

GIFTS ON A HIGH NOTE:
A CASE STUDY OF MAJOR DONORS TO MUSIC PROGRAMS
IN HIGHER EDUCATION

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ABSTRACT

This study is an examination of the giving decision-making process, as well as the factors, characteristics, and motivators of major donors to music programs in higher education. The college and the conservatory of music selected for this study are part of large, public, doctoral, research universities in metropolitan areas with at least three major arts organizations. The primary sources for the data were interviews with donors who have made major gifts to the selected colleges of music. Review of the donors' giving patterns, and an interview with the Director of Development at each institution were also used to gain a better understanding of the giving decisions of major donors. The purpose of this study was to identify the factors that have motivated the gifts made by major donors.

Higher education has a direct impact on the economic growth of society (Bowen, 1996; Clotfelter et al., 1991; Curti & Nash, 1965; Elliott, 2006; Gaudiani, 2003; Leslie & Slaughter, 1992; Smith & Drabenstott, 1992; Van Til, 1990). In the same way, philanthropy has played an important role in the development of higher education (Bremmer, 1996; Curti & Nash, 1965; Sears, 1990). Music and arts are also considered an essential part of societal development (Christ-Janer & Wickiser, 1968; Knieter, 1976; Myers, 2006; Rankin, 1982). Based on Christ-Janer & Wickiser (1968) and Rankin (1982), I anticipated that a great appreciation for music and a strong relationship to the academic institution's donor's support were two of the main motivators that have contributed to the giving decisions of major donors to music programs in higher education. I expected to find a level of *relational affinity* as defined by King (2005) who

states that the donor-institution relationship is based on undergraduate experiences in the case of alumni, or interpersonal relationships with the leadership of a university for non-alumni. I also expected major donors to be drawn to give to colleges and schools of music because of their mission and the impact these schools have on the community.

Different than all most of my expectations and findings in the existing literature on major donors, the results of this study show a different decision-making process for major donors to music higher education.

The benefit of this study is to have a better understanding of major donors' behavior toward the arts and their motivation to give to music programs in higher education. The resulting knowledge provides additional insight for development officers at colleges of music as they work with their major donor cultivation, solicitation and stewardship.

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Writing a dissertation is a challenging process that carries the responsibility of contributing new knowledge to a specific field. To that process, I would add that a dissertation is also a process of “self-discovery” in which I explored my limitations and was tested by my will. However, it was a process I enjoyed immensely and taught me more than I could have expected. I am grateful for the moral, emotional, and academic support I received from so many around me while contributing to a field in education that continues to gain momentum.

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CHAPTER 1

INTRODUCTION

Philanthropy or private giving and fundraising have played an important role in the development of higher education since the 1600's (Cook & Lasher, 1996). Institutions of higher education have increasingly become recipients of a significant portion of all charitable giving (Bremmer, 1996; King, 2005; Sears, 1990). Philanthropy and fundraising have reshaped American higher education (Curti & Nash, 1965) and together have developed into a specialized field now included in the main structure of an academic institution as Institutional Advancement. This entity's function

“in American institutions of higher education is to enable each individual college or university to do well in a competitive environment and to assist the whole sector of higher education to compete effectively for available resources” (Muller, 1986, p. 4).

Payton (1989) states that the first examples of philanthropy in higher education commonly known as Institutional Advancement in can be traced to the late nineteenth century with the rise of private philanthropy (p.38). According to Marts (1953), it was the modest start of the American College Public Relations Association in 1927 that marked the beginning of fund raisers for higher education as a new profession (p.112). However, institutional departments devoted to development, fund raising, and alumni relations, currently all under an umbrella called Institutional Advancement or Office of Development, have progressed with the creation of the Council for Advancement and Support of Education (CASE) on May 28, 1974 (Rowland, 1986, p.5), providing training

and further studies on all topics related to the fundraising enterprises directed to professionals in this “new” field.

The reduction of state funds for higher education in the post September 11 economy has made philanthropy an important factor in the survival of many programs in higher education. At the same time changes in the needs, expectations, and demands of students and families as consumers of higher education, have also resulted in financial challenges for colleges and universities. Music and arts have also suffered the impact of the economic and financial changes of the last ten years and the same is true for music and arts programs in higher education, as they typically require more resources than other fields of study (Glidden, 1988, p.249). Although music and arts are considered important for societal development, their financial outlook for the future is unclear. With all of these constraints, music units in higher education must also search for additional sources of funding, making private giving and major donors crucial for maintaining high academic and performance standards. Therefore, private giving and the understanding of donors’ giving patterns, their individual characteristics, and their decision-making processes have increased in importance. Such understanding becomes helpful in the search for new strategies for additional giving, effective “asks,” as well as creating and maintaining relationships and activities with donors.

This is a study of the factors, characteristics, and motivators of major donors to music programs at two large, public, 4-year, doctoral research universities located in metropolitan areas with at least three arts organizations such as city orchestra, opera, ballet and/or theater companies. In order to maintain the anonymity of the participating

institutions, the universities will be identified by the pseudonyms Millichap University and Moss University.

Millichap University has a student population of 34,000 students and it is located in a metropolitan area of close to two million habitants, according to the US Census of 2011. It offers a wide range of degrees at the undergraduate and graduate levels and has several professional schools. The second university, Moss University, has approximately 15,000 students. It is located in a metropolitan area with a population of over two million inhabitants. The two universities have high or very high research activity and are located in mid-Atlantic and mid-Western urban areas. The schools of music at these universities were selected based on the similarity of their characteristics, degree offerings, and relationship with their communities through their outreach and community engagement programs.

The primary sources for the data were interviews with major donors of the selected universities' college of music and dance and conservatory of music and dance; review of the available records of the donors' giving patterns; an interview with the Director of Development (DOD) at each of the participating schools of music; campus visits; attendance to student performances and rehearsals; and a tour of the metropolitan areas where the selected institutions are located.

Different than all most of my expectations and findings in the existing literature on major donors, the results of this study show a different decision-making process for major donors to music higher education.

Statement of the Problem

“[...] giving remains a core American value. Over the past decade, philanthropy has held its own in spite of two recessions, terrorism, wars, and a series of devastating natural and man-made disasters” (Giving USA 2011, foreword).

Giving USA reports over the past half century show that, while there have been increases and decreases in giving, philanthropy and charitable giving have remained an important component for societal development in the United States. Although giving has been steady for the last few years for education and arts organizations, the reduction of state and federal funds in both categories have created a drastic need to cultivate prospective donors.

During the last twenty years, research has been conducted describing the importance of the connection of major donors with the institution they choose to support (Baade & Sundberg, 1996; Cascione, 2003; Clotfelter, 2003; Elliott, 1996; King, 2005; McDeamon & Shirley, 2009; Rothschild, 1999; Williams, 2007). In higher education this connection may be through the donor’s academic career, relationships with the institution’s administrators, or through something as simple as affinity with the mission of the institution (Cascione, 2003). For these reasons, professionals in Institutional Advancement seek to cultivate strong relationships with potential donors and alumni while promoting the institution through the benefits that derive from its mission.

The importance of higher education has been researched widely and intensively, and many authors highlight its role for societal development and economic growth (Bowen, 1996; Clotfelter et al., 1991; Curti & Nash, 1965; Elliott, 2006; Gaudiani, 2003;

Smith, 2008; Van Til et al, 1990). Throughout the years higher education has evolved, and as part of that evolution and growth it has had to rely on private giving. This higher education-private giving relationship, eventually led to more structured fundraising enterprises at colleges and universities known as Institutional Advancement. Currently most institutions of higher education allocate staff and resources to fundraising endeavors (Cook & Lasher, 1996; King, 2005). Hence, philanthropy and charitable giving became important components of the operating budget of institutions of higher education, as “gifts and grants themselves pay for slightly over six percent of the educational expenses of higher education” (Rothschild, 1999, p.413).

Professionals in development now have access to information focused on donor identification and cultivation, “the ask,” and stewardship (The Handbook of Institutional Advancement; the International Journal of Educational Advancement). Fundraising has become a field of its own, and research is constantly produced on its importance to the administration and management of organizations of all kinds, especially in the nonprofit sector.

While there is a large amount of research in the field of development and institutional advancement, there is little research on major donors’ decision-making process or their motivation for giving to the advancement of music programs in higher education. The results of this case study provide a glimpse of the relationship of major donors with music programs in higher education, as well as the motivators that prompted their giving. The knowledge gained from this study should lead to further research on major gifts and could contribute to better cultivation and stewardship of major donors, as

well as clearer identification of potential donors to colleges, conservatories, or schools of music in higher education.

Purpose of the Study

The purpose of this study was to identify the characteristics of music programs at large public research universities, as well as major donor characteristics that contribute to giving decisions. Through the use of a case study, I attempted to identify the factors that affect major donors' giving decision-making processes, rationalization of the size of the gift, and the reason itself for giving to music programs in higher education. This study considers donor affinity to the selected college, or conservatory of music; institutional mission; and institutional presence in the community. It also questions if the philanthropic behavior of major donors is related to the institution, to the donor's appreciation for music, and/or to the donor's deeper belief in the positive effects of the music programs in higher education for community enhancement.

Some researchers suggest that major donors may give based on a direct benefit, on their personal values, beliefs, ideas, and goals, instead of giving based on the institutional needs or the educational needs of the community (Cascione, 2003; Hueston, 1992; Mann, 2007; Supphellen & Nelson, 2001). Mann, for instance, proposes that the people give for altruistic, reciprocal, or direct benefit reasons. However, the reason why major donors give to music programs in higher education is largely unexplored. This

study attempts to determine which of these three, if any, influences the contributions made by major donors to music higher education.

Research Questions

The research questions that this study addresses are:

1. Why do major donors to music programs in higher education make the giving decisions they do?
2. What are the factors that contribute to a major donor's decision to give to music programs in higher education?
3. What are the main characteristics of major donors to music programs in higher education?
4. What are the institutional factors that contribute to a major donor's decision to give to a specific music program in higher education?

A common assumption is that most of the donors to music and arts programs in higher education are alumni to the institution they support. Another common assumption is that most of the major donors are *not* alumni to the schools of music they support. In the case of this study, most of the non-corporate major donors at the selected institutions are individuals from fields other than music and/or arts. Based on Christ-Janer & Wickiser (1968) and Rankin (1982), I hypothesized that major donors give to a college of music for its mission and presence in the community, and their understanding of the

importance of music and arts for societal development. I expected my research questions to provide a framework to determine the factors that are most directly related to the giving decisions made by major donors, specifically to music programs in higher education.

Definitions

Doctoral research university. These institutions typically offer a wide range of baccalaureate programs, and they are committed to graduate education through the doctorate. They award at least 20 doctoral research degrees per year (2011 Carnegie Classification Website).

School of Music. For the purpose of this study, the school of music is defined as a higher education institution dedicated to the academic study of music and music performance. Some conservatories, institutes, and academies of music differ from the Conservatories/Schools/Colleges of Music that belong to a university in their mission, nature, and training. Typically, an academy of music offers non-academic degrees (such as Artist Diploma) and focuses on the performance aspect of music. The institutions selected for this study are a College of Music and Dance and a Conservatory of Music and Dance, and they offer similar areas of study as well as music degree programs at the undergraduate and graduate levels. For the purposes of this study, the terms *music unit* and *school of music* will be used interchangeably when referring to the selected college of

music and conservatory of music, understanding that they are very similar in nature and mission, and both belong to large, public, 4-year, doctoral research universities.

Major donors. Criteria for determining major donors vary from one university to another, and even within an academic institution's schools and colleges. In some instances, major donors are also members of further giving categories at the institution they benefit. The major donors may have given a one-time gift, or have established an endowment (gifts to establish endowments may also vary from one institution to another). Definitions for *major donor* from each participating institution can be found in Appendix A.

Director of Development (DOD). The DOD is the individual responsible for the fundraising activities of the music unit and its alumni relations. These include event planning, and the cultivation, solicitation, and stewardship of all mid-level and major donors to the participating schools of music.

Delimitations and Limitations of the Study

The selection of the major donors who participated in the study was made in consultation with the Director of Development (DOD) at each of the participating institutions. From a pool of potential donor participants for the study provided by each DOD, I chose a stratified random sample based on the amount given to the school of music, the program they support, and their affinity for the institution. This random

selection decreased any potential biases of each DOD if there has been a prior relationship with the donor, or expectations of future gifts to the music unit.

Although each of the music programs enjoys the support of a large number of annual donors, few individual donors can be considered *major* in an equal manner at the two universities. At most institutions of higher education, major donors are defined as individuals who have contributed a one-time gift of \$25,000 or above. However, most of the gifts at this level to the selected music schools have been given by corporations and organizations. At one of the schools of music the major donors are defined at the \$10,000 level through a one-time single gift or by inclusion in that amount or above to their estates or wills. At the other institution a major donor has given a one-time gift of \$5,000 to \$10,000 or above. Due to the differences in major donor criteria and for the purposes of this study, major donors have been defined as those individuals who continuously contribute \$1,000 or more every year for at least five consecutive years, or a one-time gift of \$8,000 or more, specifically to a music program at the selected institutions. Because each music unit categorizes differently their major donors, I selected these criteria as a guideline for DODs to define major donors within the parameters of this study, so that both schools would not differ too much in their pool of potential donor-participants for this study.

For the purposes of this study *gifts* were considered by their dollar amount. Endowments, estates, and sponsorship to events by music units were also considered gifts even when in some cases their amount has not been clearly stated. Only pledges were not considered gifts and were excluded from any analysis in this study. Under these distinctions I also excluded corporate or non-individual giving with the exception of

family foundations. Once corporate and non-individual donors, pledges, and donors above the \$8,000 level were eliminated, the pool of potential participants for the study was reduced considerably, and such reduction limited the information that was gathered. The criteria for major donors from each participating institution can be found in Appendix A.

This study did not intend to predict future giving decisions made by major donors. This research was based solely on their previous giving patterns and their last significant gift to the selected schools of music.

It was not the intention of this study to generalize its findings to the different types of academic institutions that offer musical and/or artistic training/education at the higher education level other than Schools, Colleges and Conservatories of Music at 4-year, public, research institutions. The schools of music selected for this study are part of universities with similar student demographics, degree offerings, curricula, mission, relationship with the surrounding community, and located in metropolitan areas with at least three arts organizations. Other institutes of music, academies of music, and conservatories, may differ greatly in nature and mission from the institutions selected for this study. Some of the differences may be the curricular offerings and academic degree levels students can attain; and therefore, the results of this study may not be applicable to them.

Lastly, this study did not intend to solve any problem. It generated new knowledge based on the data collected at specific schools of music at two institutions of higher education. This study intended to inform the higher education community on major donors and their giving to music units in higher education.

Significance of the Study

In January 2011, the New Orleans News website *NOLA.com* reported that Louisiana would face major budget cuts for the higher education system, totaling \$310 million since cuts started in 2008 (Associated Press, 2011); *Los Angeles Times* reported the Governor's proposed \$1.4 billion cut to the state universities and community colleges (Gordon, L. et al, 2011); the *Arizona Daily Star* announced a 20% cut in state funding for universities (Fischer, H., 2011); the *Atlanta Journal-Constitution* announced that Georgia's students may face a 30% tuition increase in light of state budget cuts to higher education (Sheinin, A.G., 2011); *The Dallas Morning News* reported that Texas would cut at least 60,000 college students from financial aid due to budget cuts in the state (Garrett, R., 2011); and on March 8, 2011, the *Pittsburgh Post-Gazette* reported that the Governor of Pennsylvania proposed to cut appropriations by around 50% to the state related institutions; it added that it would be the biggest one-time percentage cut to state higher education funds in history (Mauriello, T. & Olson, L., 2011). The latter journal reported on June 24, 2011 that the approved cuts for Pennsylvania's appropriations to state related institutions of higher education had been of approximately 19%, and

although the number was lower than that originally proposed, it still represents a huge loss for academic institutions (Olson, L., 2011). On November 2011, it was reported that the university endowments had an increase of 19.8% during the 2011 fiscal year (Eaton, 2011), and gifts in general to colleges rose by 8.2% in the same year (Biemiller, 2012). This growth may seem like good news, but it does not make up for the losses that began with the 2008 fiscal year.

There is no doubt that economic changes in the United States in the last few years have impacted the entire system of education. The budget cutbacks to public institutions of higher education put pressure on families and students as they may experience tuition cost increases and decreases in financial aid. The same budget cutbacks pressure colleges and universities to find additional funds and increase donors' contributions. While education receives approximately \$41 billion, this is only 14% of the total charitable giving in the United States (*Giving USA's Annual Report on Philanthropy for the year 2010*).

Muller (1986) states that

“virtually all American colleges and universities engage in fund-raising from private sources, the only difference between independent and government-owned institutions in this respect being one of degree. Independent institutions derive a much higher proportion of resources from private sources than government-owned institutions” (p.4).

Philanthropy, and its role in higher education, is also impacted by economic conditions. For colleges and universities, the economic decline experienced in the last ten years has also affected alumni giving, alumni participation, and non-alumni giving. In

2009 and 2010, colleges and universities reported a nationwide average decline of 0.4 to 1.5% in all three categories, after an 18% decline in alumni giving in 2008 (Council for Aid in Education's Voluntary Support of Education Survey, 2010). Giving to higher education showed the steepest decline since 1974 during the 2008 fiscal year, and again in 2009. However in the 2010 fiscal year, giving to higher education did rise by 2% (Giving USA, 2011) and by 8.2% in 2011 (Biemiller, 2012). Although these figures represent an increase, giving is not at the level it was during 2006 and 2007 fiscal years. These data show why major gifts have increased in importance while not in number or size. A recent study found that the wealthiest donors decreased their giving to colleges and other education-related organizations by 55% during the economic downturn (Masterson, 2010).

Numerous studies reinforce the importance of philanthropy in the development of society. The *Giving USA's* Annual Report on Philanthropy shows that individual giving supports religious, educational, artistic, health-related, human service, and youth development organizations. Some of these organizations rely mostly on philanthropy, as is the case of arts and music organizations. The report shows that arts, culture, and humanities organizations received 5% of the total charitable giving in the United States in 2010, 1% more than the previous year (Giving USA, 2011, p. 6). Recently, *The Chronicle of Higher Education* reported that the presidential proposed budget for the 2012 fiscal year includes a \$44 million reduction to the arts endowment (Quizon, 2011). Although the amount may not seem significant, it would negatively impact many arts organizations including some college projects and programs. Already opera companies

and music festivals around the country have suffered from the cutbacks. The most recent case of the arts suffering budget cuts was the Opera Boston ceasing operations on January 1, 2012, due to their insurmountable budget deficit and insufficient fundraising amid a difficult economic climate (Berg, 2011). Another example was Governor Sam Brownback's veto of state funds for the Kansas Arts Commission, making Kansas the first state in the country without an arts agency (Hudnall, 2011).

One may question the future of music and arts *and* higher education. Both public colleges and universities and arts organizations are receiving less funding. Both are depending more on shrinking private giving, and now more than ever, donors are crucial for the survival of both. King (2005) states:

“Clearly there are both numerous culprits and numerous solutions to the cost and funding dilemmas in higher education. With fund raising and relationships with donors among the solutions, it is becoming increasingly critical that individual institutions as well as the higher education community at large be as strategic as possible in cultivating favorable decisions in donors” (p.19).

CHAPTER 2

LITERATURE REVIEW

In February 1, 1896, the opera “La Bohème” by Giacomo Puccini premiered at the Teatro Regio in Turin, Italy. Its libretto, by Luigi Illica and Giuseppe Giacosa, was based on “Scènes de la vie de Bohème” by Henri Murger. The opera portrays the story of four young bohemian artists living in the Latin Quarter of Paris in the 1840’s. In the plot, these young artists struggle to survive as art does not provide them with the means to live. In the first act, the musician of the group, Schaunard, enters their garret bringing food, firewood, wine, cigars and money, and explains that the source of his new possessions was a generous eccentric Englishman...

The purpose of this literature review was to construct the conceptual framework for this study through existing research on major donors to art programs and higher education. This literature review looked at: existing theory and literature on the history of philanthropy; philanthropy applied to higher education and arts; the importance of music programs and arts in higher education; and the study, the interests, and motivations of major donors.

History of Philanthropy

“Philanthropy” derives from the Greek *philanthropia*, “love of mankind.” Robert Payton (2008), states that philanthropy includes voluntary giving, voluntary service, and voluntary association primarily for the benefit of others (p.3), and it involves “a complex exchange of money, power, values, and expectations between the donor and the donee” (Van Til, 1990, p. 31).

In many instances the terms philanthropy and charity are used interchangeably because of their similarities. Bremmer (1996), one of the most quoted scholars on the history of philanthropy, makes a distinction between the two based on their degrees of interest towards the poor and also their origins. He defines charity based on religious and altruistic roots, while he states philanthropy is of secular nature. Frumkin (2006) differentiates them in terms of their organization, longevity of gifts, administration, and purposes (p. 5). Much of the literature establishes giving as part of the intrinsic nature of the human being (Bremmer, 1994; Curti & Nash, 1965; Elliott, 2006; Gaudiani, 2003; Marts, 1953; Nielsen, 1996). Francis Bacon (1561-1626) wrote: “the inclination to goodness was so deeply implanted in human nature, that if not directed to people it would be bestowed on animals” (Bremmer, 1996, p.41).

Many authors describe the origins of philanthropy similarly, tracing it as far back as 4,000 B.C. in the Egyptian Book of Dead and the Old Testament (Kiger, 2000; Gurin & Van Til, 1990; Marts, 1953; Payton, 2008). Marts (1953), writes that “evidences of

philanthropy leap out unexpectedly from the annals of even the earliest recorded civilizations” (p.4).

The early examples of philanthropy provided by the authors are mostly related to charity of altruistic nature to benefit the unfortunate members of society and in support of the clergy and religious practices. Bremmer finds examples of philanthropy and charity in documents from as early as the ninth century B.C., as is the case of *The Odyssey* and *The Iliad*, in which Homer offers glimpses of attitudes toward begging and giving. Bremmer also cites *On Moral Obligations* (44 B.C.) by Cicero who made a distinction between two types of money givers: “the prodigals,” who use lavish expenditures to flaunt their wealth and win popularity; and “the generous,” who use their money to pay the ransom of captives held by kidnappers, provide dowries, or pay off friends’ debts. Cicero stated that giving, no matter what the case may be, should be in accordance with the merits of the recipient:

“Let us look to the character of the recipient, his disposition towards us, our common interests and social relations, and the obligations under which we lie to him; if he unites all these claims on our kindness, we cannot look for more; if some are lacking, the number and importance of the others must turn the scale” (Cicero, 1951, p.21).

Cicero’s words still resonate in philanthropy and giving more than 2,000 years later, especially when one considers the awarding of merit scholarships.

The Torah, the Bible and the Koran, all provide numerous injunctions to giving to the poor and showing kindness to others. Although these books emphasize giving from an altruistic perspective, they have in common the concept of generous giving. The Torah

commands the faithful to give or lend to the poor whatever they need and the Lord will prosper those who do so (Deuteronomy 15:7-11).

One example of charity in the Bible is the parable of the Good Samaritan related by Jesus to his disciples, in which the Samaritan cares for a wounded stranger (Luke 10:29-37). In terms of “love to mankind” Jesus commands it as “you shall love your neighbor as yourself” (Mark 12:31, Luke 10:25-28). As in Judaism and Christianity, Islam offers numerous passages in the Koran dealing with voluntary charity, kindness, and generous giving (Koran 2:177).

The common denominator in Judaism, Christianity and Islam is that the gift is done for the love to God or others, and not for self-interest (Bremmer, p.13). Payton (1989) states that “by the end of the ancient world the framework of charity and philanthropy was established.” The author adds that “it provided the first examples of spiritual assistance and concern for others as the highest expression of charitable action” (p.33).

Recent studies and publications emphasize the importance of philanthropy in the development of American society. Gaudiani (2003) states that 51% of hospital beds are funded by citizen generosity; 49% of all 2 and 4-year colleges are non-profit; 20% of all students in higher education receive some form of scholarship or financial aid; and 95% of orchestras and 60% of social service organizations operate primarily through private giving. To exemplify more clearly the importance of philanthropy, Gaudiani makes the analogy of imagining the cities New York and San Francisco without the majority of their buildings and skyscrapers, all of which were built with individual contributions (p. 10).

An early example of giving to support education comes from Sevenoaks (1378?-1433?) who grew up poor but achieved wealth and honor as a merchant, and eventually became Lord Mayor of London. In his will, he left property for the support of a school that became “The Sevenoaks Grammar School,” still in existence. During the nineteenth century, philanthropy was not only intended to support educational, charitable and cultural institutions, it also supported the advocacy of humanitarian causes such as the abolition of slavery and capital punishment, as well as the recognition of women’s rights.

During the nineteenth and the early twentieth centuries there was a change of pace for philanthropy. It became more structured and organized. Bremmer (1996) states that it was shaped to its contemporary status between 1885 and 1915 when multimillionaires such as Andrew Carnegie, John Rockefeller, Leland Stanford favored educational institutions in their giving. Both men distinguished the difference between philanthropy and charity, the latter evolving to organized charities that were established as casual giving and later replaced with systematic methods to select deserving applicants (p. 160).

This period marks the beginning of foundations and non-profit organizations that “took the form of independent organizations specializing in the efficient allocation of another person’s money for philanthropic purposes” (Curti & Nash, 1965, p.213). In the last few decades, foundations have evolved into groups “whose function is to encourage research, discovery of causes and cures, and prevention of ills rather than relief of a need” (Bremmer, p. 169). In some cases, these foundations have crossed geographical boundaries for their operations and philanthropic efforts. Nielsen (1996) describes foundations as a “special form of social entrepreneurship and potential for creative responsiveness to opportunities for human service” (p. 4).

Higher Education Philanthropy

Many authors highlight the importance of higher education for societal development and economic growth (Bowen, 1996; Clotfelter et al., 1991; Curti & Nash, 1965; Elliott, 2006; Gaudiani, 2003; Gurin & Van Til, 1990; Leslie & Slaughter, 1992; Smith & Drabenstott, 1992). Universities occupy an important role in the germination of knowledge and formation of exemplar citizens. Elliott (2006) lists three main responsibilities of colleges and universities: the identification, maturation, and enrichment of selfhood; the discovery, construction, extension, and dissemination of knowledge and culture; and the well-being of society (p. 23). Gaudiani (2003) establishes the importance of higher education in developing human capital, which involves three kinds of investment: persons' physical well-being, justice and individual rights, and people's minds through education, scholarships, training, and mentoring (p. 33).

Higher education cultivates not just the intellect and practical competence of the students, but as Bowen (1996) states, it also cultivates their "affective dispositions, including the moral, religious, emotional, social, and esthetic aspects of the personality" (p.33). In his 1915 publication, Dickinson had already captured the mission of higher education:

"An education that is in the highest degree worthy of the name will accomplish two results –it will stimulate all the physical, mental, and spiritual faculties into a self-conscious and ever self-renewing activity, and it will create in the individual a realization of his vital relationship to the world and society" (p.86).

One of the most notable early examples of philanthropy and higher education was a gift from Alexander the Great in the fourth century B.C. for the founding of Alexandria University in northern Egypt. Alexander's philanthropy also financed Aristotle's Lyceum in Athens (Marts, 1953, p.5). The Academy of Socrates and Plato is another example of early philanthropy for education. It was founded through Cimon, a Greek philanthropist who helped finance the Academy. During the same time Plato provided income for the Academy that continued for some 900 years through an endowment of property (Cook & Lasher, 1996, p.33).

Philanthropy and fundraising for higher education in America began in 1640 with Henry Dunster, the first president of Harvard College who began some of the first known fundraising practices (Cook & Lasher, p.34). After him, many other colleges followed his example and began fundraising efforts, making the Colonial period one of active solicitation for donations: the search for revenue was "the highest barrier standing between the nascent colonial colleges and permanency" (Curti & Nash, 1965, p.22).

Sears's (1990) doctoral dissertation was first submitted in 1918 and re-published in 1990. It is considered the first systematic study on the role of philanthropy in the development of American higher education. In his study, the author states that in the Colonial period "organized religion dominated practically all the colleges and a large proportion of the gifts" (p.31). Sears lists three sources of income for colleges in the Colonial period: the general court (the state), philanthropy, and student fees (p.25). These sources of income have remained almost identical throughout the history of higher education. The scarcity of resources colleges faced during the Colonial period made gift

soliciting take an important role, as it became a response to the immediate needs of colleges (p.31). Curti and Nash (1965) state that philanthropy became a cornerstone for the survival of colleges: only those capable and successful at raising money could survive (p. 43). However, philanthropy during the Colonial period was not considered a tool to effect changes in higher education (Curti & Nash, p.10).

According to Curti and Nash (1965), the changes in philanthropic intentions and conditions reshaped American higher education starting in the early 1800's. Many missions, programs and curricula were changed, revamped or created in order to satisfy the interests of a donor. Curti and Nash cite the example of philanthropist Abbott Lawrence as an agent of such change. In 1847, after Harvard's president and treasurer asked Lawrence for a major gift, Lawrence proposed a school for men who have completed college intending to become 'men of science,' as there was a desire for more training in the growing fields of the time. Harvard had to alter its curricular offerings expanding from the Liberal Arts curricula to more science oriented programs. The result was the creation of the Lawrence Scientific School (p.67). Curti and Nash also cite the influence of philanthropy in the acceptance of women into colleges and the creation of the first co-educational colleges. This was the case of Cornell University which opened the Sage College for Women in 1874 (four years after the university admitted the first female student) thanks to a donation of millionaire Henry W. Sage; and The Johns Hopkins School of Medicine which opened in 1893 with three female students and fourteen male students (p.101-104).

Fundraising in higher education has evolved throughout the years. It became more sophisticated and specialized at the beginning of the “twentieth century with the development of the intensive campaign and its accompanying techniques” (Cook & Lasher, 1996, p.35). Educational institutions now have Institutional Advancement offices staffed with professionals, an umbrella that oversees alumni relations, public relations and fundraising (King, 2005, p.29). Philanthropic giving has increased in significance as other funding sources have decreased. Wunnava and Lauze (2001) state:

“It has long been the case that government appropriations, federal, state and local, at private higher education institutions are a minimal percentage of total funding. Not only are contributions to total funding from these sources minimal, but they are declining” (p.533).

Currently philanthropy plays an active role in the development of higher education; both Bremmer (1996) and Sears (1990) acknowledge that higher education has been the recipient of a significant portion of charitable giving. According to the 2001 survey *Giving and volunteering in the United States*, 33.8% of all participating households contributed to education (p.34), making education the fifth largest category of charitable giving in the United States in the year 2000. The first four categories are religious organizations, health-related organizations, human service organizations, and youth development organizations. To put it into perspective, according to the Council for Aid in Education’s Voluntary Support of Education (VSE) survey website, in 2010 the charitable contributions to colleges and universities increased by 0.5% from the previous year, reaching \$28 billion. Unfortunately, although these numbers seem high, the VSE survey explains that adjusted for inflation, charitable giving to higher education in 2010 declined 0.6%, leaving giving in 2010 at the same level as it was in 2006. In inflation-

adjusted terms, the VSE specifies, 2010 is 0.8% lower than 2006. Frumkin (2006), states that the scale of total giving in the United States had surpassed \$200 billion a year by 2005. The author describes American giving as “far greater than in any other nation” (p.3). Five years later, the *Giving USA Foundation’s Annual report on philanthropy for the year 2009* stated that the total giving in the United States for that year was \$303 billion: 14% of it was for education, making education the second category of the highest charitable giving in 2009 after the religious organizations (the same results were shown in the report for the years 2010 and 2011).

These data reflect the importance philanthropy has to higher education, as it becomes an increasing percentage of the non-operating budget of colleges and universities in the United States.

Music and Arts Philanthropy

There are numerous and easily accessible articles on the importance of arts for a community. Smith (2008) writes:

“[...] few would disagree that all the arts possess an almost unique ability to transform, inspire, and elevate. Because of this, their well-being and vitality are usually regarded as a central element in measuring the elusive notion of ‘quality of life’” (p.3).

The author cites the 2006 study “The Arts and Civil Engagement” published by the National Endowment for the Arts (NEA), which concluded that individuals that were engaged in the arts were more active in community life than those who were not: it made those individuals more involved and more socially engaged (p. 273).

Rankin (1982) states: “the arts are being appraised more realistically as an essential ingredient of a community’s quality of life –good for people and good for business” (p.68). In this regard, one can take New York City as an example: its 2,000 arts and cultural organizations represent an annual contribution of \$13 billion to the city’s economy. This means that a downfall for arts has direct implications in the community’s economy, as it was the case of New York after the terrorist events of September 11, 2001 (Frumkin, 2004, p. 127).

The role of music and art and its importance throughout history are hard to dispute. Knieter (1976) describes art as an essential component of human development and successful aesthetic education as a mean to humanize the members of the community. The author adds:

“Man’s capacity to respond to art objects and art experiences is the function of aesthetic sensitivity. This is a universal human quality found in all cultures and recorded in all historical periods. It is a basic element in releasing man’s creative potential for improving the quality of life whether in the making of better cooking pots, building more effective hunter’s traps or composing new songs” (p.1).

Edgar (1968), states that experiencing fine arts is the embodiment “of man’s longing for beauty, order, harmony, and creativity” (p.25). The author describes such experiences and the need to express feelings and attitudes through the arts, as part of human nature. Art recreates in each generation an understanding of human values; therefore, helps understand societal values. Mark (1988) states that an aesthetically based music education program

“helps each student develop the aesthetic sensitivity to perceive profound meaning in music, to understand and appreciate his or her own heritage and those of other cultures through music, and to lead a richer life through a choice of music that is made on the basis of educated taste” (p.129).

To explain the importance of arts for society, Christ-Janer and Wickiser (1968) cite the Greeks as an example. The authors state that the Greek arts are a representation of their history, reveal their culture, signify the character of their time and place, and show the nature of their origins (p.44).

“It is no secret that arts organizations can help stimulate development” affirms Gunn (2004). He adds:

“Arts organizations are generally nonprofits for the usual reason: no profit. They require major funding and only rarely return sufficient monetary reward to make them justifiable on that basis. They deliver other returns deemed essential to life and to social and cultural reproduction” (p.121).

Giving USA Foundation’s Annual Report on Philanthropy for the Year 2010

declares that organizations of arts, culture, and humanities only receive 5% of the total giving of the United States, an increase of 3.8% since a decline of 1.8% between 2008 and 2009 (p.13). Artistic and cultural organizations require private giving, which accounts for about 41% of their operating budget. In the case of operas and orchestras, for example, 99% of their employment is by nonprofits (Gunn, 2004, p.24), and 95% of American orchestras operate mostly through private giving (Gaudiani, 2003, p.10).

It is generally observed that the most prestigious arts organizations in the United States are using the development models and fund-raising skills as those universities with endowments of \$1 billion or more, such as Harvard, Brown, Princeton and Duke (Chong,

2002, p.115). These organizations are also adopting more the strategies, concepts, and practices of the business world to increase their private giving (Dees & Anderson, 2004, p.52).

The contributions music and art education have made to society have been researched from the point of view of human development. Miller (1993) places art as a strong basis in the development of reason, and as such, it holds an important place in the hierarchy of learning (p. 53). Some studies have been done on children's cognitive development and academic achievement, making a strong argument for school administrators to support music and arts programs through philanthropy (Myers, 2006, p. 81).

Glidden (1988), Keene (1982), and Sunderman (1971), agree on the development of music education in the United States. In terms of higher education, Sunderman (1971) states that the "growth of music instruction is directly related to the growth of music teacher education in institutions of Higher Education" (p.237). He places the earliest example of professional music education at the post-secondary level in 1846, where teachers were taught a course in vocal music instruction at the State Normal School at Albany, NY, so that they would have a repertoire of songs that could be taught to children (p.230). But it was not until the 1930s that the Bachelor of Music became the standard professional degree at the baccalaureate level (Glidden, 1988, p.242). By 1968 Dennis wrote "*universities* are now generally accepted, both by the public and the artistic community, as logically the major training centers for professional artists" (Dennis, 1968, p.17). Dennis (1968) describes higher education institutions as the places with the best

resources and opportunities for future artists. He states that other institutions that had once independently provided music instruction at the post-secondary level were now seeking some kind of university affiliation, making universities the major providers of music education (p.17). The place of art and music in higher education was clear for Dickinson who, in 1915 wrote:

“If the college could be considered an epitome of the world, a microcosm in which the activities of human life operate in duplicate upon a reduced scale, then the assignment of a place to the fine arts would not be difficult, since the part played by art in civilization is plainly shown by history” (p.9).

A challenge for music education programs in higher education is their tendency to be more expensive than other fields of study. Glidden (1988) claims they “may be as much as 35 to 50% higher than for other instructional space” (p.249). The author cites the need for rehearsal rooms, equipment and music instruments, music library, music materials, and listening facilities among the special needs for a music program. These needs represent more expense and the need for larger donor-based support.

Donors and Their Motivations

A great portion of the literature focuses on fundraising programs for the cultivation of potential donors and alumni giving (Baade & Sundberg, 1996; Caboni, 2010; Clotfelter, 2003; Harrison, 1995; Mann, 2007; McDearmon & Shirley, 2009; Prince & File, 1994; Schervish, 2005; Van Slyke & Brooks, 2005; Weerts & Ronca, 2007; Williams, 2007). Although there is very little literature that focuses on donor

decisions, several authors agree on three broad possible motivations that explain why people give (Cascione, 2003; Hueston, 1992; Mann, 2007; Supphellen & Nelson, 2001; Wunnava & Lauze, 2001). These are: altruism, reciprocity, and direct benefits (Mann, p. 38). Frantzreb (1997) suggests six kinds of motivation for philanthropy: “the desire to express faith; to express love for one’s fellow man; to perpetuate the American dream; to help secure of assure; to help build; and to invest” (p. 69).

The economist James Andreoni (2001) poses the question “why would people who work hard for their money simply turn around and give it away?” From the point of view of an economist, he argues that there are three possible explanations for giving: 1) as a public good: people support organizations because they recognize society as a whole will benefit from the donation; 2) as an exchange: donors give because of the tangible rewards they will receive for their donation; and 3) as a warm glow effect: people give because they feel better about themselves for having made the donation (p.1370).

In terms of understanding donor behavior, Van Slyke and Brooks (2005) claim that there is something specific that prompts each gift. They call these “triggers” and define them as the external activities by the organizations that translate the motivation of the donor into the desired behavior, typically a gift or the willingness to volunteer. The authors identified three different triggers: being asked, the availability of tax benefits, and a sense of duty. They provide strategies for the cultivation of relationships with existing donors and for developing new sources of charitable giving based on models of who gives, why they give, and what would cause them to give more (p.212). There is very

little in the literature that illustrates the decision-making process of donors in response to “the ask” for a gift.

Scholars have recognized changes in donors’ behaviors toward the organization they support. This is especially true for major donors, who may be concerned about the long term implications of a gift of capital magnitude (Pickett, 1986, p.237). In terms of changes in donor behavior, Stickland (2007) states that

the main difference between historical donors and today’s major philanthropists, is the extent of their involvement they wish to have on the institutions they support (p.106).

According to Cascione (2003) donors have an expectation of strategic involvement in the organization’s philanthropy (p.49). Williams (2007) justifies donor involvement stating that “they care about the organization’s efficiency and information about how their gifts are being used” (p.177).

The Seven Faces of Philanthropy, a study conducted by Prince and File (1994), contains a donor-centered framework for identifying major donors and potential mid-level lifelong donors. The authors state that there is a need “to create more efficient resource development programs designed to cultivate affluent individual donors” (p.1), hence they sought “to explore, from the donor’s perspective, planned giving and trust creation in the giving process and categorize various types of donor motivation” (p.8). They explore and categorize various types of donor motivation, and discuss voluntary and involuntary philanthropy as examples of why a donor gives. In their four-year study, the authors identified seven donor types: the Communitarian, who gives because doing good makes sense; the Devout, for whom giving is inspired by God’s will; the Investor,

who sees good as a good business; the Socialite, who gives for fun; the Altruist, who feels right about doing good; the Repayer, who does good in return; and the Dynast, for whom doing good is a family tradition.

While other authors (Cascione, 2003; Elliott, 2006) have categorized donors differently, some similarities prevail throughout the categorization literature especially with one or more of the categories identified by *The Seven Faces of Philanthropy*. Cascione (2003), for example, finds one of the donor motivators to be the relationship of the donor with the institution. In the case of higher education, this relationship can be based on the undergraduate or graduate life experience of the alumnus/a, his/her curricular or co-curricular activities, and the impact of scholarships in his/her overall college experience (p.40).

The different categorizations scholars have used to describe donors and their behavior vary in level of detail: Prince and File (1994) use seven categories, Franztreb (1997) uses six, and Mann's (2007) reduces them to three. However, from all of these categorizations I expected to find two main motivators or reasons why major donors give: a) an unselfish care or concern for others through the appreciation of music and arts (a mix of "altruist" and "communitarian" in Prince and File's categorization); and b) a relationship with the institution they support or affinity for its mission ("repayer" and/or "communitarian"). I did not expect the participating major donors to fit the categories of giving as a family tradition or for the search of personal benefits other than the expected stewardship from the institution they support.

Summary

Philanthropy and charitable giving are rooted in the human natural tendency for goodness. Examples of them can be traced to the earliest recorded civilizations, mostly related to altruistic motives. But their institutionalization and adaptation helped them evolve into an organized tradition. Philanthropy has played an important role in the shaping of American society. Whether it has been in support of hospitals, universities, orchestras, or youth groups, many of them owe their existence and long lasting history to philanthropy and charitable giving.

In higher education, philanthropy provided the seed funds for the creation of many colleges and universities. Its importance for post-secondary education grew during the Colonial period, when the solicitation of gifts became an immediate response to colleges' needs. Charitable giving to higher education has grown consistently since the 1600's, and currently, giving to the higher education system in the United States is estimated at \$30 billion in the 2011 fiscal year (Biemiller, 2012).

There is no question that philanthropy has reshaped American higher education: universities have been founded, programs have been revamped, fields of study have become more specialized, and through colleges, social changes have taken place. Now, Institutional Advancement is the umbrella that encompasses all enterprises related to development, fundraising, and alumni relations. Philanthropy is a more structured and specialized field with a greater impact in the life of colleges and universities.

The purpose of this literature review was to provide a glimpse of the evolution of philanthropy, its impact on higher education and arts education specifically, and the importance of its major donors.

CHAPTER 3

METHODOLOGY

Assumptions and Rationale

Qualitative research, specifically the case study, was used to better understand the factors that contribute to the decision to give to a specific school of music by major donors. This research study focused on the donors' stories to learn about their relationships with the institution and their decision-making process in contributing to a school of music. The methodology was a case study of descriptive nature. Yin (1994) recommends the use of case study research to “describe the incidence of prevalence of a phenomenon or when it is to be *predictive* about certain outcomes” (p. 6). Yin also explains that the use of this research strategy is preferred “when the investigator has little control over events, and when the focus is on a contemporary phenomenon within some real-life context” (p.1).

Merriam (1998) states that “qualitative research can reveal how all the parts [in a phenomenon] work together to form a whole” (p. 6). The author adds “the key concern is understanding the phenomenon of interest from the participants' perspectives, not the researcher's” (p. 6). The description and characteristics provided by Merriam and Yin support the decision to use qualitative research for this study, more specifically the case study approach.

However, the use of a case study was limited by the geography of the selected institutions and the perception the surrounding community may have had of them. The use of the selected institutions may also have been affected by the perception and appreciation that the local community has about music and arts. Therefore, if this study is replicated at institutions with dissimilar mission and profile to the universities selected for this study, the results may be very different based on the perception and appreciation of music and arts by their local community alone. This research study stands on its own as the very best possible detailed examination of major donors to music programs at large, metropolitan, public, 4-year, research institutions of higher education.

Role of the Researcher

Throughout the duration of the study, I was enrolled as a doctoral student. As part of my coursework, I completed two one-semester internships with Development Offices at two colleges from a single institution. These internships exposed me to Institutional Advancement and University Development, as well as development enterprises for specific academic disciplines. Both internships focused on understanding the cultivation, solicitation, and stewardship of donors; alumni relations; and assessing the state of one of the development offices. At one school, I revised the processes and procedures of cultivation, solicitation, and stewardship of donors, and provided suggestions to make such processes more effective. I also made suggestions about increasing and improving their alumni relations. At the second school, I learned about

gift processing, and assisted with stewardship strategies and event planning for donors and alumni. My findings at both internships contributed to the enhancement of their stewardship and the creation of more effective internal procedures. In my role as an intern, I was a neutral observer and listener who could make some recommendations for the improvement of administrative processes. During neither internship did I have a personal relationship with major donors.

Having spent more than ten years involved in higher education, I have a degree of familiarity with higher education administration especially in areas of Student Affairs and music higher education. I also hold a Bachelor of Music in Voice Performance degree.

After the first school of music expressed their immediate interest in the study, I further considered the idea of working and comparing major donors to music programs at two large, public, doctoral universities from different regions of the United States. According to the Carnegie Classification system the selected schools of music are part of four-year, doctoral, public universities with community engagement programs, high research activity and a high enrollment of undergraduate students.

My interest in fundraising for a school of music, my background at a college of music, and my own biases may have represented a limitation to the study. I strived to overcome these biases by staying in my role of doctoral student conducting confidential and anonymous interviews with those donors who voluntarily decide to participate. I was known only to the directors of development (DODs) of the schools of music at the selected institutions, who granted me access to the electronic records and access to the

participating major donors in the study. My relationship with each of the major music donors was that of a doctoral student conducting a research study, and I maintained this relationship as an investigator with the participants. Donor's giving capacity, institutional fundraising feasibility, or future solicitations planned by the institution were not addressed in the interviews. The interviews focused on the donor and his/her relationship with the institution and their decision-making process to give to a music program in higher education. The donor interview protocol can be found in Appendix I.

Selection of Participating Institutions and Major Donors

Two schools of music and dance were identified and invited to participate in the study. I have not served in any fundraising capacity nor had relationships with any major donors to either school of music. The institutions were selected because of their similarities in academic offerings, relationship with the surrounding communities, student profile, geographic location, and closeness to a metropolitan area of a population of over 1.5 million and with at least three major arts organizations, such as the symphony, opera, ballet, and/or theater companies.

The original intention of the investigation was to include four schools of music to analyze for the study. Several were identified which fit the institutional profile parameters; but when approached to participate they declined due to the challenges faced by their development offices. In most instances, the guidelines I established for a "major donor" were not present in the schools of music. Other universities cited privacy policies

which prevented the DODs from disclosing the necessary donor information to conduct the study. Several schools of music were in the process of restructuring their development office and as a result incoming personnel were unfamiliar with the pool of donors making contributions. Finally, there were a few schools that declined participation in the study because they could not spare the resources to search for donor information since these schools were understaffed due to budget cuts in state funding and were pushing to find additional resources outside the definitions of this study. This informed me of the pressure fundraising is receiving to search for more and new prospective donors, as well as the need universities have to invest in increasing their resources for development offices and officers.

The two participating institutions are part of large, public, 4-year, doctoral universities, with high or very high research activity and community engagement according to the Carnegie Classification. Both schools of music offer degrees at the doctoral level. The two selected institutions include music and dance in their course offerings, but both disciplines are handled as separate entities and with a certain level of independence from one another. In order to maintain anonymity of the participating universities and schools of music, the pseudonyms Millichap University and Moss University are used.

According to the Carnegie Classification system for institutions of higher education, Millichap University is a 4-year, public, comprehensive doctoral degree granting university with high research activity and community engagement. Moss University is a 4-year, public, doctoral dominant university with high research activity.

Although both institutions are considered large, Moss University has less than half of the total student population than the other institution. This simply means that Moss University could be considered a mid-size institution when compared in size with Millichap University. However, both schools of music have about the same student body, approximately 500 students.

The selected universities have an office devoted to fundraising enterprises. At Millichap University it is called Institutional Advancement and Office of Development at Moss University. For the purposes of this study all university programs and departments whose function is fundraising will be referred to as Development. Other projects and programs managed by development at these institutions are alumni relations, alumni affinity groups, annual fund, telefund (telephone solicitation), and planned giving.

Each of the participating schools of music has a Director of Development (DOD) whose primary functions are the fundraising activities for the school. Some of these activities include event planning, solicitation, cultivation, and stewardship of donors and alumni.

When I approached the DODs at the selected schools of music, they expressed their willingness to participate in the study as well as interest in the eventual findings. Both DODs were extremely helpful in obtaining approval to participate from their Deans and their institution's development authorities. The DODs provided all the requested information quickly and they were prompt to set days and times for their interviews. The development staff was equally helpful at the schools of music when further assistance was requested.

The DODs have worked in development for an average of 12 years. The DODs are Caucasian women in the 50-65 age group. They have undergraduate and graduate studies in music education, music history, and/or music performance, and worked professionally in those fields before moving on to fundraising and development. For these DODs, development and fundraising were mostly the consequence of changes in their life and family circumstances. Although in recent years there has been more professional development and publications on philanthropy, the DODs crafted their skills with developmental enterprises through direct experience on their jobs. It was interesting to learn that for them the satisfaction and fulfillment development has given them has meant pursuing life long careers in this “new field.”

I asked each DOD to identify a group of ten to fifteen major donors to their school of music with the intention of interviewing 5 from each institution. The selection was based on the individuals’ total and past giving patterns. Although Millichap University and Moss University use a \$25,000 as their standard criteria to determine those donors considered “major,” the schools of music have different major donor criteria based on the giving of their donors. I determined that the potential interviewees had to be selected from those donors who have given \$1,000 or more in one year for the last 5 consecutive years, or a one-time gift of \$8,000 or above to the music program at the selected institutions. These criteria were simply a guideline for the schools of music when determining who could be considered a “major donor” for the purposes of this study, and to try to maintain a similar giving level profile of the major donors for both participating

institutions. The definitions for major donor from each participating institution determined by their DODs can be found in Appendix A.

I asked each DOD to provide contact information, biographical and giving data for each potential major donor participant. Millichap University provided a list of 14 donors and Moss University included 16 donors in their list. Appendix C shows a table with the available biographical data of the donors who were interviewed for the study, and Appendix D shows the selected donors' giving data. A total of 6 interviews were conducted with major donors from each institution. The interviews were conducted in person or via telephone. It is important to mention that although the DODs provided the biographical and giving information of their major donors, they did not have a direct input in my interviewee selection process.

From the list of potential participants provided by the DOD at each institution, when possible I selected a stratified random selection of interviewees based on total amount given to date to the music programs, and their gift designation (i.e.: student scholarships, opera program, jazz department). The original intention was to also include age and gender as categories for the selection, but due to the homogeneity of the group of potential donors, my selection was solely based on the aforementioned categories. The homogeneity of total number of potential participants from the participating institutions included an almost equal distribution of males and females; all but two were Caucasian; and all were 60 years of age or older. About the major donors at Moss University, the DOD explained:

I would describe them [the major donors] as primarily white, middle to upper class, professionals in... primarily in [name] City, who value the arts, who support the other major arts institutions like the symphony, the ballet, the opera, and value the fact that the [school of music] is here training musicians and dancers for the future so that the arts will continue to be viable (Case ID 2101).

When selecting potential interviewees, I looked into their total giving so that I could interview donors who have given at different levels within the major level criteria established by the DODs. I also considered the designation of their gifts, so that I could interview donors with varied interests in different aspects of the schools of music (i.e. annual fund, capital campaign, facilities fund) or disciplines in music and arts (i.e. opera program, jazz department, student scholarships in performance). The selected donors' biographical data are shown in Appendix C.

Data Collection Procedures and Sources

One participating school of music provided a letter of introduction (Appendix E) signed by its Dean. This letter was sent to each potential donor subject included in the original list provided by each DOD. The donors that I randomly selected received a letter of intention from me, providing additional information on the study (Appendix F). The letter of intention was sent to the selected donors one week after the Deans' letters of introduction. Once I contacted a donor to schedule his/her interview, they were willing to participate, and in a few instances, the donors contacted me directly to schedule their interview. The second selected institution opted for not sending a letter on behalf of the

Dean, but to allow my letter of intention, approved by the Dean, to introduce my research and state the school's approval to take part in my study. The participating donors were interviewed in a one-on-one setting, in person when possible or via telephone, at a time and place convenient for them. The interview focused on the donor's relationship with the school of music, and the factors that led to their decision to give to a music program in higher education, when to give, and the size of the gift.

My objective was to interview five donors from each institution. However I contacted six from each school of music anticipating possible refusals and/or scheduling conflicts. But, all of the donors agreed to participate even when, in a few cases, the interviews did not take place until one month or more after my first contact with the donor. I assigned a Case ID number to each of the participating donors based on the following formula: cases 1001 to 1006 are donors from Millichap University (University #1); and donor-cases 2001-2006 support Moss University (University #2). Cases 1101, and 2101, were assigned to the corresponding DOD's from each school of music.

Without exception, the donors were very comfortable during the interviews. Several expressed their content and satisfaction with the direction of the interview and the memories it brought back to them. The duration of the interview was a concern for a couple of donors, however once the interview started they were willing to continue answering my questions even after their allotted time was over. None of the donors exhibited a sense of urgency during the interview or after the interview concluded. In

several instances, the donors shared with me personal experiences informally and shared details about their giving.

Although the interview was timed at approximately 20 minutes, the interviews lasted between 17 minutes the shortest, and 75 minutes the longest. With the exception of one donor, none of the interviewees seemed to rush through their answers nor refused or skipped any questions. In several occasions donors expressed their interest in the findings of the study and requested a copy of the study when completed. A hand-written thank you note was sent to each interviewee within one week after their interview was completed. The following table includes the date and length of each interview in addition to some of the available biographical data of each donor (the complete biographical data can be found in Appendix C):

Table 1. Data collection and partial biographical data

Case ID#	Gender	Age	University Alumnus	School of Music Alumnus	Interview date	Time	Duration
Millichap University							
1001	F	80	Y	Y	October 5, 2011	4:23pm	19:40
1002	M	67	Y	N	October 27, 2011	11:32am	23:00
1003	F	NA	Y	N	September 27, 2011	11:55am	72:10
1004	F	75	N	N	August 19, 2011	1:31pm	38:42
1005	F	74	Y	N	August 31, 2011	2:58pm	25:44
1006	F	NA	N	N	August 25, 2011	3:18pm	21:22
Moss University							
2001	M	NA	N	N	August 18, 2011	5:31pm	17:01
2002	F	NA	N	N	August 25, 2011	5:17pm	19:00
2003	M	68	N	N	August 25, 2011	4:28pm	27:22
2004	M	69	N	N	September 7, 2011	12:22pm	25:27
2005	F	74	N	N	August 24, 2011	4:52pm	17:45
2006	M	74	N	N	August 17, 2011	4:06pm	42:40

The Directors of Development for the schools of music at each participating institution were interviewed in person in order to learn their perspective on the factors that determine the giving decisions made by major donors. I also visited the facilities of the participating schools of music and toured the campuses to get a better sense of the student life, performance and rehearsal spaces, as well as experience the campus life with the eyes of an outsider or a potential non-alumnus donor. During my visits to the institutions I was able to listen to a student lesson, an orchestra rehearsal, a jazz ensemble rehearsal, and attend a school of music's symphony orchestra performance. The interview with the DODs and the in-person visit to the institution's campus provided insight into the college's characteristics that generate "giving appeal" to significant donors. At the same time, I gained a better understanding of the institution's relationship with the local community and a better sense of the place arts occupy in the metropolitan area.

Each interview was audio recorded and transcribed in its entirety to facilitate accuracy and completeness of the information provided by the donors and the DODs. I reviewed each transcript while listening to the corresponding audio-recording to corroborate their accuracy and compare them to my field notes.

This study also included a review of the electronic files and giving records of each interviewee, permitted and provided by the Dean and the Director of Development of each school of music respectively. In addition, I wrote field notes and reflective memos after the conclusion of every interview conducted in order to capture donors' comments to "facilitate reflection and analytic insight" (Maxwell, 1996, p. 11). My field notes included elements I wanted to remember that may have not been captured by the recording. For example, after I conducted in-person interviews I described the body

language of the interviewees, or the way they emphasized certain aspects of music that spoke about their passion for such discipline. In one instance the conversation with a donor took place in the living room at her residence, next to a grand piano and a large collection of recordings of opera and classical music. Although this alone would exemplify an interest for music, the donor's tears when explaining the positive healing effects music had during difficult times in her life couldn't be captured by the audio recording. Just like the in-person interviews, the interviews conducted via telephone also had elements I wanted to remember. Hence my field notes included the donor's long pauses when trying to remember details about their giving or details about their relationship with the selected schools of music. This informed me of the accuracy the donor wanted for his/her answers. In one instance, for example, a donor put me on hold while she searched for documents that contained the exact date of her first gift to a participating school of music.

I also wrote field notes following the in-person interviews with the DOD's and my campus visits. These notes were extremely helpful in recording details of the campuses, the facilities used by the schools of music, the universities' student life, geographic location of the school, and vicinity to metropolitan areas. In regard to the metropolitan areas, my field notes included details of my visits to the rehearsal spaces of the city orchestra, a new house recently opened for a ballet company, and a tour of the construction site of a new performance center at one of the cities where one of the schools of music is located. All this information helped me when interviewing the major music donors as I had a better understanding of their institutions, their location, and their cities.

Data Analysis Procedures

Each of the interviews was audio recorded and transcribed. After reviewing the recordings and their transcriptions, I attempted to find common categories, themes, and factors suggested by the donors contributing to the schools of music. This study exemplifies the Grounded Theory as originally described by Glaser and Strauss (1967), meaning simply that any theory emerges from the data rather than the theory driving the question. Merriam (1998) goes on to define Grounded Theory as a form of qualitative research, in which the researcher is

“the primary instrument of data collection and analysis assumes an inductive stance and strives to derive meaning from the data. The end result of this type of qualitative research is a theory that emerges from, or is “grounded” in, the data” (p.17).

It is a constant method of comparative analysis that begins with categories and the properties that describe them (Merriam, 1998, p.190). The comparison among categories and properties generates generalized relations between them from which hypotheses can emerge (Glaser & Strauss, 1967, p.39). As expressed by Glaser and Strauss, the constant comparative method used included: a) comparing the information gathered from each interview with the previous one in order to find similar themes; and b) integrating categories and their properties from the comparisons between interviews (p. 105). As described by the authors, I created a table that included each protocol question and the responses from the first completed interview. The answers from the second interview were compared to the first one; and then, the answers from the third interview were compared to the first and second interviews. The same process was used to compare all the interviews. The complete table served as a map to find common

themes among interviews. When the data collected was completed, the main themes that emerged from this analysis were compared across donors' interviews, and contrasted with commonly known understandings on major donors' giving patterns. For example, some of the responses clearly showed similarities with the donor categorizations by Prince and File (1994), Frantzreb (1997), Andreoni (2001), and Van Slyke and Brooks (2005). The donors' responses also showed some of the main motivators for their giving, which were contrasted with the triggers or reasons for giving described by Cascione (2003), Mann (2007), and King (2005).

Through this constant comparative analysis of the audio recordings, transcriptions, and reflective memos, I created a chart that contained 17 themes that emerged from the donors' interviews. After further consideration, I realized that many of the themes could be grouped as they were very similar. The result was a simplified chart of nine factors or key words that better categorize the emergent themes (Appendix B). The nine key words identified were: affinity to music and arts; affinity to the school of music and/or the university; leadership; the "ask;" importance of [higher] education; global motives; personal motives; give back; and exchange.

Table 2. Emergent themes

Case ID	Affinity for the College or University	Leadership	The "ask"	Affinity for music and arts	Importance of higher education	Global motives	Personal motives	Give back	Exchange
Millichap University									
1001	x		x	x	x			x	
1002	x		/	x		x	x		
1003				x		x		x	x
1004	x			x	x	x		x	
1005	x	x		x			x	x	
1006				x		x	x		x
Moss University									
2001	x			x	x	x	x		
2002		x		x		x		x	
2003		x	/	x	x	x		x	
2004	x			x	x	x			
2005				x	x		x		
2006				x		x	x		
	6	3	2	12	6	9	6	6	2

For example, in my review and analysis of Case ID 1005, I entered the following key words on the chart: affinity for college or university, leadership, affinity for music and arts, personal motives, give back, and exchange. This donor, having earned a non-music undergraduate degree at one of the participating universities, expressed an affinity for the institution and its athletics department. She stated that her undergraduate experience as a student athlete had been extremely valuable and kept her connected to her Alma Mater; she talked about how the leadership of the school of music and the quality of their student performances drew her attention to give to the school of music, the good feeling associated with giving, the opportunity of giving back to the community and her

Alma Mater, and the importance of giving in exchange for the education that made her a cultured person and successful professional. This donor also explained how she decided to give a major gift to a music program without having been asked for the gift.

In the same way I analyzed Case ID 1005 as described above, I reviewed the interview audio files, transcriptions, and field notes corresponding to each case, and identified the strongest themes and key words of each interview. When all the interviews were analyzed, I also looked for the themes that were repeated the most among interviews, or that were stressed the most by the donors. As the Table 2 show, 6 categories were consistently present in most interviews. In the process of simplifying 17 categories to 9, I created 3 overarching categories that included more than one theme. For example “global motives” include the interests or concerns donors expressed that went beyond their personal or immediate needs: “giving to the community is making the community be successful” (Case ID 2003); “philanthropy is Kingdom building” (Case ID 1004); “good arts lead to a good civilization” (Case ID 2001). I provide an analysis of the results in Chapter 4.

External validity is concerned with the extent to which the findings of one study can be applied to other situations; that is, the extent to which the results can be generalized. According to Guba and Lincoln (1981), this can only be accomplished when the study is internally valid, “for there is no point in asking whether meaningless information has any general applicability” (Guba & Lincoln in Merriam, 1998, p. 207). With regard to the emergence of the researcher’s theory and the credibility of the theory, Glaser and Straus (1967) state:

“The theory that emerges from the researcher’s collection and analysis of qualitative data is in one sense equivalent to what he *knows systematically* about his own data (...). By the close of his investigation, the researcher’s conviction about his own theory will be hard to shake (...). This conviction does not mean that his analysis is the only plausible one that could be based on his data, but only that he has high confidence in its credibility” (p.225).

This internal validity was sought through the use of multiple sources of data for the study such as the donors’ interviews, my field notes, institutional giving electronic records and the interview with the DODs of the schools of music.

Methods of Verification

In order to support the validity of the study and its findings, I used multiple methods. As it was described in Data Collection and Data Analysis Procedures, all interviews were audio recorded to ensure accuracy and completeness of the data collected. When needed, the reflective memos were shared with the DODs for further clarification. This was only needed in three instances.

Triangulation was used because any finding or conclusion is “more likely to be much more convincing and accurate if it is based on several different sources of information” (Yin, 2003, p. 98). The data was collected from three main sources: interviews with major music donors, an in-person interview with the DODs at the participating schools of music, and electronic records of donors’ giving patterns. However, for my analysis I also included the information I gathered from the campus and city visits; the attendance to one of the school’s symphony orchestra, a student recital,

and a student jazz ensemble rehearsal. The use of triangulation allowed for a better assessment of the generality of the explanations that I generated (Maxwell, 1996, p.93).

I was also immersed in the development setting of the schools of music, especially when interviewing the DODs. This immersion provided me with additional information on donor cultivation, solicitation, and stewardship procedures done by the schools of music. Moreover, I consulted an expert in development for nonprofit arts organizations and a private music academy to understand better the major donors' motivators. I consulted a Prospective Donor Research Analyst to gain a better understanding of the process of identification of prospective major donors. I also consulted a DOD at a third school of music that is also part of large, public, 4-year doctoral university at a metropolitan area to get her insight into donor giving motivators as well as university advancement initiatives for arts programs, including cultivation, solicitation and stewardship of donors.

Firestone (1987) and Merriam (2001) states that "the qualitative study provides the reader with a description in enough detail to show that the author's conclusions 'make sense'" (p.199). With the use of the methods described, I believe that the data collected provided enough information to draw strong conclusions on the giving decisions of significant donors to the selected schools of music.

Ethical Issues

In any research involving human subjects, there is a question about the potential harm the study may cause to those involved in or with it. Temple University's Institutional Review Board (IRB) reviewed and approved this study, the donor and DOD interview protocols (Appendices I and J, respectively), and all the documents and forms that were given to the interviewees.

Participation in the study was voluntary. All major donors who agreed to take part in the study were fully informed of the purpose and rationale of the study. All interviewees were required to sign a consent form (Appendix G) stating their understanding of the conditions of the research. According to Denzin and Lincoln (2005), there have to be two conditions to ensure respect for human freedom: subjects must participate voluntarily, and their agreement to participate must be based on full information (p. 144).

All interviewees received a copy of the consent form, as it provided them with additional information on the study. This form had to be signed by the donor and myself prior to each interview. In the case of the phone interviews, the consent form and a pre-paid envelope were sent to the donors so they could sign it and mail it back to me. If the consent was not received by the time of the interview, their consent to be interviewed and to record the conversation had to be granted prior to starting the interview or the recording.

Confidentiality was strictly observed by keeping all data, including reflective memos, interview audio recordings and transcripts, names, and any identifying

information under close supervision. The identities, electronic records of giving patterns, and contact information of all major donors were unknown to all with the exception of the Director of Development of the school of music they support. The identities of the major music donors have been disguised identifying them by an assigned Case Identification number (Case ID). The names of the participating institutions have also been disguised by using pseudonyms.

Outcome of the Study and its Relation to Theory and Literature

This study addressed an area in philanthropy and development in higher education that has not been fully explored. It included an understanding of major donors' giving behaviors and patterns but also their decision to give specifically to music programs in higher education.

Previous studies on giving and philanthropy have focused on categorizing donors' giving motivations and giving behaviors in general, whether it is from the point of view of a donor's own qualities, values or beliefs, or from outside *triggers* that could prompt a gift (Andreoni, 2001; Cascione, 2003; Frantzreb, 1997; Hueston, 1992; King, 2005; Mann, 2007; Prince & File, 1994; Supphellen & Nelson, 2001; Van Slyke & Brooks, 2005; Wunnava & Lauze, 2001). Some research also highlights charitable giving to music and arts, and some to higher education. However, the knowledge on giving to music and arts *and* higher education is extremely limited. Through this study, I found

strong connections to the existing research on giving and major donors, but I also found several differences.

Although this study is discipline-specific, its results provide development officers and research analysts in higher education a new light of understanding of the current and prospective major donors, as many similarities and differences can be established when comparing donors to different disciplines. The results will also benefit the creation of new strategies to strengthen giving cultivation and reinforce donor stewardship. I provide further details on the relationship between this study and existing literature as well as a discussion this study's findings implications for practice in the following chapters.

CHAPTER 4

THE STUDY AND THE RESULTS

This chapter will reiterate the research questions stated in Chapter 1 as they were the driving force for this study. It will also include an overview of the participating institutions; the identification process of the donors; how the interviews were conducted; the experience of the interviews themselves; and some of the emerging themes as a result of the interviews. The last section will include my hypotheses based on previous research on major donors as well as the present study on major donors to music programs in higher education.

The Research Questions

The research questions that this study addressed were:

1. Why do major donors to music programs in higher education make the giving decisions they do?
2. What are the factors that contribute to a major donor's decision to give to music programs in higher education?
3. What are the main characteristics of major donors to music programs in higher education?

4. What are the institutional factors that contribute to a major donor's decision to give to a specific music program in higher education?

In search for an answer to the question “why would people give?” many have studied philanthropy from different perspectives. The economist James Andreoni (2001) states that people give because they see it as a public good, as an exchange, or because it makes them feel better about themselves. Van Slyke and Brooks (2005) claim that people give in response to “triggers” that translate a donor's motivation into a desired behavior, whether it was a financial commitment or volunteering. Prince and File (1994) categorized seven donor types that, according to the authors, encompass most of the reasons why donors give.

Applying the three frameworks to my research questions, my initial hypotheses were that major donors give to music programs in higher education for three main reasons: a) a relationship with the institution they support; b) a great appreciation for music and arts; and c) the impact that music and art units have on the community.

The Participating Institutions and the Major Donors

Two schools of music were selected and invited to participate in this study. Both are part of large, public, doctoral, research universities. The schools of music have similar curricula and degree offerings at the undergraduate and graduate levels, and a similar student population. The participating universities are identified by the

pseudonyms Millichap University and Moss University. The two institutions are located in metropolitan areas that have at least three major arts organizations (i.e. symphony, opera, ballet, and/or theater). The participating universities are located in cities with more than 1.5 million inhabitants and with a government agency devoted to the arts. However, it was very clear that Millichap University and Moss University are located in areas with strong presence of arts organizations: at one city, its symphony orchestra recently concluded a successful major capital campaign; at the second city, a new performance arts center opened two months after my visit to the site, which will house the city's orchestra and dance companies.

The donor pool from each participating school of music was not diverse, and this was expected. In terms of gender, the potential interviewees were almost equally divided, with a few more females and/or couples in which the female party was the main connection to the school of music. All but one of the major donors interviewed, whose race was known at the time of the interview, were Caucasian (the exception was Hispanic/Latino), and the known ages of the donors ranged from the mid 60's to early 80's, with an average age of 72 years. Four of the interviewed donors have a degree from one of the participating universities, and only one of them has a degree from a participating school of music.

Because of the homogeneity of the pool of potential donors in terms of age, gender, and race, I selected a random group of donors from each institution based on their total giving to the schools of music and the designation of their gifts (i.e. jazz department,

opera program, student scholarships). The homogeneity of the pool of donors represented some limitations and therefore, the outcomes cannot necessarily be attributed to age, race, and/or gender.

Restricting the interviews to *major* donors as defined by each institution also represents a limitation as the pool of potential interviewees was immediately limited in number, especially at Millichap University. There were also some differences in the major donor criteria at each school of music: some donors that were considered major at one school of music may not have been major at the other participating school of music. My explanation of these differences in “major level criteria” and donor-giving-capability lies in the widely varying geographic locations of the schools of music. It would be expected that universities and schools of music located close to more affluent metropolitan areas or with more music and artistic events and organizations attract a higher number of major-level donors. In the case of the participating institutions, both were located in cities with a strong presence of music and arts. An example of that are the performance and training facilities for some of the city arts organizations that are being constructed or have been recently opened. However, when it comes to the schools of music, Moss University’s was located in a more affluent community than Millichap’s school of music.

Comments from the donors informed me of their level of comfort. In two instances donors invited me to contact them and meet them in person if I find myself visiting their city again. One donor expressed:

I hope that I was able to help you. This all sounds very interesting (...). If you find yourself visiting the city again, we would love to meet you in person and take you out for dinner! We may even catch a recital at the university. (Case ID 2006).

Another donor extended an invitation to attend some music performances (this donor belongs to the Board of a non-profit arts organization):

Do you have the schedule of our performances this season? (...) Well, if you want to come to any concert, just give me a call and I'll send you some tickets. (Case ID 1006).

In another instance a donor gave me three CD's and one DVD with music recorded for and from other music programs the donor supports. The donor explained that the program featured in the CD's had been a collaboration with one of the participating schools of music.

Let me give you this CD, it is from our program at St. Francis. And this other one [CD] is from the cross-cultures concert we had. Oh, and take this DVD too! Have you seen it? It's wonderful; it's the story of our orchestra. (Case ID 1003).

The interviewees represent a wide range of philanthropic affinities and interests. They support different endowed professorships, endowed scholarships, programs, departments, and events at the participating schools of music. All of them stated that they support other music and arts organizations from a wide variety of disciplines in music, dance, theater, architecture, visual and fine arts. It is clear that these donors have a strong commitment to the arts and in most cases, to the cultivation of future generations of artists and musicians through their support of higher education. They frequently attend student performances, recitals, and exhibits, and sponsor concerts, lectures series, and master classes with guest artists. Most of their giving is for student scholarships and/or

programs that have a direct impact on the students. At the participating schools of music, the donors main giving interest after student scholarships have been professorships, annual fund, capital projects, and athletics.

Only four of the interviewees support programs or departments outside of the school of music at the same university; five support other arts or music schools at other institutions of higher education; and three support other non-music related programs at other institutions of higher education.

These donors' lifetime giving to the selected schools of music total \$1,648,263.68. With the exception of one, all the interviewees have contributed to the selected schools of music during the twelve months prior to their participation for this study. Some of them have been supporters of one of the schools of music for over two decades.

Although the interviewees have a great understanding of the importance of higher education and share a great value for education in general, their philanthropic efforts for higher education seemed mostly driven by their interest in music and arts. A donor expressed:

I think that in order to have a wonderful civilization we need to have good arts (...). We give to scholarships in the arts, but also in other fields (...). But our family also focuses on scholarships for children. (Case ID 2001).

In terms of perpetuation of music and arts, two donors stated:

So I really care about the heritage of the jazz community and transferring that on. You can go to a jazz concert now, and you look around, and most of the people there look like me (...). It's our only American music and I don't want to see it lost. (Case ID 2006).

One of the strengths of the college is that is preparing youth, so it's not just that is the arts that will need help, but those getting established in the arts (...). It's to perpetuate the arts through the education of our future artists. (Case ID 2004).

The importance of education for all donors was very clear. More than half of them stated they contribute to education programs other than the support they provide to the selected schools of music. Their support goes to scholarships, minority women's education, music education programs for children, and scholarships for children from low income families. In a few cases, donors stated they contribute to other fields in higher education (in these cases to their Alma Mater). One particular donor related some life experiences that showed a motivator for supporting education:

Well, I worked for the Welfare Department for a summer. I had my eyes opened: I was working with families with dependent children and disabled (...). I couldn't believe the conditions these people lived, and thought 'I cannot help these people.' So I thought 'that's what I need to do, I need to help them through education!' (Case ID 1003).

The donors represented a wide variety of relationships with the participating institutions. Although only one is an alumnus from one of the participating schools of music, and only four are alumni to the participating universities, many have held service and leadership positions at the selected schools of music and/or universities. Half of them currently serve or have recently retired from the Music Alumni Association, Board of Visitors of the School of Music, Board of Trustees of the University, and the Board of the Foundation of the Music School. Two donors stated they have held leadership positions at other institutions of higher education.

Emergent Themes

Each of the interviews was digitally audio-recorded and transcribed in its entirety as described before. I reviewed each transcript while listening to the corresponding audio-recording to corroborate their accuracy and compare them to my field notes. During this process I began to highlight some of the predominant themes of each interview as a result of the protocol questions the donors answered.

In order to maintain the anonymity of the interviewees, each donor was assigned a Case Identification number (Case ID). I created a spread sheet with all the interview protocol questions and the donors' responses by Case ID. This chart was helpful to visualize all the data collected and search for the common themes that emerged from the interview responses.

Through a constant comparison of the audio recordings, transcriptions, and reflective memos, I was able to apply my insight to the analysis of subsequent interviews. When the data collection was completed, I created a simplified chart of key words (Appendix B) categorizing the themes that were mentioned the most during the interviews with the major donors. As a result, I identified nine factors or key words that describe the main triggers and motivators that affected the giving decisions of the major donors I interviewed.

The most prominent theme or factor that emerged from the interviews with donors is their affinity for music and arts. All donors without exception spoke of their passion

for the arts as their main motivator to consider giving to music programs at the participating schools of music. The donors' affinity for music and arts respond to the third research question: what are the main characteristics of major donors to music programs in higher education? It also gives some light to the first research question: why do major donors to music programs in higher education make the giving decisions they do? This theme was so strongly expressed and exhibited by all donors that it seems to be the catalyst of their giving. For example, all donors stated that they support more than one music and/or arts organization in addition to their giving to the participating schools of music. Their narratives on how that affinity originated were very diverse. A few of donors stated they had taken music lessons when growing up or participated in artistic activities:

I had piano lessons from the time I was five, I was never very good because I was not very disciplined, but I loved the music; and my great-aunt had a creative arts school, and I went over there for two summers, and we did everything: we did declamation, we had to be in the theater, we had to either be in the play or do the scenery or something. We had to be involved with the play, and we had to take music lessons, we all had to sing...It was a little bit of everything (Case ID 1003).

The same donor added:

(...) And he [donor's father] would come home from work with a new record, a new recording, and he would put it in the record player and he was the most relaxed and happy I can remember being (...). And we always sang in the car during road trips between states. (Case ID 1003).

Two other donors explained:

I used to play the violin, clarinet, organ, and sang. My husband sings, the whole family sings; and I have a daughter that has a very good voice. And another son that is a physician but is very musical too. (Case ID 1004).

I have been a fan of the opera most of my life. I grew up with my mother listening to their afternoon broadcasts from the Metropolitan Opera. And my husband enjoys opera as much as I do. We would go up to the Met a couple of times a year and we were supporters of the [City] Opera Company where we lived for many years. And then we moved to [city] and we're supporters of their opera company. So it is a love that it's pretty extensive! (Case ID 1005)

Another donor explained how his giving to the school of music was the result of a present for his wife, who had not majored in music but played the piano:

(...) And my wife, who attended the college and was musically inclined, because she took piano lessons when she was a little girl, and she likes music, and we both support the Opera and the Symphony in the city for years. So I decided for our anniversary to give her that [the sponsorship of a master concert program in her name], and the school fit in her plans and she loves that university. (Case ID 2003).

The last case described is a close example to what the DOD at Millichap University's school of music explained about cases in which donors want to honor someone who is or was close to the school of music:

The motivations of the donors may vary. There might be somebody that you would never expect to be interested in jazz, yet they are remembering somebody that was very close to them who loved jazz. So the circumstances [for giving] vary, the personalities vary (...). I would say that honoring a loved one seems to be a common motivation (Case ID 1101).

Two cases stand out as examples of a donor's passion for music as a main motivator that led them to search for giving opportunities at two of the selected schools of music.

I just listened to the radio, and when I was like 9 or 10 or 11, my mother would drive me to the train station and I would take the cheap shopper special ticket to the city on a Saturday so that I could go for the rush ticket (...). And I knew that the last train that could take me back would sometimes conflict if there was a longer piece that was being played, and I had to pull myself away and run to the station and catch the train because the buses would stop running and she [donor's mother] would have to pick me up in the car. This is what I did in my early years, it was falling in love with classical music, and I also started enjoying opera very early. (Case ID 1002).

I am a big jazz fan (...), I love it and that's the music I grew up listening to in the 50's. I am 74 years old now and I grew up with this, listening to the jazz of the greatest. (Case ID 2006).

All of these examples support what a DOD stated about the major donors to her school of music:

Most of the donors are professionals in the metropolitan area who value arts, who support the other major arts institutions like the symphony, the ballet, the opera, and value the fact that here [at the school of music] we train the musicians and dancers for the future so that the arts will continue to be viable (Case ID 2101).

The second most prominent emergent theme for the interviewees is what I identified as *global* motives to support music and arts. However, their global motives are not strictly restricted to supporting the arts, but the arts become the main vehicle for their giving under a global vision of giving and philanthropy. The donors expressed an interest or concern that went beyond their personal or immediate needs and as such, their interest in cultivating the perpetuation of music and arts or the community development took precedence over personal motives that could have a direct benefit for them. For example, one donor stated: "I think that in order to have a wonderful civilization, we need to have

good arts” (Case ID 2001). Other donors expressed global motives for giving in general, such as the following two examples:

I think that in order to have a wonderful civilization we need to have good arts. And I think that there’s a lot of money that goes to support research, and I don’t think there’s enough money that supports the arts. (Case ID 2001).

[We] try to give back to the community and maybe help for the community to become successful (...). Is a certain responsibility in our civilization (...); the satisfaction came for us [with spouse] because we felt there was an obligation to our community. (Case ID 2003).

Within the same global motives, I have included the altruistic reasons for giving as described by Mann (2007). A clear example of this comes from a donor who can be compared to “the devout”(giving is inspired by God’s will) in Prince and File’s (1994) donor categorization:

I come from a Christian perspective (...), so it’s like Kingdom building, we build upon the Christian ethic. (Case ID 1004).

A few others expressed global motives from the point of view of the importance of higher education, and therefore, their interest in supporting it:

One of the strengths of the Conservatory is that is preparing youth, so it is not just that is the arts that will need help, but those getting established in the arts. And I think it’s a very good investment because even if they don’t make a career in the arts, they still will be well prepared by the discipline of studying an instrument. (Case ID 2004).

My father was the son of some immigrants and he embedded in me from a very early age that knowledge was the key to everybody’s success, and you know, give money to people is one thing, but you need to educate people and when they are educated they are the people that do better than those who are not educated (...). So the way that I was taught was that all can go away pretty quickly, but nobody can take your education away. (Case ID 2006).

The global motives differ from those I identified as *personal* motives in the scope of the benefit that is sought with a gift to music programs. For example, one donor explained an interest in supporting music programs because, as a positive consequence, it would benefit the university and the campus in general, and therefore, his close-by neighborhood:

I guess another thing, somewhat selfishly, is that we live in the neighborhood: we live in, kind of one of the main buildings that is within a couple of blocks from the University. So I think it's important to us to make sure the University is strong and it grows for the neighborhood too. (Case ID 2004).

Some donors expressed that they enjoy giving to music because of how music makes them feel, or because giving makes them feel good when sharing what they have. Hence, I charted all responses that expressed a more immediate benefit or interest as a personal motive. The personal motives are based on a donor's personal values, beliefs, ideals, and goals, and they can be compared to what some authors have described as a "direct benefit" (Cascione, 2003; Hueston, 1992; Mann, 2007; Supphellen & Nelson, 2001).

I give to the arts because I feel I get a big return and it is my passion. (Case ID 1002).

One donor related story that fits with the personal motives. The donor explained how she used music to overcome some extremely difficult life experiences. It was through this process, she said, that she understood the "healing power of music:"

It was such an amazing experience. It was the first time that I felt I could release some of the pain. So I came home and called [name] at a school of music and said 'I need a voice teacher!' So music is...umm...I know how it makes you feel, so it's something I want to share. (Case ID 1003).

Other donors stated:

I feel a very natural connection with music. Music really touches sensitivity and the core of my being, and I can really relate to music and bring out all of my emotions. (Case ID 1006).

Being able to give to the Conservatory means a lot. It is important to me and it makes me feel that I have done something good for the students. (Case ID 3005).

However, the personal motives are not the same as a donor's interest to give back.

This sense of giving in return is what Mann (2007) describes as the "reciprocal reason for giving" (p.38). Half of the interviewees expressed an interest in giving back to the institution where they earned a degree, to the metropolitan area where they reside, or share with others their passion for music and art through their giving.

When I started as a student I applied to the [name] scholarship and I won it for a year, a full scholarship. And because of the unique experience for these four years I got, when you get older you want to show your appreciation. So I know it's corny, but it's a way of giving back. (Case ID 1001).

I am an educated person and [University] did that for me and it's time to pay back. (Case ID 1005).

I think [with] the philosophy of giving back that we [with spouse] sort of developed. (Case ID 2002).

The donors' global and personal motives, as well as their views on giving and philanthropy, answer to the research questions one and three. Close to these categories and answering the same research questions, I place the donors' feelings of gratitude or

“pay back.” However, the three categories, global motives, personal motives, and pay back, are rooted on the donors’ value on music and arts and their belief on the positive impact arts have in general.

The category I defined as exchange is not the same as give back. For exchange I charted the donors’ responses where there was a level of *quid pro quo*. Only in two instances donors started (or continue to) contribute in an exchange of services/benefits from the school of music. In one case, the donor approached the Dean in search of a collaborative effort for a music program for the city. This collaboration led to larger gifts and change status from donor to *major* donor. In another instance, the same change of status was the result of a service the school of music provided to the donor’s non-profit arts organization. In both cases, the donors had given to the school of music but not at a major level. In either instance, were the donors asked for their major gifts.

My relationship with the college started because I was working on a project with the city orchestra and the city school district trying to develop instrumental teaching for kids (...). So I went to the dean of the college and said ‘we need some people to teach in a school.’ And the dean got me several teachers. (Case ID 1003).

The college makes available the recital hall and all the rehearsal spaces for my organization to hold our auditions. Because every January we hold three or four days of auditions at the college, and that is a very significant contribution that the college makes to us, that is a great motivator for me to support the college in return. (Case ID 1006).

Half of the interviewees manifested an affinity for the school of music or the university. And in those cases where such affinity was expressed, it was as a result of the donors’ interest in supporting music programs or their passion for music and arts; and in a very few cases as a result of their status as alumni to the participating universities.

Only in one case, a donor expressed the interest of honoring the legacy of a former professor at the institution:

I only give to the professorship chair for [name]. I used to just give to the college, but when the chair was created I designated it as the recipient. After that only once I have given to the college to something other than the chair. (Case ID 1001).

This notion that was supported by a DOD:

Sometimes donors want to honor the legacy of somebody, or sometimes is to continue someone's legacy. (Case ID 1101).

From those who are alumni, only one earned a degree from the school of music; the remaining alumni contribute to the selected schools of music and other schools, colleges, or departments –such as athletics- at the same university. Non-alumni donors suggested that the school of music's mission, the quality of their student performances, as well as their interest in music and arts, were the attraction to the participating schools of music. One alumna seems to exemplify well the combination passion for music and athletics, and being drawn to the school of music through a student performance:

When we started thinking about what we wanted to do with our estate, after the field hockey program, which is my first love, the opera program seem like a very interesting second part. (Case ID 1005).

King (2005) uses the term “relational affinity” to describe donors' active engagement and involvement with the institution (p. 107). This type of affinity was described or exhibited by half of the interviewees, who stated that they currently serve or have retired from service and leadership positions at the participating institutions such as Music Alumni Association, Board of Visitors of the School of Music, Board of Trustees of the University, and Board of the Foundation of the School of Music. From these

donors, only two are alumni to one of the participating universities; one of them is an alumnus to the school of music.

Although King (2005) found that the relational affinity had its genesis during the donors' tenure as a student if he/she were an alumnus, or through an interpersonal relationship within the institution that served as a catalyst in a donor's giving (p.108), the major donors interviewed for this study expressed a different type of relational affinity. Different from King's (2005) findings, in which the donors had first a relationship with the institution, the relational affinity exhibited by music donors is overridden by their music affiliation: it has been their interest in music what has brought them to the schools of music and in that process, to establish interpersonal relationships with the school and/or university. With the exception of the donor who earned a degree in music, the donors' relational affinity for the schools of music originated in one of two ways: a) their passion for music and arts, that led them to approach and meet the dean of the school or a music department chair; and/or b) attendance to a student performance: typically some of the largest performances by the school such as their symphony orchestra, the opera, or the jazz band, this case to lesser extent.

We [donor and spouse] were attending a luncheon for major donors, and we were prepared to go after the luncheon to another event, a basketball game, when this young lady gave a speech on the opera that was going to be performed that afternoon, "Dialogue of the Carmelites," which both my husband and I were quite unfamiliar with. But she [chair of the opera department] was so informative and interesting that we said "okay, we can go to a basketball game some other day or some other time so let's go check out the opera." And we were stunned by the level of professionalism and delighted with the opera, and the sets, and just the whole thing (...). And now we wouldn't miss it! (Case ID 1005).

I went and talked to the Dean of the jazz program. So I told him that I was a big jazz fan and I wanted to help in any way with the jazz program, and he told me he was leaving and that a new director was coming, someone by the name of [name], a high-level, really good jazz musician, and he still tours both Europe and the United States, and he has maybe 20 albums out. So when I approached him [new director of the jazz program] he got me involved in funding a full scholarship for a jazz musician [a student majoring in jazz performance]. (Case ID 2006).

The exchange, institutional affinity, and leadership categories answer research question four: what are the institutional factors that contribute to a major donor's decision to give to a specific music program in higher education? Although it can be argued that the institutional affinity category also answers the research question two (what are the factors that contribute to a major donor's decision to give to music programs in higher education?), I believe this to be true only for the alumni-donors, for whom their undergraduate or graduate student experience may have fostered such affinity.

There were two themes that emerged with unexpected results. The role of the leadership of the school of music and/or the university was important for only three of the interviewees. Only in these three instances donors expressed that there was someone at the school of music (a Dean or a Department Chairperson) who played a role in attracting them to the school and therefore, their giving. For the vast majority of donors, the relationships with the leadership of the school and/or the university developed as a consequence of their giving. This was true for all but one donor, who while serving in the Board of Trustees of the university met the Dean of the school of music, learned about the music programs, and decided to direct his giving to the school of music. For the donors I interviewed, the role of the DOD was also different than expected: the DODs

had a voice in increasing the donors' giving or facilitating their giving (endow a scholarship, testamentary commitment, creation of a professorship). One of the DODs stated that part of the responsibilities of the position include retaining the current donors through an ongoing and non-stop process of solicitation and stewardship: "Cultivation is before the gift; stewardship is after the gift, but it's also before the next gift!" (Case ID 1101).

Both phenomena, the role of the institution's leadership and their DODs, seemed to be associated with "the ask:" only three of the interviewees moved from being donors to becoming major donors as a consequence of a positive response to an "ask," but only one of these three cases was a "formal ask" in which the already-donor was presented with a major giving proposal. The other two cases were less formal (both cases are marked with a "/" in the Emergent Themes Table 2:

What started our relationship [with the school of music] was when my wife turned 65 and I didn't know what to give her for her birthday. She had everything she wanted or needed. So we went to a concert and had just met the new Dean, so we started talking after the concert and I told him my dilemma. A day or so later he called and he said "would you like to have lunch with me?" And he said that maybe a good thing to do was to sponsor a master concert program as a birthday gift to my wife. (Case ID 2003).

King (2005) refers to the "no ask" theme when donors stated that

"the "ask" was of essentially no consequence or had no bearing on their giving or on a particular major gift or, in fact, that there was no "ask" to which they were responding" (p.119).

This was the case with the majority of the music donors I interviewed, since it was the donors who approached the school and/or university officials to offer their support. "The ask" category answers research questions one and four. Unexpectedly, in

the case of major music donors “the ask” is not an important factor, furthermore, it was almost non-existent at both participating universities.

Conclusion

I believe the data collected provide a complete picture on the triggers and motivators major donors to schools of music have. Some of the emergent themes I identified in my analysis reinforce commonly known understandings about major donor behaviors and characteristics, such as their views and value on giving and philanthropy.

There were, however, some themes that emerged with unexpected results, as is the case of “the ask,” the role of leadership, and the institutional affinity of music donors, three themes that could benefit through more in depth study. Chapter 5 will look more closely at the themes that I have identified. I also compare themes across institutions, and contrast the emergent themes with commonly known understandings on major donors. I will also discuss what I believe are important findings and make suggestions for further study.

CHAPTER 5

DISCUSSION AND RECOMMENDATIONS

In this chapter I will reiterate the research questions; review the methodology used in the study; summarize the answers to the research questions and the study results; and analyze and discuss the study findings. Finally, I will conclude the chapter by identifying areas for further research that arose from the results of this study.

Statement of the Problem

Philanthropy and charitable giving have remained an important component for societal development in the United States. Giving has decreased since the economic downturn from 2008, and slowly seems to be recuperating. However, education and arts organizations have suffered from the reduction of the state and federal funds, increasing the need to cultivate donors.

During the last twenty years, research has been conducted describing the importance of the connection of major donors with the institution they support (Baade & Sundberg, 1996; Cascione, 2003; Clotfelter, 2003; Elliott, 1996; King, 2005; McDeamon & Shirley, 2009; Rothschild, 1999; Williams, 2007). In higher education, this connection may be through the donor's academic career, relationships with the institution's administrators, or through an affinity for the institution's mission (Cascione, 2003). For

these reasons, professionals in institutional advancement seek to cultivate strong relationships with potential donors and alumni while promoting the institution and its mission.

The importance of higher education has been researched widely and extensively, and many authors highlight its role in societal development and economic growth (Bowen, 1996; Clotfelter et al. 1991; Curti & Nash, 1965; Elliott, 2006; Gaudiani, 2003; Smith, 2008; Van Til et al, 1990). The evolution and growth of higher education led to structured fundraising enterprises and to rely more on private giving.

Although there is a large amount of research in the field of development and institutional advancement, there is little research on the major donors' decision-making process or their motivation for giving to music programs in higher education. Both areas were explored in this study, and its results should be considered when creating strategies for the cultivation, solicitation, and stewardship of major donors to music and arts programs in higher education.

The major donors who participated in this study represent a wide variety of educational and professional backgrounds, but as the results show, they share a common passion for music and arts, and an interest in perpetuating them through supporting these disciplines in higher education.

Review of the Methodology

With the purpose of contrasting and comparing the motivators and the decision-making processes of major music majors, two public universities were identified to participate in this study. The institutions have schools or colleges of music with similar academic offerings at the undergraduate and graduate levels, relationship with their surrounding communities, and student population. Both universities are public, 4-year, doctoral, with high or very high research activity and community engagement according to the Carnegie Classification of Institutions of Higher Education. It is important to mention that these universities are located in metropolitan areas in different regions of the country. These areas have at least three major arts organizations (for example a ballet company, an opera company, a theater company, and/or a symphony orchestra).

The use of qualitative research was selected for this study. Merriam (1998) states that in qualitative research “the key concern is understanding the phenomenon of interest from the participant’s perspectives, not the researcher’s” (p.6). The methodology used for this study reflected Merriam’s description: my role as a researcher was solely as an instrument for the collection of data and its analysis.

There were three main sources of data: 1) the biographical and giving data of major donors to the music programs at the participating institutions provided by the Directors of Development (DOD); 2) an interview with the major music donors; and 3) an in-person interview with the DODs at the participating schools of music.

Six major donors to each of the participating schools of music were interviewed for the study for a total of twelve interviewees. The “major donor criteria” was determined by the DOD at each participating school of music (Appendix A). I selected the participating donors from a pool of potential interviewees provided by the DOD at each institution. Due to the homogeneity of the pool of potential interviewees, my selection was based exclusively on their past giving and their giving affinities (i.e. scholarships, opera, jazz, annual fund).

I interviewed each of the selected donors in person or via telephone. The interviews lasted 20 minutes on average, but there were a couple of interviews that were timed at approximately 75 minutes. The interviews focused on the major donors’ relationship with the schools of music they support and their giving experiences. I also asked the donors about the factors and characteristics of the school, and the program they support, as well as characteristics about themselves that have led to their giving decisions.

The DODs of each school of music were also interviewed. Their interviews focused on the fundraising enterprises of the school of music, their experiences with major donors, and their perspectives on major donors’ giving decision-making processes. These interviews also provided an insight on the institutions’ development initiatives, and their personal experiences with fundraising for music higher education.

All the interviews were audio recorded and transcribed in their entirety. I reviewed all the transcriptions to guarantee their accuracy and fidelity to the recordings. After I had completed all the interviews, I created a table to visualize the data collected. That way, I was able to chart the interviewees’ answers, find common themes that were

emerging from the donors' responses, and compare their answers in a systematic way across donors and across institutions. This comparative analysis allowed me to identify 9 categories or key words based on the emergent themes from the donors' responses (Appendix B).

Addressing the Research Questions

The interview protocol was designed so that donors could provide enough information to answer all the research questions:

1. Why do major donors to music programs in higher education make the giving decisions they do?
2. What are the factors that contribute to a major donor's decision to give to music programs in higher education?
3. What are the main characteristics of major donors to music programs in higher education?
4. What are the institutional factors that contribute to a major donor's decision to give to a specific music program in higher education?

Through my analysis of the data collected, I found that the first research question was answered by the donors' affinity for music and arts, their intention to give back, an affinity for the school of music or the university, and having an interpersonal relationship with members of the institution. Although the interviewees expressed several reasons for

their giving decisions, it was clear that their affinity for music and their global motives were the two most prominent themes that answered this research question.

The second research question was answered by: their belief on the importance of education, especially at the post-secondary level, their global motives, and their intention to give back. Although not a prominent theme, the role of the leadership could be considered as part of the answer to this research question. This theme carried some importance in the decision-making process of a couple of major music donors, but in general it was not a determining factor for most of the donors' contributions.

The third research question was answered by: the donors' affinity for music and arts, their global and personal motives, especially their views and values on philanthropy and giving, the importance of education, and their intention to give back. The donors' views on education may be rooted in their personal student experiences or their trust in education as a vehicle to perpetuate the arts.

The fourth and last research question was answered by: the donors' affinity for the college or university, the leadership of the college and/or university or their interpersonal relationships with the leadership, as an exchange with the school of music, and "the ask." I found that among the themes that answer the fourth question "the ask" is unexpectedly the one of least importance. Although it was addressed by a few donors, it was still almost non-existent when compared to other institutional factors that have influenced major music donors' giving.

All the research questions posed were answered through this study. The data collected and its analysis provide the fundraising professionals with a better understanding of the motivators that influence the giving decisions of their music donors, which may lead to better cultivation and solicitation strategies of prospective major music donors.

Discussion of the Results

As stated in the previous chapter, I identified nine emergent themes or categories from the data collected (Appendix B). These themes responded to the research questions and showed consistency across institutions. It is important to mention that the themes may not be applicable to donors other than those who support music programs at a major level at public universities, understanding that the major level may vary from one school of music to another. I classified the emergent themes in three groups based on the frequency they were expressed during the interviews, and therefore, I used such frequency to gauge their importance.

The following chart shows the emergent themes I identified and the number of donors that mentioned each one during their interviews:

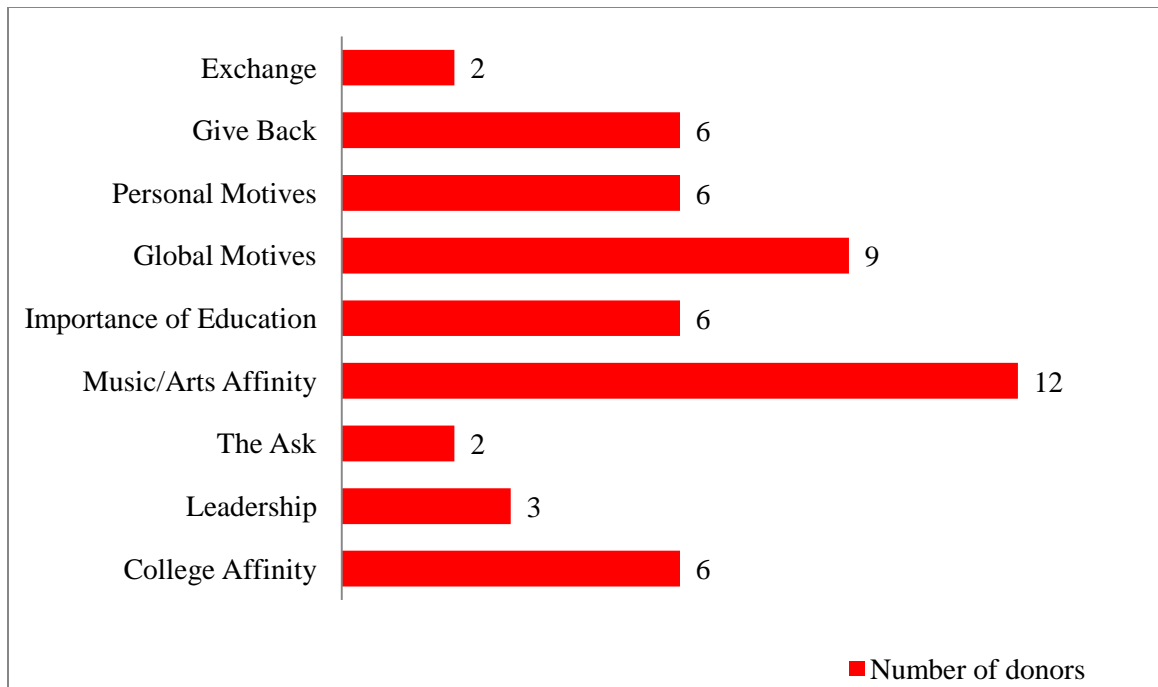


Figure 1. Number of donors per emergent theme

The most prominent themes were the affinity for music and arts, and what I consider donors’ global motives. In the second tier of frequency or importance I placed four themes: affinity for the school of music [or the university], importance of [higher] education, personal motives, and give back. The third group includes leadership and “the ask.”

The affinity for music and arts was the most frequently expressed and commonly shared motivator for the major music donors. This category seems to affect all others or have some degree of impact on the other eight motivators. All the interviewees, without exception, have a strong passion for music and arts that, joined with their views on the importance of education, direct their generosity toward the participating schools of music. The interviewees stated that they support other causes in education, social services, and health care, but music and arts remain at the core of their giving. Most of

them, support music and arts organizations other than the participating schools of music, but their support is greater to these institutions of higher education than to any other institution/organization, making it the number one cause of charitable giving for these donors, and making the participating institutions the largest recipients of their giving. Chronologically speaking, these donors had been supporters of music and arts organizations prior to supporting the participating schools of music. But there was a “trigger” that prompted them to give to the schools of music and to give at a major level. This was the case across donors and participating institutions.

The donors’ affinity for music and arts had diverse origins. Only one of the interviewees earned a degree in music and although now retired, worked professionally in or with music and arts. Two of the participating donors worked in other fields but upon their retirement, they found themselves working with non-profit arts organizations. For the other donors, music and arts were interests that evolved and developed in most cases since a young age. Their appreciation for different music genres and art disciplines became so strong that it led these donors to support music and arts at the participating institutions at a greater level than they had done to their Alma Mater (in the case of the non-alumni), or to organizations in their professional fields. In most cases the same affinity has led these donors to establish a relationship with the participating schools of music, and get involved with the school and the university through service and leadership positions, such as becoming members of the Music Alumni Association, Board of Visitors of the School of Music, Board of Trustees of the University, or Board of the Foundation of the Music School. For three donors, it was their service as University Trustees, what helped them to get to know the school of music, and as a consequence,

direct their giving toward music programs and support the music or art disciplines of their interest. In the case of the alumni to the participating universities, it has been their passion for music and arts what has motivated their giving to the music programs. Only one of the alumni donors supports a non-music program at the university.

The global motives occupy an important place in the giving interests of the major music donors. These global motives are not strictly restricted to music and arts, although music and arts have become the main recipients of the donors' contributions under a global vision of giving and philanthropy. The global motives are exemplified by the donors' interest in the perpetuation of the arts or their belief on the positive impact music and arts have for societal development. Therefore, the donor's global motives are a two-fold: a global view on the importance and positive impact of supporting a cause, and the belief their support has a global impact for society. The global motives go beyond the donors' personal or immediate needs or their search for a direct benefit from giving. These motives can be compared to what Andreoni (2001) defines as "a public good" reason for giving, stating that people give because they recognize society as a whole will benefit from their donation (p.1370).

Some donors expressed the need for music and arts to have a good civilization, and therefore, the need to cultivate them through the education of the future artists. One donor expressed a global motive of altruistic nature, defining giving as "Kingdom building," and finding the roots of her giving in her Christian values.

The global motives are closely related to the donors' view on the importance of higher education, even when the importance of higher education in itself was not

expressed as frequently, it was seen as an element of positive global impact. [Higher] education was defined by some donors as a “must” to be able to compete in the job market, to have an impact in societal economic growth, and to continue developing the heritage of music and arts for future generations. One of the interviewees, the only participating donor that did not earn a college degree, spoke strongly of the need of higher education for the individuals’ personal and professional development. For two alumni donors, their value on higher education has its roots in their experiences as undergraduate students at one of the participating universities. Both stated that higher education made them cultured, educated, and professionally successful. Just like the major music donors described, individuals who value higher education are increasing in importance as state spending on higher education continues to decrease (Kelderman, 2012), because through their value on education, they become prospective donors to perpetuating higher education in the United States.

Differently than the global motives, I define personal motives based on several authors (Cascione, 2003; Hueston, 1992; Mann, 2007; Supphellen & Nelson, 2001) as the motives based on a donor’s personal values, beliefs, ideals, and goals that have a direct benefit to the donor. In them are included the tax benefits, or as expressed by one of the interviewees, supporting the university campus has a positive impact in the close-by neighborhood where he resides.

I included Andreoni’s (2001) “warm glow effect” (“people give because they feel better about themselves,” p.1370) in the personal motives category. Most of the interviewees expressed, in one way or another, some sort of warm glow effect, in some

instances this feeling came from music, and therefore triggered their giving towards it, and in other instance it derived from their experience of giving. The warm glow effect was clearly expressed by most of the interviewees as they stated that they enjoy giving, supporting what they are passionate about, knowing they are helping others, wanting to share what they have, or simply inspiring others to give and understand “how good it feels” (Case ID 1003).

I make a distinction between the personal motives and the donor’s interest to give back, which I placed as a different category. Give back can be compared to Mann’s (2007) *reciprocal* reason for giving, or Prince and File’s (1994) *repayer* donor category (donor does good in return). Half of the interviewees expressed their desire to give back, sometimes expressed as giving back to their local community, to the local music and arts organizations, to their professional field, or to their Alma Mater. It is important to mention that in all cases the donors felt they have reached a point of financial stability that is accompanied by a sense of duty to give back. All of the interviewees stated they support their local music and arts organizations, and therefore, giving back to the metropolitan area where they reside.

Two alumni donors expressed their motivation to give back to the university, from which they received great experiences as undergraduate students and gave them a strong education that played a crucial role in becoming successful in their professions.

As it was stated in the previous chapter, half of the donors manifested an affinity for the school of music and for the university they support. In one instance this affinity was expected as it was expressed by a music alumna donor, and in a second instance, it

was expressed by a university alumna. For the non-alumni, the affinity for the institution was the result of the donors' interest in supporting music and arts and their search for ways to perpetuate the arts.

Previously, I stated that my findings on institutional affinity differ from what King (2005) describes as *relational affinity*. King finds the roots of the relational affinity in the donor's student experiences (for alumni donors) and/or in the interpersonal relationships with the institution (mostly for non-alumni donors). King also states that donors have a relationship with the institution first, and as a consequence, they become supporters of the institution. Similarly, Cascione (2003) finds the relationship donor-institution to be one of the motivators for donors to give. However, in the case of almost all of the major donors to schools of music interviewed for this study, they approached the institutions to become its supporters (the only exception was a University Trustee who contributed to the university's general fund first, but once he learned about the music programs and student scholarships for music students, he directed his giving exclusively to the school of music). Hence, the relational affinity, as described by King, for the major music donors interviewed was the *consequence* of their support to the schools of music, and not the *cause* of their involvement with the participating schools of music. This finding asserts that the major donors to music programs in higher education may not have had any previous relationship with the schools of music and/or with the university. This finding alone also represent a challenge in fundraising practices, as DODs and Deans would have to cultivate prospective major donors that might be foreign to their institution. It also implies that the schools of music should maintain a strong

presence in the metropolitan areas where they are located to attract individuals that have a strong affinity for music and arts.

These responses, as well as those from the “ask” category, disclose the level of interest major music donors have for the arts and how such interest has been the main motivator behind their giving and their approach to their local schools of music. The question of their level of response to an “ask” and/or why there are so few “asks” to major music donors remain unexplored. However, the responses from the interviewees suggest that establishing a strong rapport with the institution has been important in continuing and increasing their giving.

The only music alum from my sample, moved from mid-level to major donor level in response to an “ask.” This example informs DODs at the schools of music that a thorough research on their mid-level donors may be a key factor in finding opportunities for “asks” and increases in their major-level donor pool.

The findings of this study assert the folk wisdom belief that major music donors are not music alumni. The findings also give a general profile of who the major music donors are and their reasoning for giving specifically to music and arts. These findings gain importance when considering ways to increase private giving for music and arts higher education in times where state spending for higher education in general continues to decrease (Kelderman, 2012), and colleges and universities work to overcome the decline in alumni giving experienced since 2008 (Council for Aid in Education’s Voluntary Support of Education Survey, 2010).

The Study and its Relationship to the Literature

As stated on Chapter 3, this study addressed an unexplored area in higher education development. It included an understanding of major donors' giving behaviors and patterns, but most importantly their motivators to give specifically to music programs in higher education. I believe that the findings of this study cannot be widely generalizable because the music programs at institutions of higher or post-secondary education in general differ greatly in their mission, nature, and geographic location. This means that the findings may only be applicable to those colleges, schools, and conservatories of music, that are part of large, public, 4-year, research universities in or close to metropolitan areas.

There is a considerable amount of research done on philanthropy and charitable giving. Many authors agree on the historical origins of philanthropy, but they differ in the ways they categorize donors' giving motivations.

The existing literature found on philanthropy and giving tied to major donors seems to have omitted discipline specifics such as music and arts. However, some of this study's findings can be related to some of the reasons for giving or donor categorizations found in the existing literature. Although there are several possible motivations that explain why people give, many authors agree on three: altruism, reciprocity, and direct benefit (Mann 2007, p. 38). In an almost identical way, the economist James Andreoni (2001) argues that the three reasons why people give are: as a public good, as an exchange, or as a warm glow effect (people give because they feel better about themselves, p.1370). It is possible to see similarities in the categorizations by Mann and

Andreoni: Andreoni's warm glow effect has a direct benefit for the donor, understanding direct benefit described by Mann; and in the same way, Mann's altruism can be compared to Andreoni's public good. Reciprocity and exchange are described in an almost identical way by both authors, stating that a donor 'gives' because he/she has 'received.'

Under these broad categorizations additional relationships can be established with emergent themes found in this study. For example the affinity for music and arts, and the global and personal motives from this study are closely related to Andreoni's warm glow effect; while exchange and give back, are related to Mann's reciprocity. In that regard, the emergent themes found in this study resonate with the broad categories found in the existing literature, but they represent a new categorization that is more appropriate for major music donors.

In more specific categorizations, Frantzreb (1997) suggest six kinds of motivation for philanthropy: "the desire to express faith; to express love for one's fellow man; to perpetuate the American dream; to help secure of assure; to help build; and to invest" (p. 69). Although not all of his categories are related to the ones found in this study, the first two resonate with answers given by this study's major music donors: giving as expression of faith was stated as Kingdom building (Case ID 1004); and the expression of love for others was described as a responsibility to give to the community so that others can benefit through education (Case ID 2003). Frantzreb's third motivator, the perpetuation of the American dream, was not found as described by the author, but there

were several donors who expressed their desire to contribute to the perpetuation of the arts and/or a specific music discipline/genre (Case IDs 1003, 2004, 2006).

Cascione (2003) found that an important donor motivator is the donor's relationship with the institution he/she supports. This motivator is related to King's (2005) findings in terms of donor affinity and "relational affinity" for the institution. Although I did find cases of affinity to the institution in this study, this motivator was not prominent. And contrary to both authors, I found that the relationship of a major music donor with the institution is not the cause but the result of his/her giving.

The Seven Faces of Philanthropy by Prince and File (1994) provides a framework for identifying major donors based on a various types of donor motivation. The authors describe seven donor types, four of which can be applied to the major music donors interviewed for this study (the Communitarian, who gives because doing good makes sense; the Devout, for whom giving is rooted in faith; the Altruist, who feels right about doing good; and the Repayer, who does good in return).

As I stated on Chapter 2 (p. 32), based on the categorizations by Prince and File (1994), Frantzreb (1997), and Mann (2007), I originally expected to find two main motivators or reasons why major music donors give: a) an unselfish care or concert for others through the appreciation of music and arts (a mix of "altruist" and "communitarian" in Prince and File's categorization); and b) a relationship with the institution they support or affinity for its mission ("repayer" and/or "communitarian"). The findings of this study support my first expected motivator, as all interviewees showed a high level of care and interest in the well-being of others, and a true passion for

music and arts. My second expected motivator proved to be unimportant to the major music donors.

In terms of fundraising processes and strategies, Smith (1977) designed a continuum, which he called “Five I’s of Fund-Raising,” to describe the process of major gift fundraising. According to him, it happens through identification, information, interest, involvement, and investment (Dunlop 1986, p.325):

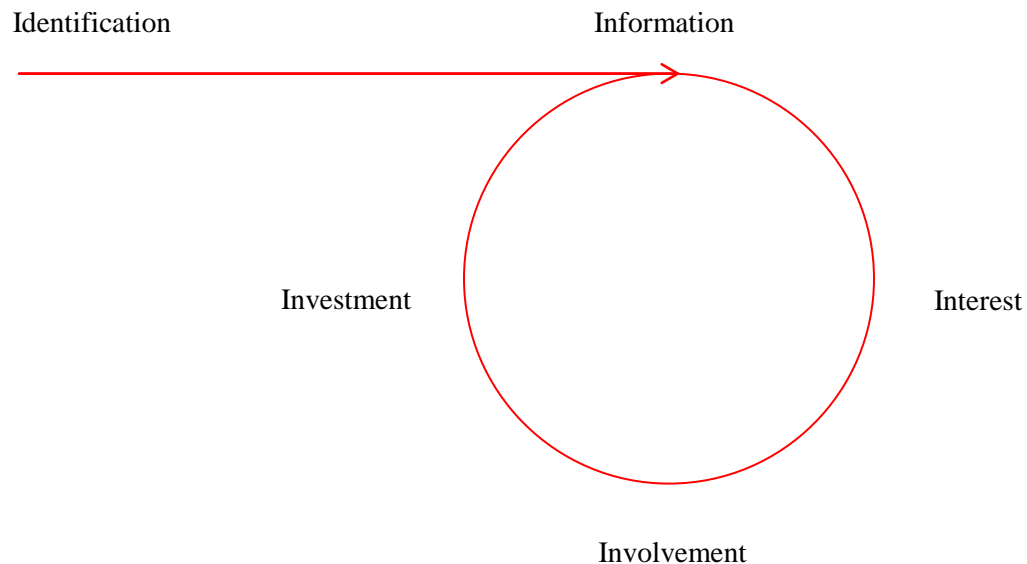


Figure 2. Smith’s “Five I’s of Fund Raising”

Smith adds:

Once the potential donor has been identified, the other four steps comprise a cycle of obtaining additional information on the donor, furthering his or her interest, encouraging a meaningful involvement and, ultimately, receiving and added financial investment (p.146).

Dunlop (1986) took Smith's continuum and evolved it stating that prospective major donors go through five stages when considering giving: awareness, knowledge and understanding, caring, involvement, and commitment (p. 323). According to the author, knowledge and understanding may be the second or third stage. However, Dunlop also states that awareness of the institution must come first, and a level of caring for the institution must exist or develop immediately after. Dunlop lists personality, values, experience, interests, proximity, relevance, timing and friendships among the many factors that make an individual care for the institution (p. 324). The author writes:

An examination of these individuals' [major donors] histories will reveal some stages that are common to all. Major gift givers are likely to have had experiences that caused them to become aware of the institution, to develop knowledge of it, and through increasing concern and caring involvement, to become committed to it (p.323).

The findings derived from the data collected for this study suggest that different than what Dunlop (1986) or Smith (1977) state, caring seems to be the first stage for major music donors. Most of the interviewees expressed care (manifested through strong values and interest) for music and arts prior to even be aware of the existence of the participating schools of music. One of the alumni donors, for example, stated that even when she earned a degree from Millichap University, she did not know the university had a school of music (Case ID 1005). It has been the care for music and arts that has typically led most of the major music donors to be aware of the participating schools of music, and from that awareness, to their involvement and financial commitment with the institution. In that process, they gained knowledge and developed relationships with members of the administration. In that regard, the major music donors do not seem to follow the "traditional" ways of thinking about major donor behavior as stated by Smith

(1977) and Dunlop (1986). This is not to say that *all* major donors follow Dunlop or Smith's stages, but to assert that *most* major music donors don't. Using this study's findings major music donors' behavior would look would look very different than Smith's continuum of major gift fundraising:

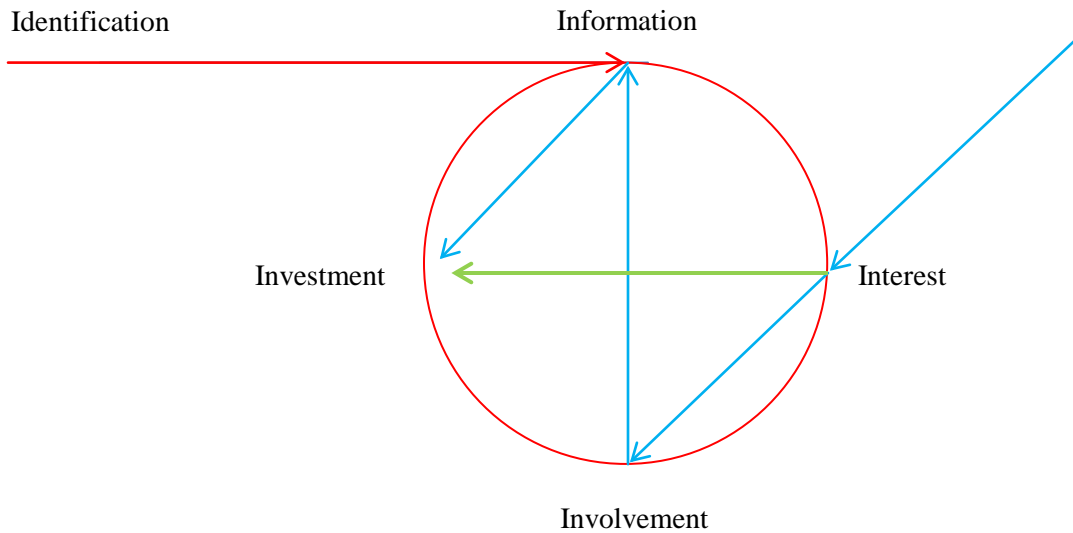


Figure 3. Major music donor behavior based on Smith's continuum.

The findings of this study show that the music major donors' interest in music programs is triggered, in some instances it leads to involvement with the school of music, gaining knowledge about the institution and making a financial commitment to it. But in other instances, once their interest has been triggered it has been the donors who have looked for DODs and/or faculty members to offer their financial support. This was the case for alumni and non-alumni to the participating institutions. In the Case ID 2004, the donor's interest in the school of music was triggered after being a supporter of the university's general fund for quite some time, but after learning about the music programs he directed all his giving to the school of music. The music major donor giving

behavior shows that those major donors who support music higher education does not conform to the commonly known giving decision patterns found in the literature on major donors and have different motivators than donors to other fields.

The existing literature provides vast information on major donor categorization, major donor behavior, and processes for major gift fundraising.

The Study and its Implications for Practice

The knowledge that resulted from this research provides development officers at schools of music in institutions of higher education, a new light of understanding of their current and prospective major donors. The findings of this study asserted the notion that most major donors to schools of music at public universities are not music alumni and are not necessarily involved professionally in the arts. However, these findings also show that a strong affinity, interest, or passion for music and arts, are the common factor among all major music donors.

This study shows that a formal “ask” has not played an important role in soliciting major donors to the participating schools of music as one would expect or as it may happen in schools and colleges in other fields. From the data collected I can infer three immediate implications for practice: for Prospect Research Analysts, these findings represent the challenge of finding individuals that value higher education, with financial capability to give at a major level *and* that have a strong affinity for music and arts (the last two characteristics expected among patrons or ticket holders to large metropolitan

arts organizations). This task is extremely challenging but not impossible. As stated by one of the consultants for this study (a Prospective Donor Research Analyst), there are a few ways to do arts/music-specific research on prospective donors, but it is more time consuming than it would be to just search through an alumni database. For DODs at schools of music, a thorough assessment of their current solicitation strategies to major donors, as there might be a need for a more proactive approach that includes an increase of “asks” among their current mid-level donors. For Marketing and Public Relations Specialists in Institutional Advancement, maintaining a strong presence of the institution in the community through the promotion of the school of music’s events. Additional implications for DODs may include finding new cultivation strategies of individuals with a “major” giving capability that might be foreign to the institution, maintaining and increasing the prospective donor pool, and implementing strong personalized stewardship strategies for current donors, maintaining an accurate alumni database, and in some instances, include project-based fundraising to increase awareness of the institution.

In the previous section I introduced Smith (1977) and Dunlop’s (1986) continuums of the process of major gift fundraising. Both map the usual and most traditional ways prospective major donors are identified and eventually commit financially to an institution of higher education. The results of this study confirm that major music donors behave differently. This is valuable information for DODs for music and arts higher education, as they must trace and implement strategic plans for the donor cultivation and solicitation.

At the time of my campus visits to the participating universities and schools of music, their development offices were undergoing changes in their structure and/or staffing. None of these changes come as a surprise, as state funding for higher education and for the arts continues to decrease (Kelderman, 2012).

Millichap University is in the process of expanding all of its developmental enterprises and began implementing a “three-year staffing plan” to support all advancement initiatives. For their school of music, these changes implied the merge (and the expansion) of the development offices for the university’s art-oriented schools and colleges into one, as well as a search for a Major Gifts Officer and a Director of Alumni Relations for the newly created Development Office for the Arts.

Moss University is also in the process of restructuring. With the potential move of the school of music to a different campus, the need for increasing private giving is imminent. This will eventually imply more “asks.” The school of music was also expanding its fundraising and adding new full-time positions to support their Development Office, especially in the area of alumni relations. Moss University is expected to start the quiet phase of a capital campaign in the upcoming months.

There is no doubt that fundraising and private giving for higher education and for the arts are becoming urgent needs that could make a difference in the survival of some music and arts programs and organizations, as the state spending on higher education has decreased over the last few years. For the 2012 fiscal year alone (that is without counting the cuts suffered annually in the last four years), it has averaged between 7% and 14% at the states where the participating institutions are located (Kelderman, 2012). It is hoped

that the results of this study will benefit development officers in improving the relationships with their major donors in order to achieve greater effectiveness in their fundraising efforts and increases in their alumni participation and private giving.

Recommendations for Future Study

Fundraising and development are fairly “new” fields and as such, there are many learning and research opportunities. This study on major donors to schools of music, uncovers some areas that can benefit from further research. One of them is the applicability of its findings and conclusions to institutions of higher education that differ in nature, mission, and general characteristics to this study’s participating institutions. For example, the schools of music selected for this study, are part of large, public, doctoral, research universities located in metropolitan areas that have at least three major local arts organizations. Another study might look at the motivators of major donors to music programs at faith based, secular, or private institutions. The results of this study may also be different when studying institutions that offer music training at the post-secondary level that are not part of colleges or universities and that would differ in the mission and nature of their curricula, as would be the case of some conservatories, institutes, or academies of music.

One area that remains unexplored for major music donors is the origin of the relationship donor-institution prior to the initial major gift. The data suggests that most of the major music donors are non-alumni and have been the ones who initiated their

relationship with the institution. In a few cases, however, the interviewees were mid-level donors or served in leadership or service positions at the university prior to becoming “major donors” and allocating their giving exclusively to the schools of music. With these results, Prospective Research Analysts may question how to effectively find potential major music donors. Those findings could benefit development officers in music schools in the cultivation and solicitation of major gifts. As this study shows, any professional with financial stability could potentially become a major donor to music programs, and further research is needed to find effective ways to engage them in the life of the institution in anticipation of their potential giving commitment.

This study also explored the giving motivators of major donors to music programs. A study that seeks to further knowledge on the giving motivators to fields in higher education other than music and arts could provide a more in-depth insight into the reasons why non-alumni major donors give to particular schools and colleges. Further exploration on major donor motivators may suggest other types of differences on the relationship donor-institution as the ones found in this study compared to King (2005) or Cascione’s (2003) findings.

This study did not consider gender and race as factors in the selection process of potential participants. An important area that can be explored further is the extent to which gender and race are correlated to giving to colleges of music, giving to different music and arts disciplines within a college’s music programs, or explore if different giving levels to music and arts higher education are affected at all by race or gender.

Conclusion

This study addresses an area of music and arts higher education philanthropy that has not been explored: its major donors. The findings from the study may provide development and fundraising officers in arts higher education with a better understanding of their current and prospective major donors. This understanding could lead to stronger institutional relationships between schools of music and their donors, and the implementation of new strategies for the cultivation and solicitation of prospective major donors to music and arts higher education. With this study, I intended to add to the existing theoretical knowledge on philanthropy and major donors, and to the practice of fundraising in music and arts higher education.

Although the results may have applicability in other fundraising environments outside of higher education, it was my belief in the importance of music, arts, and higher education that instigated this study's inquiry. As stated by one of the participants of the study, "in order to have a wonderful civilization, we need to have good arts" (Case ID 2001), and the solid foundation of good arts has its origins in its cultivation through education and training, much of which is accomplished at the post-secondary level.

The challenges remain as the economic downturn of the last decade continues to affect the survival of arts organizations, and budget cuts at institutions of higher education across the country portend in many cases the elimination of music and art programs. It is the passion of individuals, as exemplified by the participants of this study

that continues to recognize music and arts as the core of our human development and sensibility. As one of the interviewees stated:

“I know how music makes you feel, and that’s something I want to share. The only way we can perpetuate the arts is through the education of our artists and musicians of the future” (Case ID 2004).

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APPENDICES

APPENDIX A

MAJOR DONOR CRITERIA

Millichap University

Donors who contribute a single gift of \$25,000 or more to the university are considered “major donors.” All major donors are members of the Circle Society. Further designations of recognition and acknowledgement within the society exist at different giving levels: Friends (\$2,500 or more); Benefactors (\$5,000 or more); Fellows (\$10,000 or more); President’s Council (\$25,000 or more); Founder’s Club (\$50,000 or more); and Trustee’s Circle (\$100,000 or more). The university also has the Platinum Circle that recognizes the special contributions of alumni, faculty, and friends, who have made planned gifts or named Millichap University in their wills.

For the purpose of this study, the major donor criteria recommended by the College of Music’s Director of Development has been determined as those individuals who contribute \$1,000 or more in one year for three or more consecutive years, or have made a one-time gift of \$5,000 or more. In both cases donors are members of the College of Music’s Dean’s Council.

Moss University

Like other universities, the Moss University defines a major donor, individual or corporation, at the \$25,000 level or above in one single gift.

In the case of the Conservatory of Music and Dance, major donors are those who have contributed one single gift of \$10,000 or more. The Conservatory’s Director of Development stated that many of their major donors have contributed at the \$10,000 level

to endowments, while those who contribute less, typically do so to the Conservatory's Annual Fund.

The College's Gold Society recognizes and honors alumni and friends who have included the university in their estate plans or planned gift arrangements. The members of this society are all considered major donors.

APPENDIX B

Table 2. Emergent Themes

Case ID	Affinity for the College or University	Leadership	The "ask"	Affinity for music and arts	Importance of higher education	Global motives	Personal motives	Give back	Exchange
Millichap University									
1001	x		x	x	x			x	
1002	x		/	x		x	x		
1003				x		x		x	x
1004	x			x	x	x		x	
1005	x	x		x			x	x	
1006				x		x	x		x
Moss University									
2001	x			x	x	x	x		
2002		x		x		x		x	
2003		x	/	x	x	x		x	
2004	x			x	x	x			
2005				x	x		x		
2006				x		x	x		
	6	3	2	12	6	9	6	6	2

APPENDIX C

Table 3. Major donor biographical data

Case ID#	Professional field	University Alumnus	School of Music Alumnus	Board Member (Trustee, Alumni, Board of Visitors)	Gender	Race	Age
Millichap University							
1001	Music Education (retired) / Philanthropy	Y	Y	College Alumni Board	F	W	80
1002	Business	Y	N	N	M	W	67
1003	Arts	Y	N	N	F	W	NA
1004	Medical (retired)	N	N	N	F	W	75
1005	Health (retired)	Y	N	Board of Visitors	F	W	74
1006	Arts/ Business	N	N	N	F	H	NA
Moss University							
2001	Business (retired)/ Philanthropy	N	N	Board of Trustees (former)	M	W	NA
2002		N	N	N	F	W	NA
2003	Finance (retired)	N	N	Board of Trustees (former)	M	W	68
2004	Business (retired)/ Philanthropy	N	N	Board of Trustees (former)/ School of Music Board (former)	M	W	69
2005	Arts (retired)	N	N	School of Music Board	F	W	74
2006	Business (retired)/ Philanthropy	N	N	N	M	NA	74

APPENDIX D

Table 4. Major donor giving data

Case ID#	Total giving	Largest gift	Gift designation	Giving affinity	Support to other music/arts organizations
Millichap University					
1001	\$21,260.00	\$10,000.00	Professorship Chair	Choral Conducting Endowment	Y
1002	\$12,600.00	\$2,500.00	Annual Fund	Opera/ Musical Theater	Y
1003	\$20,000.00	\$2,500.00	Annual Fund	Annual Concert Fund	Y
1004	\$8,661.48	\$8,036.48	Scholarship/ student projects	Opera Program	Y
1005	\$900,625.00*	\$900,000.00*	Scholarship	Opera Program	Y
	\$62,382.20	\$4,000.00			
1006	\$10,770.00	\$1,500.00	Annual Fund	Annual Concert Fund	Y
Moss University					
2001	\$55,000.00	\$10,000.00	Scholarship	Jazz Heritage Scholarship	Y
2002	\$52,727.00	\$4,680.00	Scholarship	Scholarship	Y
2003	\$66,933.00	\$10,000.00	Scholarship	Piano Performance Scholarship	Y
2004	\$50,566.00	\$15,000.00	Scholarship	Scholarship	N
2005	\$64,500.00	\$15,000.00	Scholarship	Music Institute for non-traditional students	Y
2006	\$322,239.00	\$50,000.00	Scholarship	Jazz Scholarship	Y
TOTAL	\$1,627,003.68				

*Testamentary commitment

APPENDIX E

LETTER OF INTRODUCTION FROM THE DEAN

Dear [NAME],

I am pleased to introduce, via this letter, Roger Barascout, who is currently pursuing a doctoral degree in Higher Education Administration at Temple University. His dissertation is titled “Gifts on a high note: a case study of major donors to music programs in higher education,” and I have granted him permission to request an interview with you and other generous supporters of our College. All interviewees will remain anonymous.

Roger’s objective is to identify the motivators, factors, characteristics and conditions that contribute to the decision making process of arts donors. Information gleaned from these interviews with our College friends could prove useful as we move forward in building additional support for our programs. However, this is a dissertation project and it is not related to development efforts by our school.

Thank you for considering this unique educational opportunity. I know you will enjoy meeting Roger, an engaging and thoughtful individual. If you have questions, please contact our director of development, [NAME] (PHONE NUMBER). [NAME] is working directly with Roger and can address any questions you may have.

Sincerely,

[NAME]
Dean

APPENDIX F

LETTER OF INTENTION FROM THE RESEARCHER

Dear [NAME],

With the approval of Dean [NAME], I was granted permission to contact you to participate in a brief interview for a research project I am conducting.

The objective of my study, “Gifts on a high note: a case study of major donors to music programs in higher education” is to identify the motivators, factors, characteristics and conditions that contribute to the decision making process of arts donors. This is a unique opportunity for you to share your valuable perspective about the [INSTITUTION’S NAME] and your relationship with the institution. Please keep in mind that this is a dissertation study and is not related to development efforts by [INSTITUTION’S NAME].

Information gathered in the interview will be held in the strictest confidence, and the anonymity of the interviewees is guaranteed.

I will contact you in the near future to schedule a time for your phone interview that is convenient for you. The interview will last approximately 20 minutes.

Please do not hesitate to contact me if you have any questions. You may also contact [NAME], director of development of [INSTITUTION'S NAME] at [PHONE NUMBER]. In advance of our meeting, I would like to express my gratitude for your participation in this research study.

Sincerely,

Roger Barascout

APPENDIX G

CONSENT FORM

“Gifts on a high note: a case study of major donors to music programs in higher education”

Principal Investigator: Corrinne A. Caldwell, Ph.D.
Student Investigator: Roger Barascout
Department: College of Education, Educational Leadership
And Policy Studies

I am currently engaged in a study of donors to music programs in higher education, and the factors and characteristics impacting how much and when to give to a college of music.

To help me gain further insights into this area I will ask you to participate in an interview lasting approximately 20 minutes, at a time and location of your convenience. A follow up interview may also be scheduled at a time and location convenient to you.

The data recorded will remain anonymous. All documents and information pertaining to this research study will be kept confidential, unless required by applicable federal, state, and local laws and regulations to be disclosed. It is important that you understand that records and data generated by the study may be reviewed by Temple University and its agents, the study sponsor or the sponsor’s agents (if applicable), and/or governmental agencies to assure proper conduct of the study and compliance with regulations. The results of this study may be published. If any data is published, you will not be identified by name. Following the interview, all responses will be transcribed. Any information obtained during this interview that might identify a participant will be kept strictly confidential.

I welcome questions about this study at any time. Your participation in this study is on a voluntary basis, and you may refuse to participate at any time without consequence or prejudice.

If you have any questions about your rights as a research subject, you may contact the Institutional Review Board Coordinator at (215) 707-3390. The IRB Coordinator may also be reached by email: IRB@temple.edu or regular mail:

Institutional Review Board Coordinator
Temple University Research Administration
Student Faculty Conference Center
3340 North Board Street – Suite 304
Philadelphia, PA 19140

Signing your name below indicates that you have read and understand the contents of this Consent Form and that you agree to take part in this study.

Participant's Signature Date

Student Investigator's Signature Date

APPENDIX H

PERMISSION TO AUDIORECORD

Principal Investigator: Corrinne Caldwell, Ph.D.
Student Investigator: Roger Barascout
Department: College of Education, Educational Leadership and
Policy Studies

Project Title: “Gifts on a high note: a case study of major donors to
music programs in higher education”

Subject: _____ Date:

Case ID #:

I give Roger Barascout permission to digitally record our interview. This CD will be used only for the following purpose (s):

RESEARCH

This CD will be used as a part of a research project at Temple University. I have already given written consent for my participation in this research project. At no time will my name be used.

WHEN WILL I BE AUDIORECORDED?

I agree to be digitally recorded during the time period: January 2011 through May 2013.

HOW LONG WILL THE CDs BE USED? WILL THEY BE CONFIDENTIAL?

I give my permission for these CDs to be used from: January 2011 through May 2013.

This audiotape will be stored in a locked file cabinet at the researcher's residence for a period of up to three (3) years after the completion of the study.

All recordings pertaining to this research study will be kept confidential, unless required by applicable federal, state, and local laws and regulations to be disclosed. I understand that records and data generated by the study may be reviewed by Temple University and its agents, the study sponsor or the sponsor's agents (if applicable), and/or governmental agencies to assure proper conduct of the study and compliance with regulations. The results of this study may be published. If any data is published, I will not be identified by name. Following the interview, all responses will be transcribed. Any information obtained during this interview that might identify me as a participant will be kept strictly confidential.

WHAT IF I CHANGE MY MIND?

I understand that I can withdraw my permission at any time. Upon my request, the CD(s) will no longer be used. This will not affect my care or relationship with Roger Barascout or Temple University in any way.

OTHER

I understand that I will not be paid for being digitally recorded or for the use of the CD(s).

FOR FURTHER INFORMATION

If I want more information about the CD(s), or if I have questions or concerns at any time, I can contact:

Principal Investigator: Corrinne A. Caldwell, Ph.D.

Student Investigator: Roger Barascout

Department: College of Education, Educational Leadership and Policy
Studies

Institution: Temple University

Street Address: 1301 Cecil B. Moore Avenue
Ritter Hall, Rm. 246
Philadelphia, PA 19122

This form will be placed in the researcher's records and a copy will be kept by the person(s) named above. A copy will be given to me.

Please print

Subject's Name:

Date:

Address:

Telephone:

Subject's Signature:

Subject cannot sign because:

but consents orally to be digitally recorded under the **conditions described above**.

Witness Signature Date

Witness Signature Date

APPENDIX I

DONOR INTERVIEW PROTOCOL

Temple University

College of Education – Educational Leadership

and Policy Studies

Donor's name:

Case ID#:

Institutional affiliation:

Alumnus: (Y) (N)

If YES: Year of graduation:

Degree:

Most recent gift to the Institution:

Cumulative giving to the Institution:

Largest gift (amount / date) to the Institution:

Gift focus, if any:

Gift officer:

The objective of our conversation is simply to provide you an opportunity to “tell your story,” the story about your relationship with this college, the things that have created and fostered that relationship and the people, events and circumstances that have formed the relationship and the resulting gifts that you have chosen to give to this college. Please feel free to describe those things that are most important to you in your relationship with this college and your giving.

1. Let's start by talking a little bit about your relationship with this college and a little about your life so I can get a sense of what this institution means to you.

2. Has there been a special person at this institution who has really made a difference in your relationship and your interest in giving to the music program?
 - a. Thinking of your most recent major gift, was there someone at this college that asked you for the gift?
 - b. What is your relationship with that person?
 - c. How important was this conversation or event in your decision to make a major gift?

3. Before or after you were asked for the gift, were there factors within the larger environment or community apart from the person asking you for the gift that influenced your decision to contribute to the music program of this institution? Have there been any factors that have influenced your lifelong giving to this college?
 - a. Family members
 - b. Circumstances or characteristics about the music program
 - c. Economic

4. Beyond the person(s) you have mentioned, have there also been particular things at the college or this university that have been of interest to you?
 - a. Student experiences
 - i. Undergraduate
 - ii. Graduate
 - b. Projects
 - c. Activities and Events

- d. Performances
 - e. Programs
5. Has there been any specific event or performance that motivated the relationship you have with this college?
- a. There are many causes, organization and institutions that support education, music and the arts. Were you at any point torn between giving to this college and any other arts organization?
 - b. Was the event/performance that you just talked about what prompted your giving to this institution over any other organization?
 - c. On the opposite side, has there been an event, a conversation or a circumstance that, at the time or after the fact, compromised in any degree your relationship with this college or your giving to it?
6. Are there any people or circumstances that come to mind that may have motivated your gifts to the music program of this institution at any particular time or the amount of your gift(s)?
7. Which do you think was *the most important motivator* in your giving a particular gift to this college?
8. What was it about the case in which you contributed that prompted you to contribute?
9. If we think about [major] gifts, people contribute with different reasons in mind. Thinking about your [major] gift(s) can you tell me, what does a major gift mean to you?

10. As you think about your gift(s), are there characteristics about yourself that, in reflection, could be one of your motivators in your decision of when and how much to contribute?

11. Do you support any other art/music organization(S)?

12. Is there anything that I may have forgotten to ask or did not think of that may have been important to you?

APPENDIX J

DIRECTOR OF DEVELOPMENT INTERVIEW PROTOCOL

Temple University

College of Education – Educational Leadership

and Policy Studies

Interviewee:

Case ID#:

Title:

Institutional affiliation:

Alumnus: (Y) (N)

If YES: Year of graduation:

Degree:

Years at the institution:

Years serving as Development Officer at the School/College of Music:

1. Is there an advancement officer in the School/College/Conservatory assigned primarily or specifically to major donors?
2. What percentage of your tasks and responsibilities are focused on major donors (whether cultivation, solicitation and/or stewardship or major donors)?
3. On a scale of 1-10 (with 10 being the greatest level of engagement), to what degree is your dean/director engaged personally with your initiatives with major donors (and/or engaged personally with your major donors)?

- a. Is a Chief Development Officer (or VP for Institutional Advancement) engaged or involved personally in any way with your initiatives with major donors?
4. If you had to guess, what percentage of the total major donors to your institution are or have been *professionally* involved with the arts in any capacity?
 - a. At what giving level would your college/school/conservatory of music considers an individual a “major donor”?
 - b. Can you briefly describe the general profile of major donors at your institution?
5. From your experience with major donors of your institution, how important is it that the dean/director be involved in making “the ask” for what is expected to be a major gift?
 - a. Does “the ask” fall under your responsibilities or is it typically your dean who does it?
 - b. Is there another Development Officer involved in “the ask” on behalf of the school?
6. In your experience with major donors at your institution, what have you seen to be the most important element of the donor’s relationship with your school/college/conservatory?
7. Are there any institutional relationships that significantly foster major donors’ involvement with your institution?
8. From your experience, how important is it that a major donor be involved with your institution (board member, alum, parent, volunteer)?

9. From your experience, what seems to be the most gratifying aspect of a major donor's relationship with your institution?

10. What projects, activities, programs, performances, and/or people at your institution seem to generate the most interest by your major donors?

11. In your experience with major donors at your school/college/conservatory, what would you suggest to be the *most important factors* that influence a major donor's affirmative response to an "ask" for a major gift?
 - a. And on the contrary, what elements have or have not been present when a major donor responded negatively to an "ask"?

12. Is there anything else you would like to share about your strategies and relationships with major donors?