

EXPLORING INTER-ORGANIZATIONAL RELATIONSHIPS IN HISTORICALLY BLACK
COLLEGES AND UNIVERSITIES: COOPERATION, COORDINATION, AND
COLLABORATION

By

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B.A., Grambling State University, 2004
M.B.A., Kansas State University, 2006

AN ABSTRACT OF A DISSERTATION

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Abstract

Institutional advancement is a constant challenge for leaders at institutions of higher education. The continued threat to historically black college and universities (HBCU) survival, due to the lack of resources they need to operate and compete, is at the forefront of concerns for many HBCU presidents and supporters. Research suggests that to have success in acquiring more resources, universities will need to work with their alumni associations and foundations.

The purpose of this qualitative, multi-case study was to contribute to the limited research on the relationships among HBCU leaders responsible for growing resources. Numerous aspects contribute to increasing alumni giving and this study will contribute to that knowledge. The discussion of inter-organizational relationships and how the processes of cooperation, coordination, and collaboration transpire should be a part of the dialogue. Exploration of these relationships and processes can highlight possible solutions and deficiencies in the success of institutional advancement.

Sites for this study were purposefully selected to examine these inter-organizational relationships. Data included in-depth interviews and related documents and artifacts. Thirty patterns and three themes emerged from the data analysis. The three themes include an understanding that (a) “working together” enacts cooperation, coordination, and collaboration; (b) human capital and organizational structures affect coordination and the ability to reach goals; and (c) the goal for increased resource capacity focuses the efforts of cooperation, coordination, and collaboration.

This study extends the discussion to looking at inter-organizational relationships as another perspective to enhance resources. This investigation also introduces dialogue about alumni association and foundation volunteerism as an important component in developing

effective solutions. The understandings portrayed in the identified themes will help university officials, practitioners, advancement volunteers, and supporters of higher education enhance their institutional advancement strategies and help set forth norms for productive behaviors.

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Approved by:

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Dedication

For the love of an alma mater

Jerome Lee Smith (November 9, 1958- January 30, 2004)
Willie “Boosie” Elmore (August 11, 1938- September 9, 1996)
Robin Lucille Cromwell-Smith
Maxine Elmore

Forever and a day Kedric D’Angelo Elmore

Chapter 1 - Introduction

Background

In the United States there are 4,495 degree-granting institutions (Snyder & Dillow, 2012). Historically Black Colleges and Universities (HBCU) account for 2% of degree-granting institutions with 105 colleges and universities. They are responsible for enrolling “16 percent and graduate approximately 20 percent of all African Americans who attend college” (Gasman, Lundy-Wagner, Ransom, & Bowman, 2010, p. 3).

HBCU were born from over 350 years of inequality and discrimination against Blacks (Gasman, Baez, & Turner, 2008; Gasman et al., 2010; Gasman & Bowman, 2012; Slater, 1994; Williams, Ashley, & Rhea, 2004). During the founding and developmental years of the United States, Blacks were enslaved and not allowed to receive an education (Slater, 1994). Black Americans were at the bottom of the social order, and universities did not show any interest in the development of Black people. “There is no record of colonial commitment to the collegiate education of black students” (Thelin, 2004, p. 30). “Blacks were thought of as intellectually inferior and undeserving of a higher education” (Slater, 1994, p. 47). The white slave owners instilled fear in slaves through such that the slaves’ dependency on their owners was ensured and often left them as outcasts to a society they were forced to serve, build, and develop.

Once slaves were freed and were expected to be citizens, society created institutions for the Black population in hopes to Christianize and educate them (Gasman et al., 2008; Gasman et al., 2010). Organizations and individuals like the American Missionary Association, Freedmen’s Bureau, wealthy White philanthropists, and Black churches utilized their resources to create and start colleges for Black people. Today, HBCU continue to serve as viable options for all students, and they are needed more than ever as the United States works toward increasing its

global ranking (Gasman et al., 2008; Pascarella & Terenzini, 2005; Williams et al., 2004; Willie, Reddick, & Brown, 2006).

Currently, over 300,000 students attend the nation's 105 historically Black colleges...these institutions produce the majority of African American judges, lawyers, doctors, and teachers...leading Black colleges cater to those students who could excel at any top tier institution regardless of racial makeup. (Gasman et al., 2008, p. 22)

According to Gasman et al. (2008), in *Unearthing Promise and Potential*:

President Obama has placed several remarkable challenges before the higher education community and the nation: to offer college education to every qualified student, regardless of income, and to have the highest proportion of students graduating from college in the world by 2020. Meeting these challenges will require the commitment and resources of the nation's HBCU to serve the increased pipeline of students needed to meet the president's goal. (p. ix)

In preparation for expansion, HBCU' capacity will have to increase, which will take time and working together. In the presentation *Meeting President Obama's 2020 College Completion Goal*, President Obama (2011) stated, "America cannot lead in the 21st century unless we have the best educated, most competitive workforce in the world" (as cited in Kanter, Ochoa, Nassif & Chong, 2011, slide 3). During the 2011 National Historically Black Colleges and University Week Conference, executive director, John Wilson (2011), expressed:

To meet this [President Obama's education] goal, our nation needs roughly 8 million more graduates overall... To do our part, HBCU need to generate another 167 thousand graduates above our current base and pace by 2020. That means our annual production must climb from approximately 35.5 thousand graduates to over 54 thousand. That is no small challenge! (Wilson, 2011, para. 1)

With 105 HBCU, the organizational diversity within the categorization of HBCU is important to note. The 105 institutions are public, private, large, small, religious, nonsectarian, selective, and open (Gasman et al., 2010). Acknowledging and recognizing that HBCU are not monolithic, but diverse, this study refers to HBCU as a group based on the historical racial make up and the governmental definition of HBCU: "any historically Black college or university that

was established prior to 1964, whose principal mission was, and is, the education of Black Americans” (Higher Education Act of 1965, 1999, p. 57, sec. 322, para. 2).

Researching issues affecting America’s higher educational institution funding is a top concern. “In the face of rising and a prolonged economic downturn, public colleges and universities are being challenged to increase their source of private support as state funding makes up a decreasing percentage of their budgets” (Worth, 2012, p. iv). Recently, institutions have needed to secure more funding as states reduce educational budgets, the need for more scholarship dollars increases, and the cost of competing for students grows (Huffington Post Education, 2012). “More recently, as state support declined and institutional endowments fell in the economic downturn, the importance of philanthropy has perhaps become even greater to the survival of many institutions” (Drezner, 2011, p. 26). Public and private institutions are finding they have to look more to private, voluntary donations to support their needs (Drezner, 2011; Giving USA, 2010). According to the Council for Aid to Education, voluntary support of higher education reported an average of \$30.3 billion in 2011, and alumni contributions (\$7.8 million) made up 25.7% of voluntary contributions (Kaplan, 2012).

For HBCU, the process of raising funds for their institutions can be challenging. “HBCU leaders say that their most persistent and critical problem is fiscal instability” (Lyons, 2006, para. 1). The executive director of the White House Initiative on Historically Black College and Universities said fundraising is the biggest challenge for HBCU (Gasman & Bowman, 2012). Historically and currently, HBCU receive less funding from governmental entities, the private sector, and alumni (Bowman, 2010; Drezner, 2011; Gasman et al., 2010). Gasman and Drezner (2008) stated, “Despite the wording of the Morrill Act 1862, which called for equitable division

of federal funds, these newly founded institutions received less funding than their White counterparts and thus had inferior facilities” (p. 19).

In relationships between universities and their graduates, alumni associations typically accept the responsibility of developing and strengthening the overall relationships with their alumni. When it comes to raising funds and soliciting resources, alumni foundations accept the responsibility (Arnold, 2003; Webb, 1989; Worth, 2012). The involvement of alumni is seen as important to the current and future sustainability and growth of universities (Drezner, 2011). To understand the importance of alumni participation, efficient and effective strategies must be used and cooperation and coordination between the alumni association and foundation office is key. Advancement research has shown the importance of the two groups working together and how there is a history of challenges in building this partnership (Arnold, 2003; Lingenfelter, 2001; Rowland, 1986). One challenge is the cultivation of alumni; there are differing views as to who should have the sole responsibility of cultivating relationships with alumni. Some practitioners believe it is the responsibility of alumni association; other professionals see it as the responsibility of the foundation, whose development officers will make the official ask for a monetary gift; and some researchers may see it as the responsibility of the president since this role is considered the face of the university. “One might reasonably postulate that the allocation of presidential time has changed because there is increased emphasis upon revenue-generating activities” (Fisher & Koch, 2004, p. 3). The president’s office, alumni association, and foundation are three major entities that have a primary focus on cultivating relationships for the advancement of the institution. “The alumni in America, as in no other land, have helped build the institution of higher learning by their interest, their gifts, and their organized sponsorship of

state appropriations” (Turner, 1947, p. 17). The interactions among these entities can impact the cultivation efforts of the institution.

In *A Guide to Fundraising at Historically Black Colleges and Universities: An All Campus Approach*, Gasman and Bowman (2012) argued that cultivating alumni was the role of the entire campus and that the top leadership should lead the way. “Everyone at the institution must be on the same page” (p. 2). In most organizations, the structural culture that permeates throughout the organization starts with top leadership. Tsui, Zhang, Wang, Xin, and Wu (2006) stated, “through their actions and behaviors [leaders] contribute to the substance of an organization’s culture” (p. 115). Schneider, Goldstein, and Smith (1995) explained that organizational managers and executives “make” the environment (p. 751).

Statement of Problem

Institutions need to work together as a team, especially in the area of institutional advancement. The HBCU university president, chief alumni officer, and chief foundation officer need to have a strong, cooperative, coordinated, and collaborative relationship with each other if they are going to work together. The president, chief alumni officer, and chief foundation officer need to collaborate to compete with other institutions and sustain their organizations. Limited research has focused on the relationships among the university president, chief alumni officer, and chief foundation officer (Arnold, 2003; Roszell, 1981). Even less research has highlighted the relationship of the university president, chief alumni officer, and chief foundation officer at HBCU. Research about HBCU is usually from a historical viewpoint or focuses on fundraising strategies (Cohen, 2006, 2008; Drezner, 2008, 2011; Gasman, 2000, 2001, 2008, 2010; Gasman & Anderson-Thompkins, 2003; Gasman & Bowman, 2012; Gasman & Drezner, 2008, 2009; Reaves, 2006; Robinson, 2012; Stovall, 2004; Webb, 2002).

Purpose of the Study

It is important to acknowledge that a relationship between the alumni association and foundation is an essential topic for the growth and sustainability of institutional advancement. Arnold (2003) contributed to this body of research by focusing her dissertation, *Friend Raisers and Fund Raisers: Alumni Relations and Development in Large, Public Universities*, on factors that contribute to a relationship between the alumni association and development entities in large, public universities. This study will expand the research on university presidents, chief alumni officers, and chief foundation officers at HBCU by exploring inter-organizational relationships for institutional advancement.

Conceptual Framework

A related conceptual framework was designed and adapted from the revised version of Arnold's (2003) framework. Exploring perceptions of HBCU university presidents, chief alumni officers, and chief foundation officers, or their designees, and how they enact inter-organizational relationships is the focus of this study. Guided by Neghandi's (1975) theory of inter-organizational relations, this research highlights the processes of cooperation, coordination, and collaboration.

Research Questions

Over-arching question: In what ways do the university president, chief alumni officer, and chief foundation officer, or their designee, cooperate, coordinate, and collaborate at public historically black colleges and universities?

Sub-questions:

How does the process of cooperation contribute to inter-organizational relations?

How does the process of coordination contribute to inter-organizational relations?

How does the process of collaboration contribute to inter-organizational relations?

Methodology

This qualitative, exploratory study examined the inter-organizational relationships among HBCU university presidents, chief alumni officers, and chief foundation officers, or their designees. Through a multiple case study design, data were collected to explore the phenomenon of the relationships. Yin (1984) defined a case study as “an empirical inquiry that: investigates a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not clearly evident; and in which multiple sources of evidence are used” (p. 23). By implementing purposeful sampling, relationships in HBCU settings were studied and analyzed through qualitative case study methods. Patton (1990) explained, “qualitative methods can be used to discover what is happening and then verify what has been discovered” (p. 60).

Significance of Study

Utilizing the Neghandi’s (1975) inter-organizational relations theory and related developing practitioner strategies, this study contributes to research on how the processes of cooperation, coordination, and collaboration may influence the relationships between a HBCU university president, the chief alumni officer, and chief foundation officers. Highlighting inter-organizational relationships can expand HBCU research beyond a historical perspective and a fundraising focus. By having done so, HBCU leaders and professionals in institutional advancement may now be able to build, develop, and strengthen their organizations, so HBCU can effectively and efficiently serve and garner support from their greatest supporters, alumni. Webb (2002) stated, “a college or university has no greater single resource than its alumni. Higher education institutions cannot buy the support the alumni can provide” (p. 333).

Acknowledging that alumni support is vital to the survival and growth of HBCU, this study emphasizes that attention to inter-organizational relationships among the HBCU university presidents, chief alumni officers, and chief foundation officers is a priority for institutional advancement.

Limitations

This study focused solely on HBCU university presidents, chief alumni officers, and chief foundation officers, or their designees at 4-year public institutions that have distinctly separate alumni associations and foundations. No data were collected on the university's alumni affairs and office of development units. Having only three sites selected, the results of this exploratory study cannot be generalized to all of America's higher education institutions or even to all HBCU. Highlighting only the processes of cooperation, coordination and collaboration limit the scope of the study, but adds to the body of research on inter-organizational relationships among the university president, chief alumni officer, and chief foundation officer. In addition, this study did not purposefully select sites to include the full range of characteristics attributed to HBCU. Furthermore, there was no disaggregation possible based on those characteristics (for example, size of institution.) This study was also based on others' perceptions only and could be limited by the openness and cooperation of the participants.

Organization of Study

The study is organized as follows. Chapter 1 includes an overview of the issues and basic information regarding the study. Chapter 2 provides a review of the literature. Chapter three provides the research methodology. Chapter 4 features three separate sites that include the university, national alumni association and foundation. Chapter 5 includes an analysis of the

data, and Chapter 6 concludes this dissertation and provides recommendations for research and practice.

Definition of Terms

Alumni Association

An organization that strives to build relationships and commitments of alumni by offering services and events that build loyalty and keep alumni informed (Worth, 2012)

Chief Alumni Officer

The highest position in an alumni association or alumni association program/organization (Arnold, 2003)

Chief Foundation Officer

The highest position in a foundation/fundraising program/organization (Arnold, 2003)

Foundation

An institutionally related organization whose primary responsibility is to support the institution in taking the lead on generating, fundraising, receiving, and stewarding resources for the institution (Worth, 2012). The terms fundraising and development are used interchangeably (Worth, 2012).

Independent Alumni Association

A self-governed entity that is organized as a separate 501(c)(3) and operates and reports to a board of directors separately from the campus. The operating budget is financed separately from the university (Arnold, 2003; Marshall, 2009; The Napa Group, 2010)

Interdependent Alumni Association

A self-governed entity that is organized as a separate 501(c)(3), but report to both their board of directors and, to the university. The majority of the operating budget is financed separately, but the university does provide some funding that contributes to the operating budget (Arnold, 2003; Marshall, 2009; The Napa Group, 2010)

Inter-organizational Association

Interactions and processes between organizations, while examining the social interactions among organizations who have no structured authority between each other (Negandhi, 1975).

Intra-organizational Association

Interactions and processes inside a particular organization with an emphasis on formal authority (Negandhi, 1975)

Private HBCU

Educational institutions that receive no compensation, except for wages, rent, or other expenses for the assumption of risk and qualify as a Historically Black Colleges and Universities, which is defined by the Higher Education Act of 1965

Public HBCU

Educational institutions that are primarily supported by public funds and qualify as Historically Black Colleges and Universities, which is defined by the Higher Education Act of 1965 (United Negro College Fund, 2013).

Predominately White Institution (PWI)

Institutions of higher learning in which Whites account for 50% or greater of the student enrollment. (Brown & Dancy, 2010)

Summary

This chapter highlighted the creation of HBCU as a vehicle to educate Blacks during a transitional period of American history. The data derived from this study focusing on inter-organizational relationships among HBCU university presidents, chief alumni officers, and chief foundation officers can contribute to the body of research on the subject. The study can be used to aid HBCU leaders and institutional advancement professionals in providing information on inter-organizational relationships and how focusing on the processes of cooperation, coordination, and collaboration, can assist organizations in their interactions and goals. Chapter two will provide a review of literature and an overview of conceptual frameworks that influenced this study.

Chapter 2 - Review of Literature

Background

From the beginning, HBCU have been educating and promoting students who have benefitted from what they have to offer. The challenges and accomplishments HBCU have experienced are filled with history and promise for the future. As HBCU continue to be an option for educational advancement for all students, they have to make sure to have enough support and resources to provide the services their students need. To accomplish such evolving goals, universities are finding that the entire campus must work together, especially their institutional advancement divisions. This chapter begins with the background of HBCU. The chapter then focuses on the HBCU context of the literature in which the research is grounded. After the context, the exploration of existing research and the conceptual framework are explained, and then the gap in the research is highlighted.

Education Efforts for Blacks

For over 180 years, colleges and universities like Harvard, William and Mary, Yale, Princeton, and Brown helped develop college students into new world leaders; unfortunately, not one student was Black American. Slater (1994) stated, “After the first institution of higher learning in the New World was established in 1636, no [B]lack student received a degree in any shape or form from an American college or university” (p. 47). During the development of colonies, social class systems formed and college systems helped administer the separation of social class groups. “Class distinctions within the colony were sharp.... A main purpose of the college was to identify and ratify a colonial elite. The college was a conservative institution that was essential to transmitting a relatively fixed social order” (Thelin, 2004, p. 25). Black Americans were at the bottom of the social order and universities did not show any interest in the

development of Black people. “There is no record of colonial commitment to the collegiate education of black students” (Thelin, 2004, p. 30). Slater (1994) explained, “blacks were thought of as intellectually inferior and undeserving of a higher education” (p. 47). The Black community struggled with more than 300 years of being denied higher education by America’s predominately White institutions (PWI) (Fisher & Koch, 1996). In 2008, it was documented that 105 HBCU account for 3% of the nation’s educational institutions (Betsey, 2008).

Missionary Groups

“It was the missionary groups that took the first major step toward a system of schools and colleges for blacks ... in 1861, several religious benevolent societies sent missionaries into the South with the goal of uplifting the freed slaves” (Willie & Edmonds, 1978, p. 69). During the Reconstruction period, some missionary groups believed that helping Black Americans integrate into the American society through education was a spiritual responsibility (Thelin, 2004). The American Missionary Association (AMA) was one of the groups that took a lead in helping Black Americans get educated. The AMA “was central to the founding of Hampton Institute, Fisk University, Howard University in Washington, DC, Atlanta Universities and Talledega College in Alabama” (Thelin, 2004, p. 102). Due to AMA’s leadership, thousands of Black students continue to receive an education through these institutions.

Although AMA helped Black Americans educationally, religious challenges, and internal conflict plagued the organization. “The most serious religious conflict occurred over the style of worship favored by the former slaves ... this led to a system of separate religious worship before the end of the Reconstruction, a pattern that persists today” (Browning & Williams, 1978, p. 71). AMA was experiencing internal conflict “over how to treat the former slaves while preparing them for new roles as full-fledged American citizens” (Browning & Williams, 1978, p. 70).

Complaints of misuse of authority by their leaders and the lack of support they received from their colleagues in the North caused turmoil among the religious members (Browning & Williams, 1978). The internal disagreements led to open fighting and eventually ended the role of AMA in supporting a system of schools and colleges for Blacks.

Freedman's Bureau

In March 1865, the United States Congress established the Freedman's Bureau (Bureau) as an agency that had an overarching goal of helping "move newly freed African Americans toward self-sufficiency" (Williams et al., 2004, p. 48). The Freedman's Bureau operated as a small government within the United States government system. "At various times the bureau distributed food and clothing, made laws and executed them, set and collected taxes, punished crime, and even maintained and used military force" (Williams et al., 2004, p. 48). In addition, the Bureau "distributed money to HBCU for the construction of buildings, classrooms furnishings, maintenance, and repairs, and textbook purchases" (Williams et al., 2004, p. 48). The impact the Bureau had on the establishment of Black colleges was great; "all black colleges established between 1865 and 1872 either were founded by or received aid from the Freedman's Bureau" (Williams et al., 2004, p. 49). However, the Bureau was not successful in avoiding unethical practices while serving the newly freed Black Americans. The Bureau ended its operations in 1872 after being accused of "gross mismanagement and corruption" (Williams et al., 2004, p. 48). The schools and colleges under the Bureau's control then became the responsibility of the states in which the schools were located.

Black Churches

"Although their contribution has often been overlooked, black churches and community associations were deeply committed to the founding and funding of their own local colleges"

(Thelin, 2004, p.102). Black churches are the pillars in the Black community and have founded, supported, and financially contributed to the development and survival of schools and HBCU (Higginbotham, 1993). “By 1900 Baptist bodies were supporting some 980 schools ... the A.M.E [African Methodist Episcopal] church raised over \$1,000,000 for educational purposes between 1884-1900” (Jones, 1982, p. 404). Black churches continue to serve as role models to HBCU when it comes to community support and Black philanthropy.

White Philanthropists

The history of White philanthropists giving to black colleges is divided between two major arguments. “Some researchers see these business moguls’ support of Black American education as benevolent. Revisionist scholars, on the other hand, view the philanthropists’ efforts as part of a self-serving scheme to control the labor market in the South” (Gasman & Drezner, 2009, p. 468). Presidents of HBCU like Booker T. Washington and Mary McLeod Bethune raised much of their institutional funding from White philanthropists. “Bethune chose the resort mecca of Daytona Beach, winter home to Northern millionaires, in part because it offered better financial prospects” (McCluskey & Smith, 2002, p. 67). Throughout the philanthropic history of Black colleges there has been unequal or inconsistent support among white philanthropic groups.

HBCU Context

HBCU Accomplishments, Contributions, and Challenges

HBCU are institutions that are a “diverse group, including public and private, four-year and two-year institutions, co-educational and single sex institutions, research universities, and professional schools” (Betsey, 2008, p. 1). The organizational diversity within the categorization of HBCU shows that “Black colleges are not monolithic” (Garibaldi, 1984, p. 6).

Acknowledging and recognizing that HBCU are not monolithic, but diverse, this study refers to HBCU as a group based on the historical racial make up and the governmental definition of HBCU: “any historically Black college or university that was established prior to 1964, whose principal mission was, and is, the education of Black Americans” (Higher Education Act of 1965, 1999 p. 57, sec 322, para. 2).

According to Betsey (2008), HBCU graduate about one-quarter of Blacks who receive college degrees in the United States. “Most of these historical black institutions were established after the Civil War” (Garibaldi, 1984, p. 3). “These black institutions were established not only to educate black students, but also to cull from their number potential leaders” (Garibaldi, 1984, p. 18). According to W.E.B. Dubois (as cited in Garibaldi, 1984) of *The Talented Tenth*:

He is as he ought to be, the group leader, the man who sets the ideals of the community where he lives, directs its thoughts, and heads its social movements. It need hardly be argued that the Negro people need social leadership more than most groups; that they have no traditions to fall back upon, no long-established customs, no strong family ties, no well-defined social classes. All these things must be slowly and painfully evolved. (p. 19)

For more than 100 years, alumni of HBCU have contributed to the overall development and progression of the United States. HBCU took an oppressed and uneducated population and provided educational services and support to it. “Over the years, these institutions have produced the vast majority of black professionals and those who the black community and society in general have acknowledged as ‘black leaders’” (Garibaldi, 1984, p. 14). In a racially segregated country, “black colleges motivated students, faced with segregation and discrimination to achieve regardless of the barriers they confronted” (Garibaldi, 1984, p. 14). Because of the creation and support of HBCU, six of the nine historical black sororities and fraternities were founded on HBCU campuses, and medical treatment for breast cancer and schizophrenia has occurred on HBCU campuses (HBCU Digest, 2010). “Black colleges have

graduated 75 percent of all black PhDs, 75 percent of all black army officers, 80 percent of all black federal judges and 85 percent of all black doctors” (Garibaldi, 1984, p. 17). Black colleges not only produced successful Black Americans, but also created a new style of pageantry and showmanship that is exhibited by Black college bands. “By the late 1970s several HBCU bands had toured the world . . . music and dance have traditionally been used by African Americans to uniquely express their creativity” (Williams et al., 2004, p. 126). Although HBCU were not the first to graduate a Black collegiate, these institutions were developed and became the gateway for thousands of Black students (Slater, 1994).

Brown v. Board of Education

Before the iconic 1954 Supreme Court case of *Oliver L. Brown et al. v. the Topeka (KS) Board of Education*, over 80,000 Black teachers were educating 2 million Black children (Tillman, 2004). Since the court ruled “separate but equal” as unconstitutional, the Black community experienced great milestones along with a variety of challenges. Due to the ruling, schools were no longer able to discriminate and keep Black students out. Some challenges the Black community faced included having over 59,000 Black educators and administrators fired and the decrease in students majoring in education by over 60%. Today, HBCU are losing some of their student enrollments to PWIs. “In the year 2000-2001, more than 1.7 million African American students were pursuing a college education. . . four-year PWIs accounted for about 760,000 African American students. . . about 230,000 African American students are enrolled in HBCU” (Harvey, Harvey, & King, 2004, p. 330). HBCU, once the only option for Black students, are now expected to compete with PWIs and other educational institutions. HBCU often have challenges with poorer facilities and budget and lack of adequate libraries and scientific research equipment (U.S. Department of Education, 1991).

The Need for HBCU

Some critics have harshly criticized and questioned the need for, and quality of, HBCU (Jencks & Riesman, 1967; Riley, 2010; Willie & Edmonds, 1978). The critics have attacked the quality of education provided by HBCU. “Black colleges are inferior to traditional schools in preparing student for post college life” (Riley, 2010, para. 8). In response to the misinformed, and sometimes discriminatory comments, scholars like Gasman (2010), Drenzer (2008), (Brown & Davis, 2001) have written articles and books that provide empirical and contextual information about the success and contributions that HBCU make. Gasman (2010) stated:

Some HBCU are struggling, but there are HWIs that show the same deficiencies. Making sweeping generalizations about HBCU does an enormous disservice to these institutions, their faculty, and their graduates. Critics should look at HBCU production of Black scientists, doctors, pharmacists, teachers, and engineers. Large numbers of these professionals earned and continue to earn their undergraduate or professional degrees at HBCU. These institutions offer a needed and necessary choice to students in our diverse system of higher education. (para. 5)

By highlighting social capital, HBCU have created a space for Blacks to participate and gain access to all levels of the American hierarchy, which at one point, was off limits. Black colleges have been able to gain social capital because of the improved lifestyles to which their alumni have been privy. “Black colleges have produced a ‘privileged class’ of African Americans who use their college and community ties to that lead to differential advantages in the post college marketplace” (Brown & Davis, 2001, p. 42).

In addition to scholars, HBCU supporters are using their social capital and influence to defend the need for HBCU to exist. President Carter created Executive Order 12232 in 1980 “to overcome the effects of discriminatory treatment and to strengthen and expand the capacity of historically Black colleges and universities” (The White House, 2010, para. 1). The HBCU

Executive Order has continued to evolve through the Reagan, Bush, and Obama administrations.

President Obama's Executive Order 13532 stated:

Historically black college and universities (HBCU) have made historic and on going contributions to the general welfare and prosperity of our country...improving the ability of HBCU to remain fiscally secure institutions of having the highest proportion of college graduates by 2020. (The White House, 2010, para. 2)

HBCU Support

HBCU will have to strengthen their positions and strategic plans in the higher education market. Doing so will give them strong fiscal stability, put them in a position to be more competitive in enrolling and graduating students, and help attract more faculty and professional staff (Gasman et al., 2010). With the recent 2006-2012 economic downturn, educational institutions have been subject to budget cuts and forced to find other sources to support their institutions. HBCU have not been immune to the budget restraints. "The recession's impact on American education has not yet dissipated, as more than half of states are slashing their education budgets this year (Huffington Post Education, 2012, para. 1).

Operating on already meager funds, some HBCU are surviving on even smaller budgets and some HBCU are experiencing additional struggles, for example, losing students to for-profit institutions (Hing, 2012). In 2010, *Diverse Issues of Higher Education* reported that the University of Phoenix online campus was the nation's top producer of bachelor's degree for Black students (Diverse Issues of Higher Education, 2010). Louisiana and Mississippi HBCU were fighting against the state leadership merging of their institutions with PWIs.

A controversial proposal to merge the historically black Southern University of New Orleans died on Wednesday when the bill's author and Louisiana Gov. Jindal determined that they lacked the votes to get it approved... opponents, including many students and faculty members at Southern University, voiced their concerns in rallies and in the courts. (Mangan, 2011, para. 1, 13)

Another struggle with which HBCU contend are low alumni participation rates. “Historically or predominately African American institutions reporting alumni participation that 10 percent or fewer of the alumni donated funds” (Drezner, 2011, p. 34). With most HBCU, especially public ones that have a history of receiving funding from outside organizations, efforts to cultivate alumni are not a focus. In *Capital Campaigns*, Yates (2001) reported that in 1999, alumni participation at private liberal arts colleges was 32%, compared with 18.8% at public institutions. Alumni participation was 12.2% at black colleges in 2004.

Experiencing the lack of alumni participation, HBCU leadership and other supporters are attributing the bulk of their challenges to limited alumni participation, especially in the area of giving. With titles like *HBCU Alumni Fail to Donate* (Silas, 2007) and *Wooing Minority Alumni* (Nicklin, 1994), articles have shown that a major reason why HBCU are struggling financially is the lack of financial backing from their alumni. In the article *Black Colleges See a Need to Improve Their Image* (Kelderman, 2010), Kelderman quoted the president of Wiley College Haywood Strickland stating, “board members pray a lot...but don’t give money” (para. 16).

Existing Research

Inter-Organizational Leadership of Organizations

As HBCU are looking to increase their alumni participation, their leaders will have to analyze their institutional advancement strategies as well as work on developing and strengthening them. According to the Council for Advancement and Support of Education (CASE):

Advancement is a strategic integrated method of managing relationships to increase understanding and support among an educational institution’s key constituents including alumni and friends, government policy makers, the media, members of the community and philanthropic entities of all types. The primary core disciplines of educational advancement are alumni association, communications, marketing, and fundraising. (Council for Advancement and Support of Education, 2013a, para. 1, 2)

Alumni Associations

The first chartered alumni association was founded in 1821 by alumni from Williams College (Reichley, 1977; Rowland, 1986). “Williams alumni approved the newly composed preamble and bylaws of the Society of Alumni, thereby forming the first alumni society anywhere” (William College Special Archives and Special Collections, 2013, para. 1). Shortly after, institutions like Princeton, Amherst, and Brown alumni formed associations (Cohen, 2008). In relation to HBCU, Black colleges were established and their graduates began organizing around their alma maters not long after the emancipation of slaves (Cohen, 2008). Although alumni were organizing around the nation, it was not until the late 19th century that going to college became popular, and those who attended college had a sense of connectedness and pride for their alma mater, as exemplified in the following statements:

- “At the end of the nineteenth century was that college-going became fashionable and prestigious” (Thelin, 2004, p.156).
- “This brand of loyalty to one’s own campus prompted students to create distinguishing institutional symbols” (Thelin, 2004, p.158).
- “Students and recent graduates wrote alma maters and college hymns” (Thelin, 2004, p.160).

The birth of alumni associations came about when alumni needed to rally together to voice their opinions and concerns about situations occurring on their campuses. Concerned for the college’s welfare and faced with the threat that declining enrollment posed to the continued existence of the college, Emory Washburn (1817) and Daniel Noble (1796) were motivated to act. Washburn published notices in regional newspapers, calling upon all graduates of the college to meet for the purpose of forming a society dedicated to the support, protection, and

improvement of Williams College. “Two weeks later, 23 percent of the living alumni attended the meeting” (William College Special Archives and Special Collections, 2013, para. 2).

At Lincoln University in Pennsylvania, the alumni association formed in 1869, and they organized to “cooperate with the Trustees and Faculty in advancing all of the University... increasing the number of students...and perpetuate the ties which bind the Alumni to each other and to the Alma Mater” (Bond, 1976, p. 331). Some alumni associations provided financial support to their alma maters. At Lincoln University in Missouri, alumni “were active in funding scholarships, oftentimes substantial enough to cover a students’ tuition and board” (Cohen, 2008, p. 27). As alumni associations expanded and bolstered their voices to the leaders of their alma mater, America’s colleges began to sponsor activities that appealed to alumni. “Autumn football games, especially ‘homecoming’ brought together undergraduates and alumni. As alumni associations grew, colleges started to sponsor elaborate reunion parades during commencement week” (Thelin, 2004, p. 161). Alumni associations today are dealing with “a challenging economy. The rise of social media. The internationalization of education” (Council for Advancement and Support of Education, 2011, para. 1). As institutions observe the available resources for alumni cultivation, a true understanding of what the purpose of the alumni office should be is important. “The alumni office exists for two primary reasons: to provide diverse and quality programming for alumni, and to provide opportunities for alumni to engage in a lifetime of service to their alma mater” (Shubert, 2002, p. 332). The programming that occurs within an alumni association provides a diversity of ways to interact and communication with alumni. “The savvy institution develops a range of attractive options to entice alumni to extend the conversation they began as prospective students” (Covington, 1997, p. 107).

As the higher education system continues evolving and budget cuts continue forcing universities to get creative with funding sources, alumni associations are realizing they too must evolve. Some alumni associations have decided to decentralize their alumni association efforts. “Many larger institutions are decentralizing alumni operations...other associations are looking to change strategies to be successful in this ‘new world’...generational dynamics, shifting affinities and social networks have all impacted the field” (Council for Advancement and Support of Education, 2012, para. 1). Some associations are looking at creating synergy with their university partners to help with resources and branding for alumni. “A strong relationship between advancement offices conserves resources. It leads to a more efficient workforce. It portrays a highly unified message to stakeholders, including donors, alumni, local officials, and opinion leaders” (DiConsiglio, 2011, para. 6).

Foundations

The history of raising money for America’s colleges and universities has always been an important component to the development and sustainability of these institutions (Curti & Nash, 1965; Worth & Asp, 1994). One of the initial fund-raising efforts of an American college occurred in 1641 when William Hibbens, Hugh Peter, and Thomas Weld set sail from Boston to London on a mission to solicit gifts for young Harvard College (Curti & Nash, 1965; Fisher & Quehl, 1989; Worth & Asp, 1994). In Weld and Dunster’s *New England’s First Fruits (1643)*, considered to be the first educational fundraising document, the authors showcased the early developments of fundraising and the need for educational support. In 1919, John Price Jones was reported to be the first to administer the first full-fledged organized campaign that asked “regular” alumni for their support (Curti & Nash, 1965). In addition to traveling overseas to solicit funding, fundraising consisted of passing collection plates at church, selling dinners, and

writing “begging letters” to potential donors (Curti & Nash, 1965; Worth & Asp, 1994). As colonial colleges participated in raising funds for their colleges, the alumni association played a key role in progressing the fundraising agenda by organizing an annual alumni fund (Curti & Nash, 1965; Worth & Asp, 1994). “The organized effort to institutionalize philanthropic support began in 1890 when a few Yale graduates established the Alumni fund. In the first solicitation 385 alumni gave...by 1910 8,000 Yale men were giving” (Curti & Nash, 1965, p. 201).

For Black colleges, the need to fundraise was and still is essential to the survival of their institutions. After the Civil War, organizations like American Missionary Association, Freedman’s Bureau, and Black churches, raised money to provide education for the newly freed slaves (Curti & Nash, 1965; Gasman, 2007). “With the end of the war the daunting task of providing education to more than four million formerly enslaved people shouldered by both the federal government (through the Freedmen’s Bureau) and many northern church missionary associations” (Gasman, 2007, p.11). Because of the stark segregation in the South, the money raised was mainly from philanthropists who lived in the North that chose to support the Black institutions in the South (Curti & Nash, 1965). When the AMA and Freedman’s Bureau ran their course and the Black churches maxed out their ability to support additional institutions, Black college presidents had to find other ways to support their institutions. Fisk University in Nashville, Tennessee took their talented student group, Fisk Jubilee Singers, on the road to raised funds. “A typical program of the Fisk Jubilee Singers mixed Negro spirituals with speeches concerning the work of the university” (Curti & Nash, 1965, p. 171). Hampton University was fortunate to have Samuel Chapman Armstrong, an expert fundraiser, as its president. In the beginning of Armstrong’s presidency, the institute was plagued by a chronic shortage of funds.

To raise money for his university, Armstrong repeatedly toured the North, making as many as three speeches a day (Curti & Nash, 1965).

The art and science of fundraising soon advanced with the creation of “development.” Coined by Northwestern University in the 1920s, “development” focused on indefinite solicitation instead of short-term commitments to ensure the future support of the institution (Worth, 1993). “The term ‘development’ is used interchangeably with ‘fundraising’” (Worth, 1993, p. 5). Most foundations were established after 1960, but there were a few established before 1930 (Reilley, 1980; Smith, 1997; Swanson, 1981). According to Worth (1993):

Foundations were started ...to raise and manage private funds and to enlist and nurture volunteers in support of the institution’s mission... It must then work to raise money effectively by supervising access to prospects, managing volunteers, supporting donors’ rights, and providing sufficient funding for the development effort. (p. 329)

Some universities operated with a foundation office or department that was affiliated with, yet legally separate from, the university due to state legislated restrictions (Arnold, 2003). Some foundations “may function as a bank---receiving and managing funds, but having no active role in actually raising money” (Hedgepeth, 1993, p. 326). Development for universities is typically the lifeline for educational institutions. “For all institutions, competing successfully for private support provides the money to ensure institutional growth and strength” (Duronion & Loession, 1991, p. 1). “For some institutions, doing well in this [private donations] competition is no less than a matter of survival” (Drezner, 2011, p. 25). To assist and support institutions with their advancement strategies and techniques, various outside organizations came into existence, some of whose missions are to assist institutions with strategizing and acquiring resources are CASE, United Negro College Fund (UNCF), and Thurgood Marshall College Fund (TMCF).

CASE is a professional association serving educational institutions and advancement professionals working in alumni association, communication, development, and marketing departments. Founded in 1974, CASE is the result of a merger between the American Alumni Council, founded in 1913, and American College Public Association, established in 1917, (*Handbook of institutional advancement: A practical guide to college and university association, fund raising, alumni association, government association, publications, and executive management for continued advancement*], 1977). “CASE helps its members build stronger relationships with their alumni and donors, raise funds for campus projects, produce recruitment materials, market their institutions to prospective students, diversifying the profession, and foster public support of education” (Council for Advancement and Support of Education, 2013b, para. 1).

The creation of UNCF is credited to Frederick Patterson, Tuskegee University president. In 1944, Patterson understood all too well the struggle of finding funding for the survival of his institution. “Unbeknownst to him [Frederick Patterson] when he took the job, Tuskegee was running a deficit of \$50,000 a year” (Gasman, 2007, p. 15). Weighed down by financial frustrations, Patterson reached out to other Black college presidents to find out if they were experiencing the same problem (Gasman, 2007). “Patterson realized that black college presidents were competing for the same small pool of funds, everyone was soliciting the same organizations and the same donors” (Gasman, 2007, p. 19). Patterson and other Black college presidents were experiencing the shift in the gifting focus of major philanthropists (Gasman, 2007). To provide a solution to the rising financial struggles, Patterson created the United Negro College Fund (UNCF).

The coming together of the private Black colleges out of concern for our needs; the fact that we are not going to get the amount of money we have been receiving from our

former sources; and the innovative fundraising practices of other organizations all of these factors contributed to their formation of the UNCF. (Gasman, 2007, p. 22)

In 1987, Dr. N. Joyce Payne along with the Miller Brewing Company, Sony Music, the National Basketball Association, Reebok, and the American Association for State Colleges and Universities, started the Thurgood Marshall College Fund. TMCF was created for public Historically Black Colleges and Universities, medical schools, and law schools. On the TMCF website, the fund is cited as the only national organization to provide scholarships, programmatic, and capacity-building support to the 47 public Historically Black Colleges and Universities (HBCU). TMCF has awarded more than \$200 million in assistance to its students and member-schools for their member organizations (Thurgood Marshall College Fund, 2013).

Today, America's institutions of higher education are experiencing a continuous decline in state support as well as a change in the nation's philosophy on supporting higher education.

According to Worth (2012):

Beginning in the mid-19th century it came to be viewed as public good, like K-12 education, roads and parks--of benefit to all people and thus worthy of public funding. The public investment in college and universities was justified by the benefits of an educated population to all of society, including the potential impact on the economic development of states. The justification still exists, but now many people, including some state legislators, tend to regard higher education more as a private good... Those who view higher education in this way [private good] can conclude that the costs should be paid primarily by the individuals who benefit, perhaps by donors, with the state's financial contribution becoming more limited. (p. 5)

As HBCU work toward being successful in this new norm, leadership will be one of the most important factors in the success of advancement programming and development.

Presidential Leadership Characteristics

In the earlier developments of leadership, it was defined as "classical thinking about executive decision-making has viewed the process as an essentially orderly and rational one" (Burn, 1978, p. 379). Research today says leadership is not a linear process and cannot take

place in a vacuum, but is an ever-evolving learning experience (Bennis, 1989; Burn, 1978). In the book *Leadership the Challenge*, James Kouzes and Barry Posner (2002) described leadership as a relationship, “leadership is a relationship between those who aspire to lead and those who choose to follow” (p. 20). In the advancement field, there are three different leadership positions that are key to developing educational institutions’ advancement efforts: university presidents, chief alumni officers, and chief foundation officers.

At the forefront of American higher education success is the university/college president. The presidential position has been at the helm of colleges and universities since 1636, when Harvard College, the first American institution of higher education, was founded (Harvard College, 2013). For *The Effective College President*, Fisher, Tack, and Wheeler (1988) interviewed 18 former university presidents who are considered to be among America’s most effective CEOs and determined the characteristics they believe are important. These characteristics included the ability to:

- Be completely committed
- Genuinely respect others
- Believe in themselves and others
- Possess the ability to think fast on their feet
- Understand the educational issues and have the ability to identify trends
- Don’t take things personally
- Be action oriented
- Accept authority and responsibility in governance
- Maintain self control
- Use power with finesse
- Be visible
- Share the credit
- Think carefully about directions, consequences, and ultimate results of action
- Lead by example

During the interviews with the presidents, the participants stated that the most effective presidents are outgoing and attempt to get along well with everyone; the most effective presidents are dreamers firmly grounded in reality; and several presidents revealed that they are often among the best informed people present, even when the topic is far removed from the office of the president. (p. 81)

When reviewing the history of higher education in America, one cannot ignore that for at least 300 years, Blacks were not permitted to participate in higher education in American universities, let alone be a university president. “For almost 300 years after Harvard College was founded in 1636, few members of a minority group were given serious consideration for a college presidency, much less appointed” (Fisher & Koch, 1996, p. 83). During the early years of American higher education, leaders of these institutions did not think that minority presidents were capable of running institutions of higher education. According to Fisher and Koch (1996):

Some governing boards exhibited reluctance to appoint as president a member of a minority group because they believed that these individuals were generally less talented and perhaps less experienced as well...Others argued that managerial styles of minority group members are different (less suitable) than those of Caucasian men. (p. 83)

The lack of confidence in Black college presidents remains today. “The governing board of many ‘majority’ college and universities remain hesitant to appoint African Americans to presidencies” (Fisher & Koch, 1996, p. 84). Although Black presidents had a learning curve to overcome, research found that “power, vision, legitimacy, expertise, charisma, distance, public presences, and other essentially transformational qualities, do not depend on gender or race” (Fisher & Koch, 1996, p. 82).

Although there are a small percentage of Black presidents, a majority of them have been able to fill the role of presidency due to employment at Historical Black Colleges and Universities (HBCU). “African Americans have typically succeeded to the presidencies of the nation’s more than 90 [of 105] HBCU” (Fisher & Koch, 1996, p. 84). Leading a HBCU is different and sometimes more difficult than leading a PWI. According to Berry (2006), “few positions in U.S higher education are as difficult as that of president of a historically black college or university. By tradition and necessity their constituents expect them to be much more than mere chief executives.” When looking at the influence and role of a HBCU president, “the

modern HBCU president has much in common with the clergy of African-American churches...the ‘pastor’ of many African American churches is a charismatic, strong, and sometimes authoritarian, individual who usually inspires great loyalty” (Fisher & Koch, 1996, p. 94).

No matter what type of institution a president is leading, they have always had the responsibility of making sure their institution has enough funding to operate. “One of the most perplexing historical riddles in American higher education is how colleges planned and then implemented their annual operating budgets” (Thelin, 2004, p. 98). Although many presidents experienced difficulties when it came to raising funds for their annual operating budgets, a few realized success. For example, William Rainey Harper, the first president of the University of Chicago, “obtained generous funding for scientific laboratories, an observatory, a university press, a graduate school with numerous Ph.D. programs, professional schools, research institutes, and a library” (Thelin, 2004, p. 121). Charles Eliot, former president of Harvard College, “worked closely with leaders and established families in Boston to transform Harvard. Eliot emphasized Harvard’s contributions to public service, making it clear what was wanted and why it was needed” (Thelin, 2004, p. 126). For Black colleges, presidents like General Samuel Chapman Armstrong, Booker T. Washington, and Mary McLeod Bethune were considered master fundraisers (Gasman, 2007; McKissack, 1985). Booker T. Washington had an extremely difficult financial journey when completing his own education at Hampton Institute before he took charge of Tuskegee Institute. Upon Washington’s arrival to Tuskegee, he did not find a campus with appropriate supplies to run a school, but he found “hundreds of hungry, earnest souls who wanted to secure knowledge” (Washington, 1901, p. 108). Only given \$2,000 annually for teachers’ salaries, Washington had to raise money for the development and growth

of the institution himself. When Washington died in 1915, the institute had an endowment of \$2 million and a yearly income of several hundred thousand dollars (Curti & Nash, 1965; McKissack, 1985; Washington, 1901).

Mary McLeod Bethune “believed that education was the key to advancement and the fulfillment of American democracy for black Americans” (McCluskey & Smith, 2002). With Bethune’s passion for educating Black girls, she set out to start her own school, Daytona Literary and Industrial Training School for Negro Girls, with only \$1.50. Bethune understood the importance of raising money, “Mary McLeod Bethune’s reputation as a fund-raiser preceded her” (McKissack, 1985). The location of Bethune’s college was a strategic part of Bethune’s fund raising plan. “Bethune chose the resort mecca of Daytona Beach, winter home to Northern millionaires, in part because it offered better financial prospects” (McCluskey & Smith, 2002, p. 67).

According to Nahm (as cited in Murphy, 1997), “environment for higher education, strategic planning is an essential component of institutional success, and is probably the single area where strong advancement background will best serve a president” (p. 23). “The field of advancement has become a major, if not the largest provider of nontraditional institutional leadership in secondary and higher education in the United States” (Murphy, 1997, p. viii). “In nearly all universities the president is expected to raise money for their institution” (Flawn, 1990, p. 174). In *Successful Fund Raising for Higher Education*, Frank Rhodes (1997) said, “the president’s role in fund raising is an integral part of his or her larger educational and support activities” (p. 65). The president is expected to be the lead fundraiser, but he or she should have a team of people helping them raise funds for the university. Part of the president’s advancement

team would consist of the top executive from the foundation and the alumni association, respectively.

The department that an institution designates to cultivate funds is typically called the development office. According to Flawn (1990):

Development refers to raising funds from individuals, foundations, corporations, and alumni to endow faculty positions, endow scholarships, and fellowships, provide monies for faculty travel, build buildings, buy equipment, and provide discretionary monies for the president and deans to enhance the programs of the university. (p. 166)

“The president’s relationship with the professional development staff, particularly with the chief development officer, is pivotal” (Worth, 2002, p. 68). “The advancement officer and president should carefully plan the solicitation process” (Covington, 1997). “The process invokes a detailed strategy that demands the formation of teams to assist and lead the president” (Appleton, 1997, p. 112). Appleton further explained that the “advancement leadership will have to expand from more than attending athletic events and learning the school song” (p. 112).

For HBCU development strategies, it is essential HBCU leaders make smart decisions. HBCU institutions need to bring together all their constituents to contribute to the greater good. Loyal alumni, foundations, corporate donors, and state representatives, need to be aware of difficulties and issues at hand so they can come to the aid of HBCU (Gasman & Drezner, 2009). To make sure the president has a supportive development team, “the president must see to it that the development office is properly staffed, programmed, budgeted, and led” (Boling et al., 1981, p. 358).

The President and Alumni

The knowledge and skills of fundraising are foundational characteristics presidents should possess if they want to be successful, but are not the only ones they need to have. The ability to engage and build relationships with their alumni is an important characteristic for a

president to possess. “The single most important change in American higher education at the end of the nineteenth century was that college-going became fashionable and prestigious” (Thelin, 2004, p. 156).

Being an alumnus of an American college or university brings a sense of pride, loyalty, and accomplishment to an individual. The description of an alumnus has evolved over centuries; an alumnus used to be just a college graduate of a particular institution, but today they are seen as external stakeholders who cultivate a lifelong connection.

Alumni constitute perhaps the greatest single resource on which an institution can depend. They offer the richest potential as resources for advice, advocacy, student recruitment, and financial support. As the products of the institutional effort, alumni are in a better position to understand the educational mission, needs, and goals of their academic institutions than any other single constituency. As students they were the receivers of a quality education and as graduates they become the givers. (Webb, 1989, p. 1)

In 1821, Williams College of Williamstown, Massachusetts, organized the first American university-wide alumni association (Williams Club of New York, 2013). Williams College alumni came together in a time when they felt their college was being abandoned. The group of alumni made financial contributions to keep the school open, and made sure they stayed involved so they could protect their alma mater (Williams Club of New York, 2013). As other colleges and universities formulated their own alumni associations, alumni would return to campus to participate in reunions and homecoming and support the early stages of intercollegiate athletics. According to Thelin (2004), “the alumni events were carefree gatherings that allowed an ‘old grad’ to be an ‘old boy,’ giving some support to the observation that the collegiate life fostered perpetual adolescence” (p. 161).

Having a president who understands the emotional connection their alumni have and appreciates their voice can benefit the president and the institution. “Properly appreciated and

cultivated, alumni can provide magnificent financial support, help recruit students, find jobs and internship for students, provide critical political support, and serve as invaluable sounding boards for the president” (Fisher & Koch, 1996, p. 204). The president, alone, cannot cultivate and build strong relationships with their alumni. The president should utilize and partner with his or her alumni association. In “Connecting with the CEO,” Susan Dolbert (2002) stated:

A strong CEO-alumni executive partnership is vitally important to an effective alumni association program when the two are truly working together, their effectiveness greatly increases and they can serve the mission of the institution, the alumni association, and the interests of graduates. (Your Half of the Load section, para. 3)

To ensure the president’s office and alumni association are on the same page, there must be a certain amount of communication, according to Dolbert (2002):

Consistent communication between the CEO and alumni leadership are essential so that together they can identify the most effective roles for alumni. Consistent communication will ensure that alumni clearly understand the goals of the institution and that the CEO recognizes the goals and issues most important to graduates (Institution Tactician section, para. 1)

If alumni participation and leadership are a part of the puzzle to success, “the president must make alumni know how important they are” (Fisher & Koch, 1996, p. 207). “A wise president communicates honestly and completely with alumni, even if the news is not always popular” (Fisher & Koch, 1996, p. 204). Involving alumni is important for several reasons. Alumni provide the environment for the development of leadership. “They can serve as advocates for the mission and objectives of the university, and they can stimulate financial support” (Appleton, 1997, p. 117).

An observation many outsiders and even insiders make is the success of an institution is based on the success of their advancement program. “Show me a small weak institutional advancement program, and I will show you a school that is making little progress” (Adams, 2009, p. 4). Some HBCU are caught in a difficult situation because they are looked on as not

successful due to their weak advancement programs. However, they are not able to strengthen their programs due to the lack of funding to which HBCU have historically been subjected.

“Advancement operations were often underfunded and understaffed, or development staffs were inexperienced” (Lyons, 2006, para. 5). Although HBCU do not have the funding they need, they must still find ways to properly staff and train their institutional advancement departments and entities.

Related Conceptual Framework

Open Systems

Taking an open systems approach, the inter-organizational relationships among the university president’s office, chief alumni officer, and chief foundation officer were investigated. An inter-organizational association focuses on interactions and processes between organizations and examines their social interactions (Negandhi, 1975). Inter-organizational networks take into account that organizations are separate entities and work together while intra-organizational operations occur when departments or constituents of the same organization are working together. Even though the president’s office, alumni association, and foundations promote the same institution, some institutions’ alumni association and foundations were created and operate as separate entities.

Katz and Kahn (1966) described the open systems perspective as:

Transactions between the organization and its environment. Organizations can participate in various types of open systems, but all open systems have nine common characteristics: importation of energy; the through-put; the output; systems as cycles of events; negative entropy; information input, negative feedback, and the coding process; the steady state and dynamic homeostasis; differentiation; and equifinality. (p. 19)

Viewing the HBCU president's office, national alumni association, and foundations in an open system perspective it allowed structures, processes, and attitudes of inter-organizational association to be analyzed.

Relationship Marketing

It has been difficult for experts to agree on a single definition for relationship marketing. Shani and Chalasani (1992) and Sheth (1996) defined relationship marketing as a customer-focused concept and putting customers first. These researchers also believed that the process of telling and selling customers shifted to communicating and sharing knowledge with customers (McKenna, 1991). Berry (1983), the creator of the term "relationship marketing," stressed that "attracting new customers should be viewed only as an intermediate step in the marketing process," and Berry's definition of relationship marketing is "attracting, maintaining, and--in multi-service organizations--enhancing customer relationships" (p. 25). Along with Berry's broader definition, Morgan and Hunt (1994); Gronroos (1990); Gummesson (1987); Dwyer, Schurr, and Oh (1987); and El-Ansary (1997) defined relationship marketing as "all marketing activities directed toward establishing, developing, and maintaining successful relationships" (as cited in Sheth & Parvatiyar, 2000). Within the definition debate of relationship marketing, Peterson (1995) criticized some authors' definitions as being too broad and inclusive.

This researcher highlights the broader definitions of relationship marketing, in particular, the views of Gronroos (1981, 2000), Gronroos and Gummesson (1985), Parvatiyar and Sheth (1997), and Webster (1992) on relationship marketing, which includes internal partnerships as a part of the relationship marketing theory. Gronroos (2000) discussed the Nordic school approach: "for a company to achieve effective marketing and delivery of services, it needs to practice 'internal marketing' and involve the entire organization in developing relationships with

customers” (p. 112). The researcher’s study took an internal look at the inter-organizational relationships of the university president, chief alumni officer, and chief foundation officer. While looking at inter-organizational relationships, the researcher brought attention to Barnes’s (2011) 5 E’s of Customer Relationships as a related theory to be aware of. Barnes’s (2011) 5 E’s of Customer Relationships are: environment, which focuses on each organization’s environmental goals and responsibilities; expectations, which discusses if each organization is meeting the responsibilities that are expected of them; emotions, which highlights if the emotions organizations have toward each other are positive or negative; experiences, which determines when organizations work together whether it is a positive or negative experience; and the final “E” is engagement, which discusses the involvement and commitment organizations have with each other.

Inter-Organizational Association

Understanding the relationships among HBCU president offices, national alumni association, and foundations will require an analysis of inter-organizational association. Inter-organizational association focuses on interactions and processes between organizations and examines the social interactions under conditions of unstructured authority. The analysis of intra-organizational associations highlights the interactions and processes inside a particular organization, while placing an emphasis on formal authority (Negandhi, 1975).

Reviewing the literature on inter-organizational association revealed diverse and in-depth scholarly research available in various disciplines. “The literature dealing with inter-organizational association is quite voluminous and rich in theory” (Althaus & Yarwood, 1993, p. 357). Researchers of inter-organizational association have not agreed on a common definition. Although there has not been a consensus on the definition, cooperation, coordination,

collaboration, and trust have been major components (Alexander, 1995; Dyer & Chu, 2000, 2011; Galaskiewicz, 1985; Negandhi, 1975).

This researcher's study focused on literature addressing the processes of inter-organizational association. Organizational literature highlights the rapidly growing need for organizations to interact and collaborate with each other for competitive advantages. Inter-organizational networking is more prevalent in today's business world because a competitive advantage is required for organizations to survive in these increasingly growing global markets (Dyer & Chu, 2000). Within the literature two overarching reasons emerge for organizations to engage with each other: the need for resources and desire for legitimacy. The processes for inter-organizational association are cooperation, collaboration, and coordination; while trust and alliances are the response strategies (Arnold, 2003).

The discussion of inter-organizational association literature features two concepts: organization domain and interdependence. An organization's domain is the subset tasks or activities that an organization holds as their responsibility to provide (Aldrich, 1975; Arnold, 2003; Thompson, 1967). "The possession of a domain permits the organization to operate in a certain sphere, claim support for its activities, and define proper practices within its realm" (Benson, 1975, p. 232). Two important dimensions of domain are the range of products and services produced and the population it serves (Aldrich, 1975). Defined by Thompson (1967), organization domain focuses on "technology included, population served, and services" (p. 40). With organizations defining their own domain, there are numerous situations in which domains overlap and conflict occurs. Yanay (1989) suggested that conflict arises when multiple organizations claim the same population and services (Aldrich, 1975; Althaus & Yarwood, 1993; Benson, 1975; Thompson, 1967).

Interdependence is when people, groups, and organizations are mutually dependent on one another for resources (Thompson, 1967). Thompson (1967) distinguished three types of interdependence: pooled, sequential, and reciprocal. Pooled interdependence does not require each organization involved to be entirely dependent on one another, but instead, “one [organization] in which each part renders a discrete contribution to the whole [network] and each is supported by the whole...both make contributions to and are sustained by the whole organization” (p. 54). Sequential interdependence is when “one organization must take an action (deliver a product, for example) before another organization can act” (Arnold, 2003). The third type Thompson (1967) mentioned was reciprocal interdependence, where the output of an organization becomes the input of another.

Resource Dependency and Status

In inter-organizational association, “two basic types of resources are central to the political economy of inter-organizational networks. These are money and authority” (Benson, 1975, p. 232). Resource dependency focuses on more than attaining money. Aldrich (1975) defined four types of resources: personnel, information, products and services, and operating funds.

Exchanging resources is seen as a primary reason organizations participate in inter-organizational association. With organizations operating with limited resources, the need to connect with other organizations to make up the deficiency of resources is critical (Alexander, 1995; Arnold, 2003; Grandori, 1987). “Organizations can seldom marshal the necessary resources to attain their goals independently, they must establish exchange relationships with other organizations” (Negandhi, 1975, p. 22). Galaskiewick (1985) stated that organizations participate in inter-organizational association because of “direct procurement of facilities,

materials, products, or revenues to ensure organizational survival” (p. 282). Gulati (1998) argued that resource attainment is not the only reason organizations enter into a partnership; strategic advancement is also a factor. “Firms with more social capital will not only have access to information about a larger number of alliances, but they may also be able to attract better partners who want to ally with them” (p. 298).

The need for authority and legitimacy are an important factor for an organization’s viability. “Authority refers to the legitimation of activities, the right and responsibility to carry out programs of a certain kind” (Benson, 1975, p. 232). In gaining authority and legitimacy, an organization will adjust to the organizational culture set by the inter-organizational environment of which they are a part. Referred to as “institutional theory,” “organisations respond to these [consumer-driven market] changes is often dependent on the socio-political, economic, and technological influences exerted by the environment in which they operate” (Weerakkody, Dwivedi, & Irani, 2009, p. 354). As organizations strive for legitimacy, “we can also view status as an attribution” of inter-organizational association (Gulati, 1998). Galaskiewick (1985) suggested that to enhance one’s legitimacy, an organization can identify with culture symbols, legitimate power figures, and even obtain endorsements (p. 296).

Reviewing research that discusses resource dependency and attaining authority in other organizations can assist in drawing a conclusion that “the need for resources and desire for legitimacy and status are among the possible explanations for interaction between the alumni association and development functions of a university” (Arnold, 2003, p. 20).

Cooperation, Coordination, and Collaboration

To get organizations to work with each other in an inter-organizational manner, certain processes must occur to move an organizational network to an optimal position of working

smoothly. The processes to be discussed are: cooperation, coordination, and collaboration. Influenced by Arnold's (2003) study, "cooperation, coordination, and collaboration are three processes wherein two or more organizations interact within a shared domain" (p. 21).

To assist with observing the processes of cooperation, coordination, and collaboration, this researcher used Aldrich's (1975) four dimensions of an organization's relationships as tool for analysis. The dimensions are: intensity, standardization, symmetry, and formalization. Barnes's (2011) 5 E's of Customer Relationships—environment, expectations, emotions, experience, and engagement—was another tool used.

Aldrich's (1975) definition of intensity focuses on the size of resources committed in a relationship, along with the frequency of contact organizations have with each other. Symmetry, which can also be referred to as reciprocity, looks at how "even" the participation is between organizations. The resources that are mutually exchanged and the mutual involvement of setting the terms are key components of reciprocity. Standardization focuses on the specific details of a transaction and looks at the "fixedness of the units exchanged." It also reviews the consistency of how procedures are carried out and if organizations are executing procedures on a case-by-case basis. Formalization addresses the "extent to which the transaction between two organizations or groups is given official recognition" (Aldrich, 1975, p. 63). Formalization also takes into account whether a third party manages the coordination of the relationship between organizations. The organizational relationship dimensions Aldrich (1975) laid out can be found in discussions about cooperation, coordination, and collaboration.

Cooperation

Cooperation has been a part of human societies for centuries. Before there were formal contracts, judicial systems, and civilized societies, cooperation was a concept and practice that

impacted the growth of our societies (Henrich et al., 2006). Research by many scholars across various diverse disciplines agreed, “adopting a strictly reciprocal strategy (i.e., tit for tat) would be most effective” (Klapwijk & Van Lange, 2009, p. 101). Defined by Smith, Carroll and Ashford (1995), cooperation is “the process by which individuals, groups, and organizations come together, interact, and form a psychological relationship for mutual gain or benefit” (p. 10). The ability for partners to combine their resources, participate in effective communication, and trust each other could create a competitive advantage (Gronroos, 1990; Madhok & Tallman, 1998; Morgan & Hunt, 1994).

Getting organizations to cooperate with each other is not a simple, linear process. “Human cooperation is particularly challenged by *negative noise*...errors that cause actual outcomes to be worse than intended, such as accidentally saying the wrong thing or not responding to an email because of a network breakdown, and that may lead to misunderstanding” (Klapwijk & Van Lange, 2009, p. 84). Some organizations will find ways to get through the “noise” in order to continue to pursue their own individual goals. The formal or informal activity of cooperation will help organizations get one step closer to building their inter-organizational relationships.

Coordination

The ability to and implementation of coordination require individuals, organizations, and their environments to come together and bring their resources, knowledge, and abilities to the table to accomplish a common goal or solution (Grandori, 1987; Wong & Johansen, 2006). Putting together coordination strategies is not an easy task; it requires organizations to make joint decisions, work together harmoniously, and combine their efforts (Arnold, 2003; Grandori, 1987; Wong & Johansen, 2006). Organizations participating in coordinated partnerships can help

provide solutions to complex problems in our societies, bring innovation, and help organizations survive (Westerlund & Rajala, 2010).

Collaboration

Collaboration is a process that entails organizations working together in making decisions that can increase an organization's capacity, knowledge, competitive advantage, and influence (Aiken & Hage, 1968; Grandori, 1987; Gray & Wood, 1991; Hardy, Phillips, & Lawrence, 2003; Smith et al., 1995; Westerlund & Rajala, 2010). According to Hardy et al. (2003), "The reason for collaborating is clear: organizations should collaborate to gain access to combinations of resources, to produce new or improve capabilities that allow organizations to do things they could not do alone" (p. 325). Participation in collaboration can be difficult. Organizations are investing their own resources into an agreement in which an external organization's decision-making can impact their domain. Collaboration affects the operational systems and ways of executing increasingly complex actions and requires increased communication (Grandori, 1987; Westerlund & Rajala, 2010). Although the process of collaborating with other organizations can be challenging, the benefits of being connected to collaborative efforts can have major payoffs that contribute to an organization's survival and competitive advantage. "Both cooperation and coordination often occur as part of collaborating" (Gray, 1989, p. 15). Organizations that achieve collaboration have the opportunity to focus on strategies that help solve problems and accomplish goals that no single organization could accomplish alone.

Strategies for Response

Four organizational strategies can be implemented when responding to working in an inter-organizational network: mutual adjustment, communities of practice, alliances, and corporate level (Arnold, 2003; Rogers & Whetten, 1982). With mutual adjustment,

organizations can participate on an informal basis. Nassimbeni (1998) defines mutual adjustment as “the first stages of network life” (p. 548). As organizations begin working with other organizations in their network, they are combining activities, working on procedures, and working through problems that arise (Nassimbeni, 1998).

Communities of practice (CoP) is a strategy that has a long history, but it was not until 1987 when Etienne Wenger and Jean Lave coined the term (Howes, 2012). Applying communities of practice to inter-organizational networks indicates three significant aspects to CoP: (a) CoP goals that are set are directly related to the goals of the overall organization, (b) influential players of the communities are selected to help the market and encourage others to participate, and (c) the long-term vision of the group is documented as well as the process, and key players provide reasons why others should become active network members by answering the question, “what’s in it for me?” (Lee & Valderrama, 2003, p. 29).

Alliance strategies have become popular in the business community as the need to “quicken the pace of and reduce risks associated with innovation” (Sivadas & Dwyer, 2000, p. 31). Strategic alliances place organizations in a certain level of risk and uncertainty because they are subject to environmental and external decisions that are beyond their control (Gulati, 1998; Sivadas & Dwyer, 2000). To assist with reducing some of the uncertainties, trust and cooperation among the participating organizations is important (Das & Teng, 1998). Organizations need to have an adequate amount of confidence in the partnerships they decide to enter. Without trust, an alliance among organizations can lead “partners to view each other with suspicion--with obvious deleterious effects on their working relationship” (Das & Teng, 1998, p. 491). According to Dyer and Chu (2011), “organizations cannot trust; only people can trust” (p. 30). Understanding that it is the individuals who work for the organizations that build the

confidence in organizations deciding to enter a relationship, the interactions have to be consistent and reliable.

Elmore's Model Summarizing Inter-Organizational Relationships Concepts

The conceptual framework designed in Arnold's 2003 study drew upon literature analyzing potential environmental and organizational factors that may affect the inter-organizational relationships between an alumni association and development in public higher education. Borrowing from the dimensions Aldrich (1975) set out, the framework was utilized to see if the factors selected had an impact on the alumni association and development relationships. By the end of Arnold's (2003) study, she revised her conceptual framework diagram based on her results. During the processes of data collection and analysis, Arnold (2003) modified the framework to group these factors under three headings: Leadership, Organizational Autonomy, and Relationship History.

The Elmore Preliminary Inter-Organizational Relationships Conceptual Model (see Figure 1) was guided by Arnold's (2003) conceptual framework. As a result of Arnold's (2003) research, the original framework was expanded to include leadership as a separate heading in her model. The Elmore Model includes the same identifying factors for exploring inter-organizational relationships (Aldrich, 1975), but instead of focusing on only two entities (alumni associations and foundations), the Elmore Conceptual Model includes three: university president's office, alumni association, and the foundations. In addition, the Elmore Conceptual Model added Barnes's (2011) 5 E's of Customer Relationship in order to bring all the conceptual frameworks together to fully represent all related frameworks. The visual summarization of the frameworks shows how the three entities can produce inter-organizational relations. For the

purpose of this study, the research focused solely on the processes of cooperation, coordination, and collaboration.

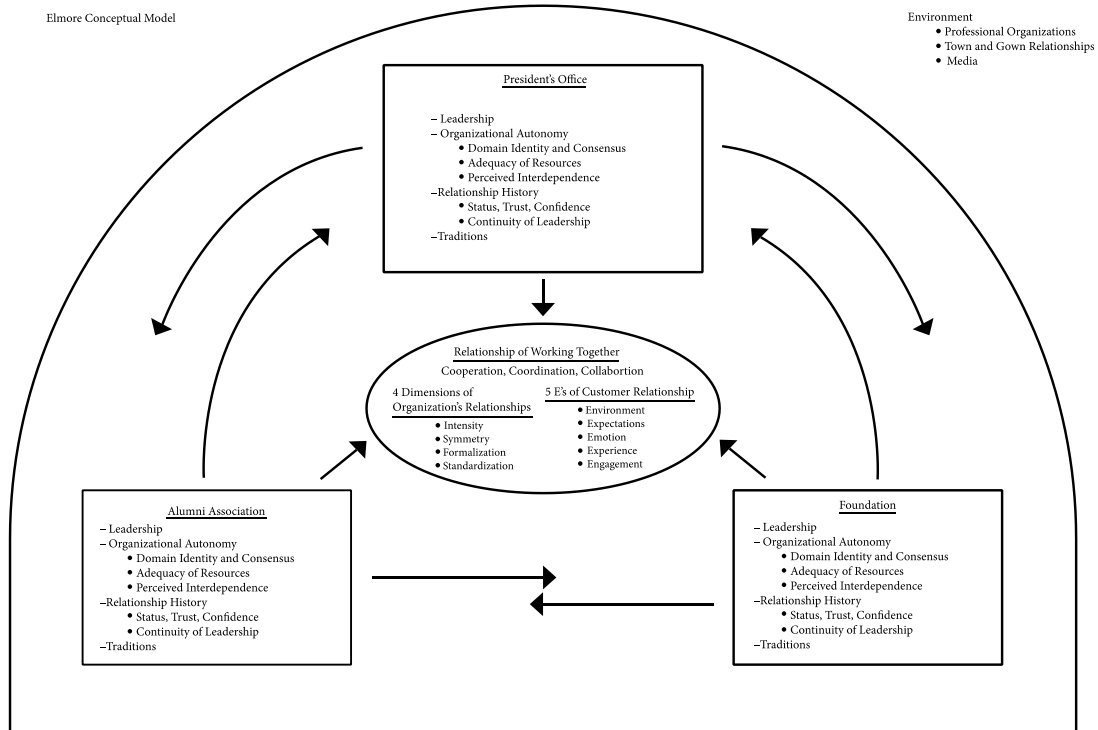


Figure 1. *Elmore's Model Summarizing Inter-Organizational Relationship Concept.*

Environment

Outside the model is the environment component that consists of town and gown relationships, professional organizations, and the media. The environment for an organization is a social system, where organizations are dependent on their environment for elements and input (Negandhi, 1975; Perlman & Gurin, 1972). Environmental influences may impact the way the HBCU president's office, alumni association, and foundation, work together.

Most colleges and universities reside in communities that expand further than just the students they educate. The relationships between a university and the community have become increasingly important for the success of both parties. "Whether urban or rural, small or large,

institutions are increasingly recognizing the importance of positive community association and are creating innovative structures through which to facilitate communication and partnerships with their neighbors” (Salopek, 2008, Meeting the Challenge section, para. 1). Having a positive community relationship can assist the university in competing for prospective students and faculty. The local amenities and welcoming atmosphere a community can provide can have a major impact on the university’s ability to attract students, faculty, and other constituents to their campus (CASE, 2005). The working relationship that the HBCU, alumni association, and foundations have with their community may have a positive impact.

Professional Organizations

An organization’s desire and need for status and legitimacy is highlighted by institutional theory. If the HBCU president’s office, alumni association, and foundations can work together, each individual unit can enhance their own status and legitimacy. In addition, getting connected with professional associations can also help increase their status and legitimacy. A leading professional organization that assists institutions of higher education is the Council for Advancement and Support of Education (CASE). For over 100 years, CASE has expressed the importance of alumni association, communication, development, and marketing departments working together to enhance and uplift their respective institutions. The knowledge and respect that CASE has fostered in the industry may act as an environmental influence for this study. The United Negro College Fund (UNCF) and Thurgood Marshall Scholarship Fund (TMCF) are two other professional associations that focus on HBCU development and sustainability. UNCF focuses on private HBCU and TMCF focuses on public HBCU. These two associations have positioned themselves to be groups that are providing solutions to some of the funding and retention issues plaguing HBCU. Being known as a problem solver instead of a problem creator

can have an environmental influence. On the governmental front, the White House Initiative on Historically Black Colleges and Universities was signed as an Executive Order in 1980 by President Jimmy Carter to “overcome the effects of discriminatory treatment and to strengthen and expand the capacity of historically black colleges and universities to provide quality education” (U.S. Department of Education, 2013b, Historical Overview section, para. 1). Today, this federally sponsored program assists with making recommendations on strengthening HBCU infrastructure, increasing their development, utilizing new technologies, and ensuring longevity (U.S. Department of Education, 2013a). With a vested interest in the status of HBCU, the White House Initiative on HBCU could serve as an environmental factor. Along with CASE, UNCF, TMCf, and the White House Initiative on HBCU, other environmental factors may surface during data collection.

Organizational Factors: President’s Office, Alumni Association, and Foundation

The three focal points of the conceptual model are the HBCU president’s office, the alumni association, and the foundation. Within each entity these organizational qualities are identified: leadership, organizational autonomy, and relationship history. These qualities can be shown as potential influences on the relationships between the three entities.

Organizational autonomy. Organizational autonomy is the amount of control an organization has over itself. HBCU have to report to either a volunteer board of directors if they are a private institution, or to a board of regents appointed by their state if they are a public institution. Outside of these governing bodies, HBCU have a high level of organizational autonomy. When identifying alumni association or foundation autonomy, the structure of the units is important. Some HBCU alumni association and foundations are integrated into their institution’s administrative structure, and the majority of their operational budget is funded

through the university. In addition, integrated alumni association and foundations will report to institutional leaders or a department within their institution's reporting structure. Independent alumni association and foundations have a separate structure, generate their own resources, and report to their own board of directors. Between fully integrated and independent units there are a wide variety of levels of independence in which these units may participate. Whether or not an alumni association or foundation is integrated or independent will impact the amount of organizational autonomy they have. For example, the chief alumni officer and chief foundation officer may serve on the president's cabinet. The alumni relations' board of directors and foundation board of directors may have the president serve on each other's boards. In terms of financial support, the integrated alumni association or foundation may receive funding for their operational budget and the services they provide to the university. An example of a service an association or foundation can provide is the management and access to the alumni/donor database system. Depending on how integrated or independent an alumni association or foundation is, the formal authority these units experience can be positive or challenging for the relationships developed.

Domain identity and consensus. The domain of an organization addresses the goals and tasks that an organization identifies as their responsibility (Aldrich, 1975; Levine & White, 1961). The identity and environmental agreement of an organization's domain is important because it allows the organization to have access and even control over resources. Domain agreement is when participating organizations agree on which organization is responsible for what; domain agreement also assists with domain overlap, which is when multiple organizations lay claim to the same or similar goals, resources, and populations (Benson, 1975). With domain overlap, conflict can occur between organizations, which can negatively impact relationships

(Yanay, 1989). In the advancement industry, some institutions have domain conflict regarding fundraising and the cultivation of alumni. A clear understanding of each unit's domain responsibility may assist in the relationships these organizations have. A shared purpose among these organizations may be important as well in assisting the formation of a relationship.

Adequacy of resources and interdependence. According to scholars Grandori (1987), Alexander (1995), and Arnold (2003), the exchange of resources is the main reason organizations will partner with each other. Organizations who have access to limited resources often seek out opportunities to connect with other organizations with resources to share. Like numerous other organizations, HBCU alumni associations and foundations are in need of resources to survive and be competitive. Previous research has revealed HBCU are challenged by acquiring enough resources, development of their infrastructure, paying competitive salaries, lack of new technologies, and a weakened position when it comes to competing with other institutions. The need for adequate resources may require the HBCU president's office, alumni association, and foundation to enter into an inter-dependent relationship and contribute to the development of their relationships.

Relationship history. Relationship history addresses the perceived status, trust, confidence, continuity of leadership, and traditions of the HBCU president's office, alumni association, and foundation. The relationship history takes into account previous interactions that may affect current attitudes and willingness to work together. The status of an organization is important when it comes to the organizations determining if they want to enter a partnership. The ability to trust an organization is also significant because there is a personal risk of losing invested resources or negatively impacting their status. In addition to trust, confidence that partnering organizations will not exploit its vulnerabilities is necessary. The level of status, trust,

and confidence among the HBCU president's office, alumni association, and foundation needs to be high in order for the organizations to enter into an inter-organizational relationship. The development of inter-organizational relationships may be created and sustained by the continuity of the organization's leadership. The consistency of service the HBCU president's office, alumni association, and foundations have may impact the norms, processes, and relationships that are built.

Traditions. Traditions are sometimes an organization's embedded social norms or organizational processes; these either support or hinder inter-organizational relationships. Within an HBCU's alumni association and foundation, leaders can stifle innovative or creative change by holding on to a mindset of "this is how it has always been done," or leaders can encourage new ideas as an opportunity to create new traditions that fulfill a need.

Relationships Between President's Office, Alumni Association, and Development

A way to measure the level of relationships between the HBCU president's office, alumni association, and foundations is Aldrich's (1975) four dimensions of an organization's relationships: intensity, standardization, symmetry, and formalization. In addition, Barnes's (2011) five E's of customer relationships—environment, expectations, emotions, experience, and engagement—were identified.

Aldrich's Four Dimensions

- Intensity – Intensity measures the frequency of interaction and size of resource investment organizations put into relationships formed.
- Symmetry – Symmetry highlights the perceived exchanges organizations are offering and whether they are complimentary to the development or sustainability of the relationship. If each organization has its own unique domain identity, they

are sharing their contributions equivalent to what the other organizations are exchanging.

- **Standardization** – Standardization focuses on the fixedness of the procedures used and if organizations are consistent in how they carry out transactions amongst each other or if it is done on a case-by-case basis.
- **Formalization** – Formalization deals with “the extent to which the transactions between the various organizations are given official recognition” (Aldrich, 1975, p. 63). The documentation of transactions or structural relationships could also be seen as being formalized.

Barnes’s 5 E’s of Customer Relationships

Environment. Although environment was identified in another place in the diagram, environment under the 5 E’s section takes into account the awareness the partnering organizations have of each other’s environmental goals and responsibilities. Environment, under the 5 E’s section takes into account what individual organizational opportunities and challenges they are dealing with. It also considers the goals and solutions individual organizations were striving for. Barnes believes that for customers to enter into a relationship with an organization, there has to be a clear understanding of the environments the customer is dealing with on a daily basis. It may be impactful if a HBCU president’s office, the alumni association, and foundations understand what environment each unit is dealing with.

Expectations. When building a relationship, the joining organizations will have expectations of each other; if an organization cannot meet the expectations it could risk being released from the relationship. Barnes (2011) stated that satisfying expectations is not enough to establish a genuine relationship, it is also important to meet undefined expectations to build

genuine relationships. If a HBCU president's office, alumni association, and foundation all meet each other's expectations and anticipate the unexpected, they may have opportunities to establish a genuine relationship.

Emotions. Relationships are essentially emotional constructs. It is important for organizations to heed the emotions, whether positive or negative. If a partnering organization experiences negative emotions with another organization, they may not initially dissolve the relationship, but if the negative emotions never get addressed and continue, it can destroy a relationship and future relationships. HBCU president's office, alumni association, and foundations may want to be aware of the emotions their partnering organizations have when interacting with them.

Experience. The experience an organization has with a partnering organization can affect the long-term stability of inter-organizational relationships. Organizations can look at four levels of customer experience to gauge whether they are providing a positive or negative experience. First, is the organization easily accessible or easy to do business with? Does the organization return phone calls in a timely manner? Is the organization putting up barriers that get in the way of good service?

The second level is employee interaction between employees and customers. Every organization has employees working for them and in service, they should provide a positive experience. Does the organization's employees provide positive interactions when communicating? Positive interactions with an organization's employee are central to the development of a positive relationship.

The third level is the continuous organizational experience a customer receives after the initial service is provided. An organizational experience should not end once service is

completed. The care and experience after the initial service provided should continue cultivating customers.

The last level is creating or enhancing the customer experience. By creating proactive strategies and/or partnerships that allow organizations to have access to valuable customer information, the joint organizations will be able to enhance the customer experience.

Engagement. Engagement is the final “E” of the 5 E’s of customer relationships and suggests that involving organizations in the development of services or products provided can create a higher level of commitment and potentially provide an opportunity for favorable word of mouth to be spread. A HBCU president’s office, alumni association, and foundations may look for programs or services that encourage engagement for the partnering organizations to participate in.

Gap in Research

There is limited research focusing on the relationship between the university’s alumni relations and foundations (Arnold, 2003; Roszell, 1981). There is even less research highlighting the relationships of university presidents, alumni associations, and university’s foundations at HBCU. Research written about HBCU is usually from a historical viewpoint or focused on fundraising strategies (Cohen, 2006, 2008; Drezner, 2011; Gasman, 2000, 2001, 2008, 2010; Gasman & Anderson-Thompkins, 2003; Gasman & Bowman, 2012; Gasman & Drezner, 2008, 2009; Reaves, 2006; Robinson, 2012; Stovall, 2004; Webb, 2002). To contribute to the limited and narrow focus of HBCU research, this study focused on university presidents, chief alumni officers, and chief foundation officers at HBCU.

This study explored perceptions regarding the way university presidents, chief alumni officers, and chief foundation officers at HBCU cooperate, coordinate, and collaborate. By

focusing on inter-organizational relationships instead of fundraising strategies this study fills a gap in the research.

Summary

The summary of conceptual frameworks serves as a visual in exploring the relationships between HBCU presidents, alumni associations, and foundations. This study focused only on the processes of cooperation, coordination, and collaboration. This concept is not all encompassing, but hopefully showcases different components that may contribute to HBCU inter-organizational relationships. Chapter three will discuss the research design, research sites, data management, validation, and ethical considerations.

Chapter 3 - Methodology

Introduction

Chapter 3 is focused on the methods used to collect data about HBCU presidents, chief alumni officers, and chief foundation officers. The research design, research questions, research sites, and participants are presented. The data sources and data management are explained as well as how to collect and process the information gathered. Along with the validation and ethical considerations are discussed to highlight the potential impact on the study. In chapter five the data analysis is presented.

Research Design

A qualitative multi-case study methodology was selected to investigate the experiences and approaches to relationship building among HBCU presidents, chief alumni officers, and chief foundation officers at 4-year, public HBCU. According to Creswell (2007), qualitative research can bring an assumptive worldview, or theoretical lens, to problems or ideals that address social or human concerns. For a qualitative researcher, an approach of inquiry and the collection of data in a natural setting help the patterns and themes surface through the analysis phase. By allowing patterns and themes to surface, participant voices can be heard; and an interpretation of the problem or issue, or the opportunity to add research and extend the literature, could produce a call for action.

Through a case study approach, this exploratory research focused on how these individual sites and their respective alumni associations and foundations cooperate, coordinate, and collaborate. Yin (1984) defined a case study as “an empirical inquiry that: investigates a contemporary phenomenon within its real-life context; when the boundaries between

phenomenon and context are not clearly evident; and in which multiple sources of evidence are used” (p. 23).

This research sought out and explored the processes of cooperation, coordination, and collaboration in inter-organizational relationships between HBCU presidents, chief alumni officers, and chief foundation officers. Expanding Arnold’s (2003) study of predominately white, 4-year, public institutions, this research focused solely on 4-year public HBCU and included three main entities (university, alumni association, foundation) instead of two (alumni association, foundation). To identify potential research sites, preliminary information was collected from the National Center for Education Statistics, along with information collected to distinguish whether the research sites had an independent or interdependent alumni association and foundation. Once potential HBCU research sites were identified, three institutions were selected as individual cases through purposeful sampling. Information on the three sites was collected for the case background information, and interviews of the HBCU president, chief alumni officer, and chief foundation officer or designee were conducted and analyzed. The in-depth data collected allowed the researcher to explore and identify the processes of cooperation, coordination, and collaboration in inter-organizational relations among HBCU president offices, alumni associations, and foundations.

Research Questions

Overarching Question

In what ways do the university president, chief alumni officer, and chief foundation officer, or their designee, cooperate, coordinate, and collaborate at public, historically black colleges and universities?

Sub-Questions

How does the process of cooperation contribute to inter-organizational relations?

How does the process of coordination contribute to inter-organizational relations?

How does the process of collaboration contribute to inter-organizational relations?

Research Sites

To identify potential research sites, purposeful sampling was used. Purposeful sampling allows the researcher to select “individuals and sites for study because they can purposefully inform an understanding of the research problem and central phenomenon” (Creswell, 2007, p. 125). The sites selected had to meet this list of characteristics, and out of 105, 40 were found and three were selected:

- Four-year programs
- Public institution
- Small to medium-size school (1,000 to 15,000 undergraduate students)
- Varsity athletic teams
- Independent or Interdependent alumni association
- Independent or Interdependent foundation

The researcher used the National Center for Education Statistics, along with information collected from HBCU websites to distinguish whether individual research sites qualified by the pre-selected criteria of being 4-year institutions and having an independent or interdependent alumni association and foundation because private schools have a longer history in soliciting funds from their alumni for support. Public institutions have relied on getting the bulk of their budget from the state and with the recent budget cuts to educational institutions, more public institutions are looking to reach out to their alumni.

Many public and private colleges fall into the "small to medium-size" category, with between 1,000 to 15,000 students (Collegedata, n.d., para. 1-2). The small to medium-size category was selected to help with choosing schools that were similar in size, allowing for consistency in site selection. In addition, varsity athletic sports were part of the criteria in order to find institutions that did not focus solely on academics, but had a varsity athletic element to their school culture. The criteria of potential research sites with independent or interdependent alumni associations and foundation was used to aid the study in exploring relationships that are not under the same organizational structures. Based on the preliminary conditions, 40 HBCU fit the criteria and the first three HBCU that agreed to participate were explored.

Process for Recruiting Participants

A list of potential participants for each case was created, along with the interview protocol to be used (see Appendix A for interview). For the actual selection and participation of an institution the agreement of the HBCU president, chief alumni officer, and chief foundation officer or designee needed to occur. Understanding that some HBCU leaders hesitate to participate in research studies, the researcher initially contacted the university president to ask for their participation. Two ways of communication were applied to make contact and build a relationship with prospective interviewees: telephone and electronic communication. The university president was contacted first, and the following contacts were made by telephone: chief officers of the alumni association and foundation (see Appendix B). If no successful telephone contact was made, an email was sent requesting their participation (see Appendix C). If the researcher received no response by telephone or email, then she reached out to Marybeth Gasman for assistance in facilitating an introduction to specific HBCU leaders to gain credibility and trust in the participation of the study. Once a participation agreement was established, an

interview was scheduled based on the availability of the participant and researcher. The participants were:

- University president or chancellor or designee
- Chief alumni officer or designee
- Chief foundation officer or designee

Data Sources

Creswell (2007) stated, “a qualitative researcher engages in a series of activities in the process of collecting data” (p. 118). The primary data sources were semi-structured interviews and documents. Hancock and Algozzine (2006) described semi-structured interviewing as a method where “researchers asked predetermined but flexibly worded questions...In addition to posing predetermined questions, researchers using semi-structured interviews ask follow-up questions designed to probe more deeply issues of interest to interviewees” (p. 40). During the process of setting up interviews, the participants were asked to permit their interviews to be audiotaped. Once the interview and audio recording were verbally agreed upon, a confirmation letter was electronically sent documenting the permission and agreement of the participant to be interviewed and audiotaped during the session for accurate data collection (see Appendix D).

The following documents were collected to assist with the case description profiles:

- Organizational charts
- Mission statement,
- List of board members and their affiliations
- Annual reports, where available

In addition, to help understand the case demographic information, the university, alumni association and foundation websites were explored.

Data Management

The management of the collected data was both manual and electronic. Manual data was managed through field notes. During the interviews conducted through the telephone or electronic communication, notes were taken to accompany the audio recordings. The audio recordings were collected electronically through recording devices available for telephone recording or through electronic mediums. Once recorded, the information was transcribed by a professional transcribing company and copied into a Microsoft Excel spreadsheet. The data was then color coded by site and sorted by cooperation, coordination, and collaboration. Christopher Hahn's (2008) *Doing Qualitative Research Using Your Computer* was used as a guide for organizing the data. Patton (1990) stated, "the challenge is to make sense of massive amounts of data...identifying patterns and constructing a framework for communicating the essence of what the data reveal" (p. 432). There were three HBCU with various representatives from key leadership positions to interview and explore. The proliferation of information produced material that needed to be applied to a coding system to help breakdown and analyze the information.

Validation

A method of using multiple sources for data collection was implemented to assist with validating and cross-referencing the information collected. As Stake (2006) expressed, "good researchers want assurance of what they are seeing and hearing" (p. 33). This study was designed to explore and identify the perceptions that HBCU presidents, chief alumni officers, and chief foundation officers have about the inter-organizational processes of cooperation, coordination, and collaboration. To ensure that the information received was accurate and valid,

a multiple source of data were used. Interviews from three perspectives at each site and role of researcher enhanced validation.

To implement a successful qualitative study, the researcher had to understand the importance of the role she played as an instrument of research. Patton (1990) explained, “validity in qualitative methods, therefore, hinges to great extent on the skills, competence, and rigor of the person doing fieldwork” (p. 14). As a graduate of a 4-year predominately black university, and a graduate of a 2-year master’s program at a predominately white 4-year public institution, as well as a professional in a leading alumni association, the researcher’s experiences have impacted the design of this study. Through various alumni and volunteer experiences, the researcher became knowledgeable and aware of the importance and lack of relational and collaborative activity that may occur within HBCU, HBCU alumni associations, and HBCU foundations. As a student and alumnae of an HBCU, the researcher observed and experienced memorable, life-changing moments, along with inadequacies such as communication breakdown, weak alumni relationships, and lack of follow-up and follow-through throughout various departments and entities.

As a professional, the researcher served as an assistant director of alumni programs. Within this position, the researcher was able to experience the organizational culture of strong relationship building and the promotion of collaboration across the university and advancement units. Working for a self-governing alumni association, the association leadership staff encouraged their staff members to serve on advisory boards, search committees, and faculty and student organization groups for the institution.

Through her experience with HBCU and as a professional at an alumni association, the researcher formed the following assumptions:

- The top leadership as well as the quality of relationship and collaboration can lead to the organizational culture of separateness between the university president, alumni director, and development director.
- HBCU presidents tend to take charge in directing advancement services because of the history of a paternalistic culture in some HBCU.
- Alumni associations' role is to lead the process of cultivating and maintaining relationships with alumni so the university president and foundation team have opportunities to approach alumni for support.
- Alumni often do not understand or care to understand that the university is different from the alumni association and that the foundation is different from the university and the alumni association. All alumni see is one institution.
- The lack of HBCU alumni engagement in terms of time, resources, and money is due to the weak relationships some HBCU have with their alumni.
- For HBCU to be successful at engaging their alumni, they must take a whole campus, alumni association, and foundation cooperative approach.

Understanding and maintaining the awareness of these assumptions, the researcher was able to bracket them to reduce the potential for bias derived from her experiences with HBCU and as a professional at an alumni association. Crowson (1987) spoke to the chance of reducing potential biases by recognizing and stating them. By recognizing and stating the biases, the researcher can bring awareness to the researcher and the readers and enhance the trustworthiness of the study.

Ethical Considerations

To respect and protect the identity of the participants from each of the HBCU, pseudonyms were used for the participants and institutions selected. The Kansas State University Internal Review Board (IRB) application for conducting research on human subjects was filed and approved. The IRB guidelines were strictly followed.

Summary

This chapter provided information about the research design, research questions, research sites, and criterion for participants. This chapter also provided explanations of the data sources and data management, along with validation and ethical considerations. In chapter five is the comprehensive data analysis, which is preceded by a thorough description of each site in chapter four.

Chapter 4 - Case Profiles

Introduction

Chapter 4 focuses on the individual sites that were purposefully selected for this multi-case study. Participants at three sites were interviewed with each site having a representative from the university, alumni association, and foundation. The sites that participated have similar characteristics: 4-year, public, historical black college or university with an independent or inter-dependent alumni association and foundation. Although the three sites have similar characteristics, HBCU should not be seen as monolithic organizations and should be recognized for some of the unique characteristics they possess. A summarized view of the type of institutions, size of undergraduates enrolled, the percent of Black students in the student makeup, the type of alumni association and type of foundation is provided in Table 1. Followed by a narrative description for each case (site), the researcher will provide a snapshot of organizational characteristics, organizational structure, and leadership. Pseudonyms were used to protect the anonymity of the participants.

Table 1 Individual Site Characteristics

Characteristics	Site 1	Site 2	Site 3
Type of HBCU	4- year Public	4-year Public	4- year Public
Type of Alumni Association	Independent	Independent	Independent
Type of Foundation	Independent	Independent	Independent

Number of undergraduates enrolled	Over 8,000	Nearly 8,000	Nearly 3,000
Percentage of Black Students	Over 85%	Over 80%	Less than 50%

Site One

Located in a small college town of nearly 4,500 local residents, Site One is a historical campus that has more than 8,000 students enrolled, with over 85% of the student population identifying as either Black or African American. Site One’s main campus sits on over 1,400 acres of land with a 52,000 sq. ft. extension center located in a large metropolitan city 40 miles from the main campus. Site One is a land grant institution and is “dedicated to fulfilling its land-grant mission of achieving excellence in teaching, research, and service” (university website). Site One employs 1,300 faculty and staff, with an operating budget for the 2013-14 fiscal year of over \$170 million.

Institutional Advancement

At Site One, the office of institutional advancement is a joint division with the office of student affairs. The office of institutional advancement includes a university development office and a university alumni relations office. Led by the vice president of student affairs and institutional advancement; the domain identity of the office of alumni relations centers around providing opportunities for alumni to get connected, collaborating with departments to assist with the recruitment and retention of students; and acting as a liaison among the office of development, the affiliated foundation, and the affiliated national alumni association. The office of development is responsible for the fundraising and gift programs that Site One offers, for

example: planned giving, capital campaigns, and alumni giving. The vice president of student affairs and institutional advancement directly reports to the university president. The university president has been in position for more than 10 years. Site One did not report any membership to professional associations like the Council for Advancement and Support for Education (CASE) or Thurgood Marshall College Fund (TMCF).

Site One National Alumni Association

The Site One National Alumni Association was established in the early 1900s. Founded as a group of interested alumni coming together to preserve their alma mater, this association continues their mission by supporting the university, providing services for alumni, managing alumni chapters and clubs, and providing financial assistance for the university. In 2011, Site One National Alumni Association reported having over 56,000 graduates. As a membership dues-based association, they strive to increase membership from their graduates.

Site One National Alumni Association is an independent association that has some components interdependent with the university. The executive director of Site One National Alumni Association, an employee of the university, is the liaison between the association and the university. The executive director serves as the coordinator of the university's alumni affairs department, which is a component of the Institutional Advancement Office. The Site One National Alumni Association does not receive any funding for their operating budget from the university, but they have access to the executive director and the alumni relations staff, which includes two part-time staff members. In addition to the assistance from the alumni affairs department, the Site One National Alumni Association has volunteers who work for their office.

Site One National Alumni Association structure and governance. A volunteer board of approximately 46 board of directors governs Site One National Alumni Association. Eight

elected officers serve as the executive committee; the coordinator of alumni affairs, two student representatives, and each president from the Association's chapter and clubs sit on the board. The executive committee of the board consist of the president, vice president, secretary, treasurer, financial secretary, parliamentarian, historian, and immediate past president. The Site One National Alumni Association has endorsed alumni to organize four different types of structures: chartered chapters and clubs, sponsored constitute organizations, affiliated alumni organizations, and independent groups. These groups come together to host various events, activities, and fundraisers in particular locations or among a common group of alumni. The Site One National Alumni Association has an alumni house located adjacent to their university's campus.

Site One National Alumni Association programs and activities. The Site One National Alumni Association plans, supports, and hosts a variety of programs and activities. Programs focusing on awards and recognition or offering scholarships to current and incoming students are a few of the offerings from the Association. A major event the Association hosts is an annual alumni national convention. The convention brings alumni from all over the country together. This event occurs in different cities every year and representatives from the university, foundation, and alumni association come together to provide updates on what is happening with their respective organizations. Average registration for the convention is \$300 per person.

In addition to hosting annual conventions, the Association provides services for their alumni organizations and groups. Organized alumni groups are offered administrative assistance, mailings to alumni in their area, supplies and materials, and use of the alumni house. The Association and the university alumni relations department get together to make sure the alumni organizations and groups are served.

Site One National Alumni Association resources. No operating budget was reported for Site One's National Alumni Association, but their primary source of funding is their membership dues. There are four levels of membership: Life, Annual, Associate, and Student. Membership dues range from \$30 to \$500. There is a history of the Association being in need of resources in order to sustain itself, and increasing alumni membership is a major goal for the association. In addition to soliciting for membership dues, chapters and clubs have fundraisers to raise money for student scholarships. Chapters also invoke dues for participating alumni to fund their operational costs.

Site One Foundation

Site One Foundation was re-established in 2009. Established as a 501(c)3 public foundation charity, this independent organization has a vision to develop a culture of philanthropy and support their university. Site One Foundation was organized for the sole purpose of supporting their university in the areas of charitable, educational, or scientific purposes. Responsibilities Site One Foundation assumes, according to their by-laws, are solicit, accept, and receive contributions; accept, receive, and administer scholarships for university students; manage and invest endowment funds; make loans to the university; and more. Although Site One Foundation was created specifically to be the fundraising arm for the university, the university also has an office of development, a fundraising department that works with the Foundation but is separately organized.

Site One Foundation structure. Site One Foundation is an elected volunteer board of approximately 20 trustees. The officers of the trustee board consist of the chairman of the board, one or more vice-chairmen, a president, one or more vice-presidents, a secretary, one or more assistant secretaries, a treasurer, and one or more assistant treasurers. On the board, there is an

executive committee. Only five trustees can be elected on the executive committee and one of those positions must be the chairman of the board. Trustees of the board serve a 3-year term. Trustees elected on the executive board serve a one-year term on this particular committee.

In addition to the board of trustees, Site One Foundation has an advisory board, committees, and area volunteers. At the request of the Board of Trustees, a person can be appointed to the advisory board and advise and assist the trustees on designated situations. Site One Foundation has 11 committees led by trustees, and they range from student development to community and public relations. Outside the committees, the board created area volunteers, alumni and friends who assist the Foundation in contacting alumni and share messages Site One Foundation is trying to communicate to their alumni. Area volunteers serve as a source of information and as a group that helps reconnect alumni and friends to the university. Site One Foundation has two staff members, one who is a part-time office administrator and the one who provides contracted services.

Site One Foundation programs and activities. Site One Foundation is still a fairly young organization and has not established any particular programs or activities to plan or host. Instead they are focusing on bringing potential donors to the table and rallying alumni to donate through their area leader volunteers. Site One Foundation has been tasked with a major university fundraising project where all of their focus has been directed. Members of Site One Foundation do attend various university galas and events. The office of development manages capital campaigns, faculty and staff giving, student giving, and other giving opportunities.

Site One Foundation resources. As a separate entity, Site One Foundation had to determine how to fund their operational budget. When Site One Foundation was re-established, each trustee was asked to give \$50,000 to serve on the board. Only half paid, but it did provide

some funding for the operational budget. For 2013-14, Site One Foundation reported a budget between \$220,000 and \$250,000. In terms of Site One Foundation's facilities, they utilize space in one of their university's buildings at a discounted rate. The university has also allowed Site One Foundation to purchase computer equipment under their contracts.

Site One Foundation leadership and professional associations. The chairman of Site One Foundation has been in position for between 5 and 10 years. The president will stay in this position until someone else expresses interest in serving in this capacity. Site One Foundation did not report any membership or participation in any professional associations like the Council for Advancement and Support of Education (CASE) or Association of Fundraising Professionals (AFP).

Site Two

Located in a pleasant residential neighborhood in the north corner of a large city, Site Two has nearly 8,000 students with over 80% of the student population identifying as either Black or African American. Site Two occupies 140 acres of land and is within easy reach of the city that has a diverse amount of activities and businesses that over 600,000 city residents enjoy. As a part of their state legislation, Site Two has been designated as the state's public urban university. The site has approximately 1,500 faculty and staff and has reported an operating budget of \$225 million for the 2013-214 fiscal year.

Institutional Advancement

At Site Two, the division of institutional advancement is the fundraising, marketing, and development arm. The division of institutional advancement includes a university development office and a university alumni relations office. Led by the vice president of institutional advancement, the domain identity of the office of alumni relations is to build an interactive and

mutually beneficial relationship with their alumni. The alumni relations office is also responsible for creating opportunities for alumni to financially and physically support the university. Site Two's university president shared that the alumni affairs office was responsible for increasing their alumni participation by over 150%, which put their overall participation at over 15% total. The office of development coordinates and manages the fundraising activities. This office is responsible for Site Two's annual giving, major and planned giving, corporate and foundation giving, donor record maintenance, and information services.

The vice president of institutional advancement reports directly to the university president. The university president has been in position from three to five years. Site Two University reported membership of the following professional associations: Council for Advancement and Support of Education (CASE), National Association for Equal Opportunities in Higher Education (NAFEO), Thurgood Marshall College Fund (TMCF), Association of Governing Boards (AGB), Association of Public and Land Grant Universities (APLU), and more.

Site Two National Alumni Association

Site Two National Alumni Association is an educational and charitable non-profit organization. The Site Two National Alumni Association believes their domain identity is responsible for strengthening and building relationships with alumni along with being a supportive organization to the university. Through recruiting high school students and providing financial support, Site Two National Alumni Association strives to advance their university. In 2014, Site Two National Alumni Association reported having over 30,000 alumni and 36 chapters across the United States.

Site Two National Alumni Association structure and governance. Site Two National Alumni Association's volunteer board is made up of eight elected officers, the university's alumni affairs executive director, the president of each chapter, and a representative for every 25 members a chapter has. The executive committee consists of the president, first vice-president, second vice-president, financial secretary, treasurer, executive director of the alumni affairs department, secretary, and parliamentarian. Although Site Two National Alumni Association is an independent organization, it has some components interdependent with their university.

Site Two National Alumni Association does not have any personnel. Site Two National Alumni Association relies on the five staff members at the university's alumni affairs department. The university's alumni affairs department focuses on the chapters and administrative responsibilities of Site Two's National Alumni Association. The executive director of the university alumni affairs department also serves as the liaison from the university president and Site Two's National Alumni Association. Site Two National Alumni Association does not have any staff but they do have an alumni house located on the university's campus. The alumni house serves as a location for meetings, small dinners, and social events. The alumni house also has space for overnight guests.

Site Two National Alumni Association programs and activities. Site Two National Alumni Association is an active organization that plans, supports, and hosts a variety of events. Site Two National Alumni Association has class agent programs that have certain alumni serve as liaisons for a particular class year. The Site Two National Alumni Association also provides career development, homecoming activities, and reunions for their alumni. Site Two National Alumni Association continues to raise money for student scholarships.

A major activity that Site Two National Alumni Association hosts is Alumni Day. Alumni Day is a weekend of events that coincide with their university's commencement. During the weekend, a celebration event is planned for alumni who are celebrating class year milestones within five-year increments. During commencement, alumni celebrating their 50th graduation anniversary are dressed in gold robes and are recognized.

Site Two National Alumni Association resources. As a membership-based organization, Site Two National Alumni Association has two membership options: annual and life. For the 2013-14 fiscal year, Site Two National Alumni Association reported an operational budget of \$130,000. Site Two National Alumni Association's budget comes from their membership dues.

Site Two National Alumni Association leadership and professional associations. The Site Two National Alumni Association president has been in position for one to three years. Site Two National Alumni Association did not report any membership or participation in professional organizations such as the Council for Advancement and Support of Education (CASE) or National Association for Equal Opportunity in Higher Education (NAFEO).

Site Two Foundation

Site Two Foundation is an independent private organization established in 1971. With over 40 years of support, this private foundation is responsible for raising, managing, and distributing funds to Site Two's students. In addition to providing students with funding, they are also responsible for enlisting private support, managing, and investing gifts and properties that will benefit the university.

Although the Site Two Foundation was created specifically to be the fundraising arm for their university, the university has an office of development. Through the partnership of the vice

president of institutional advancement and Site Two Foundation, the office of development and Foundation are able to work in tandem. While Site Two Foundation focuses its efforts and resources on managing and receiving donations, the office of development focuses on the day-to-day operations that encompass annual giving, foundation and corporate giving, major gifts, special events, and advancement services.

Site Two Foundation structure and governance. Site Two Foundation has an elected volunteer board of approximately 18 members. Within the board, there is an executive committee that consists of the chair, vice chair, secretary, treasurer, chair of investment committee, and chair of the development committee. Included on the board are two ex-officio members, the president of the university and the vice president of institutional advancement.

Site Two Foundation programs and activities. All the programs and activities that Site Two Foundation plans and hosts are directed toward the acquisition of increasing the university's financial capacity. A major portion of the money raised goes toward student scholarships. Site Two Foundation programs consist of a Five Dollar Scholarship Campaign, a student giving campaign, an annual golf tournament, and an annual gala. Partnering with the office of development, Site Two Foundation utilizes these programs and activities to raise money.

Site Two Foundation resources. Site Two Foundation as a separate organization and does not receive any funding from the university, but they do receive staffing assistance from the university's development office. A budget for the 2013-14 fiscal year was not reported. On Site Two Foundation's website, it was documented that in 2013 they had revenue of over \$7 million, with the majority coming from contributions, and expenditures of over \$4 million, with over \$1 million going to grants and scholarships. With no personnel staff and as a volunteer-based organization, Site Two Foundation is headquartered in one of the university's buildings.

Site Two Foundation leadership and professional associations. No information was reported for term limitations for Site Two's Foundation President or how long they have been in service. Also no information was reported for membership or participation in any professional associations.

Site Three

Located in a small metropolitan city, Site Three has approximately 3,000 students, with more than 50% of their students identifying as White. Site Three is a land grant institution in control of over 350 acres of land. Operating in the same city as the state capitol, Site Three is one of the top 10 employers for the city with over 400 employees. Site Three had an operating budget for the 2013-14 fiscal year of \$34 million.

Institutional Advancement

At Site Three, the office of university advancement operates as the liaison between the affiliated foundation and the university. The departments that fall under the office of advancement include the advancement/foundation department and alumni affairs. Led by the Special Assistant for Fundraising, the domain identity of alumni affairs is to develop, maintain, and strengthen key supportive alumni relationships with the university. Alumni Affairs is the department that operates as the liaison between the affiliated national alumni association and the university. The university advancement/foundation department is the liaison between the affiliated foundation and the university. This department provides the university support network for the affiliated foundation. The Special Assistant for Fundraising reports directly to the university president. The university president has been in position for less than a year.

Site Three National Alumni Association

Site Three National Alumni Association is an organization that brings together a group of alumni and former students to accomplish their overall mission of assisting their university in carrying out its mission. This 501(c)3 non-profit has a membership dues-based structure. The Site Three National Alumni Association believes their domain identity is to honor and preserve the legacy of the university, assist with recruiting students, and raise funds.

Site Three National Alumni Association structure and governance. Approximately 24 elected members of the board of directors govern Site Three National Alumni Association. Four elected officers serve as the executive committee, and approximately 20 chapter presidents serve on the board. The director of the university's alumni affairs department does not serve on the Site Three National Alumni Association's board. The executive committee of the board consists of the president, vice president, secretary, and treasurer. Nationally elected officers have term limits that cannot extend over two consecutive three-year terms. The board of directors participates in conference calls every other month and is required to attend the two in-person meetings they have, which are a board meeting and the annual alumni convention. Site Three National Alumni Association does not have a physical location out of which they operate. The Site Three National Alumni Association president has access to an office at the university with phone and computer access.

Site Three National Alumni Association program and activities. The alumni association plans, supports, and hosts a variety of programs and activities. Programs such as family of the year, distinguished alumni awards, homecoming, and scholarships to students are a few they provide. A major event the association hosts is an annual national alumni convention. The convention occurs in a different city every year and representatives from the university, foundation, and alumni association come together to provide updates on what is happening with

their respective organizations. The convention also offers workshops for participants, for example, career development, information technology and social media, and estate planning. The registration for the convention is \$150 to \$425 per person.

Site Three National Alumni Association resources. No operating budget was reported for Site Three. The primary source of funding for the Association is membership dues. There are seven levels of membership options. Membership ranges from complimentary for newly minted graduates to honorary for individuals who have been awarded honorary degrees or administrators or faculty who have served the university with distinction. Pricing for membership can cost anywhere from an annual payment of \$40 to a lifetime membership payment of \$1,000. The Association reports to have 500 financial members with the majority of the members being lifetime members. The Association strives to boost their membership base to increase their operational budget.

Site Three National Alumni Association leadership and professional associations. Site Three's National Alumni Association President has a three-year term and has been serving in this capacity for between one and three years. Site Three National Alumni Association is not a member or participant of any professional association such as the Council for Advancement and Support of Education (CASE) or National Association for Equal Opportunity in Higher Education (NAFEO).

Site Three Foundation

Site Three Foundation is an independent 501(c)3 organization. Site Three Foundation was established for the sole purpose of serving the university. Responsibilities that Site Three Foundation assumes according to by-laws are promoting close working relationships between the university and alumni; solicit and manage gifts; lead alumni and community members to

participate in university activities; and identify, solicit, and steward donors. Although Site Three Foundation is a separate entity, it is intricately connected with the university's office of university advancement. The Site Three Foundation and university advancement office share the mission of identifying, cultivating, and securing resources for their university. Through this close relationship, the special assistant for fundraising serves as a liaison between the university and Site Three Foundation.

Site Three Foundation structure and governance. Site Three Foundation is an elected volunteer board of approximately 22 trustees. The executive offices of the board are president, immediate past president, secretary, and treasurer. Serving on the foundation board is the university president, a member of the university's board of curators, the president of the national alumni association, and the university's special assistant for fundraising. Site Three Foundation also has honorary trustees and emeritus trustees. Honorary trustees can speak at meetings but do not have voting rights. Emeritus trustees are trustees who have shown extraordinary financial support or outstanding and sustained involvement and leadership for at least two consecutive terms. Emeritus trustee status can only be recommended by the resource and leadership committee or the president of Site Three Foundation. Trustees of the board serve four-year terms, and they can serve for any number of consecutive terms.

The Site Three Foundation has an advisory board and four standing committees. The advisory board is appointed by members of the board; they serve as a voluntary source of special counsel and advise the officers and board. The four standing committees are governance, development and fundraising, investment and finance, and scholarship.

Site Three Foundation programs and activities. The programs and activities that Site Three Foundation hosts and participate in have a focus on increasing the financial capacity of

their university. Two of the major activities are an annual gala and annual golf tournament. The office of development has a license plate program and there are various giving societies based on levels of giving that range from \$1 to \$100,000.

Site Three Foundation resources. The initial start to Site Three Foundation was funded by the organization's decision to tax each member \$1,200 per year to contribute to their operating budget. The donation from each year has turned into a tradition and, although this money no longer goes toward their operating budget, they give it as a gift to the university. For the 2013-14 fiscal year, Site Three Foundation reported an operational budget of \$230,000. Their budget is now funded from the assessment fees from the money they raise. As a separate entity, Site Three Foundation has a formal agreement to utilize the university's building and office equipment. In addition, Site Three Foundation utilizes their university's development office staff to assist them with administrative responsibilities and tasks.

Site Three Foundation leadership and professional associations. The president of Site Three Foundation has been serving on the board between one and three years. In the position of president, the executive officer term limits are one year. Site Three Foundation is a member of the Association of Governing Boards (AGB).

Summary

This chapter provided descriptions of the organizational characteristics, organizational structures, and leadership of the three sites. Details are provided to add to the understanding and possible application of the results of the study. The next chapter is the data analysis chapter. Chapter five will address the procedures for analyzing the data and provide a narrative explanation of the patterns and themes that emerged.

Chapter 5 - Data Analysis

Introduction

The chapter begins with the procedures for analyzing the data. Throughout this chapter, narrative explanations and tables are provided to display the patterns and themes that emerged from the data. The chapter concludes with a discussion of the inter-organizational patterns of cooperation, coordination, and collaboration (through a presentation of the themes that cut across all patterns.) The research questions below guided the data collection and subsequent analysis.

Overarching Research Question

In what ways do the university president, chief alumni officer, and chief foundation officer, or their designees, cooperate, coordinate, and collaborate at public, historically black colleges and universities?

Sub-Questions

How does the process of cooperation contribute to inter-organizational relations?

How does the process of coordination contribute to inter-organizational relations?

How does the process of collaboration contribute to inter-organizational relations?

Data Analysis Procedure

The data collected for this study are primarily from interview transcripts. In addition to transcripts being analyzed, field notes, documents, and artifacts were collected to provide information about selected institutions and how they operate. A peer coder was utilized to help validate the coding process. A complete description of the data analysis process follows.

Documents

During the scheduling of the one-on-one phone interviews, the researcher informed the participant or their administrative assistant that an informed consent form along with a few demographic questions was to be completed and returned prior to the interview. While conducting interviews requests for organizational charts, mission statements, memorandums of understanding, by-laws, and entity specific documents were collected to assist with data analysis and clarification of the information. Documents were either emailed to the researcher or obtained on the participant's website. All documents were printed and reviewed during data analysis. Collected documents assisted in clarifying patterns and themes that emerged, along with serving as important background information for the case descriptions in Chapter 4.

Field Notes

Field notes were recorded prior to, during, and after the interviews. While the researcher searched for contact information, notes about the process of finding contact information and if the affiliated organizations had links to each other's websites were recorded. During the participant interviews, records were kept of the participant's tone of voice and other verbal or non-verbal cues not captured by the words, along with recording if participants were hesitant to share information or inquired about the importance of the research being conducted. After the interviews, the researcher recorded notes about feelings and thoughts experienced. The compiled field notes were reviewed during and after the analysis of the interview transcripts. As field notes were read, they provided clarification and additional information about the patterns and themes that emerged. The field notes also provided background information for the case descriptions.

Interviews

Interviews with the participants were recorded over the phone with a digital voice recorder. The individual voice recordings were submitted to a confidential and reputable transcribing company. Once the audio recordings were returned and transcribed, the transcripts were read and cross-referenced with the audio recordings for accuracy before coding.

Multiple conceptual frameworks were initially utilized for the first round of coding. Arnold's (2003) conceptual framework drew from literature that analyzed potential environmental and organizational factors, along with the processes of cooperation, coordination, and collaboration. Relationship marketing defined by Gronroos (2000), Gronroos (1982), Gronroos and Gummesson (1985), Parvatiyar and Sheth (1997), and Webster (1992) provided concepts that focused on internal partnerships and factors that may contribute to the relationships. Barnes's (2011) Five E's of customer relationship highlights the experiences of interactions that organizations who are choosing to work together are experiencing or would like to experience. After the first round of coding was completed, the researcher observed that the data became too splintered with insufficient data under any one code to yield a credible pattern. After careful consideration of each of the frameworks as analytic devices, the researcher elected to use Negandhi's (1975) framework for the first level of coding, focusing on the processes of cooperation, coordination, and collaboration to reveal the most credible patterns that could be supported by the data.

Using the conceptual literature discussed in Chapter 2 to further describe and clarify, Negandhi's (1975) inter-organizational framework guided the concepts for cooperation, coordination and collaboration. Arnold's (2003) study used Negandhi's (1975) research in her study and applied it to institutions of higher education that were predominately white; which

served as an example for this study that focused on HBCU. With definitions further expanded, cooperation came from Smith et al. (1995), “the process by which individuals, groups, and organizations come together, interact, and form psychological relationships for mutual gain or benefit” (p. 10). Coordination, as defined by Grandori (1987) and Wong and Johansen (2006), is when individuals, organizations, and their environments come to the table with their resources, knowledge, and abilities and connect to accomplish a common goal or solution. The definition for collaboration, offered by Aiken and Hage (1968), Grandori (1987), Gray and Wood (1991), Hardy et al. (2003), Smith et al. (1995), and Westerlund and Rajala (2010), is a process that entails an organization’s capacity, knowledge, competitive advantage, and influence.

To establish a consensus of level one coding (cooperation, coordination, or collaboration), level two coding (subcategories), and level three coding (grouping subcategories into “hows” and “outcomes”) a peer coder analyzed one full interview transcript. The peer coder selected has formal coursework and experience using qualitative methods. The peer coder had no vested interest in the outcome of this study. There was an initial consensus of 48% of the selected transcript. To increase the percentage of consensus, the researcher and peer coder modified the working definitions and key aspects of cooperation, coordination, and collaboration; discussed the working definitions of the subcategories; and agreed on the groupings of the subcategories into “how” and “outcomes”. Consensus on what differentiates cooperation, coordination, and collaboration is necessary for analysis although the researcher acknowledges the three processes could overlap if the definitions for each code are not distinct and followed carefully. The peer coder and researcher went over the selected transcript again and came to a 90% consensus for all three levels. The data that the peer coder and researcher did

not agree on were data that could be placed in multiple process categories. The researcher used multiple codes to document those data.

After the units of meaning in the data were assigned to one of the three level one codes of cooperation, coordination, and collaboration, the researcher used Microsoft Excel as a vehicle to analyze and sort the data. By utilizing the step-by-step guide of Christopher Hanh's book, *Doing Qualitative Research Using Your Computer*, the researcher was able to organize all the transcript data into one document to assist in conducting a second level of coding. An analysis of the level one codes helped identify any subcategories (level two). As a result of the level two analysis, a total of 20 subcategories were identified throughout the processes of cooperation, coordination, and collaboration. Once the subcategories were coded, all units of meaning in the data were sorted by the three processes, the 20 subcategories, and color-coded by site and position.

The subcategories in level two were then categorized (level three) into two clusters: "how" and "outcomes." "How" was described as the subcategories in which participants expressed how they chose to interact with one another. The subcategories that fit into the "how" categories were: communication, decision making, goal setting, knowledge, influence, involvement, meeting, organizational structure, personnel, position and responsibilities, same page, support university, foundation, alumni, and/or students, and working together. "Outcomes" are described as subcategories of the desired outcomes for which the participants strived when choosing to cooperate, coordinate, and/or collaborate. The subcategories that fit into the "outcome" categories were: connection, finances, fundraising, positive image, recognition, recruitment, and resources. Cooperation had three "how" and two "outcomes"; coordination had five "how" and one "outcome"; and collaboration had two "how" and one "outcome". Throughout the organization and analysis of the data, the researcher continued to

read the original transcripts to remain aware of the interviews in their entirety and made changes to the working definitions of the subcategories. Once all levels of analysis were completed, the researcher identified patterns within the processes of cooperation, coordination, and collaboration (using level two and three codes) and then looked across all codes for themes threaded throughout the study.

During the analysis process, all but the demographic and personal anecdotes were placed under the three level one codes: cooperation, coordination, and collaboration. The amount of uncoded data was small, less than 5%, and did not warrant any emergent codes unrelated to the conceptual framework. Although not all data resulted in a credible code they were considered.

Data Presentation

The data and resulting patterns and themes are presented in the form of tables with narrative explanations. Individual tables were created for the processes of cooperation, coordination, and collaboration. Inside each table, the definition from the inter-organizational process is displayed along with a working definition for this study. For each subcategory, definitions are exhibited alongside documentation of the data with site and participants identified. Sites are numbered (1 through 3) and the participants are labeled according to their role (P=President, A=Chief alumni officer, F=Chief foundation officer). Site 1P indicates it is Site 1 and the participant is the university president. Patterns that emerged and a direct quotation illustrative of the data for the subcategory are included in the table. Patterns were identified if all sites had at least two participants referring to a related concept. The pattern is labeled using the prefix for the level one code followed by a number. Coop1 indicates it is the first pattern under the level one code for Cooperation. The number of participants expressing the related concepts is

not indicative of the level of strength or importance; rather, it indicates the common perceptions across the cases.

Patterns and Themes Emerging from the Data

Patterns that emerged from the data are organized under the process titles “cooperation,” “coordination,” and “collaboration.” The processes come from Neghandi’s (1975) theory of inter-organizational relations. Cooperation has 12 patterns, coordination has 11 patterns, and collaboration has six patterns that emerged from the data.

Cooperation

Defined by Smith et al. (1995), cooperation is “this process by which individuals, groups, and organizations come together, interact, and form psychological relationships and interactions for mutual gain or benefit” (p. 10). For the study, an emphasis was put on the psychological relationship that the university president, chief alumni officer, and/or chief foundation officer, or their designees, referenced as a focus for interacting for mutual benefit. In exploring the psychological relationships, 12 patterns emerged. (See Table 1.)

Coop1. The majority of participants saw the participation of the university president as a measure of validation with regard to the activities and efforts of the alumni association and foundation. Participants shared that having the university president’s buy-in can have a positive impact, but if the university president has not validated their ideas or the university is not on board it can impede their process of moving forward.

The previous president of the NAA [National Alumni Association] he and I worked very closely together to develop what we called an alignment document...so the members of the NAA accepted the document. The members of my trustee board accepted the document. We never got the document accepted by the university...the NAA and the Foundation continued to try to work with it ourselves but it was pretty hard to. (Site 1F)

Understanding that a university president's validation is encouraging, some participants expressed how being sensitive to ideas that come to them is important. "I think the sense that their ideas matter, so I think first of all I think people want to know that they matter, and that when they bring ideas to the table that those ideas are not dismissed" (Site 2P).

Coop2. Some sites have university-led initiatives encouraging local community members and alumni to participate to help bring awareness, celebrate milestones, and support university goals. An alumni participant shared that their university actively seeks out the involvement of their community.

Our university president has engaged the entire community in establishing the strategic plan that goes from 2011 through 2021. It includes not only what the university itself academically wants to accomplish but also how it engages the various stakeholders, that being the alumni and the community. (Site 2A)

Coop3. All three sites have annual national alumni conventions or an alumni event, and university personnel and foundation representatives attend and share updates with alumni. Bringing the three organizations together for an annual activity has been woven into the fabric of some of these sites. This activity can be interpreted as a highly recommended event for the university president and foundation to attend, "my entire cabinet and Vice Presidents we go to their alumni convention every year where we interact with them" (Site 1P). "We specifically discussed trying to work together and to give the perception, to tell people we are working together, we're doing this together, we're keeping each other informed" (Site 3A). Coming together for these events can visually show the cooperation among these organizations and can send a message to the alumni and national alumni association.

Coop4. Participants from the three sites had a belief that the university, national alumni association, and foundation do not overlap in their efforts, but they instead engage in a joint effort. "Oh, no, no, I wouldn't say that. They work in concert, if you will, with each other" (Site

2P). Working “in concert” seems to have a more positive connotation than overlapping, but other participants did see their joint efforts as overlapping, “Yes. They do. Fundraising, getting alumni involved. They all overlap” (Site 3P). Yanay (1989) stated domain overlap can foster conflict between organizations that can negatively impact relationships. The overall outlook of “working in concert,” “overlapping,” or “joint effort” still shows that domain identity amongst organizations is not black and white and may be used as a way of showcasing cooperation.

Coop5. Participants from all three sites expressed that the type of positive or negative experiences they have with one another can enhance or create roadblocks for future interactions. “It’s been challenging but [a] wonderful experience learning and engaging with the university at this time in our history” (Site 2A). The tone of expressing unity and cooperation in a positive, uplifting light was consistent among participants, but some participants also wanted to highlight that cooperating with each other is not always a positive and productive experience.

The alumni association has been very weak ... There have been issues in the past that the University...I come to work with a group of people, it takes them 13 months to develop a video... My expectations of performance are a lot higher than those at the University. So that’s stress and we’re trying to work competently to get over that. But we have opportunities and we have challenges. (Site 1F)

Coop6. Participants at all three sites have a university alumni affairs and development office to add to the equation. “On my cabinet...the Vice President of Institution of Advancement, the Director of Development, the Director of Alumni Affairs, and they’re all a part of our extended cabinet” (Site 2P). As a part of the university, national alumni associations, and foundations are finding themselves incorporating these departments in the cooperation process. Site 3F referenced their relationship with their development office, “Yes. The university has a development office, which it works in conjunction with us in trying to raise money.”

Coop7. Participants at the three sites expressed the alumni association and foundation came together to help their university become better.

As virtue of my position [alumni president] I'm automatically a member of the Foundation, which means you get alumni input on funding efforts and goals and also helping to be a part of these approaches to increasing funding, providing scholarships, doing outreach. (Site 2A)

As external organizations, they have set a mission to come together to support their alma mater.

Coop8. Nearly all the participants perceived the priorities for cooperating to be for raising money for the university. Although most of the participating organizations were in need of additional funding for themselves, the act of coming together to raise money was for the university. Sites showcased how they came together: "the first thing we did...was an appeal for fundraising...that was signed by the [university] president, president of the foundation, and the president of the alumni association" (Site 1A).

Coop9. Among all three sites, participants have the expectation that the university, alumni association, and foundation are to take the responsibility of raising money for the university.

Who should I give my money to. Should I give it to the Foundation? Should I give it to the Alumni Association? Should I give it directly to the university?...even though their goal is to raise money for the university. (Site 1P)

The lack of adequate resources creates challenges for all organizations and contributes to an active domain consensus overlap.

Coop10. The majority of participants see that the creation and sustainability of a positive image for the university is the responsibility of the university, alumni association, and foundation. As HBCU deal with the challenge of people criticizing their image (Riley, 2010), they have an expectation that their alumni associations and foundations should help them promote a positive one. "The goal again is just to make sure that the visibility of Site Three

University is out there, it's positive, recruit students. It's just a wonderful I guess organization to promote Site Three University" (Site 3F).

Coop11. Participants strive for creating a positive image so donors and alumni volunteers have a positive feeling about their site and want to give their time and energy. Participants shared that if their alumni did not have positive experiences or interactions, their desire to engage or give back to their university could be impacted. "Many of our graduates leave the University with the understanding of... a handshake, get my diploma and I wave goodbye, never to come back. There's a problem and we need to work on those." (Site 1F).

Coop12. The majority of leaders see the lending of support mainly toward the university as an act of cooperation. An alumni association took the opportunity to set their organization's vision to mirror the university, thus providing a way for them to support and cooperate with the goals the university set.

Looking at what was then the draft strategic plan for our incoming new president where he wanted to take the university and seeing where we as alumni fit in this picture. Then sort of framing our goals and objectives around the strategic plan. (Site 2A)

The unused subcategories that did not yield a pattern under cooperation were: communication, meeting, same page, connection, and recruitment. The subcategories worth exploring for the future are: the level of access and expectation to meet with the university president; the connection an HBCU has with their current students; and the alumni association's role in student recruitment.

Table 2

Cooperation Patterns

Level 1 Cooperation					
Definition from literature					
Cooperation – the process by which individuals, groups, and organizations come together, interact, and form a psychological relationship for mutual gain or benefit. (Smith et al., 1995)					
Definition for this study					
Cooperation – When the university president, alumni president, and/or foundation president or their designees or affiliated departments mention or participate in interactions that focus on a psychological relationship and/or the goal of interacting is for a mutual benefit.					
Sites are numbered (1 through 3) and the participants are labeled according to their role (P=President, A=Chief alumni officer, F=Chief foundation officer). Site 1P indicates it is Site 1 and the participant is the university president. The pattern is labeled using the prefix for the level one code followed by a number. Coop1 indicates it is the first pattern under the level one code for Cooperation.					
Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategory
Communication – The mention or discussion of sharing information either verbally or electronically.	1P, 2P	1A, 3A	1F, 2F		I have a good working relationship with the president of the university. And while we're not on a regular schedule, I can call or text him with the expectation that whether it's email or whatever, that I'll get an immediate response. (Site 3A)
Involvement – The act of participation in events, activities, and/or meetings.	1P, 3P	1A, 2A, 3A	2F, 3F	Coop1 -The majority of participants see the participation of the university president as a measure of validation to the activities and efforts of the alumni association and foundation. (Site 1P, 3P, 1A, 2A, 2F, 3F) Coop2 -Some sites have university-led initiatives encouraging local community members and alumni to participate in helping bring awareness, celebrating milestones, and supporting university goals. (Site 1P, 3P, 2A, 3A, 2F, 3F) Coop3 -All three sites have annual alumni conventions or events, and university personnel and foundation representatives are in attendance sharing updates with alumni. (Site 1P, 3P, 1A, 3A, 2F, 3F)	I've had him [university president] in Memphis twice this calendar year. (Site 3A)

Table 1 (continued)

Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategory
Meeting – Coming together either verbally or in person to share information and/or make decisions.	1P, 3P	3A	1F		So I have a regularly scheduled meeting with the NAA president, I can meet with the University president when I need to. (Site 1F)
Same Page – University, national alumni association, and foundation in agreement and willingly support and implement plans that communicate one message and do not cause conflict between the organizations.	1P, 2P, 3P	1A	2F, 3F		Well, so that we are not in conflict with events and issues, and things like that, or even to the point of recruiting donors, we need to make sure that we're all on the same page and we're moving forward. (Site 3F)
Working Together – The act or process of sharing input, resources, and/or participating in interactions that produce either positive or negative experiences in a formal or informal agreement.	1P, 2P, 3P	1A, 2A, 3A	1F, 2F, 3F	<p>Coop4-Participants from the three sites have a belief that the university, alumni association, and foundation don't overlap in their efforts but instead engage in a joint effort. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F)</p> <p>Coop5-Participants from all three sites expressed the type of experience they have with one another and how it can enhance or create roadblocks in interacting. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F)</p> <p>Coop6-Participants at all three sites have a university alumni affairs and development office to add to the equation. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F)</p> <p>Coop7-Participants at the three sites express the alumni association and foundation coming together to help their university become better. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F)</p>	<p>I think the sense that their ideas matter. So I think first of all, I think people want to know that they matter, and that when they bring ideas to the table those ideas are not dismissed, and that they see themselves as being critical parts of the success that the institution is trying to achieve. (Site 2P)</p>

Table 1 (continued)

Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategories
Connection – A psychological relationship. Individuals decide if participating in the pursuit of or maintenance of the relationship is positive or negative.	1P, 2P	2A, 3A	1F, 2F		So many of our graduates leave the University with the understanding of like my son does now with two things, a handshake, get my diploma and I wave goodbye, never to come back. There's a problem and we need to work on those, top to bottom. (Site 1F)
Fundraising – The act or process of raising money by cultivating alumni and soliciting donors for scholarships, improving the university, and/or operation needs.	1P, 2P, 3P	1A, 3A	1F, 2F, 3F	Coop8 -Nearly all the participants perceived the priorities for cooperating to be for raising money for the university. (Site 1P, 2P, 3P, 1A, 3A, 1F, 2F, 3F) Coop9 -Among all three sites, participants have the expectation that the university, alumni association, and foundation are to take the responsibility of raising money for the university. (Site 1P, 2P, 3P, 1A, 3A, 1F, 2F, 3F)	The very first thing we did was send out a letter on the president's letterhead, which was an appeal for fundraising to all of the alums, that was signed by the President of the university, President of the foundation, and the President of the alumni association. We're very much in lock step with that. (Site 1A)
Positive Image – The efforts of the university, national alumni association, and foundation in communicating or actively demonstrating actions that evoke a particular outlook of the university to their external constituents.	1P, 2P	1A, 2A, 3A	2F, 3F	Coop10 -The majority of participants see that the creation and sustainability of a positive image for the university is the responsibility of the university, alumni association, and foundation. (Site 1P, 2P, 1A, 3A, 2F, 3F) Coop11 -Participants strive for creating a positive image so donors and alumni volunteers have a positive feeling about their site and want to give their time and energy. (Site 1P, 2P, 1A, 3A, 2F, 3F)	Clearly it's to help the university, number one, I would say to have the right public relationship in the sense of making sure when you say the name Site 1 or whatever university it's a positive thing. (Site 1P)

Table 1 (continued)

Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategories
Recruitment – The act or process of getting prospective students to apply and attend the university.		3A	1F, 3F		The purpose of the Alumni Association is to assist the university with carrying out its mission, raising funds, recruiting high-quality students. (Site 2A)
Support university, foundation, alumni, and/or students – The university, alumni association, and/or foundation coming together to assist in moving forward.	1P, 2P, 3P	1A, 2A	1F, 3F	Coop12 –The majority of leaders see the lending of support to the university as an act of cooperation. (Site 1P, 3P, 1A, 2A, 1F, 3F)	That’s where I started as university president or president of the Alumni Association was looking at what was then the draft strategic plan for our incoming new president where he wanted to take the university and seeing where we as alumni fit in this picture. Then sort of framing our goals and objectives around the strategic plan. (Site 2A)

Coordination

Defined by Grandori (1987) and Wong and Johansen (2006), coordination is the ability of individuals, organizations, and their environments to bring their resources, knowledge, and ability together to accomplish a common goal or solution. The participants emphasized the interactions that were based on bringing resources together and/or the goal of interacting to accomplish a common goal. Twelve patterns emerged in the exploration of bringing resources together. (See Table 2.)

Coord1. All sites expressed utilizing the board of directors or a board of regents in the goal-setting process. These structure bodies come together sharing their views and knowledge about where to focus coordinated efforts and resources. They believe the guidance, and sometimes mandates, they put forth will help their organization succeed. At public institutions, the university president does not have complete freedom to set goals, although alumni and outside constituents may think they do. Presidents expressed having to work with their board of regents: “In terms of setting goals for visions... it starts with the Board of Regents” (Site 2P). The make-up and support of boards of directors or governing regents can impact the coordinated efforts among the university, alumni association, and foundation.

Coord2. Nearly all participants expressed that the university president sets the fundraising and primary goals for everyone to follow, including that alumni association and foundation. While the alumni association and foundation are separate organizations, an overall effort to educate these organizations that they are in existence for the support of the university has been implemented. “The goals are established by the University. We are a supporting foundation” (Site 1F). “The purpose of the alumni association is to assist the university with carrying out its mission, raising funds” (Site 3A).

Coord3. The alumni associations and foundations are structured as advisory boards, and the members are elected and considered volunteers. These structured bodies are elected to come together to share their views and knowledge about where to focus coordinated efforts and resources. “I’m in my second term...President of the National Alumni Association...and I was reelected this past May” (Site 2A).

Coord4. Formal agreements with the university among foundations and alumni associations are utilized to approve resources shared, and actions allowed on behalf or in the

name of the university. With separate alumni associations and foundations that officially operate with the name of their affiliated university, individual universities made agreements.

Memorandums of understanding have been used to allow alumni associations and foundations to use university resources. “We are only connected to the university by a...memorandum of understanding, which indicates that we can utilize their buildings, phones...that kind of stuff that we need to operate” (Site 3F). Adequacy of resources and the interdependence some participants have with one another mirrors what researchers say about why organizations will choose to come together (Alexander, 1995; Arnold, 2003; Grandori, 1987).

Coord5. The department of institutional advancement is a component of the university organizational structure charged with serving as a liaison between the alumni association and foundation. “Yes, there is an Alumni Affairs office. I do work with the director of that office” (Site 3A).

The university has a development office which it works in in conjunction with us...they make sure we have everything for our minutes. They do our travel if we have any. They just mainly make sure we have our budget and everything in place. (Site 3F)

Having university advancement departments enter the organizational structure has caused multiple departments and organizations to embrace the same purpose. “The purpose of the alumni association...a big part of what we do is about the scholarship in addition to trying to help the chapter, trying to help alums” (Site 1A). “We have a very strong Office of Alumni Affairs... the role of that office is to administer the needs of alumni...to ensure that the alumni remain excited about the institution” (Site 3P). The purpose of a foundation “is to raise money for scholarship” (Site 3F). The Office of Development stated, “The fundraising itself is through...the special assistant to the [university] president of fundraising” (Site 3F). The overlap of domain identities causes these organizations to coordinate. As previous research explained,

when multiple organizations lay claim to the same or similar goals, it can create conflict that can negatively impact relationships (Benson, 1975; Yanay, 1989).

Sometimes the alumni association and the alumni affairs at the university [overlap]...I'd have to remind people...if you want to communicate with chapters it's a good idea to run that by me [alumni president]...I think it's inappropriate for the Alumni Office at the university to start tasking chapter presidents to do something...it is a little embarrassing and a little offensive to have a chapter president call...ask what is this university is asking me to do, why are they asking me to do that...to have to say, I don't know, this is the first I've heard of it. (Site 3A)

Coord6. The majority of participants discussed the lack of personnel support for the alumni association and foundation and how volunteers, contractors, and university employees are being used to fill the void. "We are considered having really a staff of two" (Site 1F). "No staff. We're all volunteers and everything that we get done through volunteer efforts" (Site 3A). The lack of personnel and the business model of the volunteer structured systems with which alumni associations and foundations are operating can be a challenge in terms of them effectively coordinating with each other and accomplishing goals.

Coord7. The majority of participants mentioned the top leadership position in university's alumni affairs and development office holds liaison roles between the university and alumni association or foundation, and the university president has an appointed role on the boards of the alumni association and foundation. "The vice president of institutional advancement is also the executive director of the Foundation" (Site 2F). "The president of the university has a de facto position on our board of trustees" (Site 1F). Having university leadership that serves on their alumni association and/or foundation boards can allow for coordinated efforts.

Coord8. The majority of sites have alumni associations and foundation boards that have term limits that enact constant turnover. "Term limits for the elected officers are two years"

(Site 2A). With frequent turnover, momentum for coordinated efforts can be lost in the transition or additional time and energy is expended to catch new leaders up to speed. “The previous president of the NAA he and I worked very closely together...during his whole four-year term...the current NAA president he has been in his role now about six months” (Site 1F).

Coord9. University employees who work in institutional advancement sometimes hold multiple roles within the university and hold appointed positions on the alumni and foundation board of directors. As the participating universities added advancement departments, coordinated efforts were made to ensure a position had a seat at the alumni association or foundation board table. The alumni association and foundation benefit from having a dedicated university official keeping them informed and possibly sharing resources. The university can also be informed and have influence in their association and/or foundation. “National Alumni Association has an executive director who also doubles as the director of alumni relations. So she is the executive director of the National Alumni Association” (Site 2F).

Coord10. Participants from all three sites discussed coming together to discuss the process of cultivating a donor and who was responsible for which task so there would not be confusion or conflict for the donor. With multiple participants taking claim for raising funds, coordinated efforts were noted as important. Sites do not want to portray the image of being disorganized and competing among their donor base by having multiple volunteers and professionals approach them. “So that we are not in conflict...recruiting donors...we’re all sitting at the table together, and we’re figuring out where do we need to go, and what do we need to do”(Site 3F).

Coord11. Participants from the sites expressed serving on boards and committees of the university, alumni association, or foundation was a way to coordinate and discuss ideas to

enhance they university. “I am on the strategic committee, along with the foundation president...the historian of the national alumni association works very closely with the communication folks of the university” (Site 1A).

Coord12. A priority for coordinating among the university, alumni association, and foundation is to limit and remove conflict in cultivating donors or allocating resources. “Who gets resources...how are resources disburse...there have been some conflicts but we try to minimize those” (Site 3P).

The unused subcategories that did not yield a pattern under coordination were: communication, influence, involvement, knowledge, meeting, same page, finances, fundraising, positive image, recognition, and recruitment. Some subcategories worth exploring for the future are: The level of influence an organization has to provide resources or provide opportunities; the amount of knowledge professionals and volunteers have about institutional advancement; and the role recognition and showing appreciation to volunteers has in relationships.

Table 3

Coordination Patterns

Level 1
Coordination

Definition from literature
Coordination-The ability for and implementation of coordination requires individuals, organizations, and their environments to come together and bring their resources, knowledge, and ability to the table to accomplish a common goal or solution (Grandori, 1987; Wong & Johansen, 2006).

Definition for this study
Coordination-When the university president, alumni president, and/or foundation president or their designees or affiliated departments mention or participate in interactions that focus on bringing resources together and/or for the purpose of interacting, it is to accomplish a common goal.

Sites are numbered (1 through 3) and the participants are labeled according to their role (P=President, A=Chief alumni officer, F=Chief foundation officer). Site 1P indicates it is Site 1 and the participant is the university president. The pattern is labeled using the prefix for the level one code followed by a number. Coord 1 indicates it is the first pattern under the level one code for Coordination.

Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategories
Communication - The mention or discussion of sharing information either verbally or electronically.	1P, 2P	1A, 2A, 3A	3F		If I need information, I call, I say I need to know did these people get a Thank You, did they donate, I said I saw them at an event, they said they were going to contribute, did that come in, etcetera. So that's my line of communication. (Site 3F)
Goal Setting - The act or process of creating and/or approving a plan for the future.	1P, 2P, 3P	1A, 2A	1F, 2F, 3F	<p>Coord1-All sites express utilizing board of directors or a board of regent in the goal-setting process. (Site 1P, 2P, 3P, 1A, 2A, 2F, 3F)</p> <p>Coord2-Nearly all participants expressed that the university president sets the fundraising and major goals for everyone to follow including that of the alumni association and foundation. . (Site 1P, 2P, 1A, 2A, 2F, 3F)</p>	Well, we have a set of what we believe are our beliefs and actions but the goals are established by the University. We are a supporting foundation. (Site 1F)

Table 2 (continued)

Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategories
Influence- The power, status, experience, or capacity that has an affect on behaviors and/or actions of others.	1P	3A	1F, 2F		Right now I think the entities are so young, at least in the case of the Foundation. The NAA has not been strong in the past. (Site 1F)
Involvement- The act of participation in events, activities, and/or meetings.	3P	1A, 2A, 3A	2F		Our alumni association participates in the entire weekend of events at the university, including the Foundation gala, the annual parade, homecoming parade, the homecoming game event and numerous activities. (Site 2A)
Knowledge- The education or lack thereof about business operations or state funding.	1P	3A	1F, 2F		And we don't have the experience, the expertise, and in some cases the know-how to do that the way it ought to be done. And this president had the foresight to hire a professional fundraiser so that the rest of us can learn, can be brought on-board, and be used. (Site 3A)

Table 2 (continued)

Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategories
Meeting- Coming together either verbally or in person to share information and/or make decisions.	1P	3A	1F, 2F		We meet on alternate months and we used to meet ... well, let me start with this, our required minimum is twice a year. Some presidents have tried meeting every month. It didn't go over well. So right now, we're experimenting with every other month. (Site 3A)
Organizational Structure- A reporting or partnering process that is followed by boards, administrators, staff, and volunteers on a formal or informal basis.	1P, 2P, 3P	1A, 2A, 3A	1F, 2F, 3F	<p>Coord3-The alumni associations and foundations are structured as advisory boards. The members are both elected and volunteers. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F)</p> <p>Coord4-Formal agreements with the university among foundations and alumni association are utilized to approve resources shared and actions allowed on behalf of or in the name of the university. (Site 1P, 3P, 1A, 2A, 3A, 1F, 2F, 3F)</p> <p>Coord5-Institutional advancement is a component of the university organizational structure that is charged with serving as a liaison between the alumni association and foundation. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F)</p>	You have the President. You have six elected officers, Vice President, Treasurer, Secretary, Financial Secretary, Historian, and then we have an administrator. And then we have chapters, and each one of those chapters has a President. And each one of the chapter Presidents is a member of the Board of Directors of the alumni association, as well as the elected officers. (Site 1A)

Table 2 (continued)

Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategories
Personnel- A group of administrators, staff, contractors, or volunteers who provide operational services to the university, national alumni association, and/or foundation.	2P, 3P	1A, 2A, 3A	1F, 2F	Coord6- The majority of participants discussed the lack of personnel support for the alumni association and foundation and how volunteers, contractors, and university employees are being utilized to fill the void. (Site 2P, 2P, 1A, 2A, 1F, 2F)	We are considered as having really a staff of two, one part-time individual in our office and another contractor who lives in Boulder, Colorado and then we use a cadre of other contractors who are former employees of mine who have gone off to create businesses of their own that I know fairly well. But we are a very flat organization and not a very large staff. (Site 1F)
Position and Responsibilities- An individual who either was elected, appointed, or hired to lead, assist, or serve as a liaison or member for a single or multiple roles within the university, national alumni association, and/or foundation.	1P, 2P, 3P	1A, 2A, 3A	1F, 2F, 3F	Coord7- The majority of participants make mention that the top leadership position in university's alumni affairs and development office hold liaison roles between the university and alumni association or foundation and that the university president has an appointed role on the boards of the alumni association and foundation. (Site 1P, 2P, 3P, 1A, 2A, 3A, 2F, 3F) Coord8- The majority of sites have alumni associations and foundation boards that have term limits that enact constant turnover. (Site 1P, 2P, 3P, 1A, 2A, 3A, 2F, 3F) Coord9- University employees who work in institutional advancement sometimes hold multiple roles within the university and hold an appointed position on the alumni and foundation board of directors. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F)	We have the Alumni Relations Office. We have for that office there is an Executive Director of Alumni Relations, Executive Director to the Association and then the Director of the Alumni Relations, which is one person. (Site 2A)

Table 2 (continued)

Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategories
Same Page- University, national alumni association, and foundation in agreement and willingly support and implement plans that communicate one message and do not cause conflict between the organizations.			2F, 3F		We get our marching orders from strategic plans which prioritize for us so that we're all operating off the same page and I think for clarity sake it's important that the message be uniform and that we be in lockstep with each other with respect to that. (Site 2F)
Working Together- The act or process of sharing input, resources, and/or participating in interactions that produce either positive or negative experience in a formal or informal agreement.	1P, 2P, 3P	1A, 2A, 3A	1F, 2F, 3F	Coord10- Participants from all three sites discussed coming together to discuss the process of cultivating a donor and who was going to do what, so that it would not bring confusion or conflict with the donor. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F) Coord11- Participants from the sites expressed serving on boards and committees of the university, alumni association or foundation as a way to coordinate and discuss ideas to enhance the university. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F)	Well, they [development office] make sure we have everything for our minutes. They do our travel if we have any. They just mainly make sure we have our budget and everything in place. They collaborate on the agenda, those kinds of things. (Site 3F)
Finances- The status or mention of the university, national alumni association, and/or foundation operating funds.		1A, 2A, 3A	1F, 3F		So right now, the money coming into the organization is either through memberships or through the occasional fundraiser that we've had in the past. Another note, recognizing that finances are an issue for us and that we have been short of money for a long time. (Site 3A)

Table 2 (continued)

Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategories
Fundraising- The act or process of raising money by cultivating alumni and soliciting donors for scholarships, improving the university, and/or operation needs.	1P, 3P	1A, 3A	1F, 2F, 3F		We have a major gifts program. We have an annual fund program. We have a signature fundraising event that happens every year. We have a couple of events. We have a golf tournament and we have a gala. (Site 2F)
Positive Image- The efforts of the university, national alumni association, and foundation communicating or actively demonstrating actions that evoke a particular outlook of the university to their external constituents.	1P		1F		So they're coming to us as one last gasp. My answer ultimately is still no but it doesn't have to be a negative no, any worse no. And so a lot of times we try to explain why it is that whatever it is that they want done can't happen. (Site 1P)
Recognition- The desire for credit in a public way.	1P	3A			To get closer to the students and to have students understand that the Alumni Association is just some organization that just deals with people who have already graduated, but that we are in fact an organization that has impact on the lives of the current students, in that we mentor. (Site 3A)
Recruitment- The act or process of getting prospective students to apply and attend the affiliated university.			1F		I see the National Alumni Association being a primary recruiting arm an extension of the University. (Site 1F)

Table 2 (continued)

Subcategories	University Presidents	Chief Alumni Officers	Chief Foundation Officers	Patterns	Sample Data for Subcategories
Resources- Personnel, funding, technology, office space, and/or equipment the university, national alumni association, and/or foundation possess or are in need of in order to operate.	1P, 2P, 3P	1A, 2A, 3A	1F, 2F, 3F	Coord12- Some universities are providing their alumni associations and foundation with office space and office equipment. (Site 2P, 3P, 2A, 3A, 1F, 2F, 3F)	Who's responsible, who gets resources, where the resources go, who decides how the resources are disbursed... There have been some conflicts but we try to minimize those. (Site 3P)

Collaboration

Collaboration is defined as a process that entails organizations working together in making decisions that can increase an organization's capacity, knowledge, competitive advantage, and influence (Aiken & Hage, 1968; Grandori, 1987; Gray & Wood, 1991; Hardy et al., 2003; Smith et al., 1995; Westerlund & Rajala, 2010). For this study, the participants emphasized the interactions that focus on making decisions and/or interacting to build capacity. In the exploration of the interactions of decision making or building resource capacity, six patterns emerged. (See Table 3.)

Collab1. Nearly all the participants highlighted that the alumni president has an appointed seat on the foundation board and can provide input. With some of the alumni association participants they expressed being a part of fundraising initiatives but not having a voice at the table. "Last year or so my position as the alumni president has been included as a voting member of the foundation. My position has a seat on the foundation that could only express an opinion, could not vote and affect the outcome of anything" (Site 3A). The ability to have an effect on the decision making, especially in the area of fundraising, creates more buy-in and a level of collaborative respect is provided to alumni associations. Collaborative respect is

important, as research shows alumni associations can feel overshadowed since foundations came on board (Forman, 1989).

Collab2. Participants at all three sites stated that the university president determines the fundraising goals. The fact that the university sets the fundraising goals is not a true collaborative effort if the alumni association or foundation is not assisting in making the decision. Collaboration can occur due to the actual results the association and foundation bring in raising money to increase the university's financial capacity. A university president expressed their role in setting fundraising goals, "so I look to the foundation basically saying here's where we are and this is what we need to do in terms of raising additional dollars" (Site 2P).

Collab3. Participants from all three sites showcased how they work together by sharing information about potential donors and allowing the university development office to borrow the networks of the alumni association and foundation board of directors. "And so as the [university] president, I might go and have dinner...with corporate CEO's...the minute I get back to the campus, I need to hand that off to perhaps the entity that will be following up a bit more" (Site 2P). Sharing among entities throughout the donor cultivation process may assist in securing a successful donor gift.

Collab4. Frequent turnover of the university, alumni association, or foundation leadership creates challenges for collaboration. "The person from the university who we were working with now and when that person changed roles the new person came in and said they are not doing anything with the document" (Site 1F). Collaboration can come to a halt among organizations when leadership or personnel changes, which can impact a relationship positively or negatively.

Collab5. Participants from all three sites expressed their reason for collaborating was to be successful in fundraising. “We still make every effort to cooperate on every level...it’s a coordinated effort to make sure we maximize that kind of collaboration so we can get their biggest bang for our buck” (Site 3F).

Collab6. Participants at all sites express that the foundation is the fundraising arm, but alumni chapters and university presidents are fundraising. “Of course, the underpinning is always fundraising primarily for scholarships for all the students” (Site 1A).

The unused subcategories that did not yield a pattern under collaboration were: communication, goal setting, influence, knowledge, same page, finances, and resources. Some subcategories worth exploring for the future are the type of publications created or utilized for sharing information. Also, the inadequate resources that can impact collaborative efforts merit further investigation.

Table 4

Collaboration Patterns

Level 1 Collaboration					
Definition from literature					
Collaboration- a process that entails organizations working together in making decisions that can increase an organization’s capacity, knowledge, competitive advantage, and influence (Aiken & Hage, 1968; Grandori, 1987; Gray & Wood, 1991; Hardy, Phillips, & Lawrence, 2003; Smith, Carroll, & Ashford, 1995; Westerlund & Rajala, 2010)					
Definition for this study					
Collaboration- when the university president, alumni president, and/or foundation president or their designees or affiliated departments mention or participate in interactions that focus on making decisions and/or interacting to build capacity.					
Sites are numbered (1 through 3) and the participants are labeled according to their role (P=President, A=Chief alumni officer, F=Chief foundation officer). Site 1P indicates it is Site 1 and the participant is the university president. The pattern is labeled using the prefix for the level one code followed by a number. Collab1 indicates it is the first pattern under the level one code for Collaboration.					
Subcategories	University Presidents P	Chief Alumni Officers A	Chief Foundation Officers F	Patterns	Sample Data for Subcategories
Communication- The mention or discussion of sharing information either verbally or electronically.	1P	1A			But as far as we do this thing, I’m in constantly, when I say constant, constant contact with the foundation. (Site 1A)
Decision Making- The ability of an individual or position to provide input, approve/disapprove processes and/or set vision/goals.	1P, 2P	1A, 2A, 3A	1F, 3F	Collab1- Nearly half the participants highlighted that the alumni president has an appointed seat on the foundation board and can provide input. (Site 1P, 2P, 1A, 2A, 3A, 1F, 3F) Collab2- Participants at all three sites stated that the university president determines the fundraising goals. (Site 1P, 2P, 1A, 2A, 3A, 1F, 3F)	The example I often use is that in the last year or so, my position as the Alumni President has been included as a voting member of the foundation. My position has a seat on the foundation that could only express an opinion, could not vote and affect the outcome of anything. (Site 3A)
Goal Setting- The act or process of creating and/or approving a plan for the future.	1P, 2P	1A	1F		We have been on task to try to build a foundation and raise money for a 57 million dollar stadium at the same time, so it’s been a little bit of a challenge. (Site 1F)
Influence- The power, status, experience, or capacity that has an effect on behaviors and/or actions of others.	1P	3A	1F		Just having, I think it’s one thing for me to meet with a legislator but quite another for somebody who the legislator views as a personal friend and maybe a source of campaign contributions. (Site 1P)

Table 3 (continued)

Subcategories	University Presidents P	Chief Alumni Officers A	Chief Foundation Officers F	Patterns	Sample Data for Subcategories
Knowledge- The education or lack thereof about business operations or state funding.		3A	1F		There should be some practices that are learned in education that can be shared in corporate, in the corporate world. There are a lot of things in the corporate world education could pick up on. (Site 1F)
Same Page- University, national alumni association, and foundation in agreement and willingly support and implement plans that communicate one message and do not cause conflict between the organizations.			3F		Again, as I said earlier, we want to make sure that we're all on the same page, that what we're soliciting, we have one message that goes out for our donors, and for our alumni. (Site 3F)
Working Together- The act or process of sharing input, resources, and/or participating in interactions that produce either positive or negative experiences in a formal or informal agreement.	1P, 2P, 3P	1A, 2A, 3A	1F, 2F, 3F	Collab3- Participants from all three sites showcased how they work together by sharing information about potential donors and allowing the university development office to borrow the networks of the alumni association and foundation board of directors. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F) Collab4- Frequent turnover from alumni association and foundation board leadership creates challenges for collaboration. (Site 1P, 2P, 3P, 1A, 2A, 3A, 2F, 3F)	And so the president, I might go out and have dinner with three or four corporate CEOs, and during the course of the conversation begin to talk about the university, some of the things that we do. The minute I get back to the campus, I need to hand that off to perhaps the entity that will be following up a bit more... (Site 2P)
Finances- The status or mention of the university, national alumni association, and/or operating funds.			1F, 3F		Right now that overlap had to exist because the NAA doesn't have the strength financially to stand on its own. (Site 1F)

Table 3 (continued)

Subcategories	University Presidents P	Chief Alumni Officers A	Chief Foundation Officers F	Patterns	Sample Data for Subcategories
Fundraising- The act or process of raising money by cultivating alumni and soliciting donors for scholarships, improving the university, and/or operation needs.	1P, 2P, 3P	1A, 2A, 3A	1F, 2F, 3F	Collab5- Participants from all three sites expressed their reasoning for collaborating to be successful in fundraising. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F) Collab6- Participants at all sites express that the foundation is the fundraising arm, but alumni chapters and university presidents are fundraising. (Site 1P, 2P, 3P, 1A, 2A, 3A, 1F, 2F, 3F)	Of course, the underpinning is always fundraising, primarily for scholarships for all the students. So each one of these chapters has an endowment fund at the university. From that endowment fund we provide scholarships to the students. They also provide scholarships directly to the student. (Site 1A)
Resources- Personnel, funding, technology, office space, and/or equipment the university, national alumni association, and/or foundation possess or are in need of in order to operate.	1P, 2P, 3P	1A			Sometimes we have to do some training and we have to say, you know, or we have to perhaps downsize, we have to reallocate, we have to look at programs that have been around for a long period of time that are nice to have but they may not be critical given where we are right now. (Site 2P)

Themes Derived from Data

Among the three inter-organizational processes of cooperation, coordination, and collaboration, 30 patterns emerged. The 30 patterns were analyzed and grouped together by identifying similar ideals and concepts. After grouping the patterns there was a natural placement of all 30 patterns under one of the three themes. Patterns that focused on actions of completing tasks or the reasoning behind coming together were placed under theme one working together. Patterns that concentrated on organizational internal structure makeup and external organizational interactions were placed under theme two human capital and organizational

structures. Patterns that discussed the building of the university's resources and being a part of the decision making process were placed under theme three resource capacity. (See Table 5.)

Theme 1-Working Together

“Working together” describes how the three organizations **enact** cooperation, coordination, and collaboration. Cooperation plays a prominent role among the three inter-organizational processes. The action of working together can be looked at as “how” these leaders choose to come together. The psychological agreement to interact can come in diverse ways while supporting and participating in sponsored activities such as annual galas, golf tournaments, homecoming, annual alumni conventions, graduation, founder's day activities, and local chapter scholarship events.

The enactment of working together can hinge on the positive or negative experiences a leader may have. Those inter-organizational experiences have the potential to permeate organizational culture that can enhance or lessen the overall focus of supporting and promoting the university. The courtesy and respect of coordinating events, or soliciting donors that do not conflict or cause a donor to choose between one organization and another is a visible way for organizations to express they are working together.

Theme 2 – Human Capital and Organizational Structures

Human capital and organizational structures **affect coordination** and the ability to reach goals. The personnel, position and responsibilities, and organizational structure of the university, national alumni association, and foundation serve as key goal attainment components. With the foundation and national alumni association operating solely as advisory boards, appointed seats for the university president, national alumni president, and foundation president are offered. The

appointed seats can provide opportunities for inter-organizational conversations that allow for the coordination of activities and fundraising.

The university, however, has an internal structure with an alumni affairs and development department that has the same purpose as the national alumni association and foundation. The leaders of the university advancement team sit on the university president's cabinet and serve dual positions with the university, national alumni association, and foundation. With the multiple roles the university advancement departments play, the coordination of reaching out to alumni, planning alumni activities, and/or fundraising has to be done delicately for the goal of increasing the university's capacity to be met.

Theme 3 – Resource Capacity

Resource capacity is the goal that focuses the efforts of cooperation, coordination, and collaboration. The need for the university to acquire resources in the form of funding, personnel, and technology and equipment is the end goal. The national alumni association and foundation share their networks with the university to provide opportunities to increase the resource capacity. Through this form of collaboration, the coordination of activities serving as a fundraiser is a task for which the university, national alumni association, and foundation have all taken responsibility. The inter-organizational understanding that each organization needs to fundraise to increase the resource capacity of the university has encouraged duplication of events and activities such as annual galas, scholarship events, and courting potential donors. To manage the logistics the university advancement departments coordinate the efforts. The university president sets the fundraising goals while the national alumni associations and foundations cooperate and collaborate by agreeing to share their networks and oblige the process of reaching out and engaging alumni and donors.

This chapter described the procedures for analyzing the data and showcased the 30 patterns that emerged from applying Negandhi's (1975) inter-organizational relationship processes of cooperation, coordination, and collaboration. This chapter also examined the three themes that derived from the analysis of the patterns. Theme one- "Working together" describes how the three organizations **enact** cooperation, coordination, and collaboration. Theme two- Human capital and organizational structures **affect coordination** and the ability to reach goals. Theme three- **Resource capacity is the goal** that focuses the efforts of cooperation, coordination, and collaboration.

Summary

This chapter provided procedures for analyzing data, along with providing narrative explanations and tables for the patterns and themes that emerged. Chapter 6 serves as the concluding chapter. This chapter will include discussions of the themes, over-arching research question and sub-questions, significance of the study, implications for practice, and recommendations for future studies.

Table 5

Themes

Themes	Theme Descriptions	Associated Patterns
<p>Theme 1-Working Together</p> <p>“Working together” describes how the three organizations enact cooperation, coordination, and collaboration.</p>	<p>Cooperation plays a prominent role amongst the three inter-organizations. The action of working together can be looked at as “how” these leaders choose to come together. The psychological agreement to interact can come in diverse ways of support and participation of sponsored activities such as annual galas, golf tournaments, homecoming, annual alumni conventions, graduation, founder’s day, and local chapter scholarship events.</p> <p>The enactment of working together can hinge on the positive or negative experiences a leader may have. Those inter-organizational experiences have the potential to permeate the organizational culture that can enhance or lessen the overall focus of supporting and promoting the university.</p> <p>The courtesy and respect of coordinating events, or soliciting donors that do not conflict or cause a donor to choose between one organization or another is a visible way for an organization to say they are working together.</p>	<p>Coop1-The majority of participants see the participation of the university president as a measure of validation to the activities and efforts of the alumni association and foundation.</p> <p>Coop2-Some sites have university-led initiatives to encourage local community members and alumni to participate in helping bring awareness, celebrate milestones, and support university goals.</p> <p>Coop3-All three sites have annual national alumni conventions, and university personnel and foundation representatives are in attendance sharing updates with alumni.</p> <p>Coop4-Participants from the three sites have a belief that the university, alumni association, and foundation don’t overlap in their efforts, but they instead engage in a joint effort.</p> <p>Coop5-Participants from all three sites expressed the type of experience they have with one another and how it can enhance or create roadblocks in interacting.</p> <p>Coop6-Participants at all three sites have a university alumni affairs and development office to add to the equation of working together.</p> <p>Coop7-Participants at the three sites expressed that the alumni association and foundation come together to help their university become better.</p> <p>Coop10-The majority of participants see that the creation and sustainability of a positive image for the university is the responsibilities of the university, alumni association, and foundation.</p> <p>Coop11-Participants strive for creating a positive image so donors and alumni volunteers have a positive feeling about their site and want to give of their time and energy.</p> <p>Coop12-The majority of leaders see the lending of support mainly toward the university as an act of cooperation.</p> <p>Coord10-Participants from all three sites discussed coming together to discuss the process of cultivating a donor and who was going to do what so it would not bring confusion or conflict with the donor.</p> <p>Coord11-Participants from the sites expressed serving on boards and committees of the university, alumni association or foundation as a way to coordinate and discuss ideas to enhance the university.</p> <p>Coord12-Some universities are providing their alumni associations and foundation with office space and office equipment.</p> <p>Collab3-Participants from all three sites showcased how they work together by sharing information about potential donors and allowing the university development office to borrow the networks of the alumni association and foundation board of directors.</p>

Table 4 (continued)

Themes	Theme Descriptions	Associated Patterns
<p>Theme 2- Human Capital and Organizational Structures</p> <p>Human capital and organizational structures affect coordination and the ability to reach goals.</p>	<p>The personnel, position and responsibilities, and organizational structure of the university, national alumni association, and foundation serve as key goal attainment components. With the foundation and national alumni association operating solely as advisory boards. Appointed seats for the university president, national alumni president, and foundation president are offered. The appointed seats can provide opportunities for inter-organizational conversation that allows for the coordination of activities and fundraising.</p> <p>The university, however, has an internal structure that has an alumni affairs and development department with the same purpose as the national alumni association and foundation. The leaders of the university advancement team sit on the university president’s cabinet and serve dual positions with the university, national alumni association, and foundation. With the multiple roles the university advancement departments play, the coordination of reaching out to alumni, planning alumni activities, and/or fundraising has to be delicately coordinated for the goal of increasing the university’s capacity.</p>	<p>Coord1-All sites express utilizing a board of directors or a board of regents in the goal-setting process.</p> <p>Coord3-The alumni associations and foundations are structured as advisory boards. The members are elected and volunteers.</p> <p>Coord4-Formal agreements with the university among foundations and alumni associations are utilized to approve resources shared as well as actions allowed on behalf or in the name of the university.</p> <p>Coord5-Institutional advancement is a component of the university organizational structure that is charged with serving as a liaison between the alumni association and foundation.</p> <p>Coord6-The majority of participants discussed the lack of personnel support for the alumni association and foundation and how volunteers, contractors, and university employees are being utilized to fill the void.</p> <p>Coord7-The majority of participants make mention that the top leadership position in a university’s alumni affairs and development office hold liaison roles between the university and alumni association or foundation and that the university president has an appointed role on the boards of the alumni association and foundation.</p> <p>Coord8-The majority of sites have alumni associations and foundation boards that have term limits that enact constant turnover.</p> <p>Coord9-University employees who work in institutional advancement sometimes hold multiple roles within the university and hold an appointed position on the alumni and foundation board of directors.</p> <p>Collab1-Nearly half the participants highlighted that the alumni president has an appointed seat on the foundation board and can provide input.</p> <p>Collab4-Frequent turnover from alumni association and foundation board leadership creates challenges for collaboration.</p> <p>Collab6-Participants at all sites express that the Foundation is the fundraising arm, but alumni chapters and university presidents are fundraising.</p>

Table 4 (continued)

Themes	Theme Descriptions	Associated Patterns
<p>Theme 3- Resource Capacity</p> <p>Resource capacity is the goal that focuses the efforts of cooperation, coordination, and collaboration.</p>	<p>The need for the university to acquire resources in the form of funding, personnel, and technology and equipment serve as the end goal. The national alumni association and foundation share their networks with the university to provide opportunity to increase the resource capacity. Through this form of collaboration, the coordination of activities that serve as a fundraiser is a task that the university, national alumni association, and foundation have all taken responsibility for. With the inter-organizational understanding that each organization needs to fundraise to increase the resource capacity of the university has encouraged duplication of events and activities such as annual galas, scholarship events, and courting potential donors. To manage the logistics, the university advancement departments coordinate the efforts. The university president sets the fundraising goals while the national alumni association and foundation cooperate and collaborate by agreeing to share their networks and to oblige to the process of reaching out and engaging alumni and donors.</p>	<p>Coop8-Nearly all the participants perceived the priorities for cooperating to be for raising money for the university.</p> <p>Coop9-Among all three sites, participants have the expectation that the university, alumni association, and foundation are to take the responsibility of raising money for the university.</p> <p>Coord2-Nearly all participants expressed that the university president sets the fundraising and major goals for everyone to follow, including the alumni association and foundation.</p> <p>Collab2-Participants at all three sites stated that the university president determines the fundraising goals.</p> <p>Collab5-Participants from all three sites expressed their reasoning for collaborating to be successful in fundraising.</p>

Chapter 6 - Conclusion

Introduction

The purpose of this study was to explore perceptions regarding the ways university presidents, chief alumni officers, and chief foundation officers at HBCU cooperate, coordinate, and collaborate. Expanding on the research from Arnold's (2003) *Friend Raiser and Fund Raiser: Alumni Relations and Development in Large, Public Universities*, the researcher focused on small to medium sized public historically black colleges and universities. In this concluding chapter, a discussion of the themes, the over-arching research question, and sub-questions is provided. In addition, this chapter includes sections on the significance of study, implications for practice, and recommendations for future studies.

Discussion of Theme One: “Working Together” Describes How the Three Organizations Enact Cooperation, Coordination, and Collaboration

The overall concept of “working together” was consistent among the participant interviews. The idea of coming together as a team was expressed as the way business is conducted at the individual sites. Sites had not always operated in the spirit of “working together” in a formal sense, but the leadership now has embraced the philosophy and it is the current way of conducting business. Before the university, national alumni association, and foundation were promoting the practice of working together as a team, these organizations operated more like silos. Programming, approaching donors, and other priorities were executed on an individual organizational basis. This type of silo interaction caused competition among organizations and confusion among donors and supporters.

Participants moved to a more unified approach and have found success in coordinating their events so that they do not overlap and they have seen a reduction in donor confusion. A

business model that the participating sites have implemented is utilizing the university's alumni affairs and office of development. The alumni affairs and office of development are the departments that serve as liaisons between the university and alumni association and/or foundation. This is where the communication and logistics about events and donor cultivation occur. Having a representative from the alumni affairs or office of development serve on the advisory boards of the national alumni association and foundation has fostered an environment in which these organizations can work together.

Each site stated that the university president is the leader who sets the priorities and vision for the way they implement their fundraising strategy. The leaders at each site also expressed that their overall purpose for working together, as a team, is to support the university's goals and help the university in increasing its resources. It is not surprising that the university president would be the leader to set out the vision for fundraising, since their position can be seen as the chief fundraiser. What is worth noting is that some participants in the foundation and national alumni associations communicated their having minimal financial resources to operate and a constant challenge of solving this problem. Despite their organizational challenges, foundation and national alumni associations believe they would be able to effectively assist the university in increasing their resources.

The concept of cooperating with one another is conveyed mainly through a common philosophy between the leaders. The sites of this research generally choosing to buy into the vision set by the university president and act in a way that supports operating as a team. Through serving on advisory boards, sitting on graduation daises, and attending annual alumni conventions, participants are showing they are team players.

In the area of coordination, individual organizations within the sites are still producing their own events and activities, but the courtesy of not double booking a date and supporting each other's activities is a primary way coordination is enacted. Through the assistance of the alumni affairs department and the office of development, homecoming activities, fundraising galas, and other events are coordinated so alumni and potential donors are not plagued with choosing which event to attend on the same day. In the area of donor cultivation, leaders of each organization are informed of who is approaching whom and who the best person is to approach the donor is discussed. There is a consistent overall message conveyed among leaders that if money is solicited and donated, it should go to the university and not to the individual organizations.

Collaboration is probably the weakest process implemented among the processes. Sites are still holding duplicate events and implementing their own strategic plans but they are coordinated better. Collaboration among the individual organizations is demonstrated through the national alumni association and foundation sharing their networks and platforms with the university. Members of the foundation are providing access to their corporate and foundation contacts. National alumni associations are putting the priorities of the university in front of their alumni chapters and groups and inviting university and foundation representatives to communicate the fundraising needs of the university. How these leaders choose to cooperate, coordinate, and collaborate at their site provide opportunities for working together.

Discussion of Theme Two: Human Capital and Organizational Structures Affect Coordination and the Ability to Reach Goals

The ability to coordinate efforts successfully can rest on the individuals and structures in place. At each participating site, the university had an alumni affairs department and office of

development as a part of their organizational structure. The purpose of these departments was to oversee and implement the institutional advancement responsibilities. Responsibilities such as communicating and engaging alumni, implementing annual and major giving programs, managing and safeguarding the alumni/donor database, donor cultivation, alumni recognition, and preparing and assisting the university president for donor visits are a few activities these departments manage.

When looking at domain identity and consensus, it is important to note that the university alumni affairs department and national alumni association hold the same responsibilities, and the university office of development and foundation hold the same responsibilities. In addition, all four entities (office of alumni affairs, office of development, national alumni association, and foundation) see it as their responsibility to fundraise for the university. With the duplication of domain identity, coordination is seen as an important element for a positive relationship among the university, national alumni association, and foundation. Each site sees the ability to coordinate their efforts as a way to help reach the goal of raising money for the university. Looking at the history of some sites, the national alumni associations and foundations have been in existence since before the creation of the university alumni affairs office and office of development. The question one would like to ask is, “What was the purpose of creating duplicate efforts of the national alumni association and foundation?” Or how did this duplication of efforts emerge?

The topics of limited staffing and position term limits were consistently mentioned as challenges for national alumni associations and foundations to overcome. Some national alumni associations expressed they had no staff and their entire organization was volunteer based. Some

foundations also communicated that their organization was strictly made up of volunteers as well.

The business of alumni engagement and fundraising is no longer a small percentage of a professional's job responsibility; instead it has evolved into a meticulous art form that requires certifications, extensive training, and daily interactions to be successful. The responsibility of the university alumni affairs department and office of development is taking on the daily tasks of institutional advancement; national alumni associations and foundations are still able to participate in assisting the university in raising money. The continual concern is that university advancement departments are still small, have limited capacity, and experience turnover.

Discussion of Theme Three: Resource Capacity is the Goal Focusing the Efforts of Cooperation, Coordination, and Collaboration

The operational budget for HBCU and the need for student scholarships have brought the university, national alumni association, and foundation together. The university leaders have expressed their need for additional resources. National alumni associations and foundations wish to be supportive they have committed to being a part of the solution. With all resources dedicated toward increasing the university's resource capacity, the focus for the national alumni associations in particular has narrowed. The foundation was created to serve in the capacity of raising money for the university, but the creation of national alumni associations came to exist because former students wanted to organize around the connectedness and pride for their alma mater (Thelin, 2004). Alumni Associations pride themselves on being champions for their alma mater, and through the intense need for additional resources, they have evolved into making the university their number one priority. Understanding that the efforts to cooperate, coordinate, and collaborate for the university is extremely important, it is significant to note that the operational

wellbeing of the national alumni association should be taken into consideration. If national alumni associations do not have the resources they need to operate, how can they contribute to the goal of resource capacity? If alumni associations try to address their operational budget challenges, are they seen as taking away from the overall goal of helping the university increase their resource capacity? The participants at the individual sites commented that membership dues are the only means of funding for the alumni association and all other fundraising efforts should be directed toward the university. Regardless of the state of the national alumni associations and foundations, they have committed to cooperating, coordinating, and collaborating for the purpose of helping their alma mater increase its resource capacity.

Discussion of Over-Arching Research Question and Sub-Questions

In what ways do the university presidents, chief alumni officers, and chief foundation officers, or their designees, cooperate, coordinate, and collaborate at public historically black colleges and universities? Participants from the sites displayed cooperation through agreeing to the vision set by the university president in the area of fundraising. Through cooperative actions like working together and displaying a positive image of being a team, sites were able to implement this process. By organizing and communicating through the university alumni affairs department and office of development, events and activities like fundraising galas, homecoming activities, and various meetings are coordinated to encourage maximum participation. In the area of donor cultivation, coordinated efforts of cultivating a donor and asking the donor for a gift are also orchestrated through the university departments to eliminate donor confusion and conflict. The sharing of networks and platforms has been the major method of collaboration. Alumni associations and foundations provide opportunities for and open doors to potential donors.

Sub-Question One

How does the process of cooperation contribute to inter-organizational relationships?

Cooperation can be seen as an initial stage in inter-organizational relationships. Getting the university, alumni association, and foundation to psychologically agree to come together can set the basis up for a more in-depth relationship. The process of cooperation can be seen as the smallest amount of commitment from the participants. It could also be seen as the easiest form of commitment out of the three processes. Supporting the university's goal and agreeing to work as a team is how cooperation presented itself in this study.

Sub-Question Two

How does the process of coordination contribute to inter-organizational relationships?

Coordination can be seen as a mid-level stage of commitment in inter-organizational relationships. The university, alumni association, and foundation have already psychologically decided to work toward the same goals. Moving past the psychological acceptance, actions are executed to showcase coordination. Each individual organization intentionally communicates and builds flexibility into plans to ensure that scheduling of events and involvement with donors does not interfere with each other. By showing courtesy and respect for the timing of an individual organization's events and not interfering with the cultivation process of donors, the trust and experience that individual organizations have with one another can strengthen.

Sub-Question Three

How does the process of collaboration contribute to inter-organizational relationships?

Collaboration can be seen as a high-level stage of commitment in inter-organizational relationships. Leaders at the various organizations are a part of the decision-making process when serving on advisory boards. Organizations are also contributing whatever resources they

have. Through collaboration, everyone involved is expected to have some “skin in the game”. Entrusting university officials with personal business contacts and relying on independent organizations to follow through with achieving financial goals is how collaboration is demonstrated.

Significance of Study

The survival of HBCU is at the apex of conversations concerning national alumni associations and foundations (Adcox, 2015). Leaders and supporters continue to express the imperative for alumni to give back to their alma mater. Understanding that alumni giving is a solution to the problem, this research looked at another aspect that can contribute to the process of encouraging alumni to give. This study provided insight into inter-organizational relationships between universities, national alumni associations, and foundations, and how the processes of cooperation, coordination, and collaboration contribute to relationships and has potential to ultimately enhance alumni contributions.

This investigation is significant because it provides additional understanding of the nature of the relationships among the university, alumni associations, and foundations and that is important to discuss for the growth and sustainability of institutional advancement (Arnold, 2003). Furthermore, this study provided an HBCU perspective that was not included in Arnold’s (2003) research and is customarily left out of other researchers’ studies. Expanding the research added to the current discussion about how leaders who are responsible for increasing resources, inter-organizational relationships, can be seen as another element of consideration when looking at the success or failure of alumni giving.

Acknowledging that alumni giving can be drastically improved, an exploration of the current landscape of the inter-organizational relationships can help practitioners identify

strategies that they are participating in that are successful and norms that may be ineffective. This exploration added to the knowledge base about how HBCU leaders see cooperation, coordination, and collaboration implemented throughout their interactions. Under the process of cooperation, research revealed that the university president sets the fundraising goals that national alumni associations and foundations follow. In the area of coordination, this study illustrates the all-encompassing use of university alumni affairs departments and offices of development, for example: daily administrative tasks, coordinating and planning special events, reaching out and communicating with alumni, planning and managing fundraiser. Sites can improve on the implementation of collaboration. This investigation showed that the sharing of networks from the alumni associations and foundations was the primary collaboration strategy.

This research supports the work of Arnold (2003) regarding the importance of inter-organizational relationships as well as the importance of domain identity and consensus and adequacy of resources as key aspects to organizations choosing to interact with one another. This research study provided examples of common HBCU sites with regard to institutional advancement structures. Readers can therefore compare, contrast, and reflect on the similarities and differences among the sites and make their own decisions about the transferability of the results of this study based on the information presented.

Implications for Practice

The results of this study have the potential to significantly impact practice for university officials and alumni association and foundation volunteers as well as external organizations that have taken an active interest in aiding HBCU with their institutional advancement. Given the increased need for HBCU to improve their private donation percentage, and the amplified risks of HBCU being forced to merge with another school or close its doors, the need for all-inclusive

solutions for productive institutional advancement is more important than ever. Inter-organizational relationships provide valuable and insightful knowledge for researchers and practitioners to use to build on strengthening and/or improving their strategies.

Institutional advancement professionals, volunteers, and supporters desiring to enhance HBCU resources may glean knowledge from this study that could be applied to their own site. Advancement professionals at predominately white institutions (PWI) can also benefit. As students of color enroll in PWI, they will become alumni and their level of engagement is important. HBCU can be seen as models for advancement strategies and relationships building techniques that are effective or insignificant when incorporating cultural norms and understanding that exist within communities of color. This analysis identified areas of consideration when looking at the processes of cooperation, coordination, and collaboration. It provided the reader with examples of organizational cultures, activities, and experiences in which participants implement or engage. If HBCU leaders and supporters are serious about overcoming the challenge of alumni giving and increasing resources, they need to look at the inter-organizational relationships of which they are a part, identify the current strategies being applied, evaluate the productiveness of their strategies and relationships, assess the level of knowledge and structures in place for successful institutional advancement, and be willing to see alumni giving as an end game that is indicative of the relationships and structures they have in place for cultivating and engaging alumni.

Recommendations for Future Studies

After exploring inter-organizational relationships between universities, national alumni associations, and foundations, additional questions naturally emerged for future research. If national alumni associations and foundations are important organizations that are responsible for

raising money for the university, but they have no staff and operate as volunteers only, can they produce the results needed? Are the university alumni affairs department and office of development solutions to these challenges? If some participants from the national alumni association and foundation have trouble acquiring enough resources for their own operations, but have agreed to put their needs aside and cooperate with the university's vision, how effective can this be?

When looking at the organizational structures and business models of independent alumni associations and foundations ideas for future research are: Are they structured appropriately for the support that their universities need? How are other successful independent alumni associations and foundation structured? Do volunteers for the national alumni association and foundation feel they are able to accomplish goals that are set with the current term limits they have set? What amount of time and personal resources are used from volunteers who are elected to lead their national alumni association or foundation? How do university alumni affairs and offices of development manage working with their national alumni association and foundation volunteers, who are also seen as potential donors? A concentration of studies that discuss domain identities and consensus, for institutions that have university institutional advancement departments, independent alumni associations, and foundations, could be insightful. Future research could focus on alumni associations' perceived evolved mission of serving the universities while still being responsible for the needs of alumni.

In the area of programs and activities there are annual events, traditional activities, and duplicated efforts. Future studies may look at annual alumni conventions, galas and other activities that cost alumni to travel, lodge, and pay registration fees and see the effectiveness of these events and if it impacts alumni giving. For institutions that have duplicate efforts

examining the reasoning for the duplicate and what would occur if efforts were consolidated can be studied.

The level of knowledge and expertise of alumni association and foundation volunteers, and the lack of involvement in professional organizations could add to the body of research. Research that focuses on the recruitment and retention of advancement professional volunteers is important. The area of cross-training and partnerships among HBCU and predominately white institution advancement units can be explored. Finally, another opportunity for future studies is to take the Elmore Preliminary Inter-Organizational Relationships Conceptual Model and research the individual components and explore the impact it may have on inter-organizational relationships.

Summary

This chapter provided a discussion of the themes and the over-arching research question and sub-questions. The researcher shared the significance of the study, implications for practices and recommendations for future studies.

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Appendices

Appendix A - Interview Protocols

National Alumni Association Interview Questions

Interview Questions for National Alumni Association (adapted from Arnold, 2003; Stovall, 2004)

1) Describe to me the alumni association office.

Points of discussion:

- Purpose
- Major/Traditional activities
- Reporting structure
- Personnel
- Office location

2) How are the goals for the alumni association staff determined and evaluated?

3) When it comes to resources for your office, do you have what you need to accomplish your goals?

4) What additional resources do you need?

5) In the event of needing additional resources where will you look or have looked for those resources?

6) Where will you seek those resources?

7) Tell me about the foundation office.

a) Probes: Purpose, major activities, reporting structure, staff, office location

8) Tell me about the president office.

a) Probes: Purpose, major activities, reporting structure, staff, office location

- 9) Do the president's office, alumni association and foundation staff participate or engage in any joint goals setting or overall planning? Who is involved in the process? How often do these settings occur?
- 10) As the alumni association office, what do you think the roles of the president's office and foundation are?
- 11) Are there ways in which you think the roles president's office, alumni association, and foundations overlap? Please describe your thoughts?
- 12) In what ways, if any, do alumni association depend on the president's office and foundation?
- 13) What events/activities, if any, does the alumni association office support or participate in of the president's office or foundation?
- 14) Can you provide an example of a situation when the alumni association, the president's office, and/or foundation have worked together?
- a. Explain to me the situation. Who decided to include the involved offices? What did each office contribute?
 - b. Was this a successful effort? Which individuals from each participating office were involved?
 - c. Is this a regular occurrence or was this an unusual occasion?
 - d. Would you include the same offices in a similar project in the future? Why or why not?
- 15) How often, if any, in a typical week does the president's office, alumni association and foundation leadership meet together?
- 16) When you do meet what topics are discussed?

- 17) How often do you communicate with the president's office and foundation? Also in a typical week how often do you phone or email someone in the president's office and foundation?
- 18) Where is the alumni association's office located in association to the president's office and the foundation? Do you share workspace or staff?
- 19) Who do you contact when you need information from the president's office or foundation? What is that individual's position in that office? What types of information might you ask for?
- 20) Are there meetings, events, or other activities that routinely bring alumni association, president's office and foundation together?
- 21) Under what circumstances, if any, is it vital to work with the president's office and foundation?
- 22) Generally, how do you feel about working with the development office?
- 23) What motivates our your office to work with the president's and foundation offices?
- 24) How does working with the president's office and foundation affect the reputation of the alumni association?
- 25) In what ways do you attempt to enhance the status and reputation of the president's office and foundation
- 26) Are there incentives that encourage cooperation and coordination with the president's office or foundation?
- 27) Do you have confidence in the president's office and foundation? If yes, what makes you have confidence in one or both of these offices? If no, what about one or both of these organizations that cause you not to have confidence in them.

- 28) Does the institution have an alumni/donor records system?
- 29) How are alumni and donor records maintained?
- 30) Who has access to those records?
- 31) Which office is responsible for the record system(s)?
- 32) Does the president's office, alumni association and foundation staff work together on publications? If so, would you please share some samples? Who maintains the website for each office?
- 33) What barriers, if any do you experience when working with the president's office or foundation?
- 34) Do you seek to involve individuals from the president's office or foundation with activities/events that are solely planned out of your office? If yes, how? If no, why not?
- 35) Is there any additional comments or information you would like to add?
- 36) Do you have any suggestions about any additional questions I should ask in order to get a better understanding of the relationships between the president, alumni association, and foundation offices?

Foundation Interview Questions

Interview Questions for Foundation Office

1) Describe to me the foundation office.

Points of discussion:

- Purpose
- Major/Traditional activities
- Reporting structure
- Personnel
- Office location

2) How are the goals for the foundation staff determined and evaluated?

3) When it comes to resources for your office, do you have what you need to accomplish your goals?

4) What additional resources do you need?

5) In the event of needing additional resources where will you look or have looked for those resources?

6) Where will you seek those resources?

7) Tell me about the national alumni association.

b) Probes: Purpose, major activities, reporting structure, staff, office location

8) Tell me about the president office.

a) Probes: Purpose, major activities, reporting structure, staff, office location

9) Do the president's office, alumni association and foundation staffs participate or engage in any joint goals setting or overall planning? Who is involved in the process?

How often do these settings occur?

- 10) As the foundation, what do you think the roles of the president's office and alumni association are?
- 11) Are there ways in which you think the roles president's office, alumni association, and foundations overlap? Please describe your thoughts?
- 12) In what ways, if any, does the foundation depend on the president's office and alumni association?
- 13) What events/activities, if any, does the foundation support or participate in of the president's office or alumni association?
- 14) Can you provide an example of a situation when the association, the president's office, and/or foundation have worked together?
- a. Explain to me the situation. Who decided to include the involved offices?
What did each office contribute?
 - b. Was this a successful effort? Which individuals from each participating office were involved?
 - c. Is this a regular occurrence or was this an unusual occasion?
 - d. Would you include the same offices in a similar project in the future? Why or why not?
- 15) How often, if any, in a typical week does the president's office, alumni association and foundation leadership meet together?
- 16) When you do meet what topics are discussed?
- 17) How often do you communicate with the president's office and alumni association?
Also in a typical week how often do you phone or email someone in the president's office and alumni association office?

- 18) Where is the foundation office located in association to the president and alumni association offices? Do you share workspace or staff?
- 19) Who do you contact when you need information from the president's office or alumni association? What is that individual's position in that office? What types of information might you ask for?
- 20) Are there meetings, events, or other activities that routinely bring alumni association, president's office and foundation together?
- 21) Under what circumstances, if any, is it vital to work with the president's office and alumni association?
- 22) Generally, how do you feel about working with the president and alumni association offices?
- 23) What motivates our your office to work with the president's and alumni association offices?
- 24) How does working with the president's office and alumni association affect the reputation of the foundation?
- 25) In what ways do you attempt to enhance the status and reputation of the president's office and alumni association?
- 26) Are there incentives that encourage cooperation and coordination with the president's office or alumni association?
- 27) Do you have confidence in the president's office and alumni association? If yes, what makes you have confidence in one or both of these offices? If no, what about one or both of these organizations that cause you not to have confidence in them.
- 28) Does the institution have an alumni/donor records system?

- 29) How are alumni and donor records maintained?
- 30) Who has access to those records?
- 31) Which office is responsible for the record system(s)?
- 32) Does the president's office, alumni association and foundation staff work together on publications? If so, would you please share some samples? Who maintains the website for each office?
- 33) What barriers, if any do you experience when working with the president's office or alumni association office?
- 34) Do you seek to involve individuals from the president's office or alumni association office with activities/events that are solely planned out of your office? If yes, how? If no, why not?
- 35) Is there any additional comments or information you would like to add?
- 36) Do you have any suggestions about any additional questions I should ask in order to get a better understanding of the relationships between the president, alumni association, and foundation offices?

University President Interview Questions

Interview for President's Office

1) Describe to me the president's office.

Points of discussion:

- Purpose
- Major/Traditional activities
- Reporting structure
- Personnel
- Office location

2) How are the goals for the president's staff determined and evaluated?

3) When it comes to resources for your office, do you have what you need to accomplish your goals?

4) What additional resources do you need?

5) In the event of needing additional resources where will you look or have looked for those resources?

6) Where will you seek those resources?

7) Tell me about the foundation office.

c) Probes: Purpose, major activities, reporting structure, staff, office location

8) Tell me about the alumni association office.

a) Probes: Purpose, major activities, reporting structure, staff, office location

- 9) Do the president's office, alumni association and foundation staffs participate or engage in any joint goals setting or overall planning? Who is involved in the process? How often do these settings occur?
- 10) As the president, what do you think the roles of the president's office and alumni association are?
- 11) Are there ways in which you think the roles president's office, alumni association, and foundations overlap? Please describe your thoughts?
- 12) In what ways, if any, does the president's office depend on the foundation and alumni association?
- 13) What events/activities, if any, does the president's office support or participate in of the foundation or alumni association?
- 14) Can you provide an example of a situation when the alumni association, the president's office, and/or foundation have worked together?
- a. Explain to me the situation. Who decided to include the involved offices? What did each office contribute?
 - b. Was this a successful effort? Which individuals from each participating office were involved?
 - c. Is this a regular occurrence or was this an unusual occasion?
 - d. Would you include the same offices in a similar project in the future? Why or why not?
- 15) How often, if any, in a typical week does the president's office, alumni association and foundation leadership meet together?
- 16) When you do meet what topics are discussed?

17) How often do you communicate with the foundation and alumni association offices?

Also in a typical week how often do you phone or email someone in the foundation and alumni association offices?

18) Where is the president's office located in association to the foundation and alumni association offices? Do you share workspace or staff?

19) Who do you contact when you need information from the foundation or alumni association? What is that individual's position in that office? What types of information might you ask for?

20) Are there meetings, events, or other activities that routinely bring alumni association, president's office and foundation together?

21) Under what circumstances, if any, is it vital to work with the foundation and alumni association?

22) Generally, how do you feel about working with the foundation and alumni association offices?

23) What motivates your office to work with the foundation and alumni association offices?

24) How does working with the foundation and alumni association affect the reputation of the president's office?

25) In what ways do you attempt to enhance the status and reputation of the foundation and alumni association?

26) Are there incentives that encourage cooperation and coordination with the foundation or alumni association?

- 27) Do you have confidence in the foundation and alumni association? If yes, what makes you have confidence in one or both of these offices? If no, what about one or both of these organizations that cause you not to have confidence in them.
- 28) Does the institution have an alumni/donor records system?
- 29) How are alumni and donor records maintained?
- 30) Who has access to those records?
- 31) Which office is responsible for the record system(s)?
- 32) Does the president's office, alumni association and foundation staff work together on publications? If so, would you please share some samples? Who maintains the website for each office?
- 33) What barriers, if any do you experience when working with the foundation or alumni association offices?
- 34) Do you seek to involve individuals from the foundation or alumni association office with activities/events that are solely planned out of your office? If yes, how? If no, why not?
- 35) Is there any additional comments or information you would like to add?
- 36) Do you have any suggestions about any additional questions I should ask in order to get a better understanding of the relationships between the president, alumni association, and foundation offices?

Appendix B - Telephone Script for Participants

Introduction:

Hello. I'm Jessica Elmore, how are you doing today? Well I am calling today because I am conducting interviews exploring how university presidents, chief alumni officers, and chief foundation officers work together at public HBCU for my dissertation and I would like to ask for your participation.

Before you give me an answer I would like to briefly share with you some information about my research and why I would like to work with your institution. To assist me with selecting which institutions to reach out to I utilized the National Center for Educational Statistics and searched for HBCU that are categorized as four- year, public institutions, that have between 5,000 to 15,000 undergraduate students, with varsity athletic teams. In addition I went to your school's website to identify if your school has an independent alumni association and foundation, and then to further assist me with selecting your school I had an opportunity to consult with HBCU researcher expert Marybeth Gasman.

Study procedures:

To collect my research I would like to conduct an audio recorded one-on-one telephone interview that will take about 45-60 minutes. During that time I will ask you questions about how you and your personnel work together with the _____ and _____.

The benefit of exploring how university presidents, chief alumni officers and chief foundation officers work together at four-year, public, medium-sized, HBCU is that researchers and others may be able to utilize strategies and ideas to build or strengthen relationships among president offices, alumni associations and foundations at HBCU. This research can also add to potentially useful research for HBCU.

It is not likely that there will be any harms or discomforts from/associated with this research, however, you do not need to answer questions that you do not want to answer or that make you feel uncomfortable, and you can withdraw from the interview at any time.

To protect and keep your identity and interview confidential I will use fictional names. This study has also been reviewed and cleared by the Institutional Review Board. In addition the data collected will be kept on an encrypted database system, and I will be using a reputable transcribing team who has signed a confidentiality agreement. The data collected will be used in research contexts (i.e. analysis; for presentations, where the source of the data or names of participants will never be used, unless permission is obtained. After I have collected the data I would like to send you the findings of my analysis and interpretations and have you review and provide any additional insight.

So, at this time I would like to ask you to be a participant for my dissertation.

Thank you so much...

As a participant in this research and to ensure the quality of the audio recorded I am asking that the phone interview be in a quiet room, where a door can be closed, you are free from interruptions during the interview, and that I can call you from a landline to conduct the phone interview. If you can look at your calendar, right now I would like to see if we can set up a date and time that works for us both.

Set up interview date and time

Also after our call I will email you an informed consent form that I will need for you to review and sign and fax or mail back to me before our interview.

Dr./ Mr./Ms. _____ if for some reason I need to re-contact you due to audio recording issues or clarification of information you provided. I will call you.

Before we end this call I would just like to read to you your voluntary participation rights and who to contact if you have any additional questions or concerns.

As a participant:

- Your participation in this study is voluntary.
- You can decide to stop at any time, even part-way through the interview for whatever reason
- If you decide to stop participating, there will be no consequences to you.
- If you do not want to answer some of the questions you do not have to, but you can still be in the study.
- If you have any questions about this study or would like more information you can call or email me, Jessica Elmore at **(916) 730-8085** or **jlsmith8@ksu.edu** or contact my major professor Dr. Teresa Miller at **(785) 532-5609** or **tmiller@ksu.edu**

Dr./Mr./Ms. _____ I would like to thank you again for agreeing to participate and I look forward to talking with you on ____ date ____ at ____ time _____

Appendix C - Email Request for Participants

Hello, my name is Jessica Elmore, doctoral student at Kansas State University, in the department of Educational Leadership. I am emailing you today because I am interviews exploring how university presidents, chief alumni officers, and chief foundation officers work together at public HBCU for my dissertation and I would like to ask for your participation.

I would like to share with you some information about my research and why I would like to work with your institution. The criteria that I have set for my research is four-year, public institutions, that have between 5,000 to 15,000 undergraduate students, with varsity athletic teams. To further assist with selecting your school, I had an opportunity to consult with HBCU research expert, Marybeth Gasman.

The benefit of exploring how university presidents, chief alumni officers and chief foundation officers work together at four-year, public, medium-sized, HBCU is that researchers and others may be able to utilize strategies and ideas to build or strengthen relationships among president offices, alumni associations and foundations at HBCU. This research can also add to potentially useful research for HBCU.

To collect my research I would like to conduct an audio recorded one-on-one telephone interview that will take about 45-60 minutes. During that time I will ask you questions about how you and your personnel work together with the _____ and _____.

We can set up a date and time that is convenient to you. After I complete my analysis and interpretation of the data I would be pleased to send you the findings for you review and provide any additional insight.

It is not likely that there will be any harm or discomfort associated with this research. However, you do not need to answer questions that you do not want to answer or that make you feel uncomfortable, and you can withdraw from the interview at any time.

To protect and keep your identity and interview confidential, I will use pseudonyms. Also, the data collected will be kept on an encrypted database system. I will be using a reputable transcribing team and the team members will sign a confidentiality agreement. Data collected will be used in research contexts (i.e. analysis; for presentations), where the source of the data or names of participants will never be used, unless permission is obtained.

As a participant in this research and to ensure the quality of the audio recorded I am asking that the phone interview be in a quiet room, where a door can be closed, you are free

from interruptions during the interview, and that I can call you from a landline to conduct the phone interview.

Voluntary participation:

- Your participation in this study is voluntary.
- You can decide to stop at any time, even part-way through the interview for whatever reason
- If you decide to stop participating, there will be no consequences to you.
- If you do not want to answer some of the questions you do not have to, but you can still be in the study.
- If you have any questions about this study or would like more information you can call or email Jessica Elmore at **(916) 730-8085** or **jlsmith8@ksu.edu**.

This study has been reviewed and cleared by the Institutional Review Board. If you have concerns or questions about your rights as a participant or about the way the study is conducted, you may contact:

Rick Scheidt
Chair, Committee on Research Involving Human Subjects
Telephone: (785) 532-3224
203 Fairchild Hall, Kansas State University, Manhattan, KS 66506

Jerry Jaax
Associate Vice President for Research Compliance and University
Veterinarian
Telephone : (785) 532-3224
203 Fairchild Hall, Kansas State University, Manhattan, KS 66506

If you are willing to participate in this research study, please contact Jessica Elmore at (916) 730-8085 or email jlsmith8@ksu.edu.

If you are not interested in participating in this research study, please contact me and let me know.

Thank you for your time and consideration

Jessica Elmore
Doctoral Candidate
Kansas State University

Appendix D - Informed Consent Letter

APPENDIX D KANSAS STATE UNIVERSITY

INFORMED CONSENT TEMPLATE

PROJECT TITLE: PERCEPTIONS REGARDING THE WAYS PRESIDENTS, CHIEF ALUMNI OFFICERS, AND CHIEF FOUNDATION OFFICERS AT HISTORICALLY BLACK COLLEGES AND UNIVERSITIES COOPERATE, COORDINATE, AND COLLABORATE TOGETHER

APPROVAL DATE OF PROJECT: TBD **EXPIRATION DATE OF PROJECT:** One year

PRINCIPAL INVESTIGATOR: CO-INVESTIGATOR(S): Teresa Miller, Ph.D

CONTACT AND PHONE FOR ANY PROBLEMS/QUESTIONS: Jessica Elmore (916) 730-8085 or jsmith8@ksu.edu; Teresa Miller (785) 532-5609 or tmiller@ksu.edu

IRB CHAIR CONTACT/PHONE INFORMATION: Rick Scheidt, Chair, Committee on Research Involving Human Subjects or Jerry Jaax, Vice President for Research Compliance and University Veterinarian (785) 532-3224 203 Fairchild Hall, Kansas State University Manhattan, KS 66506

PURPOSE OF THE RESEARCH: The purpose of this research is to exploring how university presidents, chief alumni officers, and chief foundation officers work together at four-year, public, medium-sized, HBCUs.

PROCEDURES OR METHODS TO BE USED: A one-on-one telephone interview (about 45-60 minutes) will be conducted. Participants will be asked questions about ways the university president's office, alumni association, and foundation units work together. Handwritten notes will be taken to record responses, and an audio recorder will be used. To ensure the quality of the audio recorded, the researcher will seek to have the phone interview in a quiet room, free from interruptions and through a landline. The researcher may make a second contact, if needed, due to any audio recording issues or if clarification of information is needed.

ALTERNATIVE PROCEDURES OR TREATMENTS, IF ANY, THAT MIGHT BE ADVANTAGEOUS TO SUBJECT:

If for some reason a participant is unable to participate in a phone interview, the interview questions will be emailed to the participant to complete and return.

LENGTH OF STUDY: The estimated time that the participant is expected to participate is between 45 to 60 minutes. It is possible that a second, brief contact might be made for clarification.

RISKS ANTICIPATED: It is not likely that there will be any harms or discomforts from/associated with this research. Participants do not need to answer questions that they do not want to answer or that make them feel uncomfortable. Participants may withdraw from the interview at any time.

BENEFITS ANTICIPATED: The benefit of exploring the perceptions regarding university presidents, chief alumni officers, and chief foundation officers at HBCUs cooperating, coordinating and collaborating together is that researchers and others may be able to utilize strategies and ideas to build or strengthen relationships among president offices, alumni associations, and foundations at HBCUs. This research can also add to the scholarly body of research on HBCUs.

EXTENT OF CONFIDENTIALITY: To protect and keep your identity and interview confidential the researcher will use pseudonyms. Also, the data collected will be kept on an encrypted database system. The researcher will use a reputable transcribing team and the team members will sign a confidentiality agreement. Data collected will be used in research contexts (i.e. analysis; for presentations) where the source of the data or names of participants will never be used, unless permission is obtained.

TERMS OF PARTICIPATION: I understand this project is research, and that my participation is completely voluntary. I also understand that if I decide to participate in this study, I may withdraw my consent at any time, and stop participating at any time without explanation, penalty, or loss of benefits, or academic standing to which I may otherwise be entitled.

I verify that my signature below indicates that I have read and understand this consent form, and willingly agree to participate in this study under the terms described, and that my signature acknowledges that I have received a signed and dated copy of this consent form.

Participant Name: _____

Participant Signature: _____

Date: _____

Witness to Signature: (project staff) _____

Date: _____

DEMOGRAPHIC FORM

1. Name of your organization _____

2. Type of institution you work for or support

- Public
- Private

3. Official Title of Position _____

4. Length in Current Position

- less than a year
- 1-3 years
- 3-5 years
- 5-10 years
- more than 10 years

5. Size of your faculty/staff _____

6. What is the dollar range of your organization's operating budget for the 2013-2014 fiscal year?

7. What national associations is your organization affiliated with?

- CASE
- NAFEO
- TMCF
- UNCF
- Others (Please specify) _____