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FUND RAISING IN AMERICAN HIGHER EDUCATION

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INTRODUCTION

A. C. Marts (1953) has described philanthropy as "a true measuring rod of the development of civilization itself." He writes of the historical antecedents of philanthropy by noting that the Jews were instrumental in establishing philanthropic principles, particularly the practice of tithing in which "the tenth part of the yield of the harvest was to be given to the Lord, in support of religion and for the relief of the poor." Marts goes on to note that, at harvest time, many Jewish landowners pledged to leave a corner of their field unharvested for the benefit of the poor.

Marts sums up his commentary on early examples of philanthropy by stating:

> All through the history of the Jewish race righteousness has found its most practical and fervid expression in charity. "The Cell of Silence" or "Chamber of Whispers" was a later Jewish technique that came near to being the ideal exercise of charity. This name was given to a quiet room in the synagogue into which the philanthropic stole, unobserved, and left donations for the respectable poor, who stole in -- also unobserved -- to obtain the help they needed.

Philanthropic support of American higher education has a long tradition and the largest portion of that philanthropy has historically been directed to private institutions. However, both public and private higher educational institutions are confronted with serious questions concerning their financial stability. These institutions are considering alternative sources of funds. Therefore, it is important to investigate and analyze methods of increasing philanthropy to American higher education.

THE PROBLEM

In an atmosphere of declining enrollments, rising costs, and an increasing emphasis on quality education, the need for effective fund raising is important to American higher education. During the past decade, institutions of higher education, both public and private, faced difficult financial problems with no apparent end in sight. A growing number of colleges and universities have been threatened by the unstable economy and shrinking applicant pools and are faltering under this threat. Private higher education seems to be especially vulnerable to financial difficulty and has been historically dependent upon philanthropic support to complement traditional revenues in an effort to remain financially viable. As a result of this changing environment, the identification and development of an enhanced and more diversified fund raising strategies has emerged as one of the most significant and far-reaching needs presently confronting American higher education.

The financial crisis in American higher education and the financial constraints which are placed upon colleges and universities are well documented:
Harold R. Bowen (1982), Avery Professor of Economics and Education at The Claremont Graduate School, wrote cogently:

American colleges and universities are in considerable distress as they face the necessity or the prospect of budget cutting. They are troubled because their hopes for rising quality of education and for widening access for students are being thwarted. Faculty and staff are insecure and discouraged. Many of those presidents and deans who have dared to propose specific budget cuts are under siege. The magnitude of the problem varies among institutions, but few are totally exempt. It is not a happy time in academe.

In a well-documented study, Keller (1983) points out:
Fewer than 50 of America's 3100 colleges and universities have endowments of $100 million or more and fewer than 200 have an endowment larger than $10 million. Nine out of ten institutions in the United States, therefore, are precariously financed and many live on the brink of jeopardy and instant retrenchment.

American higher education is experiencing significant changes in its environment as it enters a critical period in its economic development. The continually rising cost of education, a steady decline in student enrollments, reductions in governmental support, and an economy burdened with rampant inflation, along with numerous other factors have combined to intensify financial problems at American institutions of higher education.

According to Williamson (1975):
After two decades of relative prosperity, colleges and universities are now facing critical financial problems. Higher education is confronted with the harsh reality of both a slowdown in enrollments and a continuing rise in costs.

In an investigation of the critical financial problems confronting American colleges and universities, Mayhew (1977) supports Williamson's findings. Mayhew stated:
Just as suddenly as higher educational affluence and support had come, it began to go, between 1968 and 1970. And, as was true of the "golden years," the indices of changed conditions can be quickly enumerated and are for the most part well known. Suddenly institutions found that their rates of increase of total revenue, and the reserves that had been built up during the 1960's were quickly eliminated through deficit spending .... thus a downward spiral was initiated, with lower enrollments generating less income with which to support fixed and increasing costs.

In an educational climate with limited financial resources in an inflationary economy, Bowen and Schuster (1986), in a thought-provoking study, make a strong case for improvement in faculty compensation and in the work environment. They emphasize the need for a greater national investment in faculty compensation, as well as replacement of obsolete equipment and deteriorating buildings.
Citing an earlier study by Bowen (1980), Bowen (1982) further noted: The comprehensive budgets of colleges or universities, on the average, are divided into four parts with approximate percentages as follows:

Personnel (Salaries and Fringe Benefits)
- Faculty: 25%
- Administrative: 14%
- General Service Workers: 18%
- Subtotal (Personnel): 57%

Non-Personnel Expenditures:
- Construction Equipment, Supplies,
  Library Books, Fuel, Utilities, Other
- Purchased Goods and Services,
  Student Aid, etc.: 43%

100%

The current financial crisis in American colleges and universities conceivably could be addressed through the use of enhanced and effective fund raising activities. For, as Bowen (1982) noted perceptively:

Another possibility for helping to balance a reduced budget is to augment income - for example, ... seeking increased gifts from private sources or grants from public sources, and embarking upon profit-making activities...

These trends signal a new dimension in the financing of higher education. The need to respond to burgeoning financial claims is compelling American colleges and universities to enhance their fund raising strategies and activities.

As noted by Rowland (1978):

Every American enterprise that depends, to whatever degree, on gift income knows that institutional survival is in serious jeopardy. Private schools, colleges, hospitals, and churches are especially threatened, and some have closed their doors in the recent past. Those that depend primarily upon public funds face growing taxpayer resistance, and are re-evaluating the quality and quantity of their services. In the years ahead, fund raising success will be more important than ever before.

As a result of severe financial pressures stemming from increased costs, decline in student enrollment, reductions in governmental support and a shifting economy, American higher education has escalated its fund raising activities. According to the 1987 annual survey report (Voluntary Support of Education) conducted by the Council for Financial Aid to Education, (CFAE), in 1985-86, total voluntary support to higher education rose $1.8 billion (a 25% increase over the previous year) to an estimated $7.4 billion. Donations from corporations, alumni, foundations and other individuals accounted for over 90% of all support to American higher education in 1985-86.
This study will investigate and analyze fund raising in American higher education with particular attention given to schools of dentistry. It focuses on how American schools of dentistry may organize and manage their fund raising programs to maximize voluntary financial support. With the prospect of declining enrollments and rising costs, an aggressive and effective fund raising program is arguably crucial to their survival.

FUND RAISING AND STRATEGIC PLANNING IN AMERICAN HIGHER EDUCATION

American higher education has been in a state of transition and upheaval since the founding of Harvard College in 1636, which is generally credited with the beginning of higher education in America. However, in an era of rapidly accelerating change, higher educational institutions today are confronted with a crisis of purpose, erosion of traditional values, declining public support, increasing competition for scarce resources, demands for accountability and a struggle for survival. At no time in the history of American higher education has it been more important for decision makers in college and universities to understand the dynamics of fund raising and strategic planning.

On the eve of what may prove to be one of the most difficult decades for higher education, it is important to have a commonly accepted, disciplined way of thinking about the application of limited resources to complicated complex problems. Strategic planning should provide that common discipline in thinking about how to face those problems for academic administrators and development officers, since they must work together.

In a well-researched study, George Keller (1983) describes the problems that confront American higher education in the 1980's and 1990's as well as some of the effective strategies that individual colleges and universities, faced with times of adversity, have adopted. The main focus of Keller's study is the application of strategic-planning techniques to institutions of higher education. He regards such planning as a constantly emerging process designed to take control of an organization's destiny by focusing on decisions and actions that will capitalize on the institution's strengths - including traditions and resources - and its opportunities while being fully cognizant of external forces, predictable future shifts, and market considerations.

In other words, strategic planning is centered on an analysis of the organization and of the external environment. Also, strategic planning incorporates six interdependent steps in its operational definition. First, the role of the institution in the environment must be assessed. Second, strategic planning must monitor the external environment more effectively by improving data collection. Third, planning must identify the institution's strengths and advantages and capitalize on its unique aspects. Fourth, strategic planning embodies an orientation toward action. Fifth, strategic planning is participatory and requires debate. Finally, the ultimate goal is long-term viability and excellence of the institution.

Keller believes, nevertheless, that "Academic strategies should 'unfold,' bend the established forms slowly," and use existing offices as much as possible. He emphasizes, moreover, that although speed and decisiveness are often necessary, academic strategies should not violate the essential values or mission of the institution. In fact, Keller argues strenuously that the issue of
mission, of knowing what an institution is and can legitimately strive to be, must be addressed before any strategic planning can be undertaken.

Because much of higher education in the next decade will face declines in resources and the number of potential students, it will be increasingly important that those in planning seek a common way of thinking about these problems which leaves out no essential constituency. In addition to declining enrollments, changing demographics, deteriorating facilities, smaller governmental appropriations and more competition for private dollars imply a different approach to the recruitment and retention of students and faculty, fund raising, and to the overall administration and governance of the academy.

Conceivably, the need for strategic planning and data-based decision making is crucial if schools of dentistry are to survive, compete, and progress in educating health professionals, contribute to the generation and transmission of new knowledge, and provide services to society. Moreover, the academic leader's inventory should include a firm grounding in administrative theory, academic leadership/governance, fiscal management, public relations, and strategies for fund raising. In an era of cost control and limited resources, academe is faced with balancing the need to cut costs and, therefore, programs on the one hand, and the need to generate more income on the other. The ability to prioritize and reallocate resources becomes significant, and this ability, arguably, depends for the most part on the quantity and quality of relevant data available for decision-making.

For as Rowe, et al (1985) noted succinctly:

Strategic planning is a process used to determine and evaluate alternatives for an organization to achieve its objectives and mission. It is a decision process that relates an organization's objectives, mission, and capabilities to the opportunities and threats in the environment.

According to Webster, the word strategy evolved from the Greek word "strategos" which means "general," and literally describes a military command exercised to meet the enemy in combat under advantageous conditions. Today, a strategy more commonly describes the art of devising and implementing plans toward a goal. Strategic planning is an approach that applies planning principles in decision-making and in contrast to long-range planning, strategic planning places special emphasis on the consideration of both the immediate and the extended environments in which the plan is executed. Strategic planning is characterized by ongoing flexibility and responsiveness.

However, strategic planning is never accomplished. Long before a plan is concluded: the plan is on its way to obsolescence. A changing environment ensures as much. Planning is a process that does not end. A strategic plan is not a document that can be prepared every three, four, or five years; it is a continuing task. Also the process of planning is more valuable than the resulting plan because the process encourages the decision maker to consider environmental change and to debate the strategic options open to the institution, given the school's strengths and weaknesses. Peter Drucker (1975) defines strategic planning as a continuous process of making decisions in a systematic manner with the greatest knowledge of their future. In addition, strategic planning involves organizing the efforts needed to carry out these decisions and
measuring results through organized, systematic feedback. Ostensibly, a crucial goal for schools of dentistry would be the establishment of a permanent strategic planning process that would permit the school to remain a continuously adaptive institution within a changing environment. A school of dentistry with no strategic plan, means that no one has given much thought to where the institution needs to head in the future. Productive strategic planning will focus to a much greater degree on effectiveness than on efficiency. Obviously, it is more important to do the right things than to do things right.

In view of the fact that much of higher education in the 90s will face declines in resources and an unstable economy, it will be increasingly important that academic leaders and those in development and planning seek a common way of addressing these problems, which leaves out no essential constituency, in order to support institutional renewal.

EDUCATIONAL PHILANTHROPY; A HISTORICAL PERSPECTIVE

The earliest evidence of educational philanthropy according to Marts (1953) began with a bequest of land from Plato to provide for the continuity of his Athenian Academy in 347 B.C. Alexander the Great, because of his respect for learning and affection for Aristotle, generously supported Aristotle Lyceum with his wealth. According to McMahon (1949), the first formal fund raising effort was recorded at Oxford in the 15th Century. However, according to Muller (1977), private support of higher education, for the most part, is a unique American phenomenon. Therefore, in order to appreciably understand the present and likely future of this unique American phenomenon, an acquaintance, however briefly, with the history of American higher education is indicated.

Higher education in America began with the founding of Harvard College and since then, it has been shaped and influenced by a variety of educational, cultural and religious forces from England, Scotland and Europe. The role of American philanthropy was a key element in the development of a system of higher education unique to the United States.

According to Rudolph (1962):

Higher education in the colonies, beginning with Harvard College, could not have begun without the active support of a nucleus of Cambridge and Oxford trained gentlemen.... They intended to recreate a little bit of Old England in America.... It was no less natural for the Englishmen of early Massachusetts to found themselves a college, an English college such as those they had known at Oxford but particularly at Cambridge....

In discussing the development of American higher education, Clark (1987) suggests diversification, decentralization, and local autonomy as some distinguishing characteristics. However, he notes that the colonial college was accepted more as a public trust since it was chartered by the religious denomination or the government of the colony or both.
Clark cites the work of Hofstadter and Metzger (1955), Rudolph (1962), and Whitehead (1975) in noting another factor unique to colonial American higher education: The first colleges were established in a sparsely populated rural setting lacking noteworthy resources. He writes:

The American colonies were hardly an appropriate setting for an autonomous profession.... it took half a century before William and Mary (1693) and Yale (1701) followed the establishment of Harvard College. Only six other colleges succeeded them before the Revolutionary War, all erected in a sparsely populated territory devoid of old cities, a medieval heritage, and substantial resources.... a type of institution that was to evolve into what we now call the private liberal arts college. This general type had its roots in England, where clusters of colleges composed Oxford and Cambridge, but the distinctive American pattern was to be the single college operating in isolation, preferably in a pastoral setting.

Rudolph (1962) comments on the early role of philanthropy in insuring the continuity and viability of American higher education:

While the colonial economy could not support philanthropy of the dimension that founded colleges at Oxford and Cambridge, individual benevolence was nonetheless in the English tradition.... John Harvard and Elihu Yale, while not founders of the colleges that took their names, were the first substantial private benefactors of collegiate education in New England and the first scholarship fund given to an American college was an act of Christian benevolence on the part of Lady Ann Mowlson whose maiden name had been Radcliffe.

Boorstin (1973) sums up his commentary on early examples of American educational philanthropy by stating:

The earliest American private colleges -- Harvard, Yale, Princeton, Dartmouth, Amherst -- had been founded with relatively small capital sums, aided later by generous public grants and by the modest philanthropy of their loyal sons. Then the booster colleges before the Civil War had depended on the meager resources of the denominations or on piecemeal support from local communities. The late years of the nineteenth century saw educational philanthropy on a new scale. In 1873, Johns Hopkins, from the fortune he had made as a commission merchant, banker, ship owner, and as the largest stockholder in the Baltimore & Ohio Railroad, bequeathed $7 million to found the Johns Hopkins University and the Johns Hopkins Hospital.... Andrew Carnegie, from his steel millions, founded the Carnegie Institution (1902) to promote research, the Carnegie Foundation for the Advancement of Teaching (1905), and the Carnegie Corporation (1911) for science and the humanities. Leland Stanford, out of the fortune he had made in Western railroads, founded Leland Stanford, Jr. University in the memory of his son, and left it an additional $2.5 million at his death. John D. Rockefeller, from his Standard Oil profits, gave $10 million in 1891 to found the University of Chicago. James B. Duke, who built the American Tobacco Company, in 1924 created a trust, valued at some $100 million to establish Duke University.
When Daniel Webster so eloquently and effectively defended the independence of Dartmouth College from state governmental control before Chief Justice John Marshall and the United States Supreme Court in 1819, private colleges, henceforth, had a legal precedence for independence (Rudolph, 1962).

According to Rudolph (1962), the first university in the United States began with the establishment of Johns Hopkins in 1876. However, there had been a gradual evolution of college to university beginning in the 1850s when Yale fostered graduate research and awarded the first American Ph.D. in 1861. Under the extended presidential leadership of Charles W. Eliot (1869-1909), who vigorously and effectively solicited funds, Harvard established a graduate department in 1870, soon followed by other private colleges. Moreover, public or state universities were coming into existence, supported by the resources offered to the states by the federal government through the land grant legislation of the 1862 Morrill Act.

Historically, the Morrill Act of 1862 was a significant investment by the federal government in higher education and according to Lee (1969), the first attempt by Congress to establish a national policy supporting higher education. However, it was not until 1890 and the passage of the second Morrill Act that federal support of higher education shifted from granting public lands to the states for the benefit of colleges within the state to federal grants in financial support of the development of state agricultural and mechanical schools.

Tiedt (1966), chronicles additional federal legislative acts which influenced higher education: the Hatch Act united agricultural experimental stations with the land-grant colleges, which resulted in the promotion of agricultural research in higher education. The Smith-Lever Act (1914), which established the Agricultural Extension Service to "aid in diffusing among the people of the United States useful and practical information on subjects pertaining to agriculture and home economics."

Following World War I, the federal government enacted legislation to support programs for the rehabilitation of disabled veterans, the distribution of surplus federal property to education, and the establishment of the Reserve Officers' Training Corps at institutions of higher education. The Emergency Relief Act was passed in 1935 supporting various educational programs and the National Cancer Institute Act (1937) was enacted to provide funds for public health service fellowship. In 1944, Congress passed the Servicemen's Readjustment Act (G. I. Bill), by which the 78th Congress provided educational financial aid for World War II veterans, resulting in a dramatic increase in college enrollments. Congress also passed the Surplus Property Act in 1944.

After World War II, the federal government continued its support of higher education as catalogued by Knezevich (1975):

- P.L. 13 (1953)  Created H.E.W.
- P.L. 531 (1954)  Cooperative Research Act
- P.L. 597 (1954)  Library Service Act
A review of the literature, {"A Fact Book on Higher Education" (1968); Wolk (1968); "Federal Support to Universities and Colleges, FY 1963-1966" (1967); and "Federal Support to Universities and Colleges, FY 1967" (1969)}, revealed five categories in which Congress usually supports higher education:

Aid to Students - Grants or loans direct to students or through institutions to cover all or part of educational expenses,

Categorical Aid - Funds provided through grants, contracts, or loans in support of a specific project or goal designated by the granting agency;

Grants to Institutions - Funds provided to institutions for broad or undesignated purposes;

Revenue Sharing - The return to the states of certain tax monies collected by the federal government; and

Tax Relief - Assistance to taxpayers for educational expenses through exemptions, deductions, or credits in the payments of taxes (tax relief may also go to institutions and may cover donations as well as expenses).

FUND RAISING; AN ANALYSIS GROUNDED ON A REVIEW OF THE LITERATURE

In order to supplement the basic and often insufficient funds from tuition, present-day university and college leaders increasingly have been seeking support from governmental agencies (Trow, 1988). In 1985-1986, expenditures of all kinds on American colleges and universities were estimated to be over $102 billion, an increase in current dollars of 32%, and in constant dollars of 17% over 1981-1982. This represents roughly 2.5% of the Gross National Product ("Higher Education is a U. S. Industry," 1986). Moreover, the spiraling cost of higher education, an economy encumbered with unbridled inflations, and the financial constraints which are placed on America's colleges and universities when governmental agencies diminish the amount of educational allotment can be clearly documented: Keller (1983), Leslie (1971), Bowen (1969), and Trow (1988).

Leslie (1971), suggested that the leveling off and consolidation of federal and state financial support may be accentuating the financial difficulty. As Howard R. Bowen (1969), former Claremont Graduate School President and Claremont University Center Chancellor noted:

Legislators do not look with favor on the extras that will make the difference between adequacy and excellence. The public institutions, which wish to strive for exceptional performances, are therefore forced to look to private sources for the funds needed to lift them above the common place or the mediocre.
Trow (1988) comments upon the financial condition and trends in higher education finance. He writes:

One important and distinctive characteristic of American higher education is the diversity of its sources of support. This diversity of funding sources has large consequences for the autonomy of American colleges and universities and for their traditions of service to other institutions, both public and private, as well as for their finances. Taken in the aggregate, American colleges and universities get support from federal, state, and local governments, from private sources such as churches, business firms, foundations, and individuals, from students, in the form of tuition and fees, living expenses in halls of residences, food services, health services, and the like; and from their own endowments, as well as from the sales of their services to others.

In terms of governmental support to higher education, Trow (1988) states clearly:
Government at all levels together provide nearly half of all current revenues for American higher education, and that excludes federal aid given directly to students, which shows up, for the most part, as tuition and fees from the students. The federal government provides only about 13% of the support for higher education overall, and that includes its support for research and development in the universities, but excludes the aid it provides directly to students. State and local governments (mostly states) provide a third of all support for higher education. Students themselves provide another third, including federal aid they have received. The institutions themselves contribute about 15% from their own endowments and other sources. If we count federal aid to students as federal support to higher education, it increases the federal proportion to about 23% of total support and reduces the student contribution to about the same proportion. Another 6% is provided by individuals, foundations, and private business firms, in the form of gifts, grants, and contracts.

These proportions, of course, differ between public and private colleges and universities, though it must be stressed that all American colleges and universities are supported by a mixture of public and private funds. For example, whereas in 1981-1982, public four-year colleges and universities got over 44% of their operating budgets from their state governments, the private institutions got less than 2% from state sources. (But note, private colleges received a slightly larger proportion of their support funds from the federal government than did the public institutions.) The other big difference lies in the importance of student's fees and payments directly to the institution for services: these account for less than a quarter of the revenues to public institutions, but about a half of the support for private institutions (Plisko, 1985, p. 114, Table 2.14). These proportions differ sharply among even finer categories of colleges and universities; for example, as between public research universities and public four-year colleges.

However, with governmental support of higher education, colleges and universities have faced unusual problems. Perhaps the greatest difficulty created by the government has been the encouragement and support of individual research projects. In effect, this has amounted to the government's funding individual scientific projects rather than investing in an educational process.
Trow concluded:

....the federal government has become a major source of support, both for university-based research and through student aid. Yet it still supplies less than a quarter of all support for American higher education. Moreover, the government's influence on the system has been further muted, precisely because that support has gone to individual scientists and students rather than directly to the institutions.

As pressure mounts upon American colleges and universities to improve their quality, schools of dentistry find themselves having to retrench in the name of quality and/or fiscal responsibility. It becomes important, therefore, for schools of dentistry to establish academic excellence, which arguably would include meaningful research, supported by a constant source of funding.

A successful fund raising program for American schools of dentistry requires time, effort, and effective planning and marketing. Arguably, the institution is looking for a sustainable contributions program that is achievable and rewarding.

This study will explore, however briefly, the assumption that school of dentistry deans are the central decision makers and strategists in fund raising. The dean has to establish specific goals and then make sure those goals are met by taking advantage of available marketing tools to turn strategic plans into action. A fundamental and incontrovertible responsibility of the dean is to assure the integrity of financial management and lead in raising the funds needed to fulfill the school's mission. To those ends, the dean should reassure the recruitment of competent development staff, encourage university involvement, and enlist and rally the active participation and support of alumni.

Furthermore, school of dentistry officials are increasingly involved in external affairs and much of a dean's time and effort is spent on interacting with various constituencies and other interested parties, such as governmental agencies, legislative bodies, and the public. Conceivably, a good public relation is helpful if the institution is to realize its potential in student enrollment, student quality, and fund raising. However, even a prestigious institution is not immune by any means to the problems and issues that confront most professional health care schools. These notable institutions may not have to compete vigorously for enough enrollment, but they do have to compete for the very best students, the premier faculty, and certainly for contributions. Moreover, they may not have to worry about enrollment numbers, but they must be concerned with seeking merit scholars, quality faculty, and research grants that might go elsewhere. In these regards, they have a very definite marketing task and as with marketing, the relevance and value of strategic planning in schools of dentistry should be recognized.

Marketing has been simply defined as providing customers with the goods and services they want or as Peter Drucker has said: "Marketing is the central dimension of business .... there is only one valid definition of business purpose: to create a customer" (Drucker, 1975).

Strategic planning is fundamentally a process for determining resource allocation and institutional emphasis and/or de-emphasize. The dental deans make decisions about economic resources - they allocate scarce resources among competing uses. Moreover, the schools of dentistry are affected by a changing environment: the nation's economic misfortunes,
government policy, changing demand, increasingly vocal students, faculty and alumni wishing to be consulted, and society knocking at its door. Perhaps, a hedge for the uncertainties of the years ahead for schools of dentistry would be creative, long-range planning for changes in the fund-raising environment. Peter Drucker correctly points out that "Strategic planning of the most successful companies - an IBM, a Xerox, a GE, for instance - starts with the assumption that the most successful products of today are the ones which are likely to obsolete the fastest tomorrow" (Drucker, 1979).

In addition, few dental deans can be proficient in academics, public relations, marketing, strategic planning and fund raising. Although, a dean may hire capable people for these functions, he or she must at least have a working knowledge of all these activities since the dean should be, after all, the chief strategic planner, the head public relations official and the key-person in fund raising. Hence, a basic knowledge is required in order for the academic leader to be conversant with the executives in charge of various areas.

However, any development effort should be coordinated through the development office as the officers are professionals trained in preparing proposals as well as in identifying and securing financial support. Consequently, it is essential that academic leaders consider it their responsibility to work in conjunction with the development office in a joint effort to raise funds.

Most institutions of higher education have published policies and procedures that coordinate fund raising activities through a development office. Moreover, according to Broce (1979), there are nine principles of fund raising that form the basis of any sound development program:

1. **Institutional or Organizational Objectives Must Be Established**

   Schools of dentistry must have current objectives that are consistent with those of their respective university.

   There are many methods for establishing a long-range plan and a process for allocating resources according to Corneske and Bolte (1986).

2. **Development Objectives Must Be Established to Meet Institutional Objectives**

   Academic leaders and development officer must be able to communicate to potential donors the objectives and needs of the institution as well as to demonstrate how the potential funds will be allocated to meet these objectives.

3. **The Kinds of Support Needed Determine The Kinds of Fund Raising Programs Implemented**

   Each objective should be matched with the most appropriate source of funds, i.e., a capital campaign, endowment programs, etc.
4. The Institution Must Start With Natural Prospects

The most natural and best prospects are those that have given in the past.

5. The Case For The Program Must Reflect The Importance of The Institution

A brief and clear statement must be prepared and used in all promotional material.

6. Involvement Is The Key To Leadership And Support

An effective fund raising effort occurs when all of those involved participate in every aspect, from planning to solicitation.

7. Prospect Research Must Be Thorough And Realistic

The identification of potential donors and evaluating the potential giving power of a donor are ongoing processes.

8. Cultivation Is the Key To Successful Solicitation

Cultivation is constant and varied.

Three groups of prospects:
- Those ready to be solicited;
- Those who are interested, but not quite ready for solicitation, and
- Those who have a potential for giving, but have not been approached.

9. Solicitation Is Likely To Be Successful Only If Principles One Through Eight Have Been Followed

Successful solicitation of a donor depends on the motivation of others in the solicitation process.

The solicitation should be coordinated through the development office.

Working with the university development office, the office of development of the school of dentistry can help the dean identify and cultivate potential donors.

As Kunec (1982) noted:

One of the most time-consuming tasks for any fund-raiser is identifying and cultivating donors. Research, whether that is searching through directories of foundations, meeting with influential friends or the power block in the community, or any other form, is the secret to finding those individuals, foundations, corporations, and community organizations that would be interested in helping you achieve your mission.
The school of dentistry mission statement should support the university mission statement.

According to Guardo (1982):

A university mission statement sums up the academic identity of the institution. It covers the type of educational institution the university is, the kind of educational philosophy it espouses, and the specific educational aims and purposes it seeks to fill.

The school of dentistry's case statement should be supportive of and consistent with the university case statements.

According to Kunec (1982):

The case statement is a document that states the well-researched arguments that express an internal consensus on your organization's rationale for existence.

Kunec suggests that the case statement contain six elements:

1. A section on history and tradition that should define why the school was founded, its philosophy, and heritage. This section should also include information on the school's mission and why it was established;

2. A description of the school's services should be provided along with how the school serves the community;

3. How the school intends to improve its current capabilities, its long-range plans, and how this will impact the community;

4. A description of the students, faculty, administration, and alumni and friends of the school;

5. An invitation to others asking them to participate in determining the future of the school;

6. Outline opportunities for giving, which include time, resources, and money.

A case statement should be brief and clearly state the objectives, need, and value in meeting that need. It should be specific to the school, while at the same time, speak to larger entities of the university; and it should have the approval of the university's administration as well as the dean of the school of dentistry.

DISCUSSION

Conceivably, a successful fund raising program requires time, effort, effective marketing, and skillful strategic planning. Moreover, if fund raising is to be productive, it should be under the ultimate responsibility and authority of the dean and the school's chief development officer, who, in turn, coordinates the efforts of the people involved in fund raising activities. Arguably, the school is looking for a sustainable contributions program that is achievable; however, it is essential that the school and university speak with one coordinated voice regarding the school's fund raising policies as well as the university's overarching policies.
According to Howe (1983):
Not by chance is the fund raising activity referred to as "development." Nor is development simply a sugar coated euphemism. The concept of development involves the formulation and articulation of a clear sense of mission for an institution and taking the necessary steps - - including communication with constituents, and raising essential revenues - - to make possible the fulfillment of that mission. Accordingly, the first and critical step is to have a clear statement of mission and institutional plan: to know what the organization is doing, how it differs from others, how it fits into the community around it, and where it expects to go.

Howe continues by pointing out:
The culmination of all fund raising is solicitation, asking for contributions --- in raising money from individuals, corporations, or foundations, the tasks of planning, research, and cultivation will dictate who should do the asking, when they should do it, and how much they should ask for. --- People who give money, particularly in major accounts, do not want to deal with development staff; they want to talk to a trustee, a volunteer, or the chief executive.

Finally, after an extensive review of the pertinent literature, some perspectives on fund raising in American higher education are in order. The turbulent environment in American higher education calls for new strategies, new kinds of leaders, and in many instances, amelioration of its institutional and administrative cultures. For instance, sustainable competitive strategies will have to be built not only around academic offerings and reputation, but also around consumer research, public relations, strategic planning and fund raising.

To realize its potential, academe will have to tell its story, adapt to market needs and preferences, plan for the long-term view, and gain the financial and other support of alumni, friends, business and government. Today, academic leaders are selected on the basis of managerial, leadership and interpersonal skills, as well as political adeptness and academic credentials.

To be an effective leader/manager, a president or dean should assume the roles of the chief strategic planner, the head public relations official, and the linchpin in fund raising. Even though few college or university officials can be first-rate in academics, public relations, strategic planning, and fund raising, a basic knowledge is required in order for the chief academic officer to be conversant with the executives in charge of these various areas and, thus, to be successful in moving the institution upward and onward toward the 21st century.

SUMMARY
Philanthropy was recorded as early as the 21st century B.C., and has had an enormous impact on the development of a unique system of higher education in the United States. Moreover, the literature suggests that philanthropy has always been a fundamental element in the viability of higher education in America. From the earliest private colonial colleges to the modern research universities, philanthropic support has been sought from a variety of private sources.
However, as colleges and universities approach the 21st century A.D., there will continue to be an escalating competition for both students and other financial support from private sources as well as from the states and the federal government in a time when criticism of the costs and benefits of higher education is increasing.

Academic leaders generally have bore the burden of fund raising for 250 years since the founding of Harvard College. But with the concentration of wealth engendered by the Industrial Revolution and with the proliferation and willingness of wealthy individuals to financially support American higher education, colleges and universities began to utilize professional fundraisers to search out and use modern fund raising methods to uncover new funding sources.

As a result, colleges and universities began developing their own fund raising staffs and a number of independent support organizations developed, which are now merged into the Council for Advancement and Support of Education. Hence, with the prospect of declining enrollments, increased competition for and dependency upon state and federal dollars, and an unstable economy, it is imperative that American higher education, working with the Council for Advancement and Support of Education, aggressively pursue philanthropy from all sectors of society.

POSTSCRIPT

The preceding review of the literature presented an aspect of fund raising that may well provide a fertile field for additional scholarly investigation: In the area of fund raising in American higher education, there appears to be a recognizable community of thought, a growing body of literature, a dynamic research quest, and an application of the knowledge in practical affairs.

These developments suggest that the study of fund raising may well be on the threshold of becoming a field of specialized inquiry in the discipline of academic administration. However, the methods, knowledge, and theory in fund raising have not yet evolved into an articulate, defined, and well-integrated course of study. Despite the existence of an abundant and wide-ranging literature, the area has no comprehensive statement of its concepts, theory, and knowledge. One of the central tasks facing the fund raising area is that of achieving some coalescence of its efforts so as to crystallize its identity as a prospective specialization in the art and science of academic administration.

Frank Cortez Flores, PhD
DEFINITIONS

The General Categories of Gifts:

Annual Giving: Generally is an annual, unrestricted gift that helps in meeting the ongoing needs of the institution. A good annual-giving program usually leads to future major endowment, deferred, and capital gifts.

Capital Gifts: Includes gifts for new construction, renovation, and equipment. This includes gifts for the purchase of land or a gift of land itself. In kind gifts of equipment and other non-cash items can also be included in this category.

Deferred Giving: Also referred to as Planning Giving, usually involves wills and estate planning. Deferred gifts can be made through trusts, life insurance annuities, securities, and real personal property.

Designated Giving: Includes all of those donations that people give for a specific objective, goal, or cause. It can be an endowment, capital or deferred gift.

Endowment: Includes all gifts in which the donor designates that only the income (interest) from the corpus of the donation can be used for the purpose intended. Endowments are generally used for student scholarships, academic chairs, professorships, and research programs.

Special Giving: Includes donations for one-time, special activities, such as seminars, social functions or special events. It can also be for one-time appeals, such as buildings and improvements.

Unrestricted Giving: Includes donations that are given without designation.
REFERENCES


Successful annual fund drives require constant evaluation through the year. This article discusses how six institutions keep their annual funds running smoothly; using challenging grants; jumping in with a quick start; establishing a unique gift club; using the local community as a gift club for local donors; making and breaking records, and finally, using computers to keep records current and fund-raising solicitations on target. Each of these fund-raising methods have been tried with success by an institution.

This author points out the fact that college presidents are the chief decision makers and strategists in fund-raising. The president must establish goals and be sure that they are met. He/she must also develop a good relationship among board members, development staff, and volunteers, as well as inspire trustees and the chief development officer to encourage the fund-raising activities be conducted well. This article suggests many more responsibilities and duties of the college president to insure successful fund-raising activities for the institution.

Many universities have found some changes in the 1981 tax code that can make it advantageous for businesses to make donations to these institutions. Two of these include tax deductions for gifts of scientific equipment and gifts for building rehabilitation (corporations buy old buildings, refurbish them, and lease them to the university). This article briefly discusses these tax breaks for businesses.

This article tells how faculty and staff on various campuses are contributing to their giving funds. Fund-raisers on many campuses are now exploring the fund-raising capacities of their own faculty and staff. The article also points out the advantages of such a campaign and provides information on how to organize a campaign of this type.

Corporate matching gift programs allow institutions to secure sizable contributions. This is a tremendous boost to the small liberal arts college. This article discusses matching gift programs and tells how your institution can participate in this method of fund-raising.

The author of this article discusses the role of the federal government in relation to colleges and universities. He begins by telling how universities are critical to the future of the country in several ways: they produce professionally trained people; they create new ideas; and they are
among the principal agents of social mobility. He also discusses the various fundings to higher education that are available through the government, but indicates these funds are decreasing. He notes several consequences caused by these decreases and tells what can be done to increase funding in higher education.

The author tells how he took a "busman's holiday" to become volunteer chairman of his 25th anniversary class fund at Columbia College of Columbia University. His goal was to double in one year all special gift club members that his class of 1954 had had in 25 years. This article tells how he went about meeting this goal. The goal was successful and the author concludes by discussing the three facts that made the campaign a success.

The author points out here the importance of having a good relationship between the president, the No. 1 volunteer and the paid professional, in order to have a successful fund-raising program. Several suggestions are offered here on how to achieve such a relationship.

Whether or not it is included in the job descriptions, this author feels that all employees of a college are, in a sense, fund-raisers of the institution. The relationship between fund-raising and alumni periodical editing is discussed in this article. This is brought out by studying the goals of three separate periodicals: to inform and stimulate the interest of readers in events, ideas, and opinions that concern the college/alumni; to keep the alumni in touch with the college; and to confirm and strengthen the confidence of former students and acquaint them with its leadership and the institution's contributions to society. The author discusses how the periodicals editor can interact with the development officer in using campus periodicals to the best advantage in fund-raising.

Carpenter, Russell F. "The Reunion Fund Revisited." CASE Currents, 8 (November - December, 1982), 44-47.
Williams College has devised an approach to fund-raising by using a mini-capital campaign at the 25th and 50th reunions. The results are that they receive more funds during the 50-year active life of an alumnus than with the usual five-year intervals of annual fund upgrades. This article describes how this plan works for Williams College.

Charitable lead trusts provide a way for affluent donors to make significant transfers of their funds to their children or grand-children. Donors, heirs, and educational institutions can all benefit from this device. There are three reasons for this: "The donor receives a substantial gift or estate tax savings on the transfer of capital; heirs may receive a larger inheritance than they
would through an out-right bequest or accumulation trust; finally, your institution receives an immediate income flow." This article discusses how a lead trust works.

Crossland, Fred E., and Stephen Joel Tractenberg. "Fifteen Pleas to Fund Raisers and Foundations." Educational Record, 63 (Summer 1982), 17-20. This article discusses each of ten pleas to fund-raisers: 1) Thou shalt recognize diversity among funding agencies; 2) Thou shalt do thy homework; 3) Thou shalt keep the folks back home advised; 4) Thou shalt not bear false witness; 5) Thou shalt respect the rules of the language; 6) Thou shalt accept with humility the role of broker; 7) Thou shalt adopt a nonadversarial posture; 8) Thou shalt not take rejection as a personal affront; 9) Thou shalt ensure that the colleagues comply with grant terms; and 10) Thou shalt be blessed with vision and high idealism." In addition, the author gives five pleas to foundations: 1) Thou shalt make thyself known; 2) Thou shalt be more accurate and specific in thy statement of purpose and interest; 3) Thou shalt make thyself more accessible; 4) Thou shalt be more accountable; and 5) Thou shalt adequately fund proposals for programs or special projects."

Davis, Nancy L. "What to Do Before the Volunteers Arrive." CASE Currents, 7 (February 1981), 34-36. When using volunteers for fund-raising campaigns, it is important that you plan carefully. This article provides some basic steps to follow when planning a volunteer program. The steps discussed in this article include setting goals, defining the roles for the volunteers and staff, and proper timing.

Day, Williamson. "Tips If You're Tapped to Raise Funds." Nations Business, 68 (November 1980), 94-96. Many people find fund-raising to be a very difficult task, but there are certain principles that fall into place in almost every fund-raising campaign. Each of the following principles is discussed in this article; sell you product; communication; know where to get started; qualify your charity; make your launch impressive; and develop a personal contact campaign.

Dean, Laura Hansen. "Look Before You Leap: Six Questions You Need to Ask Before Diving Into a Pooled Income Fund." CASE Currents,9 (April 1983), 24-26. A pooled income fund can be a definite asset to a planned giving program. But such a project should be carefully studied before the final documents are prepared. The author of this article provides the answer to six questions you should consider before forwarding your final documents to the Internal Revenue Service for approval.

Desruisseaux, Paul. "Corporations Gave a Record $1.29 Billion to Education in 1983, Despite Low Profits." Chronicle of Higher Education, 29 (November 28, 1984), 22. Gifts of company products amounted to only a small portion of U. S. corporations' charitable contributions to higher education before 1982. However, this type of gift has recently become more significant, totalling more than $100 million annually and more than 10 percent of what companies give to colleges. Computer manufacturers dominate this type of giving. A change in the tax code passed in 1981 that allows significant tax deductions for gifts of this type has allowed corporations to make more donations of equipment and products. This article discusses how this change in the tax law has increased these donations to higher education.
Dunlop, David R. "NO NO NO NO: But What's the Cost to Volunteer Involvement?" CASE Currents, 7 (October 1981), 17-18.
The author of this article believes that paid solicitors will drive out volunteers and undermine the volunteer program. He creates a scenario to demonstrate this situation. He stresses the importance of phonathons as a volunteer involvement technique and tells how to enlist volunteers for this fund-raising method, as well as pointing out the importance of volunteers over using paid assistance for phonathons.

The authors of this article have provided a program on how to develop and carry out a comprehensive advancement program covering development, alumni relations, public relations and publications in 60 working days. A chart is included for day-by-day activities for the first 40 days. The first 20 days are mainly devoted to listening and evaluating. The second 20 days should include the development of a strategic plan. Days 41-60 are used to take action on the plan. At the end of 60 days, the wheels should be moving, although they may move slowly in some cases.

There are two ways to describe trustees in colleges/universities according to this author: the three W’s (work, wealth, and wisdom) and the three G’s (give it, get it, or get out of the way). While this may not be the ideal for any board of trustees, it is not always the real situation. Therefore, it is necessary to find a way to work with trustees who do not fall into the three-W or three-G categories. The job as a successful development officer is to make the best of as many trustees as possible. This article discusses ways this can be done, first by identifying human resources. Once the key trustees have been identified, they should be put to work on the fund-raising project. The author has described several ways this can be handled. One important aspect in any fund-raising campaign is to say "thank you."

The capital campaign is a very critical activity of the administration in an institution of higher education. This article provides a "roadmap" for a capital campaign, including discussions on making plans, determining the feasibility of the campaign, forming the case, validating the important projects, evaluating some major prospects and achieving public credibility.

This author discusses various aspects of the construction requirement that states that in order to qualify for extra deductions from contributions of research equipment donated to a college or university, the property must be property that is constructed by the donor. The confusion and controversy on this issue is discussed in this article.
This series of brief articles discusses several fund-raising techniques used at various institutions. Some include step-by-step instructions for fund-raising. The importance of making your needs known to potential donors is stressed, as well as getting to know potential donors better.

The author points out that no person wants to be known simply as a money raiser, nor does any college want the reputation of being a place where you can buy a seat on the board. While board members can have a mix of attributes to the institution, there needs to be a significant proportion of members who can aid in fund-raising. This includes a certain percentage of the total gift support that is contributed by the trustees. Therefore, it is important to establish guidelines for the nominating committee to use in selecting board members. This article briefly discusses some guidelines that can be used in developing a board profile and tells how to face the problem of "dead-wood" on the board. It is important to identify top candidates, do reference checks and cultivate the nominees. Each of these aspects of the selection of trustees is briefly discussed in this article.

This article brings out the importance of looking into gas, oil, and coal reserves as bonafide donations to colleges and universities. Some of the advantages are that the donor can claim immediate tax deductions the year the gift is given as well as the following years. Others can sign over properties on which they have made little or no investment; these may need capital to develop or may be developed in the future. If the institution researches this type of gift properly, they can have a significant pool of prospects for natural resource gifts.

Many institutions solicit funds by simply mailing unsolicited proposals to foundations whose names they have acquired. However, it would be better to prepare proposals and adopt principals of successful cultivation before solicitation begins. This article tells what to do "before your write" and how to get pre-selected foundations to invite you to apply. The author also points our the importance of internal cultivation; gaining a complete knowledge of your own institution, as well as personal cultivation; your own role in the project.

This author has found that there are five common problems in fund-raising; inadequate preparation by the institution, failure to recruit and retain strong leadership, being over-optimistic about major gifts, misjudging the timing of the fund-raising program, and inadequate constituency relations. Each of these problems is briefly discussed here.

This article, is written by the President of Drew University, begins by briefly listing seven reasons why fund-raising can be fun: love the institutions you serve and believe in their missions; know that American laws and social customs can support philanthropy; respect people
and welcome contact with people; enjoy competition; discover the joy of saying thank-you; enjoy the satisfaction of seeing grants accomplish the purposes and reporting this success to donors; and enjoy the fellowship of development professionals. Each one of these areas of fund-raising is discussed in this article.

How to manage endowments, as well as secure more income, is an important factor of higher education administration. This article talks about the search for aggressive equity managers at the University of Southern California, what type of managers they were looking for, and what they expect of them.

Every educational institution needs to explore carefully its sources of revenue. A creative approach to all campus resources, including financial, building, equipment, and raising funds. Diversify your resources in order to understand what is available is called resource auditing. This article tells how to use campus assets to the best advantage for the institution.

Many non-profit institutions have gotten sound financial support through strong trustee membership. However, the converse is also true. The author of this article lists five fundamental laws of fund-raising, all focusing on "people." Understanding these principles can make fund-raising easy, yet trustees still hesitate to ask people for money. A few suggestions are provided here to make this task easier for university officials and the institution.

Most large organizations often have a development office in charge of raising money, but smaller nonprofit organizations have more of a problem with fund-raising activities. The answer to this problem is that the smaller organization still must think, as does its larger counterpart, about its mission, sources, and organization. This article briefly describes how to draft a mission for the small organization, pointing out the sources of giving. The author also discusses a plan for fund-raising and what matters deserve attention. These include goals, communication, gathering information, cultivating eh donor, the board, and the staff.

Gift clubs can provide valuable access to needed money for institutions of higher education. However, there is no single secret to success. This author provides a few examples of successful gift club tactics.

While focusing on Australian universities, this article provides some implications and theories on fund-raising other than using government sources. Several of the benefits of this type of fund-raising are mentioned, as well as the types of funds that may be sought. The author has included a model for fund-raising which includes the stages of fund-raising and the alternative activities.


Even though the money from state appropriations has increased over the past four years, the percentage of these revenues has declined. This represents the loss of substantial funds for education. This loss has been supplemented by increasing tuition and fees as well as local government funds. This article briefly discusses this area of funding and includes tables showing revenues for educational and general budgets for public two-year colleges from 1976 to 1983.


Some nonprofit institutions often receive assets from benefactors for which they offer annuities in exchange. These annuities are subject to the more common one that specifies that the annuities be paid for the life of the benefactor. The value of the liabilities associated with annuities must be determined and reported in the financial statements of the institution. This article addresses this issue.


Researching market segmentation is an important variable in successful fund-raising. This article points out ways to segment a market to produce significant donations to the institution. The author discusses three techniques that can be used to analyze data: frequency counts of donors; cross-tabulations to determine factors that can have an impact on giving behavior; and discriminant analysis. The author also briefly discusses how to collect information and apply your research, and provides tips on using computers in the process.

Ketchum, David S. "Fund Raising: What's In the Cards: 24 Predictions on Capital Fund Raising in the '80s." CASE Currents, 6 (September 1980), 40-42.

The author of this article presents 24 predictions about the future of capital fund-raising for colleges and universities. He covers the following: "1) situations that almost certainly will change; 2) situations that almost certainly will not change; 3) those where trends indicate at least partially what is likely to happen in the future; and 4) pure guesstimates." The time-frame used here is the decade of 1980.


Cultivation of a gift should not cease when the check is received. The next step to follow up is stewardship. The present donor is your best bet for future gifts. This article provides steps that should be taken to follow up on gifts received by the institution. Of course, the first step is to acknowledge each gift. Yearly reports on the use of funds should be sent to donors. Personal contacts and visits to the corporations are important, as are informational mailings. Finally, the institution should encourage visits to the campus by corporate representatives.
Direct mail is a basic component of most annual fund campaigns. However, educational
institutions are not alone in this form of securing funding. In order to compete, the campaign
must be well planned. This article provides some points on how to plan a successful mail
campaign. This article provides some points on how to plan a successful mail campaign. The
first step to consider is the expense of the campaign. Perhaps the most important part of a mail
campaign is the letter itself. Along with the letter, it is important to include a reply card and
envelope. Even the color can help "sell" the campaign. Timing of mailings is also an important
aspect of a mail campaign and finally testing the effectiveness of the campaign is most
beneficial. Each of these aspects of the mail campaign is included in this article.

Foundation Ride the Waves of Change." CASE Currents, 9 (February 1983), 40-42.
The job of creating or expanding a foundation is a difficult one. It is important to protect the
integrity of the institution while also creating an organization that can attract high-quality
business, alumni, and community leadership. This article describes the steps necessary in
establishing a foundation. The first step is to establish the legal status of the foundation. This
should be followed by staffing the foundation, developing the operating policies and developing
programs that will serve the institution.

Leslie, Larry, Sally S. Drachman, Clifton F. Conrad, and Garey W. Ramey. "Factors Accounting
for Variations Over Time in Voluntary Support for Colleges and Universities." Journal of
Education Finance, 9 (Fall 1983), 213-225.
Frequency of voluntary support has often provided a margin of excellence that separates one
institution from another. Institutions of high education are dependent on voluntary support. This
article focuses on the overall and relative importance of selected economic factors that explain
the variations in voluntary support over time in American colleges and universities. These
economic factors include the level of economic activity, forecasted business conditions, rate of
return on investments, price of goods, and amount of government intervention in the economy.

Currents, 9 (February 1983), 18-19.
This article reports on the findings from a survey made by the Group Attitudes Corporation
regarding "who makes a donation." A table is included to help clarify the statistics.

Currents, 6 (November 1980), 28-29.
This article tells about the Funding Association plan at Dartmouth. This is a special deferred
giving project sponsored by their 55th reunion class. The plan has raised a total of $12.5 million
and the average age in the class is 77. This article describes this plan and tells what has made it
successful.

McClaskey, Cynthia Gelhard, and John A. Dunn, Jr. "Look Into My Crystal Cathode Ray Tube:
This article tells how Wesleyan University used the computer to project ways to reach their fund-raising objectives. They developed a computer model for their annual fund by first making three key assumptions: 1) alumni participation and total dollars are legitimate annual fund objectives; 2) donors' ability to make substantial contributions increase over the years; and 3) over the years, rates and percentages are more useful than annual numbers. Their next step in the plan was to create variables and then make some projections. They then developed a plan and finally took action. Each of these steps is discussed in this article.

This brief article includes some statistical information on gifts received as a result of major college fund-raising drives. While this aspect of fund-raising was up, the author points out how federal funds for other programs (such as social welfare and health services) were down during this period. It is pointed out that service agencies are becoming less like government and more like business, serving only people who can afford to pay.

This brief article shows how the Jubilee Singers have traveled around the country putting on programs to help raise money for Fisk University. This type of fund-raising also helps recruit new students and cultivates friends in government and industry.

Despite competition, a survey found that during a five-year period, college fund-raising drives have been successful. This brief article reports some statistical results of the survey.

Corporate giving often does not go to the small liberal arts colleges. Rather, much of this support goes to a few prestigious research institutions. Therefore, small institutions must actively cultivate ways to receive donations from this segment of business. This article tells how one college successfully administered a corporate fund-raising program within their local business community.

This article tells how Rutgers University was able to increase annual giving dollars by 37.4 percent and alumni participation by 23 percent in one year by using a direct mail campaign based on volunteer know-how and computer and word-processing technology. This program is analyzed in this article. Illustrations of material used in the campaign are also included.

This article takes the opposite view from the article by David Dunlop, "NO NO NO NO: But What's the Cost to Volunteer Involvement?" This author states that paid phonathon callers
increase your dollar and percentage donations without detracting from the volunteer program. The author points out the arguments in favor of paid callers, but still stresses the importance of volunteers in any successful fund-raising program.

Orme is the manager of General Electric's Corporate Support and Educational Relations Operation. He first tells of the importance of education to the General Electric Company. The company realizes that supporting higher education also helps the company itself. This article tells how colleges and universities can solicit funding from General Electric.

According to this author, charitable donations to higher education would drop by 27 percent if the proposal by the Treasury Department to simplify taxes becomes law. The Treasury has released a set of proposals that would change the federal tax code in November of 1985. This article discusses these proposals and how they could affect charitable giving to higher education.

The author of this article describes a fund-raising campaign at Wittenburg College (OH). A step-by-step plan is given including preparations that were organized before the campaign actually got under way. Some of the ways they went about raising money were through advertising, attracting media interviews, soliciting editorial support, and effectively using public service time.

This author points out the importance of alumni administrators becoming full partners in institutional advancement and fund-raising. He offers ten ways that alumni professionals can further the alumni/development partnership.

It is impossible to generalize what actually constitutes effective fund-raising. This article reports on the findings of a study for a dissertation to determine some generalizations on successful fund-raising and supports them with data and analysis. The important variables used in this study are institutional wealth, institutional size, socio-economic levels of clientele, and academic quality. Each of these variables is briefly discussed here.

While the author realizes that there are some trustees who simply do not like to ask for money, he talks in this article about their role in raising money for the institution. He points out that the first step is to know that the money is there and to know that other trustees are working to raise
money. He also discusses the importance of public relations and the importance of the board attesting to the needs of the institution. Training of trustees to raise funds is another factor in successful fund-raising.

This article tells how a small liberal arts college for women went after the corporate dollar. The administrators used the same basic elements used in any successful fund-raising effort: the right leadership; proper research and strategy; proper setting for solicitation; and beginning with the best prospects. The procedures this small college used to accomplish a successful campaign with these four steps is briefly discussed here.

This article discusses the role and responsibility of trustees of private colleges in raising funds for the institution. The author first points out the shortcomings and areas of potential support and tells how the trustees can reach new levels of accomplishment in obtaining funding.

This article tells how the president of the University of San Diego worked in partnership with the vice president to advance the university by generating resources through capital campaigns.

Personal solicitation is perhaps the most effective way to solicit a gift. However, in order to be successful, careful planning should proceed such solicitation. This article provides a list of four steps that every good campaigner should follow. In addition, the author has provided some special techniques to apply to annual fund campaigns along with some topics to cover when training solicitors.

Yale has found the solution to involving students in fund-raising, to get new graduates into the giving habit, and to boost 25th reunion giving totals. This article describes how Yale organized class solicitation during the senior year and after graduation by organizing a typical campaign pyramid to reach every senior. Quarter Century Fund chairs have helped oversee the solicitation. This article describes this process which has been successful at Yale.

Schell, R. M. "Should You Campaign During a Recession?" CASE Currents, 8 (May-June 1982), 28-30.
This author briefly describes what actually happens economically during a recession and shows how donations can be affected by recession and stock market decline. He briefly discusses a study of trends of giving to six institutions during a period of recession. The answer to the article's title question, according to this author, is yes.
Cornell University hired four investment firms to manage their $600 million endowment fund. This article discusses how their endowment fund is managed and mentions some of the investments made by the university to increase their income.

One question that has long plagued fund-raisers as well as donors is the cost of fund-raising. Recently, a Fund Raising Cost Study was undertaken by the National Society of Fund Raising Executives Institute. The three objectives of this study were 1) to suggest practical procedures for reporting costs in fund-raising; 2) to enable donors, institutional trustees, legislators, regulatory agencies, etc., to evaluate fund-raising costs through meaningful reports; and 3) to make charitable fund-raising more cost effective and productive through better reporting. This study is briefly discussed in this article.

Warren Heeman, vice president for institute relations and development at Georgia Institute of Technology, was interviewed by Currents on productivity in fund-raising and institutional relations. In the interview, Heeman emphasizes the importance of fund-raisers and PR professionals being concerned with more than just gift income and media relations. He also points out the necessity for setting goals and evaluating productivity.

This article describes a proposal to make charitable giving by U. S. corporations effective through offering the institution, as one of its shareholders, several options. These options are outlined here and some questions/answers on this plan are included. The author has also mentioned some objections to the plan.

The author describes how the University of Richmond Rector's Club has grown from 19 charter members in 1970 to 350 members in 1979-80. Their two full time fund-raisers and the vice president have successfully run a $50 million capital campaign. The steps discussed here are first to identify donors, usually done by current donors. It is also important to pick the right contact to encourage the interest of the prospect. The next step is to cultivate the donor, usually handled by the two full time fund-raisers and the vice president. Entertaining plays an important part in the process. The fund-raisers then ask for the gift followed by a thank-you. This entire process is detailed in this article.

Currents surveyed ten institutions to determine their resource-raising and revenue-producing enterprises. Every entrepreneurial activity should be thoroughly examined before it is used.
This article provides some examples of ways the colleges studied have made money for their institutions. Some are big stakes bingo, making use of the facilities on campus for outside activities, real estate deals, etc.

This article describes the Major Donor 'Moves' Program at Southern Methodist University. This is a computerized tracking system used as a management tool for their various giving programs. The author discussed the items included in their major donor profile and the forms used to assemble this information. A hypothetical example is given here, which explains how the program works.

This article presents the barrier that can occur in fund-raising. The author used information that he assembled for his Ph.D. dissertation. He gives a brief description of how he identified the barriers and provides statements that fund-raisers can ask themselves to assess factors that can affect efforts in successful fund-raising. These statements are divided into four areas: 1) organization's structure and resources; 2) the underutilization of fund-raising constituencies and sources; 3) inefficient methods and techniques in fund-raising; and 4) inadequate record keeping and gift processing.

This article emphasizes the importance of the development officer working closely with both the president and trustees of the institution. The author offers some suggestions on how to develop a philosophy to relate to these officers including these: get the endorsement from the chief officers of the institution; serve the president first; understand how policy is made and implemented; know the trustees personally and professionally; keep the trustees out front by involving them in development planning and keeping them informed; and encourage trustees to solicit their peers. Each of these areas is briefly discussed here.

This author states that there are certain rules of campaigning that can be very helpful to the fundraiser. These rules include 1) don't say "We have you down for X dollars"; 2) don't raise funds by averages; 3) don't be overcritical about giving levels of prospects; 4) don't provide guidelines that relate giving ranges to income\ and 5) stress the joy of giving. These guidelines are each discussed in this article.

This article discusses ten ways that the University of Richmond has used to win corporate support. Each of the following suggestions are briefly discussed here: 1) develop a statement showing the impact of your institution to the community and state; 2) document the impact; 3) carefully research each corporate prospect; 4) schedule regular corporate days on your campus; 5) execute executive information with a direct return for their donations; 7) plan to use one
corporate gift to increase others; 8) extend the pledge period for longer than a normal three-year period; 9) use a team approach when soliciting corporate gifts; and 10) be sure to thank donors and let them know how their gifts have been used.

Choosing a director of development is a very important part of successful fund-raising for an institution. This article points out some of the basic consideration that should be addressed in this process.

There are many ways that a college or university-related foundation can help your fund-raising efforts. A college can broaden its base of support by recruiting prestigious people to serve on the foundation board. This article begins by listing the ways a foundation can help in fund-raising. The author then briefly describes the three types of foundations and tells how to build a foundation.

Young, John E. "$40 Billion in Funding Opportunities." Community and Junior College Journal, 50 (February 1980), 20-27.
Many colleges forego their available federal support either through indifference or lack of ability to compete successfully for this money. Some institutions are very good at locating sources of financial support, whereas others overlook available sources. This article tells of the various types of funds available and where information on these funds can be found.