and effectively matching the correct solicitor(s) with the correct donor is of utmost importance. Panas (1984) strongly underscores this concept when he states that there is "No question about it, the quintessence of successful fund-raising is the careful and sometimes imaginative matching of askers to givers" (p. 78). Dunlop (1987) sees the process as one in which you "identify the prospect's natural partners at the institution" (p. 11), and in addition states that "For the top gifts, development officers may not be the best people to coordinate and develop this relationship with the prospect" (p. 11). Worth (1985) notes that "People generally give because of the individual who makes the request. Certainly donors must believe that the cause is important as well as support the institution and its mission, but these factors are not as important as the person who asks" (p. 51). Lord (1983) reiterates this same theme when he states that:

Once the volunteer and the prospect are together, the volunteer's own personal influence counts more than anything else. What the volunteer says to the prospect, and how he or she says it, will have the greatest impact on the outcome. (p. 76)

Panas (1984) warns, however, that "The most influential

person possible will not be your most effective solicitor unless he or she brings an immovable, overwhelming, uncompromising commitment to the program" (p. 184). In addition, Conrad (1985) points out that "each person's uniqueness makes any general approach weak" (p. 132), and thus "The characteristic that ultimately defines a major gift -- its individuality -- is the same characteristic that helps guarantee a successful call" (Watkins, 1987, p. 54).

Many authors recommend that in order to be effective, solicitors must be highly knowledgeable about the organization and project which they represent. John D. Rockefeller, Jr. (1984), strongly underscores this theme when he states that "First of all a solicitor must be well informed in regard to the salient facts about the enterprise for which he is soliciting" (p. 38). Goodale (1987) reiterates this same theme, if a bit more bluntly, when he states simply that "Knowledge is power, and the more knowledgeable the volunteer is about your organization and his prospect, the more likely he is to successfully solicit an important gift" (p. 35).

A solicitor's knowledge can be both of a general and a specific nature. G. Robert Klein, the head of a record-setting \$33.5 million dollar capital campaign at Ohio Wesleyan University stated that "a fund-raiser should know all about the institution, including its history, what gifts it needs, and the current status of its budget, scholastic

record, and enrollment" (Fillmore, 1984, p. 24). Prather (1981) also advocates the importance of a broad base of knowledge when he states the importance of "making certain that the person asking for the gift is thoroughly familiar with the Case Statement, knows all that is known about the prospect, knows specifically what he is asking for money for, and knows how to ask for the gift" (p. 30).

Knowledge of a highly specific nature can also be crucial to a solicitation. This fact is made evident by the comment of William F. Dailey (1986), Principal Gifts Director at Stanford University that:

While some major gifts are made on an unrestricted basis, more often a major gift is stimulated by the donor's interest in a specific subject area at your institution such as art, medicine, science, and so on. Thus, most major gifts are restricted as to purpose. (p. 83)

Seymour (1966) recommends that the answering of specific questions is "best done by the 'expert witness'--some top man or woman who is directly involved in the program to be discussed and has all the right answers for the expert questions" (p. 78). Leed (1987) notes that "effective calls on major prospects often include two people: a faculty member to describe the program and the need, and a development officer or volunteer to do the asking" (p. 17), and Solyn (1981) more specifically identifies the importance of faculty as sources of "state-of-the-art knowledge of specific fields" (p. 33).

Last of all, Watkins (1987) and Prather (1981)

relate facts that underscore the importance of well informed solicitors. Watkins (1987) reports that major gift solicitors who "have done their homework" (p. 50) are "knowledgeable, confident and, therefore they can be flexible in negotiating a gift" (p. 50), and Gabrielsen (1975) sagely advises that previous major donors are becoming increasingly sophisticated and "are demanding the evidence of sound financial management before they will invest more of their funds" (p. 117).

Various authors suggest that a second key element in influencing potential major gift donors to give is the personal persuasiveness of the asker. There are a number of specific reasons for this persuasiveness. Mitchell (1986) emphasizes the importance of "focusing on the needs of the donors, not the needs of the institutions" (p. 19), and Gupta (1984) reports that Janet Harris, a highly successful fund-raiser for Goucher College, "has a real knack for matching a cause to individual interests" (p. 32). Conrad (1985) takes this concept a step further when he states that "Your job as a solicitor is to educate your donor prospect about his own needs, and make him see how he helps himself by helping your organization" (p. 129). Information about a prospects interests and needs can often be inferred by studying past giving records for, as Panas notes, "Major donors do not bounce back and forth from one program and one organization to another. They tend to stay with those

programs and activities which have been of interest to them over a long period" (p. 67).

Another way in which solicitors can be personally persuasive with a potential major donor is by fostering belief in the role and mission of the organization which they represent. Gibson (1982) in reporting on an American Association of Fund-Raising Counsel polling of 205 donors who had made gifts of \$100,000 or more stated that "A whopping 92 percent of those polled rated 'belief in the institution' as very important in determining gift size" (p. 48). In support of this finding are the comments of Dr. E. Garland Herndon, Jr., on the Robert W. Woodruff family's \$105 million dollar gift to Emory University, the largest private gift in the history of American philanthropy, that "the development of an in-depth level of confidence in an institution, and the desire that that institution continue, in a very positive way, its mission of education, research, and service, were among the deciding factors" (Beierle, 1982, p. 22). Panas (1984) reports that "The mission of the organization remains supreme. In fact, it is by far the most salable commodity" (p. 67). In addition, Panas (1984) warns that:

You will make a serious mistake if you try to sell a specific project and there is no prior knowledge or identification with the organization's mission. This is crucial. You will not get a gift for your specific project. The evidence in this regard is quite clear. You will only succeed if there is a great belief in the role and function of the organization. Sell that foremost. . . When you feel that you have accomplished

this you are ready to talk about the campaign program or the specific project. (p. 136)

Another characteristic of personally persuasive solicitors is that "They are good listeners as well as good talkers" (Fox, 1984, p. 44), and that they "take a genuine interest in the prospect and what he or she has to say" (p. 44). Panas (1984) suggests that "you listen. You really listen. You hear what his hopes and aspirations are for the organization" (p. 115). G. T. Smith (1986) reports that "What wealthy people crave, more than anything else, is someone who is genuinely interested in them" (p. 2), and Knox-Wagner (1984) relates that when highly successful major gift solicitor Tom Ransom is talking with a potential major gift donor, "he makes them feel as if they are the most important people in his life" (p. 27).

There are additional characteristics which are repeatedly found in personally persuasive solicitors. For instance, they efficiently use the time allotted to them by the potential donor, rapidly getting to the point of their visits (Gupta, 1984, p. 19; Watkins, 1987, p. 54). Also, the donors with whom they have worked personally feel a deep joy and inner satisfaction following their gifts (Diffily, 1984, p. 11; Panas, 1984, p. 159). Another characteristic, sometimes present, is that of emotion. Panas (1984) reports that "people give to where there is the greatest emotional appeal and where they feel there is the most consequential opportunity for them to share" (p. 38). John D.

Rockefeller, Jr., (1984) notes that:

When a solicitor comes to you and lays on your heart the responsibility that rests so heavily on his; when his earnestness gives you evidence of how seriously interested he is; when he makes it clear that he knows that you are no less anxious to do your duty in the matter than he is, that you are just as conscientious, that he feels all you need is to realize the importance of the enterprise and the urgency of the need in order to lead you to do your full share in meeting it; he has made you his friend and brought you to think of giving as a privilege. (p. 39)

Several authors make recommendations as to activities to specifically avoid when attempting to persuade a potential donor to make a major gift. Lord (1983) reports that:

Unfortunately, many institutions still think of fund-raising as a 'hard sell'. They train a 'sales force' and put them in the field with sales objectives, quotas and sales promotion literature. But major prospects--those who have been contributing large sums of money for a long time--will resist. They have become hardened to aggressive, manipulative selling. (p. 77)

Also, Harold J. Seymour (1966) in his seminal work Designs for Fund-Raising recommends that the solicitor "never tell the donor what to do or how much to give; content yourself always with the expression of hope that he might give at such and such a level" (p. 76).

Last of all, William F. Dailey (1987), Principal Gifts Director at Stanford University, offers an important insight into the realities of being persuasive when soliciting major gifts:

I'd like to emphasize what I feel is the absolutely essential ingredient--the attitude of those of us whose job it is to secure truly large gifts. I do not believe it is possible to sell anything important or

expensive to someone else unless you are completely sold on the product yourself.

My product is Stanford, and I am deeply committed to both its present purpose and its further well-being. If you don't feel the same way about your college or university, you may be in the wrong line of work. But if you do, your prospective donors know it and many will be moved by it. Your loyalty and enthusiasm will be communicated to them so that they will share your feeling that you are inviting them to join in one of life's most rewarding endeavors, participation in a cause greater than oneself. (p. 86)

Many authors note the importance of the activities of the president or chancellor in influencing major gift donors to give. Rennebohm (1985) reports that the president "must be on call for those high-level solicitations where the prospective major donor wishes to deal only with the top officer. Egos become very large when most large gifts are made, and the president must be there" (p. 98). Similarly, Ashfield (1965) reported that "in the case of special or larger gifts which we hope to get, it is the head of the college that people want to see" (p. 100). Grenzebach (1984), when speaking of a capital campaign for whom he was consulting, related that "in most campaigns no one but the president could adequately represent the institution to prospective major donors" (p. 28). Bailey (1984), when noting the importance of having the president as a member of a major gift solicitation team, noted that "the president's presence will demonstrate that the donor's support is important to the institution" (p. 40), and "the president will know intimately the university's programs and will be able to speak from a professional and comprehensive

knowledge of the institution" (p. 40). Finally, G. T. Smith (1986) stated that "the number one reason people give one million or more is confidence in the leadership of the institution" (p. 1), and Whittier (1980) relates that:

The president, like it or not, remains the personification of the institution. The history of fund-raising is replete with stories of donors, both individual and organizational, who have made or withheld gifts based upon their perception of the president and his or her leadership. (p. 63)

Many authors suggest that potential major donors will often be favorably influenced if the person(s) making the solicitation have already made major gifts themselves (Bean, 1981, p. 10; Cosovich, 1979, p. 23; Prather, 1981, p. 58). This scenario can, for many reasons, positively influence the prospect to give. Watkins (1987) points out that by being prior major donors, the solicitor(s) have "demonstrated their own loyalty to the cause" (p. 50), and Fox (1984) states that, having already given, the solicitor can speak to the prospect about "the joy that comes from giving" (p. 44).

Patton (1986, p. 166) and Seymour (1966, p. 76) recommend that a good strategy is, as much as possible, to match solicitors with prospects who have a commensurate potential for giving. Lord (1983) modifies this concept of matching slightly when he recommends that the giving "level should be no less, according to the volunteer's means, than what the prospect is being asked to do" (p. 80). Similar concepts are echoed by Prather (1981) who states

that "it is imperative that the solicitor have made his commitment, in line with his capabilities, before asking others to do so" (p. 83), and by Conrad (1985) when he recommends that the "solicitor should have given the same percentage gift as the one he will ask the prospect to give" (p. 68). Conrad (1985) in addition reports that "It's acceptable to send a solicitor who makes a smaller income, as long as he donates the same proportion of that income" (p. 68).

Several authors suggest that the stature and personal achievements of a solicitor will often be of significance in influencing major gift prospects to give (Johnson, 1982, p. 41; Pray, 1981, p. 141; Seaman, 1986, p. 109). Fox (1984) relates that major gift prospects are often impressed by people of stature because the prospect realizes that these power people "can't make time for unimportant causes" (p. 44). Paul J. Franz, Jr. (1981), vice-president for development at Lehigh University, gives credence to this concept with a story he relates about a major gift solicitation made by the president of his university, accompanied by a trustee who was then chairman of the board of the U.S. Steel Corporation. Following the successful solicitation of a six figure gift the prospect commented:

Mr. President, I know why you have come--it is your job. But you, sir, (turning to the trustee) had an option. You are a busy man heading one of the country's largest corporations, and you have come across the country to speak about your university. I am impressed and I will give the amount you have asked.

(p. 161)

In addition, individuals of high stature and achievements are most often highly respected for their achievements, and Coll (1982, p. 46), Foote (1986, p. 78), and Panas (1984, p. 88) all speak of the importance of the solicitor being highly respected by the major gift prospect if that prospect is to be successfully influenced to give.

There is some controversy as to whether the personal friends of prospects are valuable advocates, when influencing their acquaintances to make large gifts. Lord (1984) reports that friendship between solicitor and prospect can be a positive influence, noting that if a prospect respects an individual as a friend and a peer then "he or she will also respect the cause you represent" (p. 36). Similarly, a 1986 national survey, The Charitable Behavior of Americans (Hodgkinson & Weitzman, 1986) which was commissioned by The Rockefeller Brothers Fund and published by Independent Sector, listed as one of its findings that "When large donors were asked what solicitation approach they were most likely to respond to, over 75 percent responded that they were likely to give when a person they knew well asked them to" (p. 53).

Panas (1984) delineates carefully as to the most effective use of friends in the solicitation process, reporting that "a friend or a peer can be of notable importance in opening the door for an interview and being

present for the solicitation. A friend may not, however, be the best person possible for interpreting the institution or asking for the gift" (p. 192). Panas (1984) explains his reasoning by stating that "Often, a friend will be overly protective and may find it difficult to overcome a 'I don't think so' attitude on the part of the potential donor" (pp. 175-176). Going still further, Panas (1984) notes that when a good friend makes a call on a potential major donor "He is almost certain to get something, but it will not be a gift of any magnitude unless the donor has great regard for the institution" (p. 79).

Conrad (1985) states flatly that "The solicitor shouldn't be a close friend of the prospect" (p. 68), and Patton (1986) recommends that past association or friendship between the prospect and solicitor "must nearly always be secondary to other matching strategies" (p. 166). Patton (1986) goes on to state, however, that "many volunteers feel more comfortable calling on someone they know" (p. 166). Also germane is the report by Gibson (1982) on research by the American Association of Fund-Raising Counsel, Inc., into the factors which had influenced 205 donors of \$100,000 or more to make their gifts. Of the five factors researched, "friendship and respect for solicitors" came out next to last in importance, with only 10.7% of the individuals listing it as "Very Important" in their decision making process (p. 48).

Various authors describe trustees as some of the most influential solicitors of major gifts. Broce (1986), for instance, reports that:

I have often told presidents, if they can get a nucleus of three to five excellent fund-raisers, they can change the world. In reality, on a twenty-four-member board, one should not expect more than five aggressive 'tigers.' If you've got that, you can let the rest coast--as long as they contribute sacrificially. (p. 208)

Foote (1986) reports that in order to be influential solicitors, trustees must first have made substantial gifts themselves. As Foote sees it, the process is one in which:

People give to people, and they give in proportion to their respect not only for the institution, but also for the person who asks them. This respect will be the greater if the asker has put his or her money on the line in generous measure. The trustees must have made their own commitments to be effective. (p. 78)

Ashfield (1965) reiterates a similar theme in her dissertation, The Role of the Trustee, as it Relates to Fund Raising, in Six Independent Liberal Arts Colleges, when she asks:

Who is going to say that this institution is worth great big money? The trustees must demonstrate this. . . by a process of steady indoctrination, trustees have been brought to the point where they have accepted the fact that they can't very well go to somebody outside the board and ask for half a million dollars unless somebody on the board is going to set the pace. (p. 113)

Trustees can, in a variety of additional ways, have a positive influence on prospects. Broce (1986) points out that "it is often the trustee who can get the solicitation team in the door" (p. 207). He goes on to also state that

"Some trustees are outstanding solicitors and can carry the load by themselves as long as the chief executive and staff are there for support if needed" (p. 207). Handlan (1981) relates that trustees can be influential simply by taking on their fund-raising assignments "with enthusiasm and by leaving no stone unturned in ensuring that prospective donors are given the information that will enable them to make a sound and thoughtful decision regarding support of the institution" (p. 79). Handlan (1981) continues by stating that "People give to people and donors will give to the trustees who carry the mission and needs of their institution in a positive, enthusiastic way" (p. 79). Finally, Prather (1981) notes that trustees can be influential simply by the excellence of their leadership (p. 94), and G. T. Smith (1986) reports that "The number one reason people give one million dollars or more is confidence in the leadership of the institution" (p. 1).

Numerous authors suggest that solicitors will be more influential if they are peers of their major gift prospects (Foote, 1986, p. 75; Gabrielsen, 1975, p. 133; Prather, 1981, p. 56). Williams (1976) relates that this peer relationship can be "based upon social standing, professional standing, and gift potential" (p. 165). Fisher (1985) states that this individual(s) "will often be a person similar in background, status, and influence to the potential donor" (p. 51). Brakeley (1980, p. 51) and Lord

(1983, p. 78) expand the peer concept somewhat by recommending that the solicitors status be equal to or even higher than that of the prospect, and Prather (1981) widens it even more by suggesting that:

'Peer' can be defined more broadly than it has in many instances. It is not always necessary that a prospect who is a millionaire be asked by a solicitor who also is a millionaire. Depending on what the gift is being sought for, it may be that a professor who is highly respected by the prospect is just the right person, in tandem with the president or a trustee, to ask for the gift. However, it is critical that the person(s) doing the asking must have the high respect of the major gift prospect for one reason or another. (p. 83)

To contrast somewhat as to the importance of the peer relationship, Panas (1984) states that:

the long-cherished concept is that volunteers and peers do the soliciting and are the most effective solicitors. Not so. Not in every case. Every situation is an opportunity for a highly thought-out and considered plan. Like waging war, a separate campaign may be needed for each individual donor. Each situation is different. (p. 78)

The influence that a peer relationship can bring to bear on a solicitation is revealed in the statement by Hotchkiss (1982) that:

A peer solicitor represents more than just the institution in a fund-raising situation. Because a peer isn't on an institution's payroll, and because he or she is supporting a cause voluntarily, that cause takes on added value in the prospect's eyes. A chief development officer, although an exemplary institutional representative, is usually only that. (p. 53)

An interesting insight into the nature of peer relationship is seen in the statement by Gibson (1982) that "people give to causes through people, and I continue to believe that a

peer relationship between asker and giver is important; irrespective of the friendship issue" (p. 49).

The influence of similar net worth for both prospect and solicitor is revealed in the comment by Dailey (1986) that "the best volunteer asker is someone who is both a peer of the prospect and who has already made a gift of the same magnitude" (p. 86). This same concept is advocated when Patton (1986) states that the best strategy "matches a volunteer of a certain giving potential with a prospect in the same category" (p. 166). The actual power and influence of money in a peer relationship can be seen in the statement by Franz (1981) who, after a successful six figure solicitation, related that:

The prospect was aware that the trustee was fully capable himself of making a gift in the magnitude of the one he was soliciting. The prospect was also aware that the trustee had a long record of generous giving and that he believed in the university that he represented. (p. 161)

The skillful cultivation of prospective major donors is necessary if these individuals are to be influenced to give. Dunlop (1987) sees the process as one which "emphasized the building of genuine relationships with prospective givers and involving them in the life of the institution" (p. 8). Dunlop continues by stating that "It requires attention to the needs of the giver as well as the needs of the institution" (p. 8), and that "This is best done by the people naturally involved with the prospect regardless of their position with the institution" (p. 8).

Attending to the needs and wishes of the prospect is of primary concern if the prospect is to be favorably influenced. Panas (1984) reports that "you will be most successful in securing the mega gift if you can determine in advance and during the call, the donor's motivation" (p. 196). Bailey (1984) underscores this concept when she states the importance of determining "the reasons why your prospect should be interested in giving to you" (p. 39). Following a survey of 190 small college advancement programs by the Council of Independent Colleges, Willmer (1987) reports, with regards to donor motivation, that:

Of the reasons they gave, these two predominate. (1) belief in the mission of the institution and (2) trust in and loyalty to the institution. The third most common reason is the quality of the institution, and the fourth is community responsibility. (p. 53)

Young (1981) indicates some similar motivations when he reports that:

T. Willard Hunter (1968), a CASE member, interviewed thirty donors who had each made a gift of \$1 million or more. He found that the motivating factors most often mentioned by them were:

1. "Self-generated convictions" as to the institution's merits.
2. Objectives and plans of the institution.
3. Efficiency of the institution.
4. Competence of the institution's leadership.
5. Tax advantages. (p. 75)

Young (1981) went on to note that "The first four reasons for giving indicate donors' knowledge about a given institution" (p. 75) and that "the development team can ensure that this kind of information is provided to each

major prospective major donor" (p. 75). Parker (1981) reports that in communicating with prospects "nothing takes the place of one-to-one communication between donor and the volunteer or development staff" (p. 79). Parker (1981) carries this concept further by quoting Robert Kaiser, director of the Bequest and Trust Program at Dartmouth College, on the fact that in addition, "It is regularity and constant reminding that brings results" (p. 80). The importance of ongoing communication is underscored by the report of Beierle (1982) that the Robert W. Woodruff family's gift of \$105 million dollars to Emory University "grew out of the Woodruff family's 42-year history of giving to Emory" (p. 23).

Certain individuals are especially skillful in influencing the prospect during the actual "ask" for a major gift. The importance of these skills cannot be underestimated for, as Jerold Panas (1984) stated after interviewing thirty-one individuals who had made an individual gift of one million dollars or more, "only three donors acted on a printed campaign brochure, and in the case of these three, the printed folder was of little influence. It was the verbal presentation that made the difference" (p. 122). Conrad (1985) offers a somewhat modified view when he suggests that a proper matching of prospect and solicitor on such background items as the percentage the gift is of one's income, inherited versus newly earned

wealth, and lifestyle are "much more important than skill in solicitation technique. Skills can be learned. Background can't" (p. 68).

While every major gift solicitation is ultimately individualized, certain personal qualities and solicitation techniques are repeatedly seen as important. Both Lord (1984, p. 36) and Watkins (1987, p. 50) list courage as an important personal attribute. As Watkins (1987) points out, "let's face it, people who are asking for major gifts have to have courage" (p. 50). He continues by also pointing out to fellow development specialists that courage "is something that doesn't necessarily carry over from the outer world to the specialized task you are asking volunteers to take on" (p. 50). Other important personal qualities listed by Lord (1984) are enthusiasm, patience, and persistence (p. 36). Coll (1982) reiterates the importance of enthusiasm, noting that the solicitor should "Ask for the gift in a positive and enthusiastic manner without any trace of apology in your speech or mannerisms" (p. 46), and Fox (1984) underscores the importance of persistence, stating that successful solicitors "find ways to negotiate around the word 'no.' They refuse to accept signals that say, 'Please go away and leave me alone.'" (p. 44). Panas (1984) recommends that the approach be "Firm, interpretive, persuasive. But any attempt at what appears to be heavyhandedness is a turn-off" (p. 84), while G. T. Smith (1986) suggests that an

idealistic or visionary prospect may be most responsive to a dramatized presentation (p. 7).

Lord (1984) recommends certain specific techniques as being especially effective for the in person solicitation. Among these approaches are such things as discussing common concerns, listening without judging, talking about your own commitment, introducing the suggested asking figure, discussing giving methods, providing a rationale for the gift, and, as necessary, making follow-up visits (pp. 36-37). With regards to additional visits, Coll (1982) states that:

Major gift commitments seldom happen on the spot. If the prospect needs time to discuss the gift with his or her family or financial advisers, set a specific time for a member of the team to contact the prospect for a decision. Don't let passing time erode the effect of your appeal. (p. 46)

Coll (1982) continues by stating that the solicitor should "thank your prospect regardless of the decision" (p. 46), noting that:

A prospect may decline an appeal today only to respond favorably later to a different solicitation.

Remember, you are raising friends. Your effort should end with having made another institutional friend, regardless of your success or failure in obtaining a gift. (p. 46)

Authors offer interesting views as to the effects of alumni affiliation on the solicitation of major gifts. For instance, Ruth Goldbloom, a highly successful fund-raiser for Mount Saint Vincent University suggests that a graduate of Mount Saint Vincent should approach another graduate

about a gift because:

It's easier to appeal to a prospect's specific interest in the institution if the solicitor shares a similar background. "Plus, a graduate could say, 'I have given X amount of money over a five-year period,' and could give some indication of how much money most alumnae donate." (Gupta, 1984, p. 20)

The fact that an individual is an alumnus and has contributed can also aid in the major gift solicitation process because, as noted in Beeler's 1982 dissertation A Study of Predictors of Alumni Philanthropy in Private Universities, "philanthropists regard alumni support as an indication of faith in the institution and its mission, and thus as a measure of the college's worthiness for further support" (p. 1).

Authors offer mixed opinions as to the importance of strongly valuing much experience by a solicitor, as a predictor of his or her ability to influence a major gift prospect. Conrad (1985) reports that "Many organizations make the mistake of sending out their most experienced solicitor to their best prospects. While this sometimes works, it's more important to send out a trained solicitor who is compatible with the prospect" (p. 67). In addition, Conrad (1985) warns that an organization should "Never let a solicitor go out alone for the first time. Instead, send him out as an observer two or three times with an experienced solicitor. Then send him out with an accompanying trainer who observes as the trainee solicits" (p. 70). Speaking with regards to the positive value of

experience in solicitation by major gift volunteers, Watkins (1987) notes that "Generally speaking, if people have triumphed once, you can convince them to go out and do it again" (p. 50).

There are additional reasons why solicitors may, in certain situations, be influential with prospective major donors. For instance, current career interests, the fact that "doctors talk to doctors, lawyers to lawyers, teachers to teachers, and so on" (Patton, 1986, p. 166) may be of importance when matching solicitor with prospect, and thus in ultimately influencing the outcome of the solicitation. Conrad (1985) and Panas (1984) both recommend that the sex of the solicitor should sometimes be taken into consideration when matching. Panas (1984) reports that "It is difficult for a younger woman to solicit an older woman or widow" (p. 184), and also that "Young, attractive women are not effective in soliciting large gifts from middle aged men" (p. 184). Conrad (1985) recommends that "it is better to have men solicit women" (p. 127), but continues by stating that "women donors are often excellent solicitors" (p. 127). As to additional considerations, Beierle (1982) reports that the influence of a close family member, as was the case with George Woodruff in influencing his brother, Robert, to make a gift of \$105 million to Emory University, is also sometimes of importance (p. 22). Also, Conrad (1985) reports that the economic leverage of matching a

prospect with his best customer can often be of influence (p. 69). Another factor important to remember is the process of "self influencing" which occurs during the solicitation process. Dunlop (1980) reports that:

As volunteers enlist workers and solicit gifts for a campaign, their own perspective of the institution they serve tends to change from the third person--from the "they," "them," and "those"--to the first person, in which they speak and think in terms of "I," "we," and "us." This shift becomes important when the volunteer considers his or her own gift to the campaign. Their commitment is no longer a gift to someone else's project, but to their own. (pp. 30-31)

Finally, it is important to remember the comments of both Prather (1981) and Dunlop (1986) with regards to the nature of the major gift solicitation process and the individuals who participate in this process. Prather (1981) states that:

If an institution has an informed and articulate volunteer -- one who knows and loves the institution and who has made his own gift -- and who is asking a peer who has been carefully cultivated, then that institution can rest assured that it has done all it can and that if a gift is possible from that particular prospect at that particular time, it will be forthcoming. Even if the gift is not given at that particular time, much will have been gained and little lost. The institution will know itself better, and the volunteer who did the asking and the prospect will both have a far greater understanding of the institution. This understanding may reap benefits in the years which follow. (p. 31)

It is also wise to remember the comment of Dunlop (1986) that:

The measure of dollars and donors has long been the standard of fund-raising success. Major gifts, however, are often not realized until long after the initiatives that spawned them--sometimes years or even decades later. The timing of a truly major gift is

more often tied to the life cycle of the giver and to the cumulative effect of initiatives than to a specific fund-raising initiative or even to the institution's need. For these reasons, counting dollars and donors in a given year is a very poor indicator of fund-raising effectiveness. (p. 323)

Chapter Summary

Chapter two is a review of pertinent literature on the roles of persons other than professional development staff in the solicitation of major gifts from private individuals. More specifically, the literature discusses the roles of trustees, the president/chancellor, private citizens, and nondevelopment staff including the faculty, in the four steps of the major gift solicitation process: identification and rating of the prospect, cultivation of the prospect, the actual in person solicitation of the prospect, and finally the thank-you process following the gift.

The review begins with a short explanation of the vast dollar amounts which are each year given to philanthropic causes in the United States, and continues with an explanation of the importance of these gifts to higher education. Within this explanation is a discussion of the importance of very large gifts, defined as major gifts and as having a value of \$100,000 or greater.

The next section of the literature is involved with an explanation of the importance of the specific roles played by each of the four groups of nondevelopment personnel in the overall solicitation process. This is followed by a

review of literature which, in sequence, discusses the myriad activities involved within each of the four steps of the major gift process. The first step, identification and rating, contains discussions of such topics as various methods for compiling initial prospect lists of potential major gift donors, followed by explanations of various ways to effectively screen, rate, and then subdivide the prospects into various groups, based upon their perceived ability for giving.

The second step in the major gift process, which is involved with the cultivation of the prospect, discusses such topics as the importance of drawing the prospect closer to the school through personal involvement in institutional activities, the development of friendly and personal relationships between the prospect and specific representatives of the school, and the importance of remembering that the cultivation process for a major donor will often involve months or even years of activity.

The third step in the major gift process, the in person solicitation of the prospect, is next discussed. This section reviews such topics as the importance of careful preparation in advance of the meeting, the choice of the person or persons to be present for the "ask" and who should actually make the "ask", and finally, guidelines for effectively and pleasantly bringing the solicitation to closure.

The fourth step in the process, the thank-you following the gift, discusses the appropriateness and timing of different forms of recognition, the person or persons to do the thanking, and the importance of the thank-you process as a form of continued cultivation which will, hopefully, result in another still larger gift in the future.

The literature section which follows the four steps discusses certain situations in which nondevelopment personnel are not utilized, or have a limited role in the major gift solicitation process, and why. Also discussed is the reasoning behind certain schools' decisions to have their major gift process carried out almost exclusively by members of the professional development staff.

The last section of the literature review discusses various reasons why each of the four groups of nondevelopment personnel may be influential with prospective major gift donors. Topics such as the potential influence of having the school's president or trustees being involved in the process, the importance of an individual of high personal stature or achievement being involved, or the potential influence of the solicitor(s) being very well informed are, among other positive aspects, discussed.

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CHAPTER III

RESEARCH METHODS AND PROCEDURES

Introduction

This study was conducted in order to explore the role of persons other than professional development staff in the solicitation of major gifts from private individuals for selected senior colleges and universities as perceived by senior development officers. Nondevelopment personnel were divided into four groups: trustees, presidents or chancellors, private citizens, and nondevelopment staff including the faculty. Their services were examined in the four steps of the major gift solicitation process: identification and rating of the potential major donor; cultivation of the potential donor; the actual in person solicitation of the gift; and finally the thank-you process following the gift.

In the course of formulating and researching the dissertation question, the holdings of a number of different libraries and computer data retrieval services were utilized. In Washington, D.C., the resources of the Foundation Center, Independent Sector, the Council for Advancement and Support of Education (CASE), and the Gelman Library of The George Washington University, all received

careful scrutiny. Additional research was done at the offices of the National Society of Fund Raising Executives (NSFRE) in Alexandria, Virginia, and Volunteer: The National Center, in Arlington, Virginia. In addition, computer assisted searches were done at the Educational Resources Information Center (ERIC) Clearinghouse on Higher Education, One Dupont Circle, Washington, D.C., and a DIALOG search was conducted utilizing the services of the Computer-Assisted Research Service at the McKeldin Library of The University of Maryland, College Park. Further computer assisted research was done utilizing the ERIC laser disc holdings at the Gelman Library of The George Washington University. Additional information was received from the National Association for Hospital Development in Falls Church, Virginia, and from the United Way of America, in Alexandria, Virginia. The library holdings of CASE and NSFRE, and the ERIC computer laser facilities at the Gelman library were all deemed to be especially helpful to this research. Last of all, both the late Dick Wilson, past president of the National Society of Fund Raising Executives, and Jack Schwartz, then president of the American Association of Fund-Raising Counsel, Inc., repeatedly and thoughtfully offered their sage counsel on the topic under study.

The purposes of the study were to (a) describe and (b) determine the role of individuals other than professional development staff in the solicitation of major

gifts from private individuals for selected colleges and universities as perceived by senior development officers.

A survey was constructed to gather data from the 223 senior colleges and universities which were selected for the research population. Included in this chapter are descriptions of (a) the research design, (b) the population, (c) the selection of subjects, (d) the instrument, (e) the procedure for collecting data, and (f) the treatment of the data.

Research Design

This study was designed as an exploratory relationship study, to determine and describe the role of nondevelopment personnel in the solicitation of major gifts from private individuals for senior colleges and universities.

Population

The population encompassed all accredited, degree granting four year colleges and universities in the United States which solicit major gifts from private individuals.

Selection of the Subjects

At present there is no philanthropic directory which gives a comprehensive list of all gifts of \$100,000 or greater by private individuals to senior colleges and universities in the United States. The closest that one can come to finding a comprehensive summary of information on larger gifts is by looking at the report on gifts of \$5000

or greater (for current operations) found in Voluntary Support of Education, the annual report of the Council for Aid to Education (CFAE) (1988, p. 11). In this summary CFAE notes, however, that they were unable to calculate the average size of these larger gifts because "not all respondents reported both the number and dollar amounts of these gifts" (p. 11), and this fact reflects the reluctance of some schools to release information about gifts of this size, or larger.

However, it was possible to establish a reasonably complete list of schools with recent success in major gift solicitation from private individuals by examining the indexes of individual gifts reported in Giving USA, Philanthropic Digest, and The Chronicle of Higher Education, between January 1, 1985, and December 31, 1987. A period of three years was chosen because of the relatively rapid rate of turnover which is presently occurring for senior development officers at institutions of higher learning (McNamee, 1986, p. 9).

Review of these periodicals resulted in a list of 223 senior colleges and universities which were reported as having received one or more gifts of one million dollars or greater from private individuals during this three year period, and these schools were used as the subjects for this investigation.

While not entirely comprehensive, this group of 223

subjects most probably encompassed the vast majority of schools at which the Offices of Development had in recent years, demonstrated both a high level of skill in the solicitation of major gifts from private individuals, and a willingness to release information about this process.

Description of the Instrument

The questionnaire (see appendix A) enabled the collection of information which both determined and described the role of nondevelopment personnel in the solicitation of major gifts, and thus carried out the purposes of this research as indicated in chapter I.

The research instrument began with an overview which for the purposes of this study gave restricted meaning to certain terms (see Definition of Terms in Chapter I), and also gave the respondent specific guidelines for answering questions. These directions were followed by simple fill in the blank questions which collected background information on the size of the professional development staff at each school, the staff's utilization of nondevelopment personnel in the major gift solicitation process, and the office's overall success in soliciting non-revokable gifts of \$100,000 or greater from private individuals between January, 1985, and the time of the data collection.

The next section of the instrument was a forced choice question (yes, no) which determined whether nondevelopment personnel commonly played a significant role in some aspect

of the major gift solicitation process at their school. If nondevelopment personnel were not commonly used at their school, then the respondent was asked to rank order the top three reasons for this no, out of the eight possible responses (including "other") which were provided. If

nondevelopment personnel did commonly play a significant role in some aspect of the major gift solicitation process then the respondent was asked to rank order the top three reasons out of the twenty-four provided (including "other") that each of the four nondevelopment groups was influential with major gift prospects, and also how important (graduated scale of one to five, with five being labeled "Very Much Importance", and one being labeled "No Importance") each of the four groups were to each of the four steps in the major gift solicitation process. To

obtain content and construct validity in the instrument, a selected group of individuals in higher education, educational research, and with a background in development reviewed the questionnaire. Each member was provided with a statement of the problem, purposes of the study, a content validity guide adapted from Wiseman and Aron (see appendix F), and the research questionnaire. This group of reviewers included among others, a vice-chancellor for university development, two vice presidents for development, and a senior college development specialist with over twenty-five years of service to the profession.

Any item considered inappropriate by a majority of these reviewers was revised and resubmitted, or eliminated. A content validity guide from Wiseman and Aron (1970, pp. 39-40) (see appendix F) also served as a basis for evaluating the overall design and clarity of the instrument.

Procedures for the Collection of Data

A questionnaire (see appendix A) with enclosures (see appendices B, C) was mailed to the Chief Development Officer of the 223 schools which were chosen to be in the sample group. The questionnaire was completed by the Chief Development Officer and returned to the researcher in a self-addressed, prepaid envelope for compilation and analysis.

The initial decision to use a mailed questionnaire as the survey instrument was based primarily upon the wide geographic distribution of the respondents and the busy schedule, and the difficulty of contacting many Chief Development Officers through telephone or personal interviews. On the other hand, responses to mailed questionnaires have often been reported to have a low response rate (Forcese & Richer, 1973, p. 168; Grosf & Sardy, 1985, p. 145). However, Dillman (1983) reports that researchers using his Total Design Method (TDM), for mailed surveys have had "response rates of over 90% from university alumni, citizens on statewide task forces, chief justices of state supreme courts, and sociologists employed in land-

grant universities" (p. 360). He goes on further to state that "22 studies that have used the TDM to a considerable degree, but not completely, have averaged a 67% response" (p. 360), and that "No study using the complete TDM has achieved a response rate below 60%" (p. 360).

Initial inquiries among college and university development specialists and especially the comments by the development professionals who reviewed the instrument for content and construct validity, indicated that there was much enthusiasm within the development community for research in the area of major gift solicitations. The report by Forcese and Richer (1973, p. 168) that a "respondents cooperation is a function of his interest in the subject matter" (p. 168) and "will depend upon how important he judges the research to be" (p. 168) further bolstered belief in this type of data collection instrument. These factors, combined with the problems associated with the wide geographic distribution and busy schedules of potential respondents, ultimately led to the selection of a mailed questionnaire as the best vehicle for data collection in this research.

In an effort to maximize the response rate, the Total Design Method suggested by Dillman (1983, pp. 360-373) was utilized as a guideline for data collection mailing procedures. A reminder postcard (see appendix D) was mailed to the respondents one month after the initial mail-out. A

second cover letter (see appendix E) and replacement survey (see appendix A) was sent to those individuals who had not responded within three weeks of the mailing of the first reminder postcard. Finally if needed, a second reminder postcard (see appendix D) was mailed two weeks after the mailing of the second cover letter with its replacement survey.

In order to further maximize the rate of return for the questionnaire, the following procedures were completed in addition to those recommended by Dillman (1983, pp. 360-373). First, a short telephone call was made to the office of each Chief Development Officer on the day of the mailing of the initial questionnaire to that office. An attempt was made to speak directly to the Chief Development Officer to personally inform them of the nature of the questionnaire which would soon be arriving, and also to ask them to please participate in the survey. During the course of this call the correct name, title, and address of the Chief Development Officer was also obtained, and the potential respondent was informed that the questionnaire was simple and quick to complete. A telephone call confirmation of correct name, title and address was found by the researcher to be much more important than initially anticipated, for approximately half of the information found in the most recent addition of a national directory of college and university development offices was incorrect.

If the Chief Development Officer was unavailable at the time of the call, then a message was left with the administrative assistant or secretary of the Chief Development Officer and they were asked to pass the information on to their superior upon the arrival of the questionnaire. To help insure that this process would occur the questionnaire packet, while addressed to the Chief Development Officer, was also addressed to the ATTENTION OF the administrative assistant or secretary with whom the researcher had individually spoken. This attention-of procedure was continued through all mailings after the first.

To further optimize the chance for return of the questionnaire, a graphic artist was employed to do art work and layout design for the questionnaire, a direct mail specialist was consulted about the effects of paper color on levels of response, high grades of paper was used for all components of the packet, and a card (see appendix c) was enclosed which when returned with the completed questionnaire enabled the Chief Development Officer to receive a copy of the results of the survey.

While the extra effort made in the physical construction of the survey, and the individual telephone calls to potential respondents did result in increased expenses, the accuracy of data collected and a response rate of 72.7% made the additional expenditures of time and money

seem, in the end, most worthwhile.

The Treatment of Data

The purposes of this study were to both determine and describe the role of persons other than professional development staff in the solicitation of major gifts from private individuals for selected colleges and universities as perceived by senior development officers. The data were first coded using the Lotus 1-2-3 software package version 2.0. Frequencies and percentages were then calculated for the data using an SPSS/PC+ V2.0 software package. Finally, results deemed significant were arranged into tables using the PFS First Choice V3.01 software package. All data analyses were completed on an IBM XT/PC.

Chapter Summary

The research design for this dissertation was an exploratory relationship study to determine and describe the role of nondevelopment personnel in the solicitation of major gifts from private individuals for senior colleges and universities.

The population encompassed all accredited, degree granting four year colleges and universities in the United States which solicit major gifts from private individuals. Research subjects were selected from this population by compiling a list of the schools where gifts of one million dollars or greater from private individuals, had been

reported in either Giving USA, Philanthropic Digest, or The Chronicle of Higher Education between January 1, 1985, and December 31, 1987. The resulting list of 223 schools, while not entirely comprehensive, most probably encompassed the vast majority of schools at which the Offices of Development had, in recent years, demonstrated both a high level of skill in the solicitation of major gifts from private individuals, and a willingness to release information about this process.

The research instrument was a mailed questionnaire. This particular technique of data collection was chosen because the sample population had a wide geographic distribution, and the respondents had busy daily schedules which would have made it difficult to collect information through telephone or personal interviews. The individual questions in the instrument were of Likert type, fill in the blank, forced choice, and rank order design.

The Total Design Method suggested by Dillman (1983, pp. 360-373), was used as a guideline for data collection and mailing procedures. To further maximize the rate of return for the questionnaire, the services of graphic artist and direct mail specialist were used in the design and layout of the questionnaire, and individual telephone calls were made to each Chief Development Officer on the day of the mailing to his or her school. In toto, these procedures resulted in a response rate of 72.7%. The data were first

coded using the Lotus 1-2-3 software package. Frequencies and percentages were then computed using SPSS/PC+ software, and the results deemed significant were then arranged into tables using PFS First Choice software V3.01.

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CHAPTER IV

PRESENTATION AND ANALYSIS OF THE DATA

Introduction

The purpose of this chapter is to present the results of research into the role of persons other than professional development staff in the solicitation of major gifts from private individuals for selected senior colleges and universities as perceived by senior development officers. In this chapter will be found a description of the responding institutions, a presentation of findings from the analysis of data, and a summary of the findings.

Description of Responding Institutions

Data were collected from July 20, 1988, through October 25, 1988, and during this period 162 of the 223 institutions selected as subjects for this study returned the questionnaire, for a response rate of 72.7%. In some cases the institutions did not reply to every item on the questionnaire, and thus the number of data items (n) may vary for the analyses of different variables.

All institutions participating in this research were assured of complete anonymity, and thus there are no references made to any specific college or university.

The responding schools were drawn from all regions of the United States, ranged in size from small private institutions to large public campuses, and their full-time professional development staffs ranged in size from zero to 120. This range is somewhat deceptive, however, because other than the school reporting a full-time staff of 120, and another a staff of 85, the largest staffs were two school reporting full-time professional staffs of 65. The distribution of the schools by size of full-time professional development staff was positively skewed (see Table 1) with 65 of the schools (41.7%) having full-time professional development staffs ranging in size from 0 to 5, and fully 73.7% of the schools (115) having development staffs of ten or fewer.

Table 1

Distribution of Schools by Size of Development Staff
n = 156

Size of staff	# of schools (f)	% of schools
0 through 5	65	41.7
6 through 10	50	32.0
11 through 15	15	9.6
16 through 20	7	4.5
21 through 30	6	3.8
31 through 40	4	2.6
41 through 120	9	5.8

The most frequently occurring number of staff members was 5, with 18 schools reporting a full-time staff of this size. The median staff size was 6, and the mean of the staff size was 11.

Findings

Research Question Number One

Research question number one was concerned with determining the percentage of schools in which nondevelopment personnel commonly play a significant role in some aspect of the major gift solicitation process. Of the 156 schools reporting on this variable, 146 stated that nondevelopment personnel do commonly play a significant role in some aspect of the major gift solicitation process, and 10 schools indicated that nondevelopment personnel are not in some way involved in the process. Statistics on this variable appear in Table 2.

Table 2

Frequency and Percentage of Use of Nondevelopment Personnel

n = 156

Utilized/not utilized	f	%
Nondevelopment personnel are utilized	146	93.6
Nondevelopment personnel are not utilized	10	6.4

Research Question Number Two

Research question number two was concerned with determining why some schools choose to not use nondevelopment personnel in their major gift solicitation process. Ten schools out of 156 reported that nondevelopment personnel did not commonly play a significant role in any aspect of this process. These schools were asked to select the top three reasons from a list of eight options (A through H) including "Other", that nondevelopment personnel were not used in their program. A value of 3 was assigned to the top reason, a value of 2 to the next most important reason, and a value of 1 to the third reason. These values were then multiplied by their frequency of response and the values summed, thus producing a weighted value which showed the relative importance attributed to each reason. The weighted values were then converted into percentages to facilitate the reporting and comprehension of these data. The data are presented in Table 3.

Table 3

Reasons Nondevelopment Personnel Are Not Utilized

n = 10

Reason for nonutilization	Weighted value	%
Lack of time and resources to train nondevelopment personnel	17	34.0
Unavailability of nondevelopment personnel	8	16.0
Inefficiency of nondevelopment personnel	4	8.0

The trustees, president/chancellor, private citizens or nondevelopment staff/faculty do not think that it is their responsibility to help in the major gift solicitation process	10	20.0
The trustees, president/chancellor, private citizens or nondevelopment staff/faculty do not like to help in the major gift solicitation process	8	16.0
Delays caused by nondevelopment personnel in scheduling solicitation	0	0.0
Personal belief that the use of non- development personnel is counter- productive to the major gift solicitation process	1	2.0
Other	2	4.0

Two schools reported "other" as one of their answers to research question number two. The first school stated that one of the reasons they did not use nondevelopment personnel was grounded in "historical patterns. We have never involved nondevelopment personnel". The second school stated that one of the reasons they did not utilize these personnel was because of the "diversity and complexity of the university".

Section D of research question two asked the following question:

The (Please check if applies):

- () Trustees () President/Chancellor
() Private citizens () Nondevelopment staff/faculty

do not think that it is their responsibility to help in the major gift solicitation process.

Two institutions reported that nondevelopment personnel "not thinking it their responsibility" was the most important reason that their schools did not utilize these personnel, and two other schools reported that this was the second most important reason. Statistics appear in Table 4 as to the frequency of groups of nondevelopment personnel having been reported as not thinking it their responsibility to help in the major gift solicitation process.

Table 4

Frequency of Nondevelopment Personnel Reported As Not Thinking It Their Responsibility To Help In The Major Gift Solicitation Process

n = 4

Nondevelopment group	f	%
Trustees	3	33.3
President/chancellor	1	11.1
Private citizens	2	22.2
Nondevelopment staff/faculty	3	33.3

It should be noted from Table 4 that the data collected were from only four schools, and that these schools reported that they did not utilize nondevelopment personnel in any aspect of their major gift solicitation process.

Section E of research question two asked the following question:

The (Please check if applies):

- () Trustees () President/Chancellor
 () Private citizens () Nondevelopment staff/faculty

do not like to help in the major gift solicitation process.

One institution reported that nondevelopment personnel "not liking to help" was the most important reason that their school did not utilize these personnel, two institutions reported that this was the second most important reason, and one school reported that it was the third most important reason. Statistics appear in Table 5 as to the frequency of these groups of nondevelopment personnel having been reported as not liking to help in the major gift solicitation process.

Table 5

Frequency of Nondevelopment Personnel Reported As Not Liking To Help In The Major Gift Solicitation Process

n = 4

Nondevelopment group	f	%
Trustees	3	37.5
President/chancellor	1	12.5
Private citizens	2	25.0
Nondevelopment staff/faculty	2	25.0

It should be noted from Table 5 that the data collected were from only four schools, and that these schools reported that they did not utilize nondevelopment personnel in any aspect of their major gift solicitation process.

Research Question Number Three

Research question number three was concerned with determining what percentage of total major gift dollars were solicited with nondevelopment personnel having played a significant role in some aspect of the solicitation process. For the 144 schools reporting on this variable, the percentages ranged from 1% to 100% with a mean of 56.9%. The median value was 50.0% and the most commonly reported value was also 50.0%, with 28 (19.4%) schools out of the 144 having reported this value.

The distribution of frequencies were then analyzed, showing a trimodal pattern with a leptokurtic spike at 50%. These data are presented in Table 6.

Table 6

Distribution of Percentages of Major Gift Dollars Solicited with Nondevelopment Personnel Having Played a Significant Role in Some Aspect of the Solicitation Process

n = 144

Range in %	Frequency (f) of schools reporting in each range	% of Schools reporting in each range
0 through 10	13	9.0
11 through 20	11	7.6
21 through 30	15	10.4
31 through 40	9	6.3
41 through 50	28	19.4
51 through 60	4	2.8

61 through 70	5	3.5
71 through 80	20	13.9
81 through 90	23	16.0
91 through 100	16	11.1

The data were also arranged by size of professional development staff, to see if schools with larger or smaller staffs reported higher or lower percentages of major gift dollars having been solicited with nondevelopment personnel playing a significant role. A wide range of values was reported within each range of staff sizes, and no discernable pattern was evident as to larger or smaller staffs reporting higher or lower percentages of major gift dollars being solicited with nondevelopment personnel having played a significant role. These data are shown in Table 7.

Table 7

Percentage of Major Gift Dollars Solicited with Nondevelopment Personnel Having Played a Significant Role in Some Aspect of the Major Gift Solicitation Process, as Arranged by Size of Professional Development Staff

n = 144

Size of staff	Frequency (f) of schools reporting in each range	Mean of % of major gift dollars solicited with nondevelopment personnel playing a significant role
1 through 5	61	60.0
6 through 10	47	51.3

11 through 15	14	50.2
16 through 20	6	74.2
21 through 30	4	40.8
31 through 40	4	81.0
41 through 120	8	60.4

Research question number Four

Research question number four examined the 56.9% of major gift dollars which were reported as being solicited with significant involvement by nondevelopment personnel (see research question #3), and asked what percentage of this major gift success could be attributed to each of the four groups: trustees, president/chancellor, private citizens, and nondevelopment staff including the faculty. One hundred and twenty-two institutions reported on this factor for trustees. The percentages ranged from 0% to 90% with a mean of 25.8%. The median value was 25% and the most frequently reported value was 20%. For the 129 institutions reporting on this factor for the president/chancellor, the average percentage of success attributable was 40.5%. The values ranged from 5% to 100%, with a median value of 45%, and a mode of 50%. One hundred and one schools reported on this factor for private citizens. The average percentage of major gift success attributable to this group was 18.7%. The values ranged from 0% to 80%, with a median value of 15% and a mode of 10%. For the 104 institutions reporting on

this factor for the nondevelopment staff and faculty, the average percentage of success attributable was 15.0%. The values ranged from 0% through 100%, with a median value of 10%. The most commonly reported value was 5%. The data are presented in Table 8.

Table 8

Percentage of Major Gift Success Attributable to Each of the Four Groups of Nondevelopment personnel, for the 56.9% of Major Gift Dollars Solicited with Their Significant Involvement

Group	Number of respondents (n)	Averaged % of success attributable	Range in %	Median as %	Mode as %
Trustees	122	25.8	0-90	25	20
President/ chancellor	129	40.5	5-100	45	50
Private citizens	101	18.7	0-80	15	10
Nondevelopment staff/ faculty	104	15.0	0-100	10	5

For research question number 4, respondents were also asked to place an "X" in the box if one or more of the four groups of nondevelopment personnel were not involved in the major gift solicitation process at their school. This question revealed information about schools which utilized

some, but not all of the four groups of nondevelopment personnel. In addition, some schools placed a zero in one or more of the boxes indicating that a group of nondevelopment personnel was utilized, but that no major gift success could be attributed to their efforts. Information on these two groups of data will next be presented.

One hundred and thirty schools reported on these two factors for trustees. Of these schools, eight (6.2%) reported that trustees were not utilized, and three schools (2.3%) stated that they used trustees in their program but attributed none of their major gift success to this group of nondevelopment personnel. Of the 130 schools that reported on these factors for the president/chancellor, one school (0.8%) reported that the president/chancellor was not utilized in their major gift solicitation process, and no schools reported that the president/chancellor's services were utilized but that none of the school's major gift success was attributable to these efforts. Of the 133 institutions that reported on these two factors for the private citizen group of nondevelopment personnel, thirty-two (24.1%) stated that they did not use private citizens in their major gift solicitation process, and an additional five schools (3.7%) reported that they utilized private citizens in their major gift solicitation process but attributed no major gift success to the efforts of this

group. One hundred and thirty-five schools reported on these two factors for the nondevelopment staff/faculty group. Thirty-one of the schools (23.0%) reported that they did not utilize nondevelopment staff or faculty in their solicitation of major gifts. In addition, six (4.4%) of these schools stated that nondevelopment staff and or faculty were utilized in the major gift solicitation effort, but no success was attributable to these efforts. These data are summarized in Table 9.

Table 9

Utilization of Some, but not All of the Four Groups of Nondevelopment Personnel and/or Attributing No Major Gift Success to One or More of These Groups

Group	Number of respondents (n)	Not utilized (f)	Utilized but 0% success attributable (f)	% Not utilized	% Utilized but 0% success attributable	% Utilized & 1% or > success attributable
Trustees	130	8	3	6.2	2.3	91.5
President/chancellor	130	1	0	0.8	0.0	99.2
Private citizens	133	32	5	24.1	3.7	72.2
Nondevelopment staff/faculty	135	31	6	23.0	4.4	72.6

Research Question Number Five

Research question number five contained a list of 24 possible reasons, including "other", that an individual might be influential with a major donor prospect. This question was concerned with evaluating the relative importance attached to each of these determinants by the Chief Development Officer, when deciding which nondevelopment personnel to assign to work with each major donor prospect.

Respondents were asked to list the top three reasons in rank order (with the top reason first) beside each group of nondevelopment personnel (see Appendix A: Questionnaire: Question #7). The same reason could be repeated for different groups, but could not be repeated within the same group. A value of 3 was assigned to the top reason, a value of 2 to the next most important reason, and a value of 1 to the third reason. These number values were then multiplied by their frequency of response and the values summed, thus producing a weighted value which indicated the amount of influence attributed to each of the 24 possible reasons that an individual might be influential with a major donor prospect. The weighted values were then converted into percentages to facilitate the reporting and comprehension of these data.

One hundred and thirty-seven schools reported on these data for the trustee group of nondevelopment personnel. Responses ranged from a high of 22.2% to a low of 0.1% of

the total weighted value for those reasons which were selected at least once. The top reason trustees were perceived as influential with potential major donors was that they "Had already made a major gift themselves" (22.2%). The second most important reason was that they were a "Trustee of the school" (17.8%), and the third most important reason that they were perceived as influential was that they were a "Personal friend" (12.5%) of the potential major gift donor. The sum of the percentages for the top three reasons was fairly concentrated, being 52.5% for these three reasons alone, out of the 24 options which were available. Other reasons which received significant responses were "High personal stature/achievements" and "Business acquaintance" which both received scores of 8.9%, "Are personally persuasive" which received a score of 8.3%, and "Net worth/wealth similar to that of the prospect" which received a score of 7.9%. The data are reported in Table 10.

Table 10

Why Chief Development Officers Perceive Trustees as Influential

n = 137

Reason influential	Weighted value	%
Have already made a major gift themselves	182	22.2
Trustee of the school	146	17.8

Personal friend	102	12.5
High personal stature/achievements	73	8.9
Business acquaintance	73	8.9
Are personally persuasive	68	8.3
Net worth/wealth similar to that of the prospect	65	7.9
Sum for all other responses	109	13.5

One hundred and forty-four schools reported on the reasons that the president/chancellor group of nondevelopment personnel were influential. Responses ranged from a high of 34.9% to a low of 0.1% of the total weighted value for those reasons which were selected at least once. The top reason that president/chancellors were perceived as influential with potential major donors was simply that they were, in fact, the "School's president/chancellor" (34.9%). The second most important reason was that they "Are personally persuasive" (16.4%), and the third most important reason that they were perceived as influential was that they were "Highly knowledgeable about a specific project or program" (14.8%). The sum of the percentages for the top three reasons was concentrated, being 66.1% for these three reasons alone, out of the 24 options which were available. Other reasons which received significant responses were ""High personal stature/achievements" (11.3%), "Highly skillful in making the 'ask'" (6.3%), "Highly skillful in

cultivating major donor prospects" (4.9%), and "much experience in the major gift solicitation process" (3.7%). It is of interest that the president/chancellor group of nondevelopment personnel is the only group for which "Highly skillful in making the ask" was listed as one of the top 7 reasons that a group was perceived as influential. The results are reported in Table 11.

Table 11

Why Chief Development Officers Perceive the
President/Chancellor as Influential

n = 144

Reason influential	Weighted value	%
School's president/chancellor	299	34.9
Are personally persuasive	140	16.4
Highly knowledgeable about a specific project or program	127	14.8
High personal stature/achievements	97	11.3
Highly skillful in making the "ask"	54	6.3
Highly skillful in cultivating major donor prospects	42	4.9
Much experience in the major gift solicitation process	32	3.7
Sum for all other responses	65	7.6

One hundred and twelve schools reported on the reasons that the private citizens group of nondevelopment personnel

were influential. Responses ranged from a high of 21.6% to a low of 0.3% of the total weighted value for those reasons which were selected at least once. The top reason that private citizens were perceived as influential with potential major donors was that they "Had already made a major gift themselves" (21.6%). The second most important reason was that they were a "Personal friend" (16.0%), and the third most important reason that they were perceived as influential was that they were a "Business acquaintance" (12.1%) of the potential major gift donor. The sum of the percentages for the top three reasons was fairly concentrated, being 49.7% for these three reasons alone, out of the 24 options which were available. Other reasons which received significant responses were "Are personally persuasive" (8.8%), "Net worth/wealth similar to that of the prospect" (8.0%), "An alumnus" which received a score of 6.7%, and "High personal stature/achievements" (5.3%). It is worthy of note that the "Sum for all other responses" category for the private citizens group of nondevelopment personnel represents fully 21.5% of the total response, which is a distinctly larger percentage in this category than for any of the other three groups. The data are presented in Table 12.

Table 12

Why Chief Development Officers Perceive Private Citizens as Influential

n = 112

Reason influential	Weighted value	%
Have already made a major gift themselves	143	21.6
Personal friend	106	16.0
Business acquaintance	80	12.1
Are personally persuasive	58	8.8
Net worth/wealth similar to that of the prospect	53	8.0
An alumnus	44	6.7
High personal stature/achievements	35	5.3
Sum for all other responses	142	21.5

One hundred and fourteen schools reported on reasons that the staff/faculty group of nondevelopment personnel were influential. Responses ranged from a high of 43.6% to a low of 0.3% of the total weighted value for those reasons which were selected at least once. The top reason that nondevelopment staff/faculty were perceived as influential with potential major donors was that they were "Highly knowledgeable about a specific project or program" (43.6%). The second most important reason was that they "Are personally persuasive" (17.4%), and the third most important reason that they were perceived as influential was that they had "High personal stature/achievements" (12.3%). The sum of the percentages for the top three reasons was highly

concentrated, being 73.3% for these three reasons alone, out of the 24 options which were available. The 73.3% figure was largely due to the 43.6% response to "Highly knowledgeable about a specific project or program" which was reported for the nondevelopment staff/faculty group. This response was nearly twice as high as the response for all but one of the other selections from any of the other groups. The one exception was a 34.9% response for being the "School's president/chancellor" which was reported in the president/chancellor group of data (see Table 10). Other reasons which received significant responses were "Personal friend" (5.4%) of the potential major donor, "An alumnus" (4.5%), "Highly skillful in cultivating major donor prospects" (3.7%), and "Much experience in the major gift solicitation process" (3.1%). These data are reported in Table 13.

Table 13

Why Chief Development Officers Perceive Nondevelopment Staff/Faculty as Influential

n = 114

Reason influential	Weighted value	%
Highly knowledgeable about a specific project or program	283	43.6
Are personally persuasive	113	17.4
High personal stature/achievements	80	12.3
Personal friend	35	5.4

An alumnus	29	4.5
Highly skillful in cultivating major donor prospects	24	3.7
Much experience in the major gift solicitation process	20	3.1
Sum for all other responses	65	10.0

The data from all four groups of nondevelopment personnel were next combined. Weighted means (Freund & Williams, 1966, p. 123) and percentages were then calculated to give an overall view of the reasons that chief development officers perceived nondevelopment personnel as influential. One hundred and thirty-seven schools reported on these data for the trustee group of nondevelopment personnel, 144 for the president/chancellor group, 112 for the private citizen group, and 114 schools reported for the nondevelopment staff/faculty group. Responses ranged from a high of 14.7% to a low of 0.1% of the total weighted mean for those reasons which were selected at least once. Two of the 24 possible options were never selected as reasons that nondevelopment personnel were influential, and these reasons were "Opposite gender from the prospect", and "Same racial origin as the prospect".

The top overall reason that nondevelopment personnel were perceived as influential with potential major donors was that they were "Highly knowledgeable about a specific

project or program" (14.7%). The second most important reason was that they "Are personally persuasive" (12.8%), and the third most important reason that they were perceived as influential was that an individual was the "School's president/chancellor" (11.2%). The sum of the percentages for the top three reasons was moderately concentrated, being 38.7% for these three reasons alone, out of the 24 options which were available. Other reasons which received significant responses were "Have already made a major gift themselves" (11.1%), "High personal stature/achievements" (9.7%), "Personal friend" (8.5%), "Business acquaintance" (5.9%), "Trustee of the school" (5.2%), "Net worth/wealth similar to that of the prospect" (3.9%), "Highly skillful in making the 'ask'" (3.3%), "An alumnus" (2.8%), and "Highly skillful in cultivating major donor prospects" (2.8%). These data are summarized in Table 14.

Table 14

Overview of Reasons that Chief Development Officers Perceive Nondevelopment Personnel as Influential

Reason influential	Weighted mean	%
Highly knowledgeable about a specific project or program	110.8	14.7
Are personally persuasive	96.4	12.8
School's president/chancellor	84.9	11.2
Have already made a major	84.0	11.1

gift themselves		
High personal stature/achievements	73.0	9.7
Personal friend	64.5	8.5
Business acquaintance	44.9	5.9
Trustee of the school	39.5	5.2
Net worth/wealth similar to that of the prospect	29.6	3.9
Highly skillful in making the 'ask'	24.8	3.3
An alumnus	21.4	2.8
Highly skillful in cultivating major donor prospects	21.4	2.8
Sum for all other responses	60.9	8.1

In twenty instances Chief Development Officers chose to respond in the "Other" category for research question number five. These replies listed reasons other than the 23 which were provided in the survey, that nondevelopment personnel were perceived as influential. Only one of these replies was found on more than one questionnaire, and this reply, "Peer Pressure", was reported twice. The other replies, all stated on only one questionnaire, were as follows:

"Unabashed support of the college by the trustees";

"Respected teacher or administrator"; "Honesty, integrity, believability"; "Enthusiasm for program or project"; "The

trustees are 'owed an IOU' by the potential donor"; "Belief in the college and its goals"; "Willing to make the ask";

"Nationally known figure"; "Major donors will not make a gift unless they approve of the leadership. Therefore, the president/chancellor is involved, at least indirectly, in all major gifts"; "Influence/clout"; "Tenacity"; "Good case"; "Unabashed support of college by private citizens"; "Aware of the institutions value to community and area"; "Enthusiasm and commitment to the institution"; "Provide excellent technical support"; "Head of program or a dean"; and "Alumni and parent".

Research Question Number Six

Research question number six was concerned with determining the relative importance of each of the four groups of nondevelopment personnel to each of the four steps in the major gift solicitation process. The questionnaire contained a listing of the four groups of nondevelopment personnel, and under each group were listed the four steps of the major gift solicitation process (see Appendix A: Questionnaire: question #8). Beside each step was a series of numbers from "1" to "5". Circling "1" indicated that the respondent felt that a particular group of nondevelopment personnel was of "No Importance" to that step in the major gift solicitation process. The other numbers, when circled for a particular step, indicated: "2", "Some Importance"; "3", "Average Importance"; "4", "Much Importance"; and finally, the circling of "5" indicated that that particular group of nondevelopment personnel were of "Very Much

Importance" to that particular step in the process. These number values were then multiplied by their frequency of response and the values summed, thus producing a weighted value which indicated the relative importance of each of the four groups of nondevelopment personnel to each of the four steps in the major gift solicitation process. The weighted values were then converted into percentages to facilitate the reporting and comprehension of these data.

One hundred and thirty-seven schools reported on these data for the trustee group of nondevelopment personnel, 144 for the president/chancellor group, 112 for the private citizen group, and 114 schools reported for the nondevelopment staff/faculty group of personnel.

For the identification and rating step of the major gift solicitation process the percentages ranged from a high of 29.3% for the private citizen group of personnel, to a low of 20.7% for the nondevelopment staff/faculty group. For this step the four groups fell into two pairs, with the private citizen (29.3%) and trustee (29.0%) groups receiving similar and relatively higher scores, while the nondevelopment staff/faculty (20.7%) and president/chancellor (21.0%) groups also received similar, but somewhat lower scores. It is also interesting to note that identification and rating was the only step for which the president/chancellor group was not perceived as most important to the major gift solicitation process. For this step the president/chancellor group

(21.0%) was given the next to lowest value which was just slightly above the lowest value of 20.7%. Also of interest was the fact that this is the only step for which the importance of the private citizens group was rated higher than third. For other steps this group was rated third once, and fourth twice. For the cultivation step of the major gift solicitation process, the percentages ranged from a high of 29.6% for the president/chancellor group, to a low of 21.7% for the private citizen group of nondevelopment personnel. The scores for the two remaining groups were relatively evenly spaced in between the high and low, with the trustee group having a value of 25.7%, and the nondevelopment staff/faculty group data having a score of 23.0%.

For the in person solicitation step of the major gift process, the president/chancellor group received the highest value for the second time, with a percentage of 29.8%, and the nondevelopment staff received the lowest score (20.4%), also for a second time. The values for the two remaining groups were evenly spaced between the high and low, with the trustee group having a score of 26.3%, and the private citizen group having a score of 23.5%. The broadest range of values was seen for the thank-you step of the major gift process, with the high value being 31.2% for the president/chancellor group, and the low value being 20.6% for the private citizen group. The second highest value of 24.5% was for the nondevelopment/staff group, and this was the only

step for which the importance of this group was rated higher than third. For other steps this group was rated third once, and fourth twice. The third highest value of 23.7% was for the trustee group, and this was the only step for which this group was not rated as the second most important to the major gift solicitation process.

Overall, it is important to note that the president/chancellor group was rated as the most important in all steps of the major gift process except identification and rating, and the trustee group was the second most important for all steps except the thank-you following a major gift. Also of note is the fact that the private citizen and nondevelopment staff groups were seen as the third or fourth most important for all steps of the major gift process, except for identification and rating where the private citizen group was rated as the most important, and the thank-you step, where the nondevelopment staff/faculty group was seen as the second most important contributor to the process. Summaries of these data are presented in Table 15.

Table 15

Relative Importance of Each of the Four Groups of Nondevelopment Personnel to Each Step in the Major Gift Solicitation Process

Nondevelopment group	Identifi- cation & rating	Culti- vation	In person solici- tation	Thank you
Trustees	29.0	25.7	26.3	23.7

President/ chancellor	21.0	29.6	29.8	31.2
Private citizens	29.3	21.7	23.5	20.6
Nondevelopment staff/faculty	20.7	23.0	20.4	24.5
	-----	-----	-----	-----
	100.0%	100.0%	100.0%	100.0%

It also seemed significant to examine the overall importance of each of the four groups of nondevelopment personnel to the entire major gift solicitation process. To do this, the weighted values for each of the four steps in the process were summed for each of the four groups of nondevelopment personnel. These sums were then converted into percentages to more clearly show the overall importance of each of these four groups of personnel to the entire major gift effort.

One hundred and thirty-seven schools reported on these data for the trustee group of nondevelopment personnel, 144 for the president/chancellor group, 112 for the private citizen group, and 114 schools reported for the nondevelopment staff/faculty group of personnel. The percentages ranged from a high of 28.0% for the president/chancellor group, to a low of 22.1% for the nondevelopment staff/faculty group of personnel. The trustee group at 26.2% showed the second highest level of importance, and the private citizen group with a score of 23.7% were

reported as having the next to lowest level of importance for the overall major gift solicitation effort. These data are summarized in Table 16.

Table 16

Overall Importance of Each Group of Nondevelopment Personnel to the Entire Major Gift Solicitation Process

Nondevelopment group	Sum of weighted values	Overall % of importance
Trustees	15.44	26.2
President/ chancellor	16.56	28.0
Private citizens	13.97	23.7
Nondevelopment staff/faculty	13.08	22.1

Summary of Findings

The following statements summarize the findings of this study:

1. For the 156 schools reporting on this variable, 146 (93.6%) stated that nondevelopment personnel do commonly play a significant role in some aspect of the major gift solicitation process, and 10 schools (6.4%) indicated that nondevelopment personnel are not in some way involved in the process.

2. For the 10 schools out of 156 which reported that nondevelopment personnel did not commonly play a significant role in any aspect of the major gift solicitation process, the top three reasons given for this decision were: (a) (34.0%) lack of time and resources to train nondevelopment personnel, (b) (20.0%) the trustees, president/chancellor, private citizens or nondevelopment staff/faculty did not think that it was their responsibility to help in the major gift solicitation process, (c) (16.0%) the trustees, president/chancellor, private citizens or nondevelopment staff/faculty did not like to help in the major gift solicitation process. For the 4 schools having nondevelopment personnel reported as not thinking it their responsibility to help in the major gift solicitation process, the percentages for the various groups were as follows: (a) trustees (33.3%), (b) nondevelopment staff/faculty (33.3%), private citizens (22.2%), and president/chancellor (11.1%). For the 4 schools having nondevelopment personnel reported as not liking to help in the major gift solicitation process, the percentages for the various groups were as follows: (a) trustees (37.5%), (b) private citizens (25.0%), (c) nondevelopment staff/faculty (25.0%), and president/chancellor (12.5%).

3. For the 144 schools reporting on the variable as to the percentage of total major gift dollars having been solicited with nondevelopment personnel having played a

significant role in some aspect of the solicitation process, the percentages ranged from 1% to 100% with a mean of 56.9%. The median value was 50% and the most commonly reported value was also 50.0% with 28 (19.4%) schools out of the 144 having reported this value.

4. For the 56.9% of major gift dollars which were reported as being solicited with significant involvement by nondevelopment personnel, the average percentage of major gift success attributable to each of the four groups of nondevelopment personnel were as follows: (a) president/chancellor (40.5%), (b) trustees (25.8%), (c) private citizens (18.7%), and (d) nondevelopment staff/faculty (15.0%).

5. When chief development officers were asked to report on the top three reasons that each group of nondevelopment personnel might be influential with a potential major gift donor, the results were as follows: (a) for the trustee group the top reason (22.2%) was that they "Have already made a major gift themselves", the second most important reason (17.8%) was that they were a "Trustee of the school", and the third most important reason (12.5%) that a trustee was deemed influential was that he or she was a "Personal friend" of the potential major gift donor; (b) for the president/chancellor group the top reason (34.9%) that they were deemed influential was that they were the "School's president/chancellor", the second most important reason

(16.4%) was that they were "personally persuasive", and the third most important reason (14.8%) was that the president/chancellor was "Highly knowledgeable about a specific project or program"; (c) for the private citizen group, the top reason (21.6%) that they were deemed influential was that they "Had already made a major gift themselves", the second most important reason (16.0%) was that they were a "Personal friend" of the potential donor, and the third most important reason (12.1%) that private citizens were perceived as influential was that they were a "Business acquaintance" of the major gift prospect; (d) for the nondevelopment staff/faculty group, the top reason (43.6%) they were perceived as influential was that they were "Highly knowledgeable about a specific project or program", the second most important reason (17.4%) was that they were "Personally persuasive", and the third most important reason (12.3%) that they were deemed to be influential was that they had "High personal stature/achievements".

6. When chief development officers were asked to report on the relative importance of each of the four groups of nondevelopment personnel to each of the four steps in the major gift solicitation process, the results were as follows: (a) for the identification and rating step: private citizens (29.3%), trustees (29.0%), presidents/chancellors (21.0%), and nondevelopment staff/faculty (20.7%); (b) for

the cultivation step: presidents/chancellors (29.6%), trustees (25.7%), nondevelopment staff/faculty (23.0%), and private citizens (21.7%); for the in person solicitation step: presidents/chancellors (29.8%), trustees (26.3%), private citizens (23.5%), and nondevelopment staff/faculty (20.4%); for the thank-you step: president/chancellors (31.2%), nondevelopment staff/faculty (24.5%), trustees (23.7%), and private citizens (20.6%).

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CHAPTER V

SUMMARY, DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS

Summary

The problem of this study was the role of persons other than professional development staff in the solicitation of major gifts from private individuals for selected senior colleges and universities as perceived by senior development officers.

The solicitation of funds for higher education is a very large industry. For the 1986-87 school year alone, gifts to higher education reached a record total of \$8.5 billion. Of this amount, fully \$4.412 billion (51.9%) came from private individuals. An exceptionally important component of this giving involves major gifts, generally defined as those of \$100,000 or greater in value.

Traditionally, nondevelopment personnel have had significant involvement in the solicitation of major gifts. With regards to higher education, these non-development personnel can be divided into four groups: private citizens, trustees, presidents or chancellors, and nondevelopment staff including the faculty. Their services have been used in the four steps of the major gift solicitation process: identification and rating of the potential major donor;

cultivation of the potential donor; the actual in person solicitation of the gift; and finally the follow-up after the gift. This study focused upon the use of nondevelopment personnel in carrying out these processes.

The purposes of this study were twofold, as follows:

1. To determine the role of persons other than professional development staff in the solicitation of major gifts from private individuals for selected colleges and universities as perceived by senior development officers.

2. To describe the role of persons other than professional development staff in the solicitation of major gifts from private individuals for selected colleges and universities as perceived by senior development officers.

The literature review began with a short explanation of the vast dollar amounts which have been given each year to philanthropic causes in the United States, and continued with an explanation of the importance of these gifts to higher education. Within this explanation was a discussion of the importance of very large gifts, defined as major gifts and as having a value of \$100,000 or greater.

The next section of the literature was involved with an explanation of the importance of the specific roles played by each of the four groups of nondevelopment personnel in the overall solicitation process. This was followed by a review of literature which, in sequence, discussed the myriad activities involved within each of the four steps of

the major gift process.

The literature section following the explanation of the four steps discussed certain situations in which nondevelopment personnel were not utilized, or had a limited role in the major gift solicitation process, and why. Also discussed was the reasoning behind certain schools' decisions to have their major gift process carried out almost exclusively by members of the professional development staff. The last section of the literature review discussed various reasons why each of the four groups of nondevelopment personnel may be influential with prospective major gift donors.

Data were solicited from the 223 senior colleges and universities which received one or more gifts of one million dollars or greater from private individuals, as reported in the indexes of individual gifts in Giving USA, Philanthropic Digest, and The Chronicle of Higher Education, between January 1, 1985, and December 31, 1987. A questionnaire was mailed to the Chief Development Officer of the 223 schools in the research population, and was chosen as the research instrument because of the wide geographic distribution of the respondents and their busy schedules, and because of the difficulty of contacting many Chief Development Officers through telephone or personal interviews. Replies were received from 162 institutions, for a response rate of 72.7%. The data were coded, frequencies and percentages

were then calculated, and the results deemed significant were arranged into tables, analyzed and reported.

The results of this study are summarized as follows:

1. Research question number one was concerned with determining the percentage of schools surveyed in which nondevelopment personnel commonly play a significant role in some aspect of the major gift solicitation process. For the 156 schools reporting on this variable, 93.6% (146) stated that nondevelopment personnel did commonly play a significant role in some aspect of the major gift process, and 6.4% (10) of the schools indicated that nondevelopment personnel did not commonly play a significant role in some aspect of the process.

2. Research question number two was concerned with determining why 6.4% (10) of the 156 schools reporting on the variable for research question number one stated that nondevelopment personnel did not commonly play a significant role in some aspect of their major gift process. The reasons (reported as weighted percentage values) were as follows: lack of time and resources to train nondevelopment personnel (34.0%); the trustees, president/chancellor, private citizens or nondevelopment staff/faculty did not think that it was their responsibility to help in the major gift process (20.0%); unavailability of nondevelopment personnel (16.0%); the trustees, president/chancellor, private citizens or nondevelopment staff/faculty did not

like to help in the major gift solicitation process (16.0%); inefficiency of nondevelopment personnel (8.0%); personal belief that the use of nondevelopment personnel is counterproductive to the major gift solicitation process (2.0%); and other (4.0%).

For the four schools reporting that the trustees, president/chancellor, private citizens or nondevelopment staff/faculty did not think that it was their responsibility to help in the major gift solicitation process, the results were as follows: trustees (33.3%); president/chancellor (11.1%); private citizens (22.2%); and nondevelopment staff/faculty (33.3%). For the four schools reporting that the trustees, president/chancellor, private citizens, or nondevelopment staff/faculty did not like to help in the major gift solicitation process, the results were as follows: trustees (37.5%); president/chancellor (12.5%); private citizens (25.0%); and nondevelopment staff/faculty (25.0%).

3. Research question number three was concerned with determining what percentage of total major gift dollars were solicited with nondevelopment personnel having played a significant role in some aspect of the solicitation process. For the 144 schools reporting on this variable, the mean was 56.9%. The data were also arranged by size of professional development staff, to see if schools with larger or smaller staffs reported higher or lower percentages of major gift

dollars having been solicited with nondevelopment personnel playing a significant role. No discernable pattern was evident.

4. Research question number four examined the 56.9% of major gift dollars which were reported as being solicited with significant involvement by nondevelopment personnel (see research question #3), and asked what percentage of this major gift success could be attributed to each of the four groups: trustees, president/chancellor, private citizens, and nondevelopment staff including the faculty. The results were as follows: trustees (25.8%); president/chancellor (40.5%); private citizens (18.7%); and nondevelopment staff/faculty (15.0%).

For research question number four, respondents were also asked to place an "X" in the box if one or more of the four groups of nondevelopment personnel were not involved in the major gift solicitation process at their school, thus revealing information about schools which utilized some, but not all of the four groups of nondevelopment personnel. The percentages for those schools reporting that some of their groups were not utilized were as follows: trustees (6.2%); president/chancellor (0.8%); private citizens (24.1%); and nondevelopment staff/faculty (23.0%). In addition, some schools placed a zero in one or more of the boxes indicating that a group of nondevelopment personnel was utilized, but that no major gift success could be

attributed to their efforts. The results were as follows: trustees (2.3%); president/chancellor (0.0%); private citizens (3.7%); and nondevelopment staff/faculty (4.4%).

5. Research question number five contained a list of 24 possible reasons, including "other", that an individual might be influential with a major donor prospect. This question was concerned with evaluating the relative importance attached to each of these determinants by the Chief Development Officer, when deciding which nondevelopment personnel to assign to work with each major donor prospect. The top three reasons for the trustees group were as follows: Have already made a major gift themselves (22.2%); Trustee of the school (17.8%); and Personal friend (12.5%). The top three reasons for the president/chancellor group were as follows: School's president/chancellor (34.9%); Are personally persuasive (16.4%); and Highly knowledgeable about a specific project or program (14.8%). The top three reasons for the private citizens group were as follows: Have already made a major gift themselves (21.6%); Personal friend (16.0%); and Business acquaintance (12.1%). The top three reasons for the nondevelopment staff/faculty group were as follows: Highly knowledgeable about a specific project or program (43.6%); Are personally persuasive (17.4%); and High personal stature/achievements (12.3%).

The data from all four groups of nondevelopment

personnel were also combined in order to give an overall view of the reasons that chief development officers perceived nondevelopment personnel as influential. The results were as follows: Highly knowledgeable about a specific project or program (14.7%); Are personally persuasive (12.8%); School's president/chancellor (11.2%); Have already made a major gift themselves (11.1%); High personal stature/achievements (9.7%); Personal friend (8.5%); Business acquaintance (5.9%); Trustee of the school (5.2%); Net worth/wealth similar to that of the prospect (3.9%); Highly skillful in making the ask (3.3%); An alumnus (2.8%); Highly skillful in cultivating major donor prospects (2.8%); and Sum for all other responses (8.1%).

6. Research question number six was concerned with determining the relative importance of each of the four groups of nondevelopment personnel to each of the four steps in the major gift solicitation process. For the identification and rating step in the major gift solicitation process, the results were as follows: trustees (29.0%); president/chancellor (21.0%); private citizens (29.3%); and nondevelopment staff/faculty (20.7%). For the cultivation step in the major gift solicitation process, the results were as follows: trustees (25.7%); president/chancellor (29.6%); private citizens (21.7%); and nondevelopment staff/faculty (23.0%). For the in person solicitation step in the major gift solicitation process,

the results were as follows: trustees (26.3%); president/chancellor (29.8%); private citizens (23.5%); and nondevelopment staff/faculty (20.4%). For the thank-you step in the major gift solicitation process the results were as follows: trustees (23.7%); president/chancellor (31.2%); private citizens (20.6%); and nondevelopment staff/faculty (24.5%).

The overall importance of each of the four groups of nondevelopment personnel to the entire major gift solicitation process was next examined. The results of these analyses were as follows: trustees (26.2%); president/chancellor (28.0%); private citizens (23.7%); and nondevelopment staff/faculty (22.1%).

Discussion

There were six research questions in this study. Discussions of each of these questions will follow, and in so doing the role of nondevelopment personnel in the solicitation of major gifts from private individuals for selected colleges and universities as perceived by senior development officers will be both determined and described. These discussions will contribute to knowledge about how the services of nondevelopment personnel were used in the solicitation of major gifts by successful development programs.

Research Questions One and Three

Research questions one and three collected background

information on the usage of nondevelopment personnel in the major gift solicitation process, with research question one determining the percentage of schools in which nondevelopment personnel commonly play a significant role, and research question three providing data on the overall percentage of major gift dollars solicited with nondevelopment personnel having played a significant role in some aspect of the process.

Lawson (1986, p. 34), Lord (1983, p. iii), and Williams (1979, p. 170) all report that, traditionally, nondevelopment personnel have had significant involvement in the solicitation of major gifts. In research question number one of this study data were collected to determine the percentage of schools in which nondevelopment personnel commonly played a significant role in some aspect of the major gift solicitation process, and it was found that for the 156 schools reporting on this variable, 93.6% (146) of the schools indicated that nondevelopment personnel commonly played a significant role in some aspect of the major gift solicitation process, and 6.4% (10) of the schools indicated that the services of nondevelopment personnel were not commonly utilized. Examination of these data revealed that nondevelopment personnel commonly play a significant role in some aspect of the major gift solicitation process at the vast majority of schools within the college and university fund-raising community.

In research question number three data were collected to determine the percentage of total major gift dollars which were solicited with nondevelopment personnel having played a significant role in some aspect of the solicitation process, and it was found that for the 144 schools reporting on this variable, a mean of 56.9% of the major gift dollars were solicited with nondevelopment personnel having played a significant role in some aspect of the process. In addition, the median value was 50.0% and the most commonly reported value was also 50.0%, with 28 (19.4%) schools out of the 144 having reported this value. Analysis of these data suggest that while the activities of nondevelopment personnel are highly significant to the major gift process, the activities of the professional development staff probably make an essentially equal contribution to overall major gift success.

The data for research question three were also arranged by size of professional development staff (see Table 7) to see if schools with larger or smaller staffs reported higher or lower percentages of major gift dollars having been solicited with nondevelopment personnel playing a significant role. A wide range of values was reported within each range of staff sizes, and no discernable pattern was evident as to larger or smaller staffs reporting higher or lower percentages of major gift dollars being solicited with nondevelopment personnel having played a significant

role. Study of these data revealed that the significance of the role of nondevelopment personnel in the solicitation of major gifts dollars does not vary based solely upon the size of a particular school's development staff.

Research Questions Four and Six

Research questions number four and six determined the relative importance of each of the four groups of nondevelopment personnel to various aspects of the major gift solicitation process. More specifically, research question number four determined what percentage of major gift success could be attributed to each of the four groups for the 56.9% of major gift dollars which were reported as being solicited with significant involvement by nondevelopment personnel (See research question #3), and research question number six determined the relative importance of each of the four groups of nondevelopment personnel to each step in the major gift solicitation process.

Frantzreb (1981, p. 57) and Seaman (1986, p. 110) both reported on the importance of the efforts of trustees in various aspects of the major gift process, while Anderson (1984, p. 18) and Foote (1986, p. 73), among others, commented on the significance of the work of the president/chancellor. Martin (1982, p. 34), Coll (1982, p. 46), and Young (1981, p. 76) indicated that much significant major gift development is done by private citizens, while

Leed (1987, p. 16), Pray (1981, p. 140), Martin (1982, p. 35) and Cosovich (1979, p.22) reported that faculty also play significant roles in the major gift process.

The data from research question four on the percentage of major gift success attributable to each of the four groups of nondevelopment personnel, for the 56.9% of major gift dollars solicited with the significant involvement of nondevelopment personnel in some aspect of the solicitation process, were as follows: president/chancellor, 40.5%; trustees, 25.8%; private citizens, 18.7%; and nondevelopment staff/faculty, 15.0%. Examination of these data indicate that with regard to the 56.9% of major gift dollars solicited with the significant involvement of nondevelopment personnel in some aspect of the solicitation process, the work of the president/chancellor group is by far the most important, this group being credited with 40.5% of the success. The second most important group are the trustees with 25.8% of the success being attributable, and the third and fourth most important groups are, respectively, the private citizens (18.7%) and nondevelopment staff/faculty (15.0%).

For research question number four, respondents were also asked to place an "X" in the box if one or more of the four groups of nondevelopment personnel were not involved in the major gift solicitation process at their school, thus revealing information about schools which utilized some, but

not all of the four groups of nondevelopment personnel. The percentages for those schools reporting that some of their groups were not utilized were as follows: trustees (6.2%); president/chancellor (0.8%); private citizens (24.1%); and nondevelopment staff/faculty (23.0%).

Review of these data indicate that the private citizen and nondevelopment staff/faculty groups are, by far, the two groups whose services are most commonly not used, and it is suggested that the services of these two groups are very possibly, at many schools, being underutilized at this time.

In addition, some schools placed a zero in one or more of the boxes indicating that the services of a group of nondevelopment personnel were utilized, but that no major gift success could be attributed to their efforts. The results were as follows: trustees (2.3%); president/chancellor (0.0%); private citizens (3.7%); and nondevelopment staff/faculty (4.4%). Analysis of these data suggests that if the services of the various groups of nondevelopment personnel are utilized, then there is an excellent expectation of benefit from their efforts.

In research question number six data were collected on the relative importance of each of the four groups of nondevelopment personnel to each step in the major gift solicitation process. For the identification and rating step in the major gift solicitation process, the results were as follows: trustees (29.0%); president/chancellor

(21.0%); private citizens (29.3%); and nondevelopment staff/faculty (20.7%). For the cultivation step in the major gift solicitation process, the results were as follows: trustees (25.7%); president/chancellor (29.6%); private citizens (21.7%); and nondevelopment staff/faculty (23.0%). For the in person solicitation step in the major gift solicitation process, the results were as follows: trustees (26.3%); president/chancellor (29.8%); private citizens (23.5%); and nondevelopment staff/faculty (20.4%). For the thank-you step in the major gift solicitation process the results were as follows: trustees (23.7%); president/chancellor (31.2%); private citizens (20.6%); and nondevelopment staff/faculty (24.5%).

Review of these data indicated that the president/chancellor group was the most important group in all steps of the major gift process except identification and rating, and that the trustee group was the second most important for all steps except the thank-you following a major gift. Also of note is the fact that the private citizen and nondevelopment staff groups were the third or fourth most important groups for all steps of the major gift process, except for identification and rating where the private citizen group was the most important, and the thank-you step, where the nondevelopment staff/faculty group was the second most important contributor to the process.

It also seemed significant to examine the overall

importance of each of the four groups of nondevelopment personnel to the entire major gift solicitation process. The results of these analyses were as follows: trustees (26.2%); president/chancellor (28.0%); private citizens (23.7%); and nondevelopment staff/faculty (22.1%). Study of these data indicated that the importance of each of the four groups of nondevelopment personnel to the overall major gift solicitation process is quite similar, showing a narrow range of values with percentages from a high of 28.0% for the president/chancellor group, to a low of 22.1% for the nondevelopment staff/faculty group.

These results should next be compared with the data in Table 8 which examined the success attributable for the 56.9% of major gift dollars solicited with the significant involvement of one or more of these four groups: trustees, 25.8%; president/chancellor, 40.5%; private citizens, 18.7%; and nondevelopment staff/faculty, 15.0%. As can be seen, the range of percentages is much wider for this second group of data, going from a high of 40.5% for the president/chancellor group, to a low of 15.0% for the nondevelopment staff/faculty group. Analysis of this wide range of scores suggests that when chief development officers are thinking about which groups of nondevelopment personnel are most responsible for "getting the money", then the trustees and especially the president/chancellor (40.5%) groups are given much of the credit. However, when these

same development officers are thinking of the overall benefits derived from the major gift services of each of the four groups, their report of a narrower range of values indicates that they give a similar amount of credit to each of the groups.

Research Question Five

Research question number five contained a list of 24 possible reasons, including "other", that an individual might be influential with a major donor prospect. This question was concerned with evaluating the relative importance attached to each of these determinants by the Chief Development Officer, when deciding which nondevelopment personnel to assign to work with each major donor prospect.

This discussion will focus on the top three reasons that each group of nondevelopment personnel was perceived as influential. When the data were analyzed for these top reasons, it was found that many of these reasons were shared among the four groups of nondevelopment personnel. Therefore, to avoid repetition, supportive citations have been grouped and presented only once.

Two of the four groups of nondevelopment personnel, trustees and private citizens, had "Have already made a major gift themselves" as one of their top three reasons for being influential, and for both it was listed first. Many authors suggest that potential major donors will often be

favorably influenced if the person(s) making the solicitation have already made major gifts themselves (Bean, 1981, p. 10; Cosovich, 1979, p. 23; Prather, 1981, p. 58; Watkins, 1987, p. 50; Fox, 1984, p. 44).

The trustee group of nondevelopment personnel had "Trustee of the school" listed as the second most important reason that this group was influential. Both Handlan (1981, p. 79) and Prather (1981, p. 94) report that the activities of trustees can be most important when influencing major gift prospects to give.

The third most important reason that trustees were listed as influential in a major donor solicitation was that they were a "Personal friend" of the prospect, and this was also listed as the second most important reason that private citizens were perceived as influential.

There is some controversy as to whether the personal friends of prospects are valuable advocates, when influencing their acquaintances to make large gifts. Lord (1984, p. 36) and a 1986 national survey by Independent Sector (Hodgkinson & Weitzman, 1986, p. 53) both reported that friendship between solicitor and prospect can be a positive influence. To contrast, Conrad (1985) stated flatly that "The solicitor shouldn't be a close friend of the prospect" (p. 68), and reports by both Patton (1986, p. 166) and Gibson (1982, p. 48) indicated that friendship between prospect and solicitor should not be of primary

concern when matching solicitor with prospect. Data on the top three reasons that the trustee group of nondevelopment personnel are influential can now be discussed. For the 137 schools which reported on these factors, the top three reasons were first that the trustees "Had already made a major gift themselves" (22.2%), second that they were a "Trustee of the school" (17.8%), and third that they were a "Personal friend" (12.5%) of the prospect. The sum of the percentages for the top three reasons was fairly concentrated, being 52.5% for these three reasons alone, out of the 24 options available. Analysis of these data indicate, based upon the aforementioned literature and the concentration of the top three scores, that all three reasons are potentially important considerations when deciding whether to assign a particular trustee to work with a major donor prospect. Because "Personal friend" was listed as the third most important of the three, and because of the controversy in the literature, it is recommended that this factor be weighed especially carefully.

Literature on the top reason, "Have already made a major gift themselves", and second most important reason, "Personal friend", that private citizens are influential has been cited above. The third most important reason that this group of nondevelopment personnel were listed as influential in the major donor solicitation process was that they were a "Business acquaintance" of the prospect. Conrad (1985)

reports that the economic leverage of matching a prospect with his best customer can often be of influence (p. 69). In addition, Patton (1986) states that current career interests, the fact that "doctors talk to doctors, lawyers to lawyers, teachers to teachers, and so on" (p. 166) may be of importance when matching solicitor with prospect, and thus in ultimately influencing the outcome of a solicitation.

Data on the top three reasons that the private citizen group of nondevelopment personnel are influential can now be discussed. For the 112 schools which reported on these factors, the top three reasons were first that the private citizens "Had already made a major gift themselves" (21.6%), second that they were a "Personal friend" (16.0%), and third that they were a "Business acquaintance" (12.1%) of the prospect. The sum of the percentages for the top three reasons was fairly concentrated, being 49.7% for these three reasons alone, out of the 24 options which were available. Examination of these data indicate, in combination with the literature which has been cited, that the fact that a private citizen has already made a major gift themselves is an important consideration when matching a member of this group with a particular major donor prospect. Review of the fact that "Personal friend" was listed as the second most important factor for the private citizen group suggests that this consideration is also of reasonable importance,

controversial literature notwithstanding. There was a paucity of literature on the question of whether being a "Business acquaintance" was of importance. However, the concept recommended by Conrad (1985, p. 69) of using this factor for "economic leverage" seemed valid and worthy of consideration.

The top reason that the president/chancellor group of nondevelopment personnel was listed as influential was simply that members of this group were the "School's president/chancellor". Many authors note the importance of the activities of the president or chancellor in influencing major gift donors to give (Rennebohm, 1985, p. 98; Ashfield, 1965, p. 100; Grenzebach, 1984, p. 28; Bailey 1984, p. 40; G. T. Smith, 1986, p. 1).

The second most important reason that the president/chancellor group, and also the nondevelopment staff/faculty group were perceived as influential was that members of these groups were "Personally persuasive". Mitchell (1986, p. 19), Panas (1984, p. 67), Gibson (1982, p. 48), and Fox (1984, p. 44) all report on different ways that an individual involved in the major gift process can be persuasive with major donor prospects.

The third most important reason that the president/chancellor group of nondevelopment personnel was perceived as influential was that they were "Highly knowledgeable about a specific project or program", and this

was also the top reason reported for the nondevelopment staff/faculty group. Knowledge of a highly specific nature can be crucial to the major gift solicitation process as underscored by the reports of Dailey (1986, p. 83), Seymour (1966, p. 78), Leed (1987, p. 17), Solyn (1981, p. 33), and Bailey (1984, p. 40).

Data on the top three reasons that the president/chancellor group of nondevelopment personnel are influential can now be discussed. For the 144 schools which reported on these factors, the top three reasons were first, that individuals in the group were, in fact, the "School's president/chancellor" (34.9%), second, that individuals in the group were "Personally persuasive" (16.4%), and third that they were "Highly knowledgeable about a specific project or program" (14.8%). The sum of the percentages for the top three reasons was concentrated, being 66.1% for these three reasons alone, out of the 24 options which were available.

Analysis of these data indicated several key points, based both upon the aforementioned literature and also upon the nature of the percentage scores which were reported. First, the score of 34.9% for "School's president/chancellor" is the second highest percentage score given to any of the 24 determinants for any of the four groups. Recognition of this fact underscores the importance of having the president or chancellor actively involved in

the development activities of the school, be they a public gathering or a private solicitation or cultivation. Even if the chief executive does little more than just attend these functions, his or her very presence will alone indicate the importance of the donor's support to the institution. The fact that a member of the president/chancellor group is "Personally persuasive" was listed as the second most important reason that a member of this group was influential with a prospect. Analysis of this finding suggests that it is most beneficial to a development program if its chief executive is personally persuasive, and it further suggests that a chief executive with such skills should play a very active role in a school's development effort. The fact that a president/chancellor is "Highly knowledgeable about a specific project or program" was listed as the third most important reason. Recognition of this fact underscores the importance of having presidents properly briefed and prepared if they are to be most effective in carrying out their various development functions for the school.

Literature on the top reason, "Highly knowledgeable about a specific project or program", and the second most important reason, "Are personally persuasive", that nondevelopment staff/faculty are influential has been cited above. The third most important reason that this group of nondevelopment personnel were listed as influential in the major donor solicitation process was that they have "High

personal stature/achievements". Several authors suggest that the stature and personal achievements of a solicitor will often be of significance in influencing major gift prospects to give (Johnson, 1982, p. 41; Pray, 1981, p. 141; Seaman, 1986, p. 109; Fox, 1984, p. 44). In addition, individuals of high stature and achievements are most often also highly respected for their achievements, and Coll (1982, p. 46), Foote (1986, p. 78), and Panas (1984, p. 88) all speak of the importance of the solicitor being highly respected by the major gift prospect if that prospect is to be successfully influenced to give.

Data on the top three reasons that the staff/faculty group of nondevelopment personnel are influential can now be discussed. For the 114 schools which reported on these factors, the top three reasons were first that they were "Highly knowledgeable about a specific project or program" (43.6%), second that they were "Personally persuasive" (17.4%), and third that they had "High personal stature/achievements" (12.3%). The sum of the percentages for the top three reasons was highly concentrated, being 73.3% for these three reasons alone, out of the 24 options which were available. The 73.3% figure was largely due to the 43.6% response to "Highly knowledgeable about a specific project or program" which was reported for the nondevelopment staff/faculty group. This response was nearly twice as high as the response for all but one of the

other determinants from any of the other groups. The one exception was a 34.9% response for being the "School's president/chancellor" which was reported in the president/chancellor group of data.

Review of the very high score (43.6%) for the top reason that staff/faculty are perceived of as influential, "Highly knowledgeable about a specific project or program" indicates, in combination with the literature which has been cited, that nondevelopment staff/faculty are primarily thought of and utilized as expert sources of specific knowledge for programs that are of particular interest to a major donor prospect. Analysis of the second most important reason for this group, "Are personally persuasive" (17.4%), probably indicates that staff/faculty individuals are often effective advocates for their particular project or interest. Examination of the third most important reason that the staff/faculty group is influential, "High personal stature/achievements" (12.3%), suggests that this factor is most probably reflective of the awards and esteem that have accrued to these individuals because of their life's work as productive scholars and educators.

It was also deemed productive to get an overview of the reasons that chief development officers perceive nondevelopment personnel as influential. The data from all four groups of nondevelopment personnel were combined, and then weighted means (Freund & Williams, 1966, p. 123) and

percentages were calculated.

The top overall reason that nondevelopment personnel were perceived as influential with potential major donors was that they were "Highly knowledgeable about a specific project or program" (14.7%). The second most important reason was that they "Are personally persuasive" (12.8%), and the third most important reason that they were perceived as influential was that an individual was the "School's president/chancellor" (11.2%). The sum of the percentages for the top three reasons was moderately concentrated, being 38.7% for these three reasons alone, out of the 24 options which were available.

Analysis of these data revealed several interesting facts. To begin with, the factor deemed most influential was that nondevelopment personnel be "Highly knowledgeable about a specific project or program". While many authors (Gabrielsen, 1975, p. 117; Seymour, 1966, p. 78; Solyn, 1981, p. 33) have emphasized the importance of having major gift representatives who are well informed, prior to this study no research had found that this factor was, overall, the single most important reason that representatives might be influential with major gift prospects. While it would be fatuous to suggest that this factor is in all cases the single reason that a representative might have the greatest chance of being influential, it nevertheless underscores the importance of seeing to it that these representatives are

extremely well prepared and versed in the salient facts of their solicitations.

Next, it is significant that the top three reasons listed in the overview are the same top three reasons listed in the analysis for the president/chancellor group of nondevelopment personnel, although in a different order. Examination of these data reiterates the importance of the work of the president or chancellor to the success of a school's overall advancement effort, and suggest that a president or chancellor who was both highly knowledgeable about the specific effort which he or she is representing, and also personally persuasive, would most probably be an exceptional chief advocate for an institution.

It is also interesting to note that the top two reasons that the nondevelopment staff/faculty group of nondevelopment personnel were listed as influential, were also the top two reasons listed in the overview. Analysis of these data suggests the importance of the contribution which this group of individuals can make to the overall development effort, as both highly knowledgeable and persuasive advocates.

Also interesting was the fact that in the overall analysis reasons such as "Net worth/wealth similar to that of the prospect", "Highly skillful in making the 'ask'", "An alumnus", and "Highly skillful in cultivating major donor prospects" were all reported with percentages of less than

five percent. Review of these data suggests that these factors may not be as important in influencing major donor prospects as some individuals might have previously thought.

Last of all, it is of importance to note that no single determinant, or small group of determinants "stood out" as being the key element(s) in influencing major gift prospects. The percentages listed in the overview table (see Table 14) were essentially "flat". Examination of these data suggests that the manner in which one approaches, cultivates, solicits, and eventually thanks and recultivates a major donor must in each case be uniquely personalized. Similar conclusions have been reported by Conrad (1985, p. 132), and Watkins (1987, p. 54).

Research Question Two

Research question number two was concerned with determining why some schools choose to not use nondevelopment personnel in their major gift solicitation process. Ten schools out of 156 reported that nondevelopment personnel did not commonly play a significant role in any aspect of this process. These schools were asked to select the top three reasons from a list of eight options (A through H) including "Other", that nondevelopment personnel were not used in their program. The responses were weighted and then converted into percentages to facilitate the reporting and comprehension of these data. This discussion will focus on the top four reasons that

nondevelopment personnel were not used in the major gift solicitation process.

It must be emphasized that the ten schools reporting on these factors represented only 6.4% of the sample population which responded to the survey. Thus, the review and discussion of these data must be interpreted with caution.

The top reason given by respondents that nondevelopment personnel did not commonly play a significant role in some aspect of their major gift solicitation process was "Lack of time and resources to train nondevelopment personnel". While no literature was identified which specifically referred to problems associated with a lack of time and resources to train nondevelopment personnel, various citations suggested reasons why this might be the case (Martin, 1982, p. 33; Severance cited in Dunlop, 1980, p. 31; Sterling cited in Dunlop, 1980, p. 31).

Seven of the ten responding schools listed "Lack of time and resources to train nondevelopment personnel" as one of the reasons that they did not use these individuals, with four of the schools listing it as the primary reason, two as the second most important reason, and one as the third most important reason, for a weighted percentage value of 34.0%.

Analysis of these data indicates that at some schools there is, unquestionably, a lack of time and resources to train nondevelopment personnel. This situation may possibly be due to the complexity surrounding the carrying out of

some development functions, the deeper belief that the efforts of nondevelopment personnel are better suited to the raising of smaller gifts, or possibly simply may be due to a lack of departmental funding or a nonproductive allocation of time and resources.

The second most important reason given by respondents that nondevelopment personnel did not commonly play a significant role in some aspect of their major gift solicitation process was that "The trustees, president/chancellor, private citizens or nondevelopment staff/faculty do not think that it is their responsibility to help in the major gift solicitation process". The reports of Gurin (1986, p. 12), and Fisher (1985, p. 50) both indicate that this attitude is present on some campuses.

Four of the ten responding schools listed the fact that "The trustees, president/chancellor, private citizens or nondevelopment staff/faculty do not think that it is their responsibility to help in the major gift solicitation process" as one of the reasons that they did not use these individuals, with two of the schools listing it as the primary reason, and two of the schools listing it as the second most important reason, for a weighted percentage value of 20%. In addition, the four schools responding to this section of the survey were asked to place a check mark beside the name of each of the four groups of nondevelopment

personnel who did not think that it was their responsibility to help in the major gift solicitation process. The responses to this question are summarized as follows: trustees, 33.3%; president/chancellor, 11.1%; private citizens, 22.2%; and nondevelopment staff/faculty, 33.3%).

Review of these data, in combination with the preceding literature, indicates that there some schools where nondevelopment personnel do not think that it is their responsibility to help in the major gift solicitation process. Possibly the most prevalent reason for this attitude is the failure of these individuals to realize the importance of their efforts, and the potential benefits to be derived by their involvement.

The third most prevalent reason given by respondents that nondevelopment personnel did not commonly play a significant role in some aspect of their major gift solicitation process was that "The trustees, president/chancellor, private citizens or nondevelopment staff/faculty do not like to help in the major gift solicitation process". The presence and reasons for this attitude are reflected in the comments of Gurin (1986, p. 12), Sharpe (1986, p. 71), Foote (1986, p. 75), Sweet (1981, p. 22), and Boyer (cited in Jones, 1982, p. 43).

Four of the ten responding schools listed the fact that "The trustees, president/chancellor, private citizens or nondevelopment staff/faculty do not like to help in the

major gift solicitation process" as one of the reasons that they did not use these individuals, with one of the schools listing it as the primary reason, two listing it as the second most important reason, and one as the third most important reason, for a weighted percentage value of 16%. In addition, the four schools responding to this section of the survey were asked to place a check mark beside the name of each of the four groups of nondevelopment personnel who did not like to help in the major gift solicitation process. The responses to this question are summarized as follows: trustees, 37.5%; president/chancellor, 12.5%; private citizens, 25.0%; and nondevelopment staff/faculty, 25.0%.

Analysis of these data, in combination with the preceding literature, indicates that there are some schools where the trustees, president/chancellor, private citizens or nondevelopment staff/faculty do not like to help in the major gift solicitation process. This attitude is most probably present because of the discomfort some people feel when being involved in the process of asking other individuals for money, regardless of the significance of the philanthropy which they are representing. Also, this attitude is probably most prevalent for the in person solicitation phase of the major gift solicitation process.

The fourth most important reason given by respondents that nondevelopment personnel did not commonly play a significant role in some aspect of their major gift

solicitation process was the "Unavailability of nondevelopment personnel". The presence and reasons for this situation are reflected in the comments of Dailey (1986, p. 86), Whittier (1980, p. 65), Taggart (cited in Dunlop, 1980, p. 30), and Ashfield (1965, p. 102).

Five of the ten respondents listed "Unavailability of nondevelopment personnel" as one of the reasons that they did not use these individuals, with one of the schools listing it as the primary reason, one as the second most important reason, and three as the third most important reason, for a weighted percentage value of 16%.

Review of these data, in combination with the preceding literature, indicates that at some schools there is a problem with the unavailability of nondevelopment personnel for various major gift solicitation functions. This situation is most probably due, primarily, to the facts that some members of the trustees, president/chancellor, private citizens, or staff/faculty groups of nondevelopment personnel either do not like or do not think that it is their responsibility to help in the major gift solicitation process. Other factors contributing to this situation may be a lack of time and resources to train nondevelopment personnel and/or possibly the fact that nondevelopment personnel have not been asked to participate in the process.

To conclude this section on reasons that nondevelopment personnel are not used in the major gift solicitation

process, it must again be emphasized that the ten schools reporting on these data represented only 6.4% of the sample population which responded to this survey. Thus, it is again recommended that the review and discussion of these data be interpreted with caution.

Conclusions

Based upon the findings of this study, the following conclusions are offered:

1. Examination of the results of this study indicates that nondevelopment personnel are successfully utilized in the major gift solicitation process at the vast majority of colleges and universities in the United States, with the efforts of these individuals being of significance in the collection of over half of the major gift dollars which come from private individuals. By inference, review of these same data suggests that the efforts of nondevelopment personnel and of professional development staff are of approximately equal importance in the solicitation of these major gift dollars. Investigation of additional data from this study indicates that the significance of nondevelopment personnel in the solicitation of major gift dollars does not vary based solely upon the size of a particular school's development staff.

2. It is impossible to draw strong conclusions as to why some schools choose to not commonly use nondevelopment personnel in their major gift solicitation process, because

only ten (6.4%) of the schools responding to this survey stated that this was their common practice. The reason for this nonutilization which received by far the highest value, was that there was a lack of time and resources to train nondevelopment personnel. This researcher believes, based upon the literature and data found in this study, that if these schools were to reallocate their resources to effectively involve and utilize the services of their nondevelopment personnel, then this investment of resources would be far outweighed by the additional major gift dollars collected. This reallocation should include sufficient monies to properly educate the various nondevelopment constituencies as to both their inherent responsibilities to help in the major gift solicitation process, and the potential benefits which will accrue to their schools because of their efforts.

3. When the overall benefits derived from the efforts of the four groups of nondevelopment personnel in the major gift process were compared, it was quite evident that the president/chancellor was the single most important advocate for an institution's development efforts, the services of the trustees were next most important, and those of the private citizens and nondevelopment staff/faculty groups third and fourth in importance. The relative importance of each of these four groups held basically constant for all of the four steps of the major gift process, with the

exceptions that the private citizens group was of especial importance in the identification and rating step, and the nondevelopment staff/faculty group of higher importance in the thank-you process. Analysis of additional data from this study indicated that the private citizen and nondevelopment staff/faculty groups were, by far, the two groups whose services were most commonly not used.

4. This study examined the top three reasons that each of the four groups of nondevelopment personnel were perceived as influential with major donor prospects. The top three reasons were different for each group (although some of the reasons were shared) and in addition, the scores were concentrated in the top three or, in the case of the president/chancellor group, in the top four reasons.

Analysis of these data indicated that a senior development officer should, for different nondevelopment groups, weigh specific determinants more or less heavily when deciding which individual(s) will have the greatest likelihood of being influential with a major donor prospect. Notable among these determinants were the influence of the president or chancellor simply because he or she was the president or chancellor, and the influence of the nondevelopment staff/faculty group as sources of expert information about specific projects or programs.

When the data from all four groups of nondevelopment personnel were combined, it was of significance that the

single determinant perceived as most important was that the nondevelopment representative should be highly knowledgeable about a specific project or program. This finding was certainly due, in part, to the high score given this determinant for the staff/faculty group. However, recognition of this finding nonetheless underscores the very great importance of having a nondevelopment representative be exceptionally well versed in the salient facts of the solicitation which he or she is representing, and this study is the first research to have found that this factor was, overall, the single most important reason that representatives might be influential with major gift prospects. It is the belief of this researcher that many nondevelopment representatives are presently not sufficiently informed about the specifics of the project or effort which they are representing.

Analysis of the combined scores also revealed that such determinants as net worth/wealth similar to that of the prospect, highly skillful in cultivating or making the ask, a fellow alumnus, or much experience in the major gift solicitation process (the score for which was so low that it was combined into the "Other" group), are of much less importance in influencing major donor prospects than some individuals may have previously thought.

Also of much importance was the fact that when the data were combined, no single determinant or group of

determinants stood out as being the key element(s) in influencing major gift prospects. Examination of this finding underscores the importance of remembering that the manner in which one approaches, cultivates, solicits, thanks, and eventually recultivates a major donor must in each case be uniquely personalized.

Recommendations

Based upon the findings and conclusions of this study, the following recommendations are made:

1. A replication of this study should be made for other groups of philanthropic solicitations such as those supporting health services, religion, and the arts, culture and humanities.

2. A comparison study should be made between the success achieved in the solicitation of major gifts from private individuals for those schools which do use, versus those which do not use the services of nondevelopment personnel in this process.

3. Detailed studies of major donors should be made at individual colleges and universities. This would enable each school to develop a profile of the type of individual who would be most likely to make a large contribution, including the individual's motivations, those factors which helped influence the individual to make the gift, the average overall time span involved in such a solicitation, and the most effective use of professional development staff

and nondevelopment personnel in the process.

4. A replication of this study should be completed in five years to determine if there is a trend towards the greater or lesser use of professional development staff in the solicitation of major gifts, and how this trend is effecting the utilization of nondevelopment personnel in the various steps of the process.

5. A study should be made which focuses entirely upon those factors which may or may not cause an individual to be influential while they are involved with a major gift prospect.

6. A study should be made which focuses entirely upon those qualities which are perceived as making an individual personally persuasive when they are involved in the actual in person solicitation of a major gift.

7. A study should be made of what information, both of a general and specific nature, would be most useful to nondevelopment personnel in order that they be most effectively prepared to represent their institution to potential major gift donors.

8. It is suggested that the services of the private citizen and nondevelopment staff/faculty groups of nondevelopment personnel may, at some schools, presently be underutilized. With regards to schools that do not commonly use, or underutilize the services of nondevelopment personnel in their major gift process, it is recommended

that more time, money, and resources should first be allocated for educating the various nondevelopment constituencies as to their responsibility to help in the process, and as to the impact that their involvement will have on the overall success of the major gift effort. Once these nondevelopment personnel are involved and committed, more time, effort, and money should be allocated for the proper training and preparation of these individuals for their various development activities, so as to maximize the success from these efforts.

9. A study of the history of major giving in a specific geographic region, as an indicator of the potential for success of further major gift solicitation within that same region.

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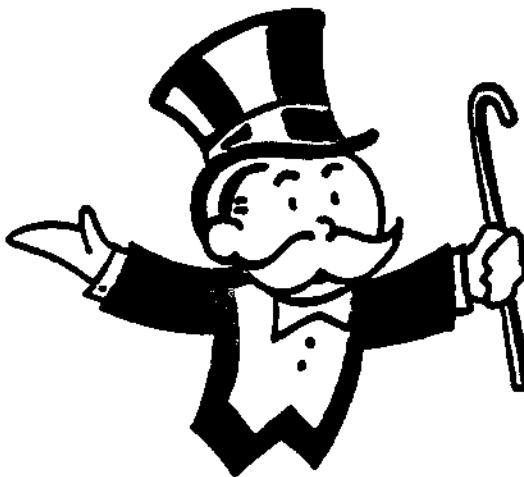
APPENDIX A
QUESTIONNAIRE

Appendix A
Questionnaire

OVERVIEW:

For the purposes of this study:

- A) The major gift solicitation process is seen as falling into four sequential steps:
- 1) Identification and rating of the prospect.
 - 2) Cultivation of the prospect.
 - 3) In-person solicitation of the prospect.
 - 4) Thank you process following the gift.
- B) Rating of the prospect is defined as the process by which the Development Office determines what size gift the major gift prospect is likely to consider favorably.
- C) A major gift is defined as a gift of \$100,000 or greater (gift may be cash, land, stock, insurance, etc.). If your office has received more than one gift of \$100,000 or greater in the recent past, then think of them as a group when answering this survey. If your office has recently received only one major gift, then please think of it individually when answering.
- D) Individuals not on the professional development staff (non-development personnel) are divided into four groups:
- 1) Trustees.
 - 2) President/Chancellor.
 - 3) Private citizens.
 - 4) Non-development staff/faculty.
- E) Base your answers on common practice within your office, and only on gifts from private individuals which have been successfully completed (irrevocably committed) between approximately January, 1985, and the present. Specifically EXclude from your thinking information regarding any gifts from corporations or foundations.



1) _____ How many full time professional development personnel work in your office?

2) Do non-development personnel commonly play a significant role in any aspect of the major gift solicitation process at your school?

_____ No (please continue to question #3)

_____ Yes (please proceed to question #4)

3) If no, please place in RANK ORDER the TOP THREE reasons non-development personnel are not used in your major gift process (1 through 3, with one (1) being the most important).

A) _____ Lack of time and resources to train non-development personnel.

B) _____ Unavailability of non-development personnel.

C) _____ Inefficiency of non-development personnel.

D) _____ (Please check if applies) The:
 Trustees, President/Chancellor,
 Private citizens, Non-development staff/faculty,

do not think that it is their responsibility to help in the major gift solicitation process.

E) _____ (Please check if applies) The:
 Trustees, President/Chancellor,
 Private citizens, Non-development staff/faculty,

do not like to help in the major gift solicitation process.

F) _____ Delays caused by non-development personnel in scheduling solicitations.

G) _____ Personal belief that the use of non-development personnel is counterproductive to the major gift solicitation process.

H) _____ Other (please explain): _____

IF YOU ANSWERED NO TO QUESTION #2, THEN YOU HAVE NOW COMPLETED THE QUESTIONNAIRE. THANK YOU!

4) If yes, APPROXIMATELY what percentage of your total major gift dollars are solicited with non-development personnel having played a significant role in some aspect of the solicitation process?

_____ per cent

5) _____ APPROXIMATELY how many nonrevokable gifts of \$100,000 or greater has your office successfully completed between January, 1985, and the present?

6) _____ APPROXIMATELY what percentage of major gift success can be attributed to each of the four groups? Place an "X" in the box if a group is not involved in your major gift process.

- _____ Trustees
- _____ President/Chancellor
- _____ Private citizens
- _____ Non-development staff/faculty
- _____ 100% TOTAL



7) What are the top three reasons that each group of solicitors is influential with major gift prospects?

DIRECTIONS

Please make your selections from the 24 options which follow, and place them in the blanks which are provided beside each group. List your responses in rank order for each group, with the first reason being the top reason.

For example, if you believe that the top reason trustees (GROUP ONE) are influential is that they "have already made a major gift themselves" (reason number 8 below), then you would place an 8 in the first blank next to TRUSTEES (SEE sample item below). You may repeat the selection of an option for other groups if necessary.

<u>Sample item</u>			
A. GROUP ONE: TRUSTEES	# <u>8</u>	# _____	# _____

	<u>top reason</u>	<u>next reason</u>	<u>3rd reason</u>
A. GROUP ONE: TRUSTEES:	# _____	# _____	# _____
B. GROUP TWO: PRESIDENT/ CHANCELLOR:	# _____	# _____	# _____
C. GROUP THREE: PRIVATE CITIZENS:	# _____	# _____	# _____
D. GROUP FOUR: NON-DEVELOPMENT STAFF/FACULTY:	# _____	# _____	# _____

24 REASONS

- | | |
|---|--|
| 1. Personal friend. | 14. Much experience in the major gift solicitation process. |
| 2. Business acquaintance. | 15. Opposite gender from prospect. |
| 3. Are personally persuasive. | 16. Net worth/wealth similar to that of the prospect. |
| 4. School's president/chancellor. | 17. Trustee of the school. |
| 5. An alumnus. | 18. High personal stature/achievements. |
| 6. Close geographic proximity. | 19. Highly skillful in making the "ask". |
| 7. Same national or ethnic origin. | 20. Same racial origin as the prospect. |
| 8. Have already made a major gift themselves. | 21. Highly skillful in cultivating major donor prospects. |
| 9. Spouse/close family member. | 22. Highly skillful in the thank you process following a gift. |
| 10. Highly knowledgeable about a specific project or program. | 23. Same entering or graduating class as the prospect. |
| 11. Not an alumnus. | 24. Other: _____ |
| 12. Same gender as prospect. | _____ |
| 13. Same religion as prospect. | _____ |

PLEASE TURN PAGE AND CONTINUE



8) How important is each of the following four groups of non-development personnel to each step in the major gift solicitation process?

DIRECTIONS

SEE sample below; for example, if you believe that trustees are of NO IMPORTANCE in the identification and rating of prospective major donors, then circle 1.

<u>Sample Item</u>	
GROUP ONE: TRUSTEES	
Step one: Identification and rating	① 2 3 4 5



GROUP ONE: TRUSTEES

	NO IMPORTANCE	SOME IMPORTANCE	AVERAGE IMPORTANCE	MUCH IMPORTANCE	VERY MUCH IMPORTANCE
Step one: Identification and rating	1	2	3	4	5
Step two: Cultivation	1	2	3	4	5
Step three: in-person solicitation	1	2	3	4	5
Step four: Thank you process following the gift.	1	2	3	4	5

GROUP TWO: PRESIDENT/CHANCELLOR

Step one: Identification and rating	1	2	3	4	5
Step two: Cultivation	1	2	3	4	5
Step three: In-person solicitation	1	2	3	4	5
Step four: Thank you process following the gift.	1	2	3	4	5

GROUP THREE: PRIVATE CITIZENS

Step one: Identification and rating	1	2	3	4	5
Step two: Cultivation	1	2	3	4	5
Step three: In-person solicitation	1	2	3	4	5
Step four: Thank you process following the gift.	1	2	3	4	5

GROUP FOUR: NON-DEVELOPMENT STAFF/FACULTY

Step one: Identification and rating	1	2	3	4	5
Step two: Cultivation	1	2	3	4	5
Step three: In-person solicitation	1	2	3	4	5
Step four: Thank you process following the gift.	1	2	3	4	5

THANK YOU FOR YOUR EFFORTS IN COMPLETING THIS QUESTIONNAIRE!

APPENDIX B
COVER LETTER NUMBER ONE

Appendix B

Cover Letter Number One

July 21, 1988

Dr. I. Will Reply, 1st
Chief Development Officer
Well Known University
1 Apple Street
Participation, VA 11111

Dear Dr. Reply,

Successful major gift solicitation is critical to each college or university advancement program. As a senior development officer, you are most probably aware that little quantitative research has been done to determine guidelines for success in this type of solicitation. Such research is essential for the advancement of our profession.

To foster progress in this area, I am conducting a national survey of selected four-year colleges and universities. The results of this survey will be used in my doctoral dissertation at the University of North Texas, Denton, Texas.

Enclosed with this letter is a short questionnaire asking you to rate certain items as to their importance in the major gift solicitation process. Responses to the survey will be aggregated and reported as group data. In no way will your response be personally identifiable. All responses will be kept confidential, and your participation in the survey is entirely voluntary.

Research and the knowledge it produces are extremely important for the continued growth and advancement of philanthropy. Please take the time to participate in this survey by completing the questionnaire and returning it in the postage-paid envelope provided. As a senior development officer your opinion is valued. Thank you in advance for your contribution.

Sincerely,

Win Winfree
Ph.D. Candidate, ABD
Higher Education

Howard W. Smith, Jr
Professor and Director
Office of Policy Studies
in Higher Education

APPENDIX C
REPLY CARD

Appendix C

Reply Card

If you would like to receive a summary of the study: "The Role of Non-Development Personnel in the Solicitation of Major Gifts", then please complete the information below, and enclose this card with your completed questionnaire. It will be my pleasure to send this to you both as a way of forwarding our profession, and as a thank you.

Your Name: _____

Title: _____

Address: _____

City, State, Zip: _____

OFFICE OF POLICY STUDIES IN HIGHER EDUCATION
COLLEGE OF EDUCATION
NORTH TEXAS STATE UNIVERSITY
P.O. BOX 13857
DENTON, TX 76203-3857

APPENDIX D
REMINDER POSTCARD

Appendix D

Reminder Postcard

University of North Texas

Hello,

Just a quick reminder: please fill out your questionnaire on Major Gift Solicitations from the Office of Policy Studies at the University of North Texas.

Data collection is ongoing and your opinions are valued. Thank you for your assistance in forwarding research in our profession.

Sincerely,

Win Winfree
Ph.D. Candidate, ABD
Higher Education

Howard W. Smith, Jr.
Professor and Director
Office of Policy Studies
in Higher Education



University of North Texas

Office of Policy Studies
in Higher Education
College of Education
P.O. Box 13857
Denton, Texas 76203-3857

APPENDIX E
COVER LETTER NUMBER TWO

Appendix E

Cover Letter Number Two

September 11, 1988

Dr. I. Will Reply, 1st
Chief Development Officer
Well Known University
1 Apple Street
Participation, VA 11111

Dear Dr. Reply,

As a senior development officer you are certainly aware that little quantitative research has been done in the area of major gift solicitations. The Office of Policy Studies at the University of North Texas is presently researching this critical topic. Please take a few moments to complete the enclosed questionnaire. Data collection is ongoing and your opinions are valued and essential for the success of this research.

Your responses will be aggregated, reported as group data, and in no way will they be personally identifiable. All responses will be kept confidential, and your participation is entirely voluntary. A reply card is enclosed, and it would be our pleasure to send a copy of the results of this research to you with the honest hope that it will help bring success to the major gift solicitations at your own school.

Research and the knowledge that it produces are extremely important for the continued growth and advancement of philanthropy. Please take a few moments to participate in this brief survey. The results will be of benefit to us all as a profession, and most certainly to the schools which we represent.

Thank you in advance for your efforts.

Sincerely,

Win Winfree
Ph.D. Candidate, ABD
Higher Education

Howard W. Smith, Jr.
Professor and Director
Office of Policy Studies
in Higher Education

APPENDIX F
CONTENT VALIDITY GUIDE

Appendix F

Content Validity Guide

1. Is the question useful? Does it get at the desired information?
2. Is it probable that respondents will have the information necessary to answer the question?
3. Are several questions needed on a specific topic in order to cover it adequately?
4. Is the question free from bias, or is it loaded such that the respondent might react with prejudice he would not otherwise experience?
5. Is the question so personal or private that the respondent will be reluctant to give an honest answer?
6. Is the wording of the question clear? Does it contain difficult words that the average respondent may not understand?
7. Is the order of the questions both logical and helpful in keeping the respondent answering: that is, do the questions flow from easy to difficult? (pp. 39-40)

Note. From Field Projects for Sociology Students (pp. 39-40) by J. P. Wiseman and M. S. Aron, 1970, Cambridge, MA: Schenkman Publishing Company.

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