

University of Tasmania

Growing the University's funding through philanthropy:
An Australian and a Malaysian case study

By

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Declaration

This thesis contains no material which has been accepted for a degree or diploma by this University or any other institution, except by way of background information and duly acknowledged in the thesis, and, to the best of my knowledge and belief, it contains no material previously published or written by another person except where due acknowledgement is made in the text of the thesis.

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Statement of ethical conduct

The research associated with this thesis abides by the international and Australian codes of human and animal experimentation, the Guidelines of the Australian Government's Office of the Gene Technology Regulator and on rulings of the Safety, Ethics and Institutional Biosafety Committee of the University.

Rohayati Mohd Isa

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Abstract

Higher education needs sustainable forms of funding to operate effectively. As Government financial support to public universities are declining due to limited government funds, most of the state universities in the world are looking at ways to develop alternate revenue streams. An increasingly important and largely underdeveloped financial source is *philanthropy*. *Philanthropy* is associated with the action usually manifested by giving for socially useful purposes. In the context of defining the action of giving to higher education, *philanthropy* is about giving towards institutions that provide benefits of education. Thus, contemporary Universities need to compete with other societal organisations, e.g., Health, Welfare, as well as private contributions for a share of the tax dollars.

This study examines the factors influencing philanthropic fundraising success in higher education organisations to gain an understanding of donors' giving decisions and their perceptions of giving. This understanding is important in the consideration and planning for a successful philanthropic fundraising program at two public universities, one in Malaysia, and one in Australia. In doing so, the study moves beyond the understanding of 'benevolence' in the society and explores the similarity and differences of 'giving behaviours', and the reasons for giving in a contemporary cross-cultural context, Australia and Malaysia.

The study adopted a Qualitative Research Approach, and used a mixed method research design, particularly case study method. The study utilised the survey-questionnaire, interviews, and document analysis as the data gathering tools. A total of 220 Donors-Alumni respondents completed a survey questionnaire, and 35 participants including University Representatives, a Malaysian Government Official, and Donors-Alumni participated in the interview sessions.

This study is unique as it considered the institutional philanthropy of public universities in two different national contexts, namely, Australia and Malaysia. The study's findings suggest that philanthropy is a source of funding that is presently underdeveloped in Malaysian public universities, but is relatively more prevalent in Australia. The study suggests four main findings in the area of philanthropy, namely, the role of culture (including religion and the need to recognise the local milieu), governance (including policy framework, transparency, resources, ethics), the need for alignment of goals and University Mission (including identifying donor's needs and aspirations), the role of University Profile (such as University Reputation, Branding, Achievements), and the role of government policies in the promotion of private financial support to universities.

Not surprisingly, a number of differences in donors' giving behaviour across both countries also arose, particularly, the donors' demographic and socio-economic characteristics and their motivations for giving. The study's findings confirmed that

race, religion, custom and tradition are prominent elements in the Malaysian culture of giving while the Australian giving culture seems to be influenced more by “causes for support” and not so much on donor’s background characteristics. To ensure fundraising success, the institutional philanthropy framework must have the most impact on the institutions’ prospective donors. The study’s findings also confirmed that Government participation is important to stimulate giving through effective policy that would attract giving and to encourage a philanthropy culture to support their Public Universities.

This study will be of interest to researchers and practitioners of Institutional Advancement, particularly, Malaysian public universities’ Leaders and Development Officers involved in the planning and implementation of fundraising from philanthropic approaches. So far no academic study was found to have investigated this issue in Malaysia. Similarly, Australian Universities Advancement can benefit from this study as they consider enhancement and improvement in their fundraising efforts.

More generally, the study will allow public university stakeholders, namely, the Government, to plan policy and mechanisms to support philanthropic culture of giving to public higher education institutions in both countries and, Alumni and philanthropists passionate about educational causes to gain a better understanding of the importance of their philanthropic support to the success of universities.

Glossary

The glossary includes a list of abbreviations and explanation of the system for identification of data cited in this thesis.

Term	Explanation
ABS	Australian Bureau of Statistics
THE ABS RESEARCH	The abbreviation for study conducted by Australian Bureau of Statistics
ALO	The abbreviation for <i>University I</i> : Alumni Liaison Office
THE ALLEN REPORT	The abbreviation for study conducted by The Allen Consulting Group
APEX	Accelerated Program for Excellence
DALO	The abbreviation for <i>University I</i> : Development and Alumni Liaison Office
DARO	The abbreviation for <i>University II</i> : Development and Alumni Relations Office
DDBA	The abbreviation for Direct Debit from Bank Account
DEEWR	Department of Education Employment and Workplace Relations, Australia
DFCSIA	Department of Families, Community Services, and Indigenous Affairs, Australia
DIICCSRTE	Department of Industry, Innovation, Climate Change, Science Research and Tertiary Education, Australia
THE EXPERT REPORT	The abbreviation for study conducted by Expert Group
EPU	Economic Planning Unit, Malaysia
GAP	Gift Acceptance Policy
THE GIVING AUSTRALIA REPORT	The abbreviation for study conducted by Department of Families, Community Services, and Indigenous Affairs, Australia
HE	Higher Education
MOHE	Ministry of Higher Education, Malaysia
PHEI	Public Higher Education Institution
PHILIMA	The Philanthropy Initiative of Malaysia
University I	The abbreviation for case study 1: one University in Malaysia
University II	The abbreviation for case study 2: one University in Australia

Glossary cont.

UoA	Unit of Analysis
UAA	The abbreviation for <i>University I</i> : Alumni Association
UAC	The abbreviation for <i>University II</i> : Alumni Committee

Chapter 1 Introduction

Background

Public higher education institutions are increasingly challenged by cost pressures that are already high and rapidly rising and which, in the longer term, have resulted in costs outrunning available revenues (Johnstone, 1993; Sato, 2005). Contemporary universities are facing unprecedented challenges (Orlikoff & Totten, 2007) particularly in relation to matching revenue to escalating costs and to accommodating increasing demands for growth and higher quality in order to stay globally and nationally competitive. Although universities are diverse in terms of structure and funding, most are facing these competitive pressures (Deloitte, 2011). Accordingly, higher education needs sustainable forms of funding to operate effectively. As operational and expansion costs continue to rise, universities are competing with other societal organisations for a share of the tax dollars as well as private contributions (Bonus, 1977). As a result, most of the state universities in the world are looking at ways to cut costs, enhance productivity, and develop alternate revenues sources (Bloland, 2002; Mora & Nugent, 1998). This situation calls for a diversification in the public higher education institutions' funding mix.

As government funding is limited (Sirat & Sarjit, 2007) and may reach the politically acceptable maximum at some near point in time, enhancement of revenue in these cases is normally achieved by shifting a greater portion of costs to non-taxpayer sources (Altbach & Johnstone, 1993). This gives rise to an important question: How should the cost of higher education be shared among the general citizens/tax payers, parents, students, and philanthropists or donors? (Johnstone, 1993). In order to remain competitive, the universities can no longer maintain the status quo but need to share the cost-burden of higher education more broadly. An increasingly important and largely underdeveloped financial stream to public higher education institutions therefore is philanthropy (Cutlip, 1990; P. D. Hall, 1992; Prince & File, 1994); that is, donations from the general public to the universities for either specific or non-tagged purposes.

Philanthropy is associated with the action of ‘expressing love to mankind’ (Bekkers, 2006) and is often focused towards improving humanity and not just serving the needs of the poor. In the context of defining the action of giving to higher education Cascione (2003) stated:

Giving to higher education institutions is best understood as philanthropic, since it is most often indirect and programmatic and the institution is expected to deliver the means for instruction or other benefits of education. (p. 5)

Cascione also suggested that “philanthropy is often earmarked towards institutions that provide the infrastructure to uplift individuals” (p. 5). Hence, recent trends show that the contemporary universities are identifying causes and initiatives, which will command attention from philanthropists.

The increasingly important role of philanthropy in this competitive higher education context has provided the impetus for this study. It investigated and described the institutional strategy and practices in raising additional funds from philanthropic contributions in two Public Higher Education Institutions (PHEIs) in two countries, one in Australia and one in Malaysia. These two countries and institutions were chosen based on a purposive and opportunity sample as the researcher had access to the key informants which would facilitate the study of what the universities were doing presently and how the universities might learn from each other for change in the future.

This study considered, first, an examination of the governance and management principles of the institutional philanthropic fundraising program; second, the gifting preferences in the case study universities; thirdly, the factors influencing philanthropists’ giving decisions to these universities; and finally, the donors’ perceptions of their philanthropic support.

Research Aims and Impetus for Research

This study aimed to examine the factors influencing organisational philanthropic fundraising success, and to gain an understanding of factors influencing donor’s giving decisions and donor’s perceptions of giving in order to provide a successful strategic philanthropic fundraising program at two public universities, one in Australia, and one in Malaysia.

This study is interested to understand “why” a long-established public university in one country has not been successful in raising philanthropic support, and “what” the university could do to succeed. The research was prompted, in part, by concerns arising from the researcher’s own experience as a University Finance Administrator, and from professional work over many years in managing the university’s financial administration.

The study intended to explore the institutional characteristics, namely, the institution’s capacity, fundraising history and effort, and the governance and management principles governing the two case study institutions’ philanthropic fundraising, which builds on the literature related to organisational fundraising success and governance and management principles of Institutional Advancement. The study also highlighted the tensions surrounding the management of the philanthropic fundraising, namely, risk and ethical issues.

The study also examined the factors influencing the giving behaviours of people in the two countries and their different contexts: socio-economic, cultural, government policies on philanthropic giving, religion and ethnicity factors. In doing so, the study moved beyond the understanding of ‘benevolence’ in the society and explored the similarity and differences of ‘giving behaviours’, and the reasons for giving in a contemporary cross-cultural context.

In particular, the study aimed to compare and contrast one university; *University I* in a developing country, Malaysia, and one university; *University II* in a developed western society, Australia, to map how the institutions view and develop private philanthropic support as a revenue stream.

Declining funding from Government for higher education

As indicated above, nearly all national or state Governments globally are tightening their budgets and providing fewer funds to the education sector (Deloitte, 2011) as well as concurrently imposing more public scrutiny on how an institution uses its resources. Budget allocations within the researcher’s own university saw reductions from year to year but with increased expectation for ‘excellence’ from the Government. However, with the Regulations limiting tuition fee increases many institutions were unable to establish their own pricing level and this restricted their ability to deliver on their mandates (Deloitte, 2011).

Sharing cost-burden of higher education with others

There is a growing acceptance of the need to diversify the university's funding streams, particularly by exploring new funding opportunities in order for the university to remain competitive. In this situation, fundraising has increased in importance to the higher education sector worldwide (Grant & Anderson, 2002, cited in Hsien, 2009). This outside financial stream is an area where universities increasingly are focused. To be successful, however, depends upon being creative and planning strategically to attract donors and thus have a financial stream without direct scrutiny or influence from the Government. Although raising funds from philanthropic sources is not new in the Australian and Malaysian contexts, the rate of contribution to the Public Higher Education Institutions (PHEIs) in these countries suggests it is yet to gain full community support. However, will the phenomenon of giving become the third revenue stream for all Public universities in Australia and Malaysia? and, will the issue of 'who pays' (Altbach & Johnstone, 1993) for the cost of higher education, e.g., government versus tax-payers, be the same in all parts of the world?

The Context of the Study

Contemporary universities are under pressure to rationalise what they do in order to be assured of the funds they require to achieve the best practices in learning, teaching, research, and administrative efficiency in order to meet the requirements of their stakeholders, particularly Government. Contemporary universities are less able to rely solely on tuition fees and government financial support in the face of increasing competition for students and with decreasing government funds. For those higher education institutions that are publicly-owned and government operated, their costs structures are subjected to the pressures and distortion of politics and public sector management practices (Altbach & Johnstone, 1993). Thus, the institutions are required to improve their quality, adapt to changing demands and operate more efficiently (Ziderman & Albrecht, 1995).

To maintain competitive advantage and to ensure long-term survival and growth, the PHEIs therefore require access to an increasing amount of external resourcing (Chung-Hoon, Hite, & Hite, 2005). According to Chung-Hoon et al.,

(2005), a significant resource resides in external networks and it is important that universities create strategic network alliances and relationships to access these resources. Effective governance and strong management within universities are therefore necessary to ensure universities continue to be viable but also to position them well in an increasingly competitive environment, which is global in scope and one in which they must compete for philanthropic support, government funding, and tax incentives (Kedem, 2010). It is evident that institutional success requires strong and effective leadership at all levels of the institution, and where the duality of needs are understood; that is, research, teaching and learning, and there is active support for each (White, 2011). However, the influence of philanthropy on governance raises a number of questions (Eikenberry, 2006). A university must consider how best to balance the need to separate the functions of governance and philanthropy while maintaining and improving the viability and robustness of both functions (Orlikoff & Totten, 2007).

Some philanthropic similarities and differences: Australia and Malaysia

To date the evidence is that Australian universities have performed rather poorly in attracting philanthropic funds, and donations and bequests represent less than 1.5 per cent of universities' revenue (Allen Consulting Group, 2007). However, the lack of comprehensive public reporting on giving to the Malaysian higher education sector has resulted in difficulty in evaluating the performance of Malaysian universities in attracting philanthropic funds.

A study conducted on individual giving in one state in Malaysia (Bustamy, Fernandez, Ibrahim, Cheah, & Nadarajah, 2002) indicated that individuals preferred to contribute for religious purposes (71.8 per cent) and only 23.9 per cent of the sample preferred to donate to education. A nationwide survey of giving in Australia (Department of Families Community Services and Indigenous Affairs, 2005) found that 60.2 per cent of adult Australian prefer to donate to charitable organisations that provide community services and only 16.2 per cent donated to education. It is suggested that success in raising funds from voluntary supporters depends heavily on the institution itself attracting donors to give (Allen Consulting Group, 2007; Expert Group, 2007). In this role universities need to be creative in their fund-raising approaches by understanding the donors' interests, the concerns that they have, and

their giving potential (Haggberg, 1992). Donor giving behaviour is therefore an important area of investigation.

To understand donor's giving behaviours raises important questions, such as, are the factors influencing donor's giving behaviour similar across countries'?, therefore, the reasons behind individual's giving decisions to these two universities with different cultural and societal backgrounds were explored.

Philanthropic Support for Public Higher Education Institutions: Malaysian Context

Malaysian Public Higher Education and Funding System

Malaysia's education policy has been shaped by the nation's broader economic and political policies since the country's independence in 1957 (Sato, 2005). The policy was developed and implemented, in order to develop a national identity that is acceptable and capable of uniting all the ethnic groups - Malay, Chinese, Indian, and other ethnic groups (Sato, 2005). The Universities and University Colleges Act (UUCA) implemented in 1971 gave the Ministry of Education full control over all the universities in the country (Sato, 2005). However, changes in the economic and political environment have caused the Government to liberalise their policies and recent reforms in the higher education system have given more administrative autonomy to educational institutions (Sato, 2005).

Public universities in Malaysia were established under Statutes with the objective of implementing certain duties and responsibilities in accord with government objectives. The Malaysian tertiary education sector consists of two major providers; first, the public (government-funded) higher education institutions (PHEIs), and second, the private (privately-funded) higher educational institutions. The Government is responsible for about 60 per cent of the country's tertiary education providers (comprised of public institutions, polytechnics and community colleges), with the private sector providing the balance (Ministry of Higher Education, 2009). Recent data showed that the Malaysian higher education system comprised 20 public institutions, 33 private universities, 4 foreign university branch and campuses; 22 polytechnics and 37 community colleges; and about 500 private colleges (Ministry of Higher Education, 2013a). There was a total student enrolment

of 1,132,749 in 2010 (Public HEIs; 591,120 and Private HEIs; 541,629) (Ministry of Higher Education, 2013b). Malaysian Government funding supports the students mainly through the National Higher Education Fund (Mesch, Rooney, Steinberg, & Denton, 2006) and the Public Services Department Sponsorship Programs. The repayment period of the education loan/ financing is based on the student's level of study or financial amount, for example, repayment for a period of 120 months for a Diploma (Mesch et al., 2006).

Higher education is important to the Malaysian government's education agenda and the government supports and finances the operation of the public universities. The Government has taken steps to reform its higher education system and these were reinforced under the country's 2008 Budget (Foong, 2008). Policy measures were introduced to ensure equality of access to higher education. The Ministry of Higher Education embarked on the implementation of its National Higher Education Strategic Plan (NHESP) in 2007, with the aim of transforming some of its higher education institutions into world class academic institutions. One of the initiatives was the Accelerated Program for Excellence, or APEX. Under this initiative, the one university given the "APEX" status would be given special incentives and privileges in terms of funding, autonomy and governance with the goal of transforming it into Malaysia's world-class university.

To make the public universities more effective, the government has attempted some deregulation. It has introduced new corporate governance frameworks, instituted a policy of corporatisation of public universities and allowed the universities to set new ways in their operations. With corporatisation, public universities were expected to operate as efficient, transparent and financially stable institutions, and government funding would be gradually reduced from total support to a pre-determined partial subsidy eventually. Universities were to expand non-government sources of revenue and to explore new areas of funding. With government grants presently still forming the major component of the universities' funding mix, government control and regulations are still very much in force in the operation of the universities. For example, it is not possible for universities to increase tuition fees, particularly for under-graduate programs without the prior approval of the government. Despite the corporatisation strategy, the public

universities are still unable to generate the expected revenue and are financially very dependent on government grants. With the increasing number of public universities, polytechnics and community colleges to be funded, there is an urgent need to find suitable and practical long-term solution to the funding of public universities.

State of Philanthropy in Malaysian Public Higher Education System (PHEI)

Malaysia's PHEIs, like institutions in other parts of the world, are experiencing reductions in their operating and development budgets. In this context, the government has reiterated the need for the PHEIs to seek ways to diversify their funding sources and take measures to implement income-generating activities. The alternative sources of income that the government has suggested include endowments, Alumni and philanthropic contributions (Johari, 1998). However, philanthropy in Asia typically has not reached Western institutionalisation levels (Fernandez, 2002a), and there has been limited reliable information gathered on the size and scope of philanthropic activities in Southeast Asian countries (Domingo, 2010). However, regional governments' efforts are evident as they try to promote philanthropy in education through measures such as the formulation of tax laws and tax reforms to encourage giving.

In Malaysia, philanthropy is not a new or modern phenomenon, but is deeply rooted in the diverse cultural and religious traditions of its people (Fernandez, 2002a). Malaysia is a multi-racial society, comprised of Malays, Chinese, Indian and other ethnic groups. Religions and traditional beliefs (Islam, Christianity, Buddhism, Hinduism, and other beliefs), play an important role in influencing the practice of philanthropy in the society; in short, religion provides a strong foundation for the giving tradition in the society (Domingo, 2010).

Muslims practise giving or *sadaqa* (anything given away in charity for the pleasure of Allah), as part of their everyday life. In addition to *sadaqa*, Muslims are obligated to pay a yearly purification tax namely *zakat* (signifies alms-tax that might purify and sanctify wealth (Al-Quran 9:130)) (Hasan, 2010b). Besides *sadaqa* and *zakat*, there is a practice of *Waqf* (Endowment; a dedicated property of which is to be used for some charitable ends for the duration of the property's existence) (Hasan,

2010a) - all of which are part of the way of life of Muslims. Similarly, Buddhism, Hinduism, Christianity, and other religions, also teach the need for giving and sharing, and these have strongly influenced the life, cultures and practice of philanthropy among the Chinese, Indian, and other races in the country. Thus, the religious beliefs and cultures of the people have formed a strong foundation for the benevolent tradition in the society but it is not directed towards giving to higher education institutions. Bustamy et al., (2002) for example, confirmed that religious culture is important in Malaysia and has played an important role in the practices of giving. However, while giving for religious purposes has received the most attention, other less important purposes were those described as cause-related giving. There was a high incidence of giving to relatives and friends which may indicate that Malaysians give readily to those known to them (Bustamy et al., 2002).

With the government taking the lead, the phenomenon of giving to support the public universities is changing slowly. To attract public donations, all donations given to the universities are tax exempted with gifts of money to an approved institution or organisation limited to seven per cent of donor's aggregate income (Inland Revenue Board of Malaysia, 2011). In recent times, some of the Malaysian universities have begun to establish an Advancement portfolio, such as the University of Malaya Institutional Advancement Centre (University of Malaya, 2012), and formed Foundations to govern the direction of philanthropic funds, e.g., The Pak Rashid Foundation formed by the Universiti Putra Malaysia in 2000 (Universiti Putra Malaysia, 2008), and the Universiti Kebangsaan Malaysia Chancellor's Foundation (Universiti Kebangsaan Malaysia, 2011).

However, the lack of a tradition of giving and public reporting on philanthropic giving to the Malaysian higher education sector has resulted in difficulty in identifying accurate and comprehensive data about the number and size of donations contributed by individuals and business entities to Malaysian universities. Thus, the lack of tradition and giving to PHEIs, and lack of public reporting of giving lead to difficulty in accessing the level of public interest of giving donations and hence the opportunities for increasing funding from this source.

Background and the State of Philanthropy in University I

Established in 1969, *University I* is the second oldest public university in Malaysia. The university has two branch campuses and is located in a state situated in the northern region of Malaysia. One of its branch campuses is located in the East Coast of Peninsular Malaysia. It had approximately 30,000 students in 2009.

University I is one of the largest Malaysian universities in terms of enrolled students. It was established with the mission of being a pioneering, trans-disciplinary research-intensive university that would empower future talents and enable all members of the society to transform their socio-economic well-being. The university has emphasised its function-oriented and interdisciplinary research, focusing on areas that integrate academic interest and practical relevance.

In line with its vision to transform Malaysian higher education for a ‘sustainable tomorrow’, the university was selected in 2008 by the Malaysian Government to be the first university to embark on a national program to be accelerated for excellence (APEX) and to be nurtured for world-class standing. In order to achieve this, *University I* had to move from a conventional government-controlled and funded institution to be a progressive, responsive and autonomous institution. To achieve its goal of being a world class sustainable university, the university has acknowledged that Alumni, parent and staff support are crucial to the university’s collective success.

Realizing the potential of Alumni to become a significant source for philanthropic support for the university, the university has taken a number of steps to strengthen and reinforce its Alumni and building of relationships. The university also acknowledged the potential of funding from philanthropic support. Therefore, in 2001, the university established the Development and Alumni Liaison Office to manage its philanthropic activities and to foster and nurture lifelong relationships with Alumni and friends (Universiti Sains Malaysia, 2012).

Philanthropic Support for Public Higher Education Institutions: Australian Context

Australian Public Higher Education and Funding System

Australia's higher education system is young relative to those of many developed western countries. Universities, as defined by the Australian Government's Department of Education, Employment and Workplace Relations (DEEWR), are self-accrediting institutions, have their own establishment legislation (generally State and Territory legislation) and receive the vast majority of their public funding from the Australian Government, through the Higher Education Support Act 2003 (Department of Industry Innovation Climate Change Science Research and Tertiary Education, 2003).

The tertiary education sector in Australia consists of universities, as well as other higher education institutions or higher education providers. A higher education provider is either a university, a self-accrediting provider, or a non self-accrediting provider that is established or recognised by or under the law of the Australian Government, a State, the Australian Capital Territory or the Northern Territory and subject to quality and accountability requirements (Ministry of Higher Education, 2009). The Australian higher education system comprises 39 universities of which 37 are public institutions and two are private; one Australian branch of an overseas university; three other self-accrediting higher education institutions; and more than 150 non-self-accrediting higher education providers accredited by State and Territory authorities.

The Australian Government funding support for higher education is provided largely through: the Commonwealth Grants Scheme; the Higher Education Loan Programme (HELP); the Commonwealth Scholarships programme; and a range of grants for specific purposes including quality, learning and teaching, research and research training programmes. In the Australian Higher Education System, decision-making, regulation and governance for higher education are shared among the Australian Government, the State and Territory Governments and the institutions themselves. However, some aspects of higher education are the responsibility of States and Territories.

The Australian Government in its 2009/2010 Federal Budget, announced a 10 year reform agenda entitled ‘*Transforming Australia’s Higher Education System*’ (DIICCSRTE, 2009), in response to the Bradley Review (Department of Education Employment and Workplace Relations, 2008). One of the principles outlined in the Australian Government funding for higher education was to respond to the economic and social needs of the community, region, state, nation and the international community. The Higher Education Contribution Scheme (HECS) was introduced in 1988 to supplement funding of the Australian higher education system (Higher Education Funding Act 1988) (Woellner, Barkoczy, Murphy, Evans, & Pinto, 2011). While the Higher Education Loan Programme (HELP), an income contingent loan commenced on 1 January 2005 to replaced HECS, assisted students to pay their higher education fees, where students do not have to start repaying their HELP loan until their “repayment income” reaches a certain level (\$44,912 in 2010/11) (Woellner et al., 2011).

State of Philanthropy in Australian Public Higher Education System

Australia is a culturally diverse society (DFCSIA, 2013) comprised of people from a variety of cultural, ethnic, linguistic and religious backgrounds. However, according to Liffman (2009), Director of the Asia-Pacific Centre for Social Philanthropy and Social Investment, giving is not a conspicuous aspect of Australia civic culture and voluntary giving by private philanthropists has played a relatively small role in Australia society. According to Liffman (2009), this reflects Australia’s convict past with the expectation of government funding and ‘suspicion’ of those with private wealth (Allen Consulting Group, 2007). Notwithstanding this cultural dimension it has been estimated that in the early part of the 21st century a total of \$11 billion annually (including goods and services) was donated by individuals and businesses to non-profit organisations (DFCSIA, 2005). Australian Taxation statistics (Australian Taxation Office, 2010) showed that for the 2008 – 2009 income year, individuals claimed \$2,093 million in deductible gifts, a decrease of 10.8 per cent on the previous year and the first decrease in the last ten years.

As noted above, Australia’s higher education system is young relative to those of many developed western countries but like other countries, Australian higher education institutions also are under the pressure of rapidly rising costs with limited

extra resources. To date, the evidence is that Australian universities have performed rather poorly in attracting philanthropic funds with donations and bequests representing less than 1.5 per cent of the universities' revenue (Allen Consulting Group, 2007). While some older 'Sandstone' universities such as The University of Sydney and The University of Melbourne, received large donations and bequests (Allen Consulting Group, 2007), other "younger" (e.g., less than 50 years of age) Australian universities are struggling to keep pace (Narushima, 2011). In line with the government policies to broaden the funding-mix for universities, many institutions are paying more attention to this potential revenue stream, that is voluntary giving from individuals, trusts, foundations, and businesses. Acknowledging the significance of voluntary giving, the Commonwealth Government in 2007 established a set of national best practice guidelines for philanthropy as it strives to develop a culture of giving to the higher education sector (Allen Consulting Group, 2007).

As research on philanthropy in Australia is carried out only intermittently and there are no public reporting requirements on philanthropy for many Australian organisations (Philanthropy Australia, 2008), it is difficult to obtain comprehensive statistical data on national philanthropy in the country (Philanthropy Australia, 2008). Despite higher education contributing almost 2 per cent of Australia's GDP (Norton, 2012) and ranking eighth in the world for higher education systems (Rowbotham, 2012), evidence suggests that Australian universities have performed rather poorly in attracting philanthropic funds (Allen Consulting Group, 2007). In 2000, the Australian Vice-Chancellors' Committee published a Code of Practice for Australian University Philanthropy (Australian Vice-Chancellors' Committee, 2000). Subsequently, a set of national best practice guidelines for philanthropic giving was established by the Government in 2007 (Allen Consulting Group, 2007). This is to ensure; (i) Australian universities earn and maintain the respect and trust of the public and, (ii) donors and prospective donors can have full confidence in the Australian universities' use of the donations.

To attract public donations, all Australian university Trusts and Foundations hold Deductible Gift Recipient Status if they meet the criteria set by the Australian Tax Office (Allen Consulting Group, 2007). *The Giving Australia Report* (DFCSIA,

2005) reported that individuals and businesses in Australia are more likely to give to community service or welfare, health, arts and culture, sports and recreation before giving to education (all sectors). According to one senior Australian academic (Narushima, 2011), Australians are reluctant to talk about their wealth, which adds barriers to fundraising. This also presents challenges for Australian universities as they seek to compete in an increasingly global market for students, staff and community engagement in the context of decreasing government funding. According to Liffman (cited in Matchett, 2009), people in Australia still think that the government does, or should, provide the resources for the universities. However, other voices are asserting that the universities are under-funded and that while people contribute through their taxes they may wish to do more (Matchett, 2009). It is important, therefore, for Australia's universities to be strategic and creative in promoting themselves to attract donations.

Background and the State of Philanthropy in University II

University II was established in 1890 and is the fifth oldest university in Australia. The university is located in a state situated in the southern region of Australia and offers flexible learning and teaching environments across its three campuses. An external assessment conducted by PhilipsKPA (2011), showed that the university's current statements of vision and mission are generally well understood and widely shared across the university. Over the next 10 years the university plans to work with local, national, international and global communities, acting as a catalyst for change, demonstrating leadership and serving the public good (University of Tasmania, 2011b). The principal activities of the university are: teaching and learning; research, knowledge transfer and research training; community engagement; and activities incidental to undertaking the listed activities (University of Tasmania, 2010a). Being the only university in the State has a unique and distinctive advantage and it has provided a significant opportunity for the university to create close relationships with the State (University of Tasmania, 2011b).

Government grants formed the major component of the university's funding mix. In 2010, 38.5 per cent of the university's funding was contributed by the Government with 33.2 per cent from students fees. The university continues to plan

for growth in student numbers and research activity and has adopted long-term financial targets in-line with the university's strategic plan (University of Tasmania, 2010a). The University's Foundation was established as the fundraising arm of the university to accelerate achievements through provision of funding for targeted projects and programs (University of Tasmania, 2012a). Realizing the potential of philanthropic contributions as the third stream of funding, the university took steps in 2009 to strengthen and reinforce its Alumni and university's philanthropic agenda by establishing the Advancement and Alumni Relations Office. The Foundation has managed to attract funding from a range of partners to support its major infrastructure projects and scholarships to students.

Rationale for the Study

Higher education requires sustainable forms of funding to operate effectively. Currently sources of income for public higher education institutions comes mainly from government, tuition fees, research grants received from public or private bodies, and money earned by the institution themselves. Philanthropy is a very productive area for financial support, and a possible significant source of external revenue for higher education institutions (Cutlip, 1990; P. D. Hall, 1992; Prince & File, 1994).

In order to obtain a wider perspective, it is wise to look comparatively from time-to-time at universities in other countries and learn how they are funded or successfully raise money for their higher education institutions (Altbach & Johnstone, 1993).

Philanthropy in higher education is presently under-developed in Malaysia whereas philanthropic culture whilst very modest is relatively more prevalent in Australian universities, though not as advanced as in the other developed countries, such as the United States and Europe. So far, there are few detailed studies of philanthropic contributions to Malaysian universities and the critical factors affecting the extent of philanthropic contribution, either Alumni-related or otherwise to the funding needs of public universities in Malaysia. On the other hand, in Australia, according to Meng et al., (2005, cited in Allen Consulting Group, 2007), several studies have shown that revenue from philanthropy is seen as an important means to

maintain the efficiency and fairness of higher education. As asserted by Liffman (2007):

Australia's universities have come to the view, in the face of growing costs and resource pressures, that their poor performance in attracting philanthropic support from Alumni and the broader community is a serious threat to their growth. (p. 1)

Universities in many nations are emulating the American model in seeking philanthropic support from their own domestic sources and international sources (Worth, 2002b).

This study, therefore, sought to investigate the appropriate planning strategies and management approaches needed to promote the growth of philanthropy as a significant component of the case study universities' funding mix. This was done as it is important to craft a philanthropy 'model' that will have most impact on the universities' prospective donors rather than to implement an approach from 'outside' their milieu.

Significance of the study

In order to survive and maintain sustainable growth, higher education institutions have realised they must develop additional revenue streams, other than government grants and tuition fees (Bloland, 2002; Mora & Nugent, 1998). According to Altbach and Johnstone (1993), universities tend to be poor if their income is based on only a limited number of financial sources and tend to be wealthy if their income comes from a wide variety of sources. Despite the growing importance of philanthropy to higher education across the world (Barr, 1993; B. E. Brittingham & Pezzullo, 1990; Fransen, 2007; Jacobs, 2007), there is thus far no study conducted to investigate factors influencing individuals giving to Malaysian universities. Similarly in Australia, despite the growing research on philanthropy (e.g., Madden, 2006; Madden & Scaife, 2006; Scaife, 2006; Scaife, McDonald, & Smyllie, 2011), only a few studies have investigated some public higher education institutions but they are neither comprehensive or extensive. Universities in both Australia and Malaysia have looked with envy at the greater successes of institutions in the United States and United Kingdom in this area.

In the Malaysian context, the urgent need to raise the academic status of Malaysian public universities has been recognised, creating the pressing task for the government to facilitate some of its public universities becoming academic institutions of high standing in the world. *University I* is the first Malaysian public university chosen for acceleration towards attaining world class distinction within a relatively short time span. Consequently, it will have to make strategic changes to strengthen its funding mix to ensure success. In order to achieve this, it will have to move from a conventional government-controlled and funded institution to a progressive, responsive and autonomous institution. However, finding the appropriate funding mix for the university and mapping out its financial management strategies to ensure sustainable success is a daunting and shifting task to overcome.

In the Australian context, the financing of higher education has undergone radical change since the early 1970s, and over the last decade, there has been a significant move towards greater private contributions (Chapman, 2001). Therefore, *University II* needs to find its own financial pathway based on its mission, region and resources, as well government directives and funding, as it aspires to be one of the top 10 research universities in Australia with its research agenda focusing on developing and building new research institutes, and in successfully attracting collaborative and infrastructure funding from State and Federal Governments, industry and philanthropic organisations.

Given the paucity of research on educational philanthropy in the Asia-Pacific region, particularly on giving to the public universities in Malaysia and Australia, the findings of this study are important for several reasons in relation to the university's global position, government funding and regulation, and the university's own efforts, namely:

1. to add to existing literature on philanthropic contribution as a serious and productive source of finance to the PHEIs in the Australian and Malaysian context;
2. to enhance knowledge and understanding of university's fundraisers of donor's giving behaviours;
3. to increase the awareness among university administrators of the importance of promoting the culture of donating to education;

4. to increase the awareness among university advancement administrators of the determinant factors influencing donor's giving decisions;
5. to add knowledge to other state universities within Malaysia and Australia (and elsewhere) in attracting giving by learning from one another and, through policy adaptation and modification, understanding the differences in the problems they encountered;
6. to serve as a resource for the university's management to plan and construct reliable strategic approaches for an effective Institutional Advancement Program that best fit the university setting; and
7. to influence policy changes to view philanthropy as a reliable strategic alternative to raise additional funds.

Research Questions

The research questions for this study were formulated to enable the understanding of the nature and purpose of the two case study Institutions' approach to raise philanthropic support. The study will address the following questions:

Research Question 1

What are the current policies, organisational practices and effort in regards to philanthropic fundraising in the two case study Institutions?

Sub-question:

How does the university's capacity and fundraising history influence the two case study Institutions' philanthropic fundraising?

Research Question 2

What are the present patterns of philanthropy in the two case study Institutions and the factors influencing donors' philanthropic decisions?

Research Question 3

How do donors perceive their philanthropy to the case study Institutions and the case study Institution's Fundraising Management?

Research Approach

This study adopted a Qualitative research approach and used case study method for the research design. It employed a descriptive research method which used both qualitative and quantitative approaches in collecting data (Burns, 1994). Mixed method approaches were chosen for this study as it is the most appropriate technique to address the research questions and to improve the internal validity through triangulation of data sources (Cohen, Manion, & Morrison, 2000).

Research Design

Case study is “a research strategy which focuses on understanding the dynamics present within single settings.” (Eisenhardt, 1989, p. 534). Therefore, case study method was utilised as the research strategy in order to make the institutions’ approaches understandable (Stake, 1995). The case study also allowed the research to answer the ‘how’ and ‘why’ questions (Yin, 1994) in regards to philanthropy as a productive and significant revenue source in the two selected bounded systems in the study; an institution of higher learning in a developing country: *University I*, Malaysia, and an institution of higher learning in a developed country: *University II*, Australia. By selecting these two institutions, the potential contribution of philanthropy to increase university funding in two different countries and cultural contexts will be examined and compared.

Conceptual framework

The conceptual framework for this study was derived from the combination of three sources namely: first, research on open system theory for fundraising and the factors influencing organisational fundraising success (Tempel, 2010); second, research on social exchange theory for fundraising (Mixer, 1993), and third, research on motives that trigger giving (Van Slyke & Brooks, 2005).

Research on open system theory suggests that, for successful fundraising, the organisation needs to get connected with its external environment, and to operate in a management structure that understands its mission (Tempel, 2010). This approach fits the aim of the study to examine institutional readiness and efforts towards successful fundraising.

The second source derived from the research on the concept of reciprocity of social exchange theory in fundraising. Mixer (1993) suggests that maintaining and nurturing social relationships will determine success in raising funds. Reciprocity is a significant element in the fundraising activities that help explore the social exchange activities between the case studies universities' needs sharing and the donor's and prospective donors reciprocating to the request (see Figure 1.1).

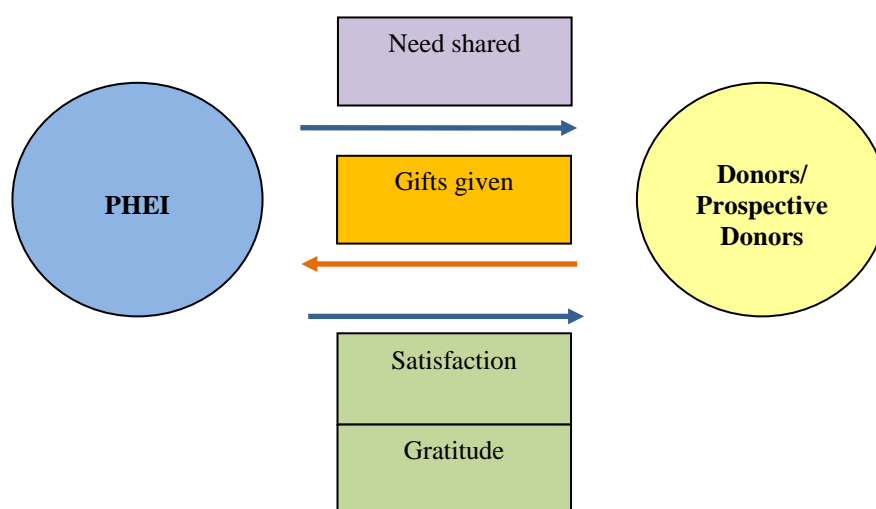


Figure 1.1 Social exchange theory in fundraising (Adapted from Mixer, 1993, cited in Lindahl, 2010, p. 95)

The third source comes from the research on factors influencing donors' giving decisions. Van Slyke and Brooks (2005) categorise the determinants of giving into demographic variables and motivational factors (internal and external). This model is suitable in the context of this study because it aims to examine the factors that trigger the average donor to contribute to the public universities (see Figure 1.2).

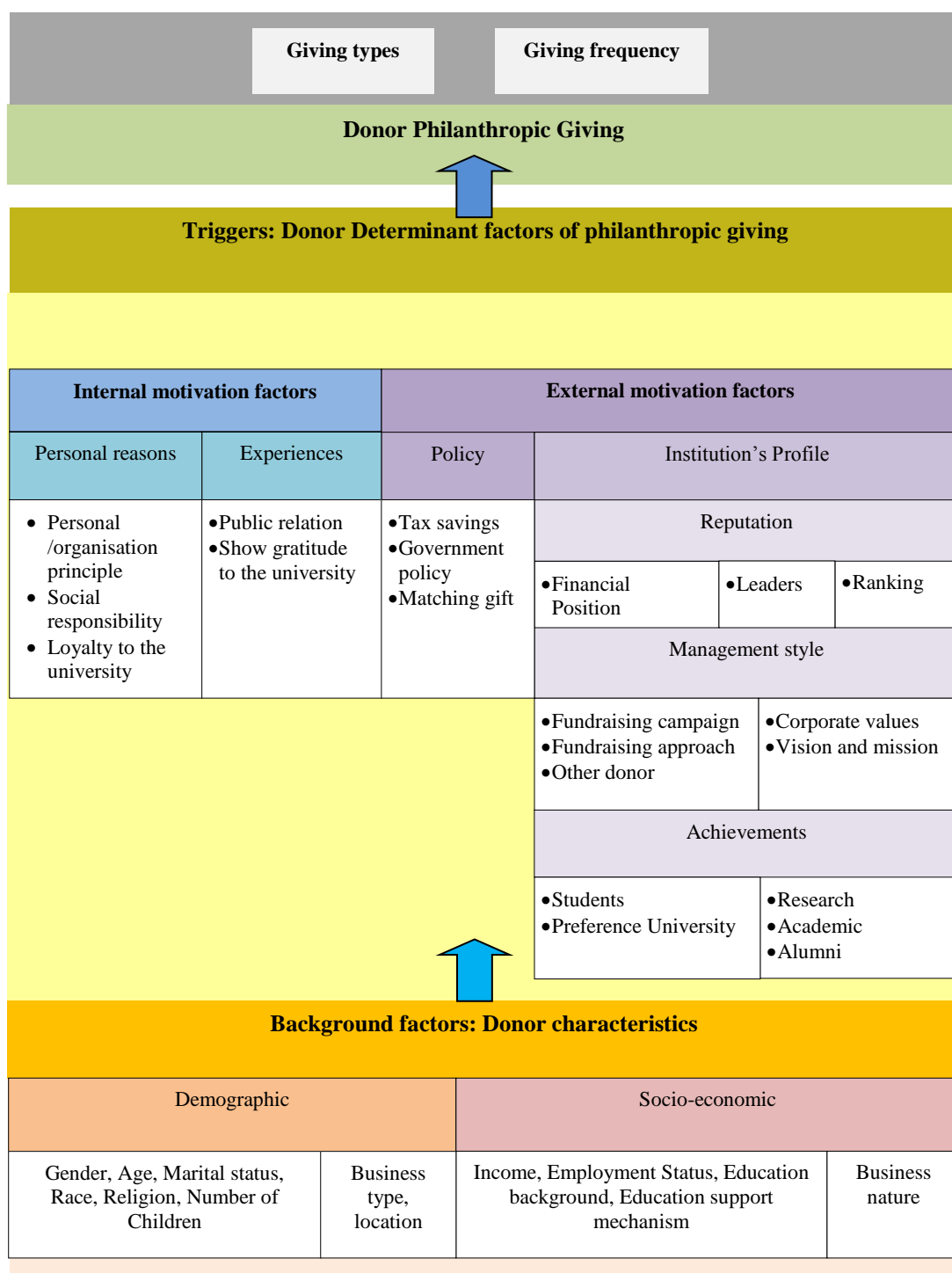


Figure 1.2 Conceptual model of the decision to behave charitably to Public Higher Education Institutions (Adapted from Van Slyke & Brooks 2005)

The combinations of these three sources will become the framework to answer the study's research questions, and in addressing the broad research aim. The conceptual framework and the relationships of the research questions are demonstrated in Figure 1.3.

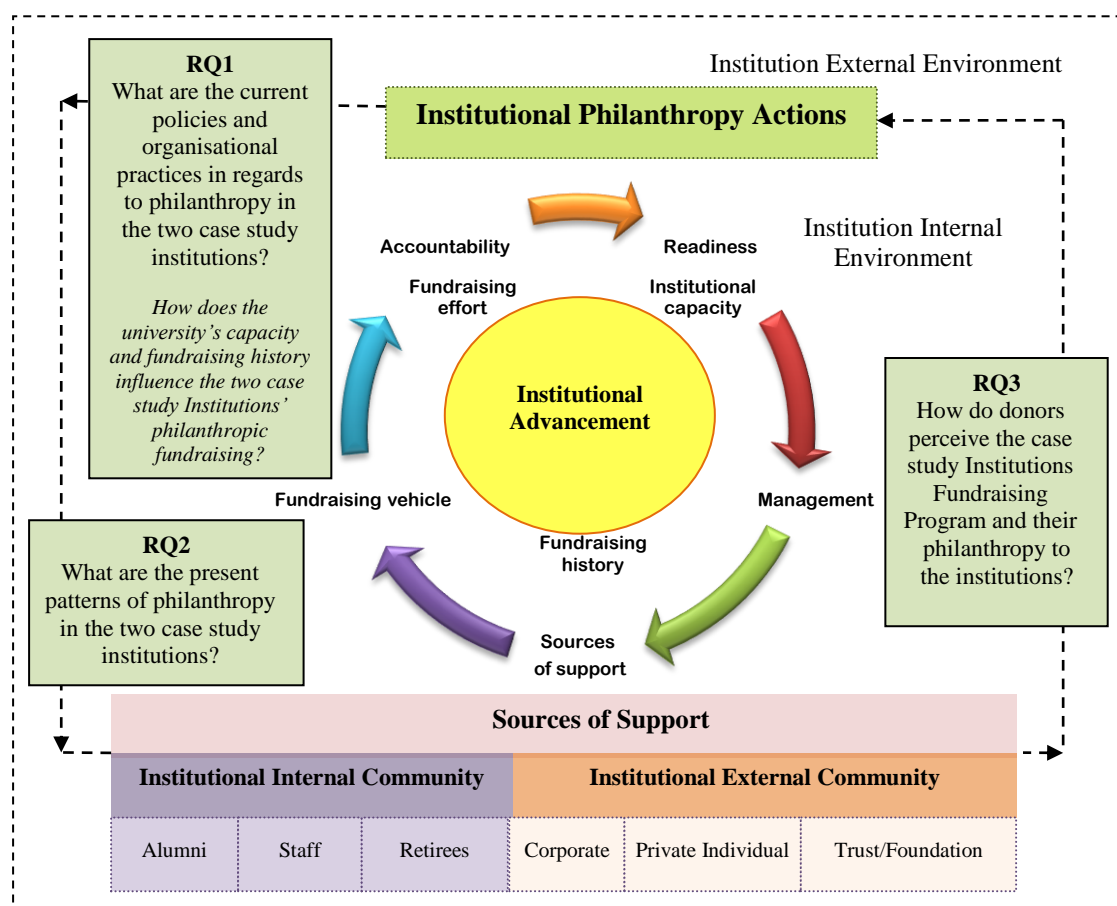


Figure 1.3 Conceptualisation framework of the case study universities' philanthropy action framework and the relationships with the Research Questions

Data Gathering and Data Analysis Methods

Three research instruments were used in this study to collect the quantitative and qualitative data. The quantitative data were gathered through two sets of questionnaires for the two categories of donors: Alumni-Private Individual Donors and Corporate/Trust/ Foundation Donor. The qualitative data were collected through in-depth interview sessions. Documents and records were gathered and interrogated with other relevant data and information on the subject.

The triangulation of the data incorporated multiple data-sources, multiple data-collection procedures and multiple data-sites. Multiple data sources refer to the multiple groups of participants involved in the study: University's Leaders, University's Administrators and University's Donors and Alumni. Multiple data-collection procedures refer to the research instruments used in collecting the data; document and records, questionnaire, and interview. Finally, multiple-sites refers to

the locations covered in the study, involving *University I*, a State University from a developing country Malaysia, and *University II*, a State University from a developed Western country, Australia.

The participants were grouped according to the nature of their contributions to the subject matter (philanthropic support to PHEIs), and their involvement in the philanthropy and fund-raising activities in the case study institutions. Three groups of participants were formed: first, Group 1- University Leaders, comprised the leaders of the selected case study universities who are responsible for formulating and setting philanthropic goals and directions for the university and promoting the philanthropy culture as a means of raising funds for the university. Second, Group 2 - University Administrators comprised staff involved directly in the management of fundraising and philanthropic sourcing activities of the university. Third, Group 3 - University Donors-Alumni, comprised the people who have contributed to the case study universities. The samples were selected based on the participant's functions and involvement in supporting the institutions.

A Purposive sampling technique was utilised in the selection of the case study participants as this sampling method allowed cases to be included in the sample based on the researcher's judgement of the cases' typicality (Cohen et al., 2000). The participants were chosen as the key informants for the study based on their role in the university's philanthropic agenda during the time of data collection. Seven *University I* representatives (comprised of three University Leaders (Group 1), and four University Administrators (Group 2) were selected. While for *University II*, nine University representatives were selected (consisting of three University Leaders (Group 1), and six University Administrators (Group 2). As a case study, the number of participants being selected was sufficient to allow an in-depth understanding of the phenomenon. The samples were able to provide the information needed to address the research questions as they were selected based on a specific purpose rather than randomly (Teddlie & Tashakkori, 2009). The data were collected from February 2011 to July 2011 for Case Study 1 (Malaysia) and from September 2011 to January 2012 for Case Study 2 (Australia).

Samples of active donors and Alumni were selected from the total population of Donors-Alumni residing in the university's database. A total of 23 *University I*

donors (5 per cent) of the total active donors were approached to provide their views and perceptions in the interview sessions. Twelve donors (3 per cent) agreed to participate in the study. While for *University II*, 21 donors (2 per cent) were invited and six donors (0.5 per cent) agreed to participate in the study. The online survey-questionnaire was distributed for participation by the third party office to over 7,000 active donors and Alumni of *University I*, and almost 23,000 active donors and Alumni of *University II*, through the case study universities' *eAlumni News* webpage and email link. 143 donors and Alumni of *University I* completed the survey, which represented a return rate of 2 per cent and from *University II*, 82 donors and Alumni (0.4 per cent) participated in the survey. Though the sample is not large enough to generalise to the population, it is sufficient to provide an understanding of the phenomenon as "quality, rather than quantity should be the essential determinant of numbers" (Oppenheim, 1992, p. 68).

As published information about philanthropy policy in Malaysia is limited, the sample for *University I* was extended to include one participant from the Ministry of Higher Education Malaysia, but not at *University II*. An interview session was conducted to gain insight into the Government's view regarding the investigated phenomenon.

The qualitative and quantitative data collected were analysed using Statistical Package for Social Sciences (SPSS) (IBM Corporation, 2010) and NVivo (QSR International, 2009). The SPSS application was used to examine the relationships between independent and dependent variables by using the appropriate statistical test, while NVivo, a thematic analysis approach was used to code themes for analysis. The study also used the document analysis method where related documents and records are reviewed and analysed (Wiersma & Jurs, 2009).

Limitations of the Research

It is impossible for any single study to cover all aspects of a topic as broad as this one and this study is no exception. However, this does not mean that having limitations is seen as a weakness of the study, rather the limitations should be taken as a potential subject to be examined by future research.

The first limitation of this study is the context of the study. This study covers two public institutions of higher learning, *University I* and *University II* in two nations, Malaysia and Australia. The findings from this study therefore cannot be generalized to other PHEIs in other countries. However, other PHEIs can benefit from the experiences and challenges faced by the case study universities to develop a sustainable philanthropic fundraising program.

The second limitation is the number of participants from the University's Donors-Alumni group involved in the interview sessions and the questionnaire. The selection of the participants has been designed to take into consideration all categories of the University's Donors-Alumni group for better understanding of their views and experience in supporting the university's funding needs. Though the number of participants does not represent the total population of the University's Donors-Alumni, they are sufficient to provide "what you want to know" and "what will have credibility" (Palton, cited in Teddlie & Tashakkori, 2009, p. 182).

Finally, other factors contributing to the success of PHEIs fundraising from philanthropic sources were not able to be examined and explored due to the time constraint and scope of the study, in particular, the Governments' policy on philanthropy, for example matching grants and tax reliefs. Similarly, study on *zakat* contributions or alms giving to support the Malaysian PHEIs also were unable to be explored. Nevertheless, serious attention was given to these issues and their importance to the philanthropic context for both countries throughout the study. These issues could become research ideas for future studies.

Structure of the thesis

This thesis has been structured into seven chapters, together with a set of attachments consisting of a list of References and a set of Appendices. Chapter 1, provides the background and context for the study.

Chapter Two - Literature Review: This chapter presents the review of the literature on current research, theory, fund raising and philanthropy policies in relation to higher education, as well as financial and administrative practices in managing philanthropic funding. This chapter gives emphasis to how these factors

relate and complement the internal and external fund raising process and procedures of the public institutions of higher learning.

Chapter Three - Research Methodology: This chapter presents the research methodology used in the research. The research design underpinning the study is discussed and explained in detail including the research methods, research approach, sampling technique, research instruments, data collection and data analysis.

The findings are presented in three chapters to provide a clearer relationship with the study's Research Questions. Different types of statistical tests were used for the purpose of testing the significance of difference depending on the types of data. Graphs and Figures illustrate the statistical results for better visualisation. Chapter Four – Results: Research Question 1 presents the data in relation to Research Question 1, which emphasised the case study Institutions' current policies and organisational practices in regards to philanthropy.

Chapter Five - Results: Research Question 2. This chapter reports the qualitative and qualitative data collected to address Research Question 2. In particular the chapter reports the data on the present patterns of philanthropy and the factor/s influencing donor's giving decisions in the institutions.

Chapter Six - Results: Research Question 3. This chapter presents the qualitative and qualitative data collected to address Research Question 3. In particular the chapter reports the data of the donor's perceptions of their philanthropic support to the case study Institutions.

Chapter Seven – Discussion and Conclusion. This chapter presents the discussion, review and suggestions derived from the research findings reported in Chapters Four, Five and Six. These data are linked to the extant literature and discussed in relation to it.

Summary of Chapter 1

This chapter provided a brief overview of the challenges facing the contemporary Public Higher Education Institutions in most parts of the world as the result of the general reduction in Government funding. A potential third revenue stream, philanthropic support at two public universities: one in Australia and one in Malaysia form the basis of the study and were elaborated. A brief overview of the

current state of philanthropy at the case study countries and at the case study universities were presented.

The chapter provided an overview of the important aspects of the study by outlining the Scope, Aim and significance of the study. The chapter also briefly addressed the methodology adopted by the study and the research questions provided directions to the study. The limitations of the study also were presented. Finally, the chapter concludes with the structure and outline of this thesis.

The review of the literature with reference to philanthropy and philanthropic support to PHEIs, the institutional factors influencing PHEIs success in philanthropic fundraising, reasons behind donor's giving decisions in the Australian and Malaysian context will be presented in the following chapter.

Chapter 2 Literature Review

Introduction

The purpose of this chapter is to review research on the topic of philanthropic support to Public Higher Education Institutions. This study is cross-cultural in nature involving a review of literature drawn from multiple sources and contexts. As space is limited, not all aspects of philanthropy were reviewed. The present review is not limited to only theoretical development but also the empirical studies of the field. Given this particular situation, the elements of the study's conceptual framework provides a context to the reviews; namely; the elements of the Institutional External and Internal Environment for the success in organisational philanthropy; the elements of the Institutional Internal Environment: fundraising effort, institutional capacity and history and the tools to ensure philanthropy success; organisation readiness, support, fundraising vehicle; and the types of sources of support to the university's philanthropy towards institutional philanthropy action; and understanding donors behaviours towards strategising institutional philanthropy success.

Hence, the reviews were conducted around three areas to provide context for this study: firstly, the theoretical development of the conceptual understanding of Higher Education philanthropic fundraising; secondly, the empirical research related to successful Higher Education fundraising; and finally, donor's motivational factors and reasons for giving in a cross-cultural context. The chapter seeks to explore the knowledge base of Institutional Advancement and identify the gaps in the knowledge about: (i) the elements for a successful institutional fundraising program in Australian and Malaysian higher education institutions, (ii) why donors give to the public universities in a cross-cultural context, and (iii) the factors that influence giving, and donor's perceptions of their philanthropy in a successful Higher Education fundraising effort.

Literature review process

An extensive search of the literature on the topic was conducted with reference to books, journals, and other published resources. These sources were collected from

several university libraries in both Australia and Malaysia. Materials also were gathered through the electronic database services that included: Proquest, Education Resources Information Center (ERIC), others databases through the EBSCOHost Education, and Google Scholar to establish the relevant material. The process of exploring and examining the literature has provided the avenue for the researcher to understand the field of the study and the gaps in the bodies of knowledge on the research topic.

Philanthropy in the context of the study

The growing importance of philanthropy to higher education across the world can be found in the literature as institutions have embraced philanthropy to satisfy their funding needs (Barr, 1993; B. E. Brittingham & Pezzullo, 1990; Cutlip, 1990; Expert Group, 2007; Fransen, 2007; P. D. Hall, 1992; Jacobs, 2007; Johnstone, 2004; Prince & File, 1994). Many institutions have grappled with questions of *why* donors give and *what* motivate donors to give in their effort to raise funds. Thus, quite extensive literature can be found that discussed factors influencing giving behaviours (see Beeler, 1982; Bekkers, 2010; B. E. Brittingham & Pezzullo, 1990; Bruggink & Siddiqui, 1995; Clotfelter, 1985, 2001, 2003; Jencks, 1987; Keller, 1982; Lindahl & Winship, 1992; Mixer, 1993; Oglesby, 1991; Ostrower, 1995; Quigley, Bingham, & Murray, 2002; Schervish, 1997; Shadoian, 1989; Van Slyke & Brooks, 2005; Willemain, Goyal, Van Deven, & Thukral, 1994).

While some institutions have managed to achieve success in attracting philanthropic support, many are still struggling to succeed. This raises the enduring issue as to ‘what is the formula for a successful Higher Education Institution philanthropic approach?’ How should these institutions organise, structure, function, and strategise to draw public attention? The answer to these questions suggests a need to ‘unpack’ the elements of a fundraising program in the literature to examine their contributions for fundraising success. Literature that explored strategies for successful Higher Education philanthropy were by Bakioglu and Kirikci (2011), Chung-Hoon (2005), Chung-Hoon, Hite, and Hite (2007), Hauenstein (2009), Johnstone (2004), Leahy (2007), Liu (2007), Merchant, Ford, and Sargeant (2010), Seligman (2009), and studies related to Institutional Advancement (Akin, 2005;

Bakewell, 2005; Chance, 2009; Glass & Jackson, 1998; Kozobarich, 2000; Langseth & McVeety, 2007; McAlexander, Koenig, & Schouten, 2006). While, most of the relevant literature reported investigations were conducted in Western country Higher Education institutions, particularly in the United States, limited studies were found in the Australian and South East Asia context.

In Australia

Despite the growing research on philanthropy in Australia as reflected in published studies, e.g., Giving in Australia (DFCSIA, 2005; Madden, 2006); Corporate philanthropic giving (Madden & Scaife, 2008a); Affluent Donors (Madden & Scaife, 2006; Madden & Scaife, 2008b; Scaife et al., 2011); Role of Fundraisers (Scaife & Madden, 2006); Indigenous Philanthropy (Scaife, 2006); Religion and Giving (Lyons & Nivison-Smith, 2006a, 2006b); Giving and Volunteering (Lyons, McGregor-Lowndes, & O'Donoghue, 2006); Bequests (Madden & Scaife, 2008c; Routley, Sargeant, & Scaife, 2007), research on Higher Education philanthropy is limited.

A study which provided a significant basis of understanding the elements for a successful fundraising in Australian universities was conducted by Allen Consulting Group (2007). This study reported a low level of public support to the Australian universities. The factors for the low responses as reported by Allen Consulting Group included:

Weak ties between the university and its stakeholders, such as Alumni, business and foundations; lack of support from the governments (State and Commonwealth) to provide mechanisms to encourage philanthropy; paucity of leadership or focus from universities on fundraising strategies; and producing a culture that does not promote philanthropic giving to higher education. (p. 19)

It was found that the philanthropy focus at most Australian universities is on setting up the basics of an office, etc. (Wheeler, 2011) and most of the universities are still struggling for support (Narushima, 2011).

In Asia

While most Asian countries have a strong third sector tradition of philanthropy (Lyons & Hasan, 2002), they have not reached the institutionalisation level as in the

West (Fernandez, 2002a). The small corpus of available literature suggests limited reliable information on the size and scope of philanthropic activities in Southeast Asian countries (Domingo, 2010). The limited investigation in the field has led to most of the universities in the Asian region to adopt the Western ideas and practice of philanthropy (Peralta, 2007).

Lyons and Hasan (2002) claimed that most Asian scholars argued the appropriateness of western concepts and theories, derived from the study of western societies, being adapted and adopted in the Asian context. One prominent concern was the definitional issues raised by Ma (2001, cited in Lyons & Hasan, 2002), who argued that the concepts of civil society and corporatism do not help to understand Chinese reality. Ma emphasised the need for a more open mind and a broad knowledge of Chinese history to make sense of what is occurring in China. Lyons and Hasan (2002) supported Ma's argument, and suggest that adapting or adopting Western ideas directly into the Asian context was not appropriate because the Asian countries' third sector have their own characteristics and were influenced by: "its recent political history, particularly the level of state control; by its own legal system; and by the strength of religious beliefs; and in some cases, by its level of economic development, especially the size of the educated middle class" (p. 107).

In Malaysia

The small corpus of literature related to philanthropic studies in the Malaysian context includes: Preliminary study of the state of philanthropy in Malaysia by the Philanthropy Initiative of Malaysia (PHILIMA) (Fernandez & Ibrahim, 2002); Private philanthropy in Multiethnic Malaysia (Cogswell, 2002); A Corporate Philanthropy in Malaysian Corporations (Amran, Lim, & Sofri, 2007; Prathaban & Abdul Rahim, 2005; Zulkifli & Amran, 2006). The review of this literature provides the background for this study.

Despite the growing interest in philanthropy, to date, no literature is available on the topic of private support to the Malaysian Higher Education Institutions, or elements for a successful higher education philanthropic fundraising programs. However, the study by PHILIMA (Fernandez & Ibrahim, 2002) offers an interesting finding that builds an understanding of the motivating factor in the running of the

‘institutions’ that promotes philanthropy in the country which includes the Operative Foundations, Corporations, Religious Institutions, Trust, Private Philanthropy and Family Foundations. Fernandez (2002a) suggest that:

Religion and culture have played a significant part in motivating or in the running of some of the ‘institutions’ (p. 13).

This factor highlighted the needs of public universities in the country to address the role and to acknowledge the impact of the country’s philanthropic characteristics surrounding diverse traditions, practices, cultures and religious beliefs rooted in the society (Fernandez, 2002a) in their philanthropic fundraising efforts.

The limited body of literature directly relating to the context of the study presents both a challenge and an opportunity. While there was little guidance and direction from other scholars in the context of this study, particularly in the Malaysian context and it posed a challenge in conducting the research, the study provided an important opportunity to contribute to the body of knowledge in the field.

Literature underpinning successful Higher Education Philanthropic Fundraising

Three main areas of literature related to the factors and elements of successful organisational fundraising were identified for detailed review (Allen Consulting Group, 2007; Expert Group, 2007; Tempel, 2010). The studies conducted by Allen Consulting Group (2007) and Expert Group (2007) were empirical studies of higher education philanthropy fundraising, while Tempel’s (2010) work provided a theoretical understanding related to the organisational factors that enabled fundraising to succeed. *The Allen Report* (Allen Consulting Group, 2007) and *The Expert Report* (Expert Group, 2007) were selected for detailed review and discussion because the findings from both studies provided a ‘best practice framework’ for university philanthropic fundraising that best fits the aim of the research study.

The Allen Report (Allen Consulting Group, 2007) provided data from consultation with 35 stakeholders, namely universities, governments, business groups, and philanthropic bodies in Australia, and an analysis of the international literature, examined ways to develop a culture of philanthropic giving to universities and to establish the national best practice guidelines.

Expert Group (2007) conducted a study of philanthropic fundraising for research in European universities to identify and review good practices. The study used materials drawn from the universities, Foundations, research bodies, the business sector, and the public authorities, data from a questionnaire and interviews with 34 stakeholders, namely, the universities, philanthropic organisations, fundraising professionals, and corporations.

Features of successful PHEI's philanthropic fundraising

The analysis of the factors and features for organisational fundraising from the three studies (Allen Consulting Group, 2007; Expert Group, 2007; Tempel, 2010), are presented in Table 2.1.

Table 2.1 *Organisational factors for fundraising success and recommendations for HEIs philanthropic framework*

Factors for fundraising success	Recommended guidelines for HE philanthropy framework	
Tempel (2010)	<i>The Expert Report (2007)</i>	<i>The Allen Report (2007)</i>
<ul style="list-style-type: none"> • Organisational strength and vulnerabilities • Organisational Readiness <ul style="list-style-type: none"> - Organisation and Financial plan • Accountability <ul style="list-style-type: none"> - Transparency; Ethical values; Good stewardship • Management <ul style="list-style-type: none"> - Sound management team - Internal and external constituencies participation - Strong management processes • Human Resources <ul style="list-style-type: none"> - Governing Board; Professional staff • Sources of Support <ul style="list-style-type: none"> - Individuals; Corporations; Foundation; Associations; Government • Fundraising Vehicles <ul style="list-style-type: none"> - Annual giving; Special gifts; Major gifts; Capital campaign; Planned giving 	<ul style="list-style-type: none"> • Getting the fundraising fundamentals right <ul style="list-style-type: none"> - Improving the characteristics of a successful fundraising campaign - Identifying the steps to be taken by the universities - The strategies to pursue - The structures that need to be put in place • Getting the university environment right <ul style="list-style-type: none"> - Overcoming institutional constraints that hinder fundraising activities - Improving university governance - Creating instruments • Getting the university external environment right <ul style="list-style-type: none"> - Improving public policies to raise philanthropic funds for research - Actions to increase awareness and interest of society in fundraising 	<ul style="list-style-type: none"> • Governance <ul style="list-style-type: none"> - Establish defined and well-enforces gifting policies - Clear articulated process in handling and management of philanthropic funds • Management <ul style="list-style-type: none"> - Establish a champion in fundraising within university's management • Human Resources <ul style="list-style-type: none"> - Development Officers with professional fundraising experience - Marketing advisors to improves university's positioning in the community - Establish and encourage training programs in philanthropy and fundraising • Relationship Management <ul style="list-style-type: none"> - Establish a culture of philanthropy - Provide incentives, benefits and recognition for giving • Marketing <ul style="list-style-type: none"> - Promote the value of the university contributes to the community - Raise the profile of philanthropy

Note: Source-Tempel (2010); Expert Group (2007); Allen Consulting Group (2007)

Temple (2010) identified seven factors that related to organisational fundraising success, while the Allen Consulting Group (2007) provided five guidelines for best practices in Australian universities' philanthropic framework, and Expert Group (2007) recommended three key guidelines to raise the level of higher education philanthropy giving for research within Europe.

Getting the university fundraising fundamental right

The first step towards successful higher education philanthropic fundraising is getting the fundamentals right. According to Tempel (2010), "effective fundraising is built on organisational strengths and that organisational weaknesses and vulnerabilities can undermine fundraising efforts" (p.334). This suggests that how an organisation capitalises on its strength and accommodates its areas of weakness influence donors' perception of their credibility to fulfil promises. Tempel (2010) suggested universities need to capitalise on the strength of an open system orientation and move away from an "Ivory Tower" approach for fundraising initiatives to succeed. This suggests that while the university may prefer to retain its 'exclusiveness', public perceptions of the institution's openness to the wider society, may influence their giving decisions.

To affirm the organisation's readiness to embrace the public's needs and interests, studies have reported that a sound organisational plan, developed with the participation of its key constituents must be in place (Allen Consulting Group, 2007; Expert Group, 2007; Tempel, 2010). In addition, *The Expert Report* (Expert Group, 2007) reported that incorporating the university's plan for fundraising from philanthropic sources into the university's overall strategy is essential to success. These findings suggest that donors' and prospective donors' decisions to give depend on their understanding of the organisation's goals.

Installing effective fundraising governance is a key element for success. Both studies (Allen Consulting Group, 2007; Expert Group, 2007) recommended the creation of a university Foundation to handle and manage the donations and trust arrangements, particularly when greater university autonomy is not possible (Expert Group, 2007). To understand the effect of a University's Foundation on fundraising success, Thomas (2006) used data from survey involving 979 public US community

colleges and reported that there was a strong relationship between the age of an institution's Foundation and the money value of the Foundation's assets, whether or not the Foundation has a full-time director. These findings indicated that management of fundraising activities through a separate entity may increase public confidence of the university and fundraising effectiveness.

To ensure the fundraising plan will be carried out effectively, Allen Consulting Group (2007) suggested that well-defined and enforced policies on gifting must be put in place. This included clear policies and procedures that will enhance donors' confidence in the university's management of philanthropic funds. To achieve success in raising the level of philanthropic giving for research within Europe, Expert Group (2007) emphasised the importance of public policies that would stimulate philanthropic support across the European Union.

Establishing a dedicated philanthropy structure is important for fundraising success. To ensure fundraising success, both studies (Allen Consulting Group, 2007; Expert Group, 2007) emphasised the creation of a development professional occupying a senior position in the university hierarchy, and a dedicated development office to champion the fundraising arm of the university. In addition, The Allen Consulting Group (2007) demonstrated the need for the senior development professional to report to the Vice-Chancellor as a best practice framework. However, Allen Consulting Group and the Expert Group do not prescribe the operational structure of the Development Office, e.g., as a centralised or decentralised operation. This element is important because the operation of the Office need to be in accordance with the university Strategic plan and fundraising objectives.

In a study of resource development, Glass and Jackson (1998) compared fundraising in US community colleges with four-year institutions, and found that a centralised function was the most common structure adopted by the four-year college and universities development office. While Hall (1993, cited in Glass & Jackson, 1998) suggested that the challenge in moving to decentralise activities involved "changing the balance of power on campus" which may "affect the university's ability to set priorities" (p. 722). Using data from survey-questionnaires involving Chief Development/Advancement Officers of 88 public research and doctoral universities and 57 private research and doctoral universities in a study of US

development office structure, Grunig (1995) reported that fundraising performance is not significantly correlated with more decentralised development operations. These findings suggested that how the Development Office was structured was determined by the direction of the university philanthropy culture and how serious the leadership of the university was in promoting the “culture of asking” within its internal constituencies.

Installing coherent and well-defined governance is essential for a successful fundraising framework. While Allen Consulting Group (2007) emphasised well-defined policies on gifting and sound governance process on management of donations, Expert Group (2007) stressed the importance of transparent governance, such as the investment of philanthropic funds. This finding signals that to build donors’ trust and confidence, the university must demonstrate sound management of philanthropic giving and it needs to be made visible to the public (Maehara, 2002). *The Expert Report* (Expert Group, 2007) stressed the importance of donors and prospective donors participating in the university’s governance structures. This finding suggested that to build continuous support and strengthen confidence of other donors to give. The involvement of donors and prospective donors’ in the fundraising agenda is important.

Another important element for success was accountability. While *The Allen Report* (Allen Consulting Group, 2007) stated that well-defined policies would demonstrate accountability and integrity in fundraising, *The Expert Report* (Expert Group, 2007) emphasised the importance of openness and accountability, most importantly in the university accounting system.

Ethics in fundraising was another aspect related to fundraising success. Two important elements of ethics in fundraising were relationships and trust (Maehara, 2002). Kozobariah (2000) also reported that among the ethical issues in higher education fundraising was the appropriateness of the donors and their gifts, such as, donations from a tobacco company. Therefore, it is important to continue to provide stewardship because it not only improves fundraising performance but builds donor’s relationships based on trust and confidence (Worth, 2002a). In a study of philanthropy in a heterogeneous population using data gathered by Bustamy et al., (2002) in one state in Malaysia, Penang, observations and interviews with donors and

stakeholders, Cogswell (2002) found the perception among Malaysian of fundraising was: “fundraising in Malaysia is rife with corruption” (p. 109). This resulted from the lack of enforcement activities by the authorities, and poor management of philanthropic giving. This emphasises the need for organisations and Development professionals to install greater transparency in managing philanthropic sources to build people’s confidence in giving.

Getting the university environment right

- ***Internal environment***

Much of the literature has reported that the organisation’s senior leadership, governing body and board members’ participation in the planning and fundraising activities were essential for fundraising success (Coll, 2000; MacArthur, 2000; Mixer, 1993; Tempel, 2010; Worth, 2000). The Allen Consulting Group (2007) and Expert Group (2007) studies emphasised the importance of the active participation and full support of the Vice-Chancellor and other senior university leaders in promoting the university to solicit for support from prospective donors. In addition, Expert Group (2007) also emphasised the broader involvement of university leaders, a governing body and senior academics, and their appointment should include greater emphasis on development, and fundraising skill as one of the criteria for their selection. This approach saw leaders as an important element for change in the organisational philanthropic culture and highlighted how they need to understand that not only are they required to donate but also to help seek donations (Devries & Pittman, 1998).

Successful fundraising also depends on the effectiveness of the organisation’s human resources. A strong governing board, professional development, a good CEO, and staff were an asset to the fundraising process (Expert Group, 2007; Tempel, 2010). In a study of fundraising success at public community colleges, Thomas (2006) reported a positive relationships between the size of an institution’s endowment and the number of staff assigned to work for the Foundation, especially when the Foundation had a full-time Director. While Expert Group (2007) emphasised that universities create their own professional fundraising team rather than outsource to ensure fundraising success, Allen Consulting Group (2007)

stressed the importance for Development staff to have professional fundraising experience, and be well equipped with the relevant knowledge through ongoing training programs. Thomas (2006) also argued that the key to success for the colleges was the increased professionalism of its Development Office. These findings suggested that fundraising success depends, in part, on how much the university is willing to invest in its Development Office operations. The findings strongly indicate that a university having its own Development resources permit them to understand and to plan according to the cultural traditions and history of a particular country.

Allen Consulting Group (2007) argued that Australian universities are facing challenges in appointing fundraising and development staff. This finding reinforces the importance of a dedicated development team; more importantly, it must comprise staff who understand the structural and cultural context of the institution to ensure the fundraising strategy fits their 'milieu'. Allen Consulting Group (2007) also found that employing marketing advisors helped the university to promote the culture of giving to higher education. On this point, according to Carter (2000), conducting fundraising based on limited resources would only guarantee diminishing results. Thomas (2006) supported Carter's suggestion when he stated that the number of staff assigned to perform work for the institution's Foundation was positively correlated with the institution's fundraising success. These findings suggest that the organisation must allocate sufficient professional development staff to provide management services according to the scope and size of fundraising activities.

Managing the philanthropic activities effectively is essential in building donors' confidence for support. Studies have reported that sound management processes, transparent to demonstrate accountability was important to build public confidence to donate (Expert Group, 2007; Tempel, 2010). The organisation needs to retain and sustain its philanthropic sources to ensure support. Tempel (2010) stated that an organisation's ability to identify and recognise the opportunities and potentials, e.g., interest, ability and willingness to support among the philanthropic sources, that is, individuals, corporations, foundations, associations, and government, were essential for success in fundraising. This indicates that understanding the market sector of possible philanthropic sources needs to be incorporated into the fundraising approach to determine why one organisation is more successful in raising

support than others. *The Allen Report* (Allen Consulting Group, 2007) reported that universities with strong fundraising capacity and a philanthropy history, e.g., strong private funding base, strong donors and Alumni pool, and operate in geographical environment with a culture of giving to the university are keys to their ability to fundraise successfully. Glass and Jackson (1998) suggested that an institution's advancement is impacted by the size, location, competition, and market of the institution.

Alumni are one of the major financial supports for their Alma Mater (Johnson & Eckel, 1997). Finding ways to allow Alumni to stay connected to the institution, and to include Alumni in the life of the institution was essential for future support (M. W. Brittingham, 2000). *The Allen Report* (Allen Consulting Group, 2007) stated that soliciting for Alumni at a later stage without earlier efforts taken to build the relationships would be a daunting process. While *The Expert Report* (Expert Group, 2007) reported that understanding the Alumni attitudinal characteristics and other factors that influence their support were essential for relationship building for future support. *The Allen Report* (Allen Consulting Group, 2007) reported that low support from Alumni was due to the failure by most Australian universities to engage with their Alumni and because of the universities' poor Alumni Relations management. They argued that efforts be made to tap the potential of international Alumni sources.

The fundraising vehicles utilised in the solicitation were another important feature in determining organisation fundraising success. Tempel (2010) suggested that optimising the full array of fundraising vehicles, e.g., annual giving, special gifts, major gifts, capital campaign and planned giving, will help ensure fundraising success. However, the utilisation of the fundraising approach depended on the organisation's capacity, e.g., financial and human resources to act. Nichols (2002) asserted that changes in demographics and lifestyles of people influence the fund raising pyramid and become obsolete. This supported the view that organisational fundraising programs must not concentrate only on certain vehicles for sustainable philanthropic support. Worth (2002a) suggested that most successful fundraising Institutions focused on major gifts and principal gifts. This is because of the greatest potential impact these gifts will bring to the institution. These factors symbolise how

an organisation's internal and external constituents' understanding of the organisation's needs influence their decision to support.

While Temple (2010) suggested that balancing the utilisation of available solicitation approaches, e.g., direct mail, telephone versus social networking opportunities, e-philanthropy ensure better results, Allen Consulting Group (2007) suggested the use of new tools to get connected with its donors, Alumni and prospective donors.

Together these findings indicated the need for a well-balanced use of the fundraising vehicle to ensure maximum results. As leaders were found to be a source of fundraising support, Tempel (2010) suggested that the prospective donors' "strongest point" must be well researched to facilitate the university leaders in the fundraising process and to safeguard their reputation. This factor reinforces the fact that the likelihood of success in solicitation through the organisation leaders is dependent upon them aligning the values and goals of the prospective donors with the university. In addition, an important aspect of a good fundraising management is to recognise the effort made by internal staff in facilitating gifts (Kozobarich, 2000) and encourage the participation of volunteerism (Carter, 2000), because the more personal donors' involvement in the cause, the stronger is the relationship (Mixer, 1993). To raise the profile of philanthropy, Allen Consulting Group (2007) suggested the use of marketing campaigns to showcase the university's success stories and promote the outputs as an outcome of the university's contribution to the community.

- *External environment*

To be successful in fundraising, according to Tempel (2010), the organisation must connect with its external environment and accommodate to the changing trends of that environment. The number of volunteers engaged and philanthropic dollars raised are reflections of organisational success in understanding the university's external environment. This factor suggests that donations and future support depends on donors' and prospective donors' perceptions of the organisation's efforts to build a relationship with them, and the organisation adapting to change to meet the social needs.

Government decisions on rules for tax exemption for donations to Higher Education Institutions, and providing matching grants to complement the university's philanthropic efforts were found to stimulate the culture of giving (Allen Consulting Group, 2007; Expert Group, 2007). Government participation in promoting the culture of giving to higher education is essential for success in fundraising. Both studies (Allen Consulting Group, 2007; Expert Group, 2007) reported that a broad stakeholder call for public support of Higher Education would assist the university in their fundraising.

Since all of these studies were conducted in the Western context and to some extent involving a mono-cultural society, such as Australia, the question that arises is, "can these fundraising strategies be implemented in a more heterogeneous society?" In a nation like Malaysia, Fernandez and Nadarajah (2002) suggested that a successful fundraising initiative depended on the organisation finding the right balance in building a fundraising framework that will satisfy the religious and cultural sensitivities that govern the philanthropic culture of the local people. Some researchers argued, however, that fundraising strategies are not race-specific and can be applied to any culture; others suggest that fundraising success is dependent upon understanding the giving behaviour within a specific community (Spears, 2008). However, Shea (1977) has argued, there is no one-best system for any given institution as each university has its own system peculiar to itself and it must develop the processes and procedures it needs.

Literature on donor's motivational factors for giving

Voluntary action for the public good appears in every society, though it appears different in different cultures, and nations have their own philanthropic traditions (Robert & Michael, 2008). To achieve fundraising success, Mixer (1993) argued that university fundraisers need to understand the reasons why people give. This is because understanding the psychological and social concepts of human behavior within a cultural and temporal context will help shape the institution's fundraising strategies (Haggberg, 1992; Leslie & Ramey, 1988). Van Slyke and Brook (2005) claimed that there was a lack of empirical research to illuminate which fundraising specific strategies work for which people. Most of the empirical and

theoretical studies of philanthropic fundraising focused on two main areas; (i) factors that determine giving, e.g., individual demographic, socio-economic characteristics and, (ii) focus on the donor's motivational factors, e.g., attitudinal characteristics and external factors, such as, organisational characteristics and macroeconomic factors. Therefore, to understand donor's charitable behaviour in the context of the study, three predictors of giving that triggers individual giving behaviours as suggested by the Van Slyke and Brooks model were examined; these were demographics, internal, and external motivational factors.

Donor's determinant factors for giving

Demographic Characteristics

Many studies have reported that donors' demographic factors were central to giving. The selected demographic characteristics typically were: age, gender, marital status, number of children, race and ethnicity, religion, and education. The relationships between these demographic characteristics and giving as found in the literature are presented in Table 2.2. and Table 2.3.

Table 2.2 Relationships between the demographic variables (age, gender, marital status, number of children, race, ethnicity and religion) and giving

Variable	Positive Relationship	Negative Relationship
Age	Midlarsky & Hannah (1989); Schlegelmilch, Diamantopoulos, and Love (1997); Auten et al., (1992); Brown & Lankford (1992); Okunade et al., (1994); Wu et al., (2004); DFCSIA (2005); ABS (2006); Lyons & Nivison-Smith (2006b)	Schiff (1990); Okten & Osili (2004); Park & Park (2004)
Gender	Wolff (1999); DFCSIA (2005); ABS (2006)	Haddad (1986); Oglesby (1991)
Marital status	Andreoni, Brown & Rischall (2003); Randolph (1995) Van Slyke & Brooks (2005)	DFCSIA (2005)
Number of children	Haddad (1986); Oglesby (1991)	Korvas (1984), Oglesby (1991); DFCSIA (2005)
Education level	Haddad (1986); Oglesby (1991); Bustamy et al., (2002); Schuyt, Smith & Bekkers (2013); DFCSIA (2005); Van Slyke & Brooks (2005)	Wu et al., (2004); Park & Park (2004)
Race and ethnicity	Cogswell (2002)	Okten & Osili (2004)
Religion	Bailey & Young (1986); Bustamy et al., (2002); Cogswell (2002); Lyons & Nivison-Smith (2006b)	Eckel & Grossman (2004)

Table 2.2. shows numerous studies have reported that the relationship between age and giving is positive. Some data also suggested that age correlated with other background characteristics, such as, income, gender, marital status (Schiff, 1990). While many studies found the existence of a direct relationship between age and giving, some of the studies reported that the relationship decreased as the donors grew older (ABS, 2006; Auten et al., 1992; DFCSIA, 2005; Lyons & Nivison-Smith, 2006b; Okunade et al., 1994; Wu et al., 2004). Two studies on Alumni donation in U.S. state universities involving large-sample gifts and Alumni (Bristol, 1990; Okunade et al., 1994), reported that donor's giving would reach its peak when they reached their early fifties before decreasing and then later increased again (Bristol, 1990). While some studies have reported that giving decreases after the age of 65, for example, a national study about individual giving and volunteering in Britain (Schlegelmilch et al., 1997), a study involving individuals donations to a charity concerned with the welfare of infants with birth defects (Midlarsky & Hannah, 1989), and study on peer effects on giving behaviour among Taiwanese (Wu et al., 2004). These findings suggested that the exact age when giving decreases varies between countries because of the size, age group of the samples, context, and giving culture of the society.

In Australia, findings from *The Giving Australia Report* (DFCSIA, 2005), a national study on patterns of giving, reasons for giving, and types of giving, involving over 6,200 adults in a telephone survey, and *The ABS Research* (ABS, 2006), involving a national study of voluntary work based on the General Social Survey (GSS) reported that individual giving declines slightly upon retirement (65 years) and then rises again. The study also reported that giving increased slightly with donor's age (18 years) until middle age (45 to 55 years) and this broad pattern existed for both males and females. These findings support the notion that giving declines after the age of 65 and suggested that Australian reduced their giving upon reaching the retirement age at 65 years (Department of Human Services, 2013). Based on the large sample age group and the statistical analysis methods applied, this findings implied that Australians would consider donating even after retirement.

Using household-level data from Indonesia and a separate Community-Facility Survey, Okten and Osili (2004) reported on the importance of community

characteristics in determining contributions to community organisations in a heterogenous population which involved about 7,500 households. They reported that age was not related to giving. Similarly, no relationship was found between age and donations in Korea (Park & Park, 2004). In Malaysia, a study of individual giving in Penang, a state in Malaysia, conducted with 368 individuals from 13 residential areas within Penang, and comprised of balanced ethnic groups, various levels of income and education, reported that a large portion of the giving respondents were aged between 26 to 50 years. Based on the large number of samples of Indonesian (Okten & Osili, 2004) and Korean (Park & Park, 2004), and focused group giving behaviour (Bustamy et al., 2002) of Malaysia, may suggest that age is not a significant indicator of giving to the people of a heterogenous society.

Another strong demographic characteristic related to giving is gender (see Table 2.2.). The US Federal Reserve Board's 1995 Survey of Consumer Finances (Wolff, 1999) found that women tend to be more altruistic than men. On the other hand, studies on the characteristics of Alumni donors and Alumni non-donors of two US universities (Haddad, 1986; Oglesby, 1991), found no significant relationship between donor status and gender but suggested that male Alumni are more likely to give larger gifts than female. *The Giving Australia Report* (DFCSIA, 2005) and *The ABS Research* (ABS, 2006) reported that more women give than men. However, on average, men give more than women. Bustamy et al., (2002) reported that more respondents were male than female. The differences in the effects of gender on giving between these studies were contributed by the size and respondents' gender types. However, the underlying indication from these findings may suggest that gender, regardless of male or female and their culture of giving, would give if they hold the economic power.

The evidence on marital status influencing giving is mixed (see Table 2.2). Some studies identified marital status as positively related to giving while some claimed otherwise. Using a household survey data commissioned by the Independent Sector, United States, Andreoni et al., (2003) reported on charitable giving by married couples involving 4,180 households. They reported that marriage positively related to giving. Similarly, Van Slyke and Brooks (2005) reported that married people give more than single people. Randolph (1995) using an econometric model

of charitable giving from a 10-year period of U.S. federal tax return data, reported that marital status is correlated with giving, while DFCSIA (2005) examined the relationship of household types, e.g., person living alone, couple with no children living at home, and reported that a couple with no children living at home donated slightly more than other household type. In the Malaysian context, Bustamy et al., (2002) reported that 65.2 per cent of the respondents who reported giving were married. The underlying factor contributed from these studies indicated that individuals' marital status may influenced their giving, regardless of their cultural and societal background.

Studies have reported mixed results on the number of children as a factor that related to giving (see Table 2.2). Haddad (1986) for example, reported this variable as related to giving. However, *The Giving Australia Report* (DFCSIA, 2005) demonstrated that the type of household in which a person lives have little effect on giving among Australian. A study by Korvas (1984) on the relationship of selected Alumni characteristics and attitudes to Alumni financial support at a U.S private college, and study by Oglesby (1991) both reported no significant relationship between donor status (Alumni or non-Alumni) and number of children the donor may have. The mixed findings from varies studies on the relationship between number of children and giving may indicate that a specific number of children is not a significant predictor of giving but rather the broad categories of “with-or-without” children is more likely related to giving.

Another demographic variable that relates to giving is an individual's education level. In their study of Singapore philanthropy using a set of confidential data from tax files obtained from the Inland Revenue Authority of Singapore for tax year 1989, Chua and Wong (1999) reported that increases in educational attainment was directly correlated with increased giving. Studies have also found a significant relationship between giving and highest degree earned (Haddad, 1986; Oglesby, 1991; Van Slyke & Brooks, 2005). A study of charitable giving in Taiwan utilising the data from the national Survey on Family Income and Expenditure found that although donations were made for education purposes, education did not relate to giving (Wu et al., 2004). Similarly, in a study of Korea philanthropy using data from a nation-wide survey (through individual interview) of household giving involving

1,512 individuals, found that education is not significant to giving in Korea (Park & Park, 2004). These studies of giving in a specific national population found no relationship between education and giving. While in the Malaysian context, Bustamy et al., (2002) reported that individuals were more inclined to give towards welfare-related organisations rather than for education; but in Australia, *The Giving Australia Report* (DFCSIA, 2005) reported a relationship between giving and education level among Australians. They reported that donors would donate, and donate more, as their education level increased. These different findings may possibly relate to the context of the studies where the underlying perceptions of attaining education were not an important factor among Asians, as compared to the people from a more developed society.

Other significant predictors of giving were race and ethnicity (see Table 2.2). Okten and Osili (2004) demonstrated that ethnic diversity had the ability to influence contributions through “diversity of preferences; transaction costs, and inter-household considerations in the form of altruism towards one’s ethnic group” (p. 603). Using the findings from the study conducted by Bustamy et al., (2002) and an observational study of philanthropy in Malaysia, Cogsley (2002) reported that the various ethnic groups in Malaysia had their own pattern of giving which demonstrated their cultural patterns. According to Fernandez (2002b), the “Ethnic Diaspora’ had influenced philanthropy in Malaysia because of the large migrant population factor. These findings support the notion that race and ethnicity influenced giving.

Many studies show that there is a positive relationship between religion and giving (see Table 2.2). Lyons and Nivision-Smith (2006b) reported positive but a nuanced relationship between religion and giving in the Australian context. On the other hand, Eckel and Grossman (2004) found no relationship between “religious identity” and giving to non-religious causes. In the Malaysian context, the study by Bustamy et al., (2002) demonstrated that the respondents prefer to give for religious purposes, preference towards contributing to “religious institutions” such as a mosque, churches and temple, rather than to a “religious-based organisation”, for example, organisations that provided medical and welfare assistance.

Cogswell (2002) discussed the importance of “halal” money among the Muslims. “*Halal*”, as used by Arabs and Muslims, refers to anything that is considered permissible and lawful under religion while “haram”, refers to what is forbidden and punishable according to Islamic law (Al-Jallad, 2008) such as receiving interest from investment not under the Islamic Banking practices. Cogswell described the “halal” phenomenon as:

The foundation had tried to provide scholarships to Malay students, but parents had refused the money because, in their view, it was not “halal.” Instead, it was “unclean”, since some of it derived from interest on investments. (p. 114)

This finding highlighted the unique features which are part of the Malaysian philanthropy culture which may not appear in other societies.

Socio-economics characteristics

The individual socio-economics characteristics reported in the literature as related to giving are: income, tax, occupation, and study support mode. The relationships between these socio-economic characteristics and giving as found in the literature are presented in Table 2.3.

Table 2.3 *Relationships between the socio-economic variables (income, occupation, and study support mode) and giving*

Variable	Positive Relationship	Negative Relationship
Income	Connolly & Blanchette (1986); Clotfelter (2001); Chua & Wong (1999); DFCSIA (2005); Tsao & Coll (2005), Bustamy et al., (2002)	Schervish (1997); Van Horn (2002)
Occupation	Oglesby (1991); Clotfelter (2003); Monks (2003); DFCSIA (2005)	Haddad (1986)
Study support mode (e.g., loan, scholarships)	Dugan et al., (2000); Monks (2003)	

Table 2.3 shows income is one of the strong socio-economic factor that relates directly to giving. According to Mixer (1993) income played an important role in indicating who is likely to give and the size of the gift. *The Giving Australia Report*

(DFCSIA, 2005) reported that individuals with higher income are more likely to give and also to give more. However, declaring income was found to be a sensitive issue for some people as Australians typically are reluctant to talk about their wealth (Narushima, 2011). Bustamy et al., (2002) also reported that there was a relationship between giving and income. Income also was reported to predict the size of the gift (Schervish & Havens, 1997; Van Horn, 2002).

A study on Alumni giving reported that the Alumni financial resources, e.g., income, determined their giving capacity (Connolly & Blanchette, 1986) because as their capacity increases, and they grow older, and their families matured, they were more likely to increase their support to their Alma Mater (Connolly & Blanchette, 1986; Hueston, 1992).

Many studies also found occupation as related to giving (Beeler, 1982; Clotfelter, 2003; Haddad, 1986; Oglesby, 1991). For example, Oglesby (1991) reported a relationship between donor's occupation and their status (donor or non-donor). Giving also was not only associated with occupation but it increased with age and income (Clotfelter, 2003; Monks, 2003). *The Giving Australia Report* (DFCSIA, 2005) reported that employment status had a relationship with giving where employed individuals and those who have retired were more likely to give than those unemployed, students, or those not in the workforce. Differences in income also influenced giving where those employed on full-time basis gave more than on a part-time basis. Bustamy et al., (2002) reported that 79.3 per cent of the respondents received wages or salary. Haddad (1986) reported no relationship between occupation and donor status (donor or non-donor).

Some studies also suggested that giving was associated with the Alumni study support mode (see Table 2.3.). Dugan et al.,'s (2000) study of Vanderbilt University's graduates reported that loan recipients gave less to the institution while academic scholarship holders tended to increase their giving. A study of Alumni giving across 28 highly selective U.S. institutions of higher education (Monks, 2003) also reported that recipients of financial aid were more likely to make donations to their Alma Mater. Monks also suggested that Alumni donors with loan debt gave less to their Alma Mater.

Donor's motivational factors***Internal motivational factors***Table 2.4 *Donor's personal factors and giving*

Personal Factors	Studies
Joy and satisfaction	Shadoian (1989); Oglesby (1991); Schervish (1997); Ritzenhein (2000); Van Horn (2002); Schervish (2005); Panas (2005)
To support charitable causes	Bustamy et al., (2002); DFCSIA (2005)
Social responsibility	Bustamy et al., (2002); Fernandez (2002b); Zulkifli & Amran (2006); Cogswell (2002)
Respect, trust, positive feeling towards the organisation/Alma Mater/other people	Bustamy et al, (2002); DFCSIA (2005); Brown & Ferris (2007); Wastyn (2008)
Do not believe that the university needs financial support	Wastyn (2009)
Involvement in the institution	Clotfelter (2001); Gaier (2005)

Table 2.4. shows numerous studies of donor's personal motivation factors for giving. Donor's motives for giving are complex and personal with multiple purposes and causes (Frumkin, 2006). A study involving 12 non-donor Alumni of a Midwestern University (Wastyn, 2008) reported that Alumni had positive feelings toward their Alma Mater, had good college experiences and remained engaged with the college and showed the likelihood to be a donor. Wastyn (2009) further investigated reasons for Alumni not giving to their Alma Mater and reported the reasons typically were: Alumni consider college a commodity not a charity, they did not believe the college needed their money, they had misperceptions and uncertainties about giving, and they did not make their giving decisions logically.

Many studies also reported that Alumni perceived their university experiences as an important predictor of giving (Hartman & Schmidt, 1995; Tsao & Coll, 2005; Wastyn, 2008, 2009) and those emotionally attached to their Alma Mater were more likely to donate (Beeler, 1982; Shadoian, 1989). Studies also reported that involvement in the university's activities, for example, extra-curricular activities, would influenced Alumni future giving (Clotfelter, 2001; Hartman & Schmidt,

1995). However, Alumni giving decisions did not solely rely on their student experience (Van Horn, 2002).

Studies suggest that donors make significant gifts to causes that were consistent with their own values and philanthropic goals, such as for education, research and service programs (Lindahl, 2010; Worth, 2000). Studies have also reported that donors give because of positive reasons, for example, intrinsic joy and satisfaction (Panas, 2005; Ritzenhein, 2000; Schervish, 1997, 2005). *The Giving Australia Report* (DFCSIA, 2005) reported that Australians give the most to support causes because of sympathy and a sense of reciprocity for services already provided. The study also argued that people with high awareness of needs and feelings for others were more likely to donate. Bustamy et al., (2002) reported that feeling of compassion for people in need was the most important reason for giving, followed by social responsibility, a sense of duty as a citizen and religious belief. They stated that Malaysians give readily to the people known to them but do not like being pressured to give.

Similarly, Cogsley (2002) reported that philanthropy in Malaysia aimed at meeting social objectives that impacted on all ethnic groups, and promoted unity among diverse groups for example, health care and hospitals, education, care for the needy and elderly. A study on corporate giving involving 25 Philanthropy Institutions in Malaysia (Fernandez, 2002c) reported that these institutions typically give to build human capital, to give back to the nation that helped in the creation of their wealth, to help the needy, to perform religious obligation, and to preserve minority culture. These reasons, it was argued, reflect culture and religious based activities.

*External motivational factors*Table 2.5 *Donor's external motivation factors and giving*

External Factors	Studies
Institutional reputation (e.g., prestige, ranking, mission)	Ostower (1995); Liu (2006); Holmes (2009); Lindahl (2010)
Government policy on philanthropy (e.g., tax, matching grants)	Steinberg (1990); Haggberg (1992); Chua & Wong(1999); Brooks & Lewis (2001); Bustamy et al., (2002); Fernandez (2002b); DFCSIA (2005); McGregor-Lowndes (2006); Allen Consulting Group (2007); Bekkers (2010)
Institutional size (e.g., fulltime-equivalent (FTE) students, endowment growth per FTE and drops in state appropriations)	Liu (2006)

Table 2.5 shows the external factors influencing donor's giving decisions. One of the factors was the Institutional reputation and the organisation's mission (Lindahl, 2010). Using Alumni giving data from 161 U.S institutions to investigate the effect of institutional characteristics on giving, Liu (2007) reported that institutional prestige was related to Alumni giving. Liu stated that "institutions at the top tier of U.S. News and World Report ranking obtained the highest Alumni, Foundation, and corporate giving" (p.29). Liu also reported that institutional size, namely, full-time (FTE) students, endowment growth per FTE, and declining state appropriations were positively related to giving.

In a study to examine the potential determinants of giving, Holmes (2009) used 15 years of data on Alumni donations to a private liberal arts college. He reported that institutional prestige influenced recent Alumni more than older graduates. This finding suggested that Alumni giving was determined by their perception of the Alma Mater's reputation. Ostrower (1995) conducted a study to examine the practice of philanthropy of 88 elite in New York City and reported that donors give to universities or colleges to support particular educational causes. However, in the Malaysian context, Bustamy et al.,(2002) reported that respondents preferred to donate for religious purposes more than to education.

Another external motivation comes from influences from other people, events, or conditions in the environment (Mixer, 1993). In a study of US philanthropy,

Brown and Ferris (2007) reported that education and giving were related through generalised social trust. Similarly, *The Giving Australia Report* (DFCSIA, 2005) reported that gaining people's respect and trust helped organisation to draw support, and direct affiliation with the organisation to which donors were donating have a relationship with giving. According to Mixer (1993), "when people see friends and associates donating, they are hard pressed to refuse, if they want to maintain their self esteem" (p. 25). This suggested that being influenced by others or peer pressure stimulated giving decisions.

Government policy on philanthropy and participation to encourage giving was another external factor influencing giving. Brook and Lewis (2001) examined the relationship between trust in government and civic participation by employing data from the 1996 U.S. General Social Survey and reported a positive relationship between the level of trust in government and giving. While Mixer (1993) argued that Government's obligation to meet the public needs could produce negative reactions to giving because some people used the argument they had paid taxes as an excuse to not support other institutions. A study of "Philanthropy and the media" in Malaysia, conducted over a six months period through monitoring government's giving in the local mainstream media (Fernandez, 2002b), reported that the government gave an average of two contributions a month in the form of cash and kind for religious, charitable, health and welfare-related institutions and suggested that: "the Malaysian government did not feature prominently in the newspaper report on philanthropic activities" (p. 297).

Psychological rewards, which were motivated initially by material incentives, were found to increase contributions to a public good (Bekkers, 2010) such as tax advantages (Chua & Wong, 1999; DFCSIA, 2005; Haggberg, 1992; McGregor-Lowndes et al., 2006; Steinberg, 1990). Similarly, it is likely that claiming gift deductions increases with income as stated by Lyons and Passey (2005, cited in McGregor-Lowndes et al., 2006). Chua and Ming (1999) on the other hand, looked into tax price effects on giving in Singapore and reported that reduced tax price through tax incentive and other policies promote giving. *The Giving Australia Report* (DFCSIA, 2005) reported the relationship between giving and tax incentives and those who were aware of the new taxation incentives gave significantly more than

otherwise. However, *The Allen Report* (Allen Consulting Group, 2007) reported that tax incentives were not the major factor influencing giving to higher education. In the Malaysian context, Bustamy et al., (2002) reported that tax exemption was the second least favoured reason for giving among the respondents in the Malaysian context. While, Cogswell (2002) claimed that tax provisions for donations provided fewer incentives to Malaysian donors as compared to the United States, as stated by an informant:

The average Malaysian doesn't really think of himself/herself as a taxpayer anyway and is rarely motivated by income tax deductions when considering a charitable gift. (p. 109)

Cogsley (2002) also reported that matching incentive “have not reached Malaysia” (p. 109) culture despite being one of the factors that have stimulated giving in many countries such as the U.S. These findings support the notion that incentives or receiving rewards are associated to giving decisions across countries and cultural boundaries.

Types of giving and solicitation approaches

Giving preferences and solicitation approaches are essential in the understanding of donors' giving behaviours and their decision to give. Bustamy et al., (2002) reported that the most popular type of giving is cash as compared to goods and time. DFCSIA (2005) investigated the relationship between donating of money and time and reported that “people who volunteer are more likely to be givers than those who do not” (p. 22). However, this study did not further analyse the preferred type of giving among the donors.

Bustamy et al., (2002) investigated 12 channels of giving, e.g., through electronic mail, through telephone, bank account debit, and found that public charity boxes, door-to-door solicitation, family/friend, and through fundraising programs were the most popular channels to solicit for donations. DFCSIA (2005) investigated six types of fundraising channels, e.g., telephone call at home, request through mail/letterbox, approaches doorknock appeal, and the frequency of giving for each approach, e.g., every time, most of the time. The study reported that being telephoned at home was the most disliked approach though it was the most

frequently used approach, and doorknock are less likely to be disliked despite being the less frequent approach used. This study did not investigate electronic approaches, such as through direct debit, email solicitation. Therefore, to analyse giving through these approaches in the Australian context was not possible. However, the data showed the approaches that include the personal elements were more preferable to the donors in Australia also.

Summary of Chapter 2

This chapter has reviewed the literature related to philanthropy in Higher Education Institutions and related knowledge base. The literature highlighted the importance of linking the findings from empirical research and practices in the field with theoretical models to understand organisational fundraising operations, elements of fundraising success, and donors' motivational factors of giving to Higher Education Institutions.

This chapter has analysed, synthesised and evaluated some of the common elements and factors that have contributed to a successful Higher Education fundraising approach and factors influencing donors' decisions to give from the literature.

The Methodology Chapter follows this chapter and the research approach, research design, and methodology of data collection will be presented and discussed.

Chapter 3 Methodology

Introduction

The purpose of this chapter is to describe the research method and design employed to gather, organise and analyse the data to address the research questions. This study aims to examine the factors influencing organisational philanthropic fundraising success, gain an understanding of factors influencing donors' giving decisions, their perceptions of giving, and how to use these data to develop a successful Institutional Philanthropic Fundraising Program. The context of the study is within two public higher education institutions (PHEIs), *University I* in Malaysia, and *University II* in Australia, and the institutions' fundraising from philanthropic activities.

The study explored the institutions' capacity, fundraising history, fundraising effort, the governance and management practices of the institutions' advancement and fundraising program, the institutions' patterns of giving, and donors' motives and perceptions of their philanthropic giving. The paucity of research on the strategies to attract philanthropic support to PHEIs in both a developing country, such as Malaysia, and a more advanced Western country like Australia, as indicated in the review discussed in Chapter 2, has influenced the design of the study.

This chapter describes the research methodology: first, an overview of the research approach is presented; second, a discussion of the overall design features comprised of both qualitative and quantitative approaches and adopting case study inquiry; third, the ethical considerations in the research design; fourth, the data gathering processes; fifth, the selection and characteristics of the sample for the case study of the institutions; and finally, the discussion of the data organisation and analysis methods.

Research Approach

This study was designed as a Qualitative study (Burns, 2000; Creswell, 2013; Gibbs & Flick, 2007; Strauss & Corbin, 1998) with a Case Study methodology to elicit an understanding of the institutional philanthropic process in soliciting and management of philanthropy from those who are directly engaged in the process. An

in-depth study was conducted where data of both quantitative and qualitative nature were collected to address the research questions in relation to the following: the institution's Advancement and Fundraising agenda from philanthropic sources, and donor's and Alumni perceptions of their philanthropic giving to a public higher education institution. The project explored:

1. Senior administrators' aspirations and vision of philanthropy as a potential revenue stream to the university;
2. The experiences and challenges identified by these administrators in raising funds from philanthropic sources for the university; and
3. Donors' and Alumni motivational factors for giving to the PHEIs in the Malaysian (*University I*) and Australian (*University II*) contexts.

A case study was undertaken in two universities, one in Australia and the other in Malaysia. In the next section the method and reasons for adoption are discussed.

Case study method

The case study method was adopted to allow the researcher to focus on the understandings of the dynamics present within the research setting (Eisenhardt, 1989), that is, PHEIs, and in order to make the behaviour understandable (Stake, 1995). Here, philanthropic support and its usefulness in supplementing the universities' funding in different countries was examined within the boundary of the selected case study universities. The method provided an avenue for investigation of the "how" and "why" questions (Yin, 1994, p. 9) regarding philanthropy as a productive and significant revenue source for *University I* and *University II*, over which the researcher had no control (Yin, 2003a). A case study typically consists of a description of an entity and the entity's action and offers explanations of why the entity acts as it does (Thomas, 2003). To assist in producing the results to answer the research question, the "embedded design" with multiple units of analysis (UoA) (Yin, 1994, p. 40) was adopted. Units and sub-units were identified for study and explored individually and results from each unit were drawn together to produce the overall view.

Role of the researcher

The study was designed to explore the investigated phenomenon unaffected by the researcher's personal interests, beliefs, and values (Thomas, 2003). However, it is recognised that the researcher's intellect, ego and emotions may influence the data gathered (Yin, 2003a).

Researcher Identity

In conducting the research, the position of the researcher as a Senior Financial Administrator at *University I* was acknowledged and considered in the research approach as it was important to recognize "the person within the researcher" (Cotterill & Letherby, 1994, p. 116). The potential issues that may have been of concern to participants regarding the researcher's identity as a University Administrator were addressed and disclosed to the participants early in the research. The separation between the researcher's professional responsibilities as a university's financial practitioner and as the researcher in the study, in conjunction with the issue of confidentiality was made clear to the participants.

Researcher reflexivity and reflection

In conducting the research, the issue of control can arise. As a Senior Financial Administrator and an Alumna of *University I*, and a student of *University II*, the researcher brought different perspectives to the research process: therefore, it was important to distinguish between the voices of the researcher, and the voices of the participants. In conducting the study, the researcher was aware of the critical need to have the informants speak in their own voice (Lichtman, 2010). Throughout the research process, self-reflection, awareness of one's self, the researcher's influence on the research process and reflexivity, and the process of self-examination (Lichtman, 2010) were brought into focus. Multiple strategies to enhance the accuracy of the findings and to minimize errors and biases were employed which include, qualitative and quantitative gathering methods, purposeful and systematic random sampling, and narrative and numeric data analysis techniques.

Research Design

One of the basic purposes of any research design is to address the research questions (Kerlinger & Lee, 2000). Data of both quantitative and qualitative nature are required to address the research questions as this study was interested in both narrative and numeric data and their analysis (Teddlie & Tashakkori, 2009).

Therefore a mixed method/triangulated research design where elements of Qualitative and Quantitative orientations were adopted. Mixed method research is defined as “a type of research design in where the researcher mixes or combines quantitative and qualitative research techniques, and these approaches are used in questions, research methods, data collection and analysis procedures, and/or inferences in a single study” (Teddlie & Tashakkori, 2009, p. 7). Both qualitative, adopting case study inquiry, and quantitative approaches were employed to allow the triangulation of data collection to see convergence, corroboration, and correspondence of results from the different methods as suggested by Greene, Caracelli, and Graham (1989, cited in Creswell & Plano Clark, 2011, p. 7). This approach is appropriate to respond to the research questions as one data collection method complements the other data gathering method. According to Teddlie & Tashakkori (2009) triangulation is:

The combination and comparisons of multiple data sources, data collection and analysis procedures, research methods, investigators, and inferences that occur at the end of a study.(p. 32)

The triangulation of findings was achieved by incorporating multiple-sites, multiple-cases, multiple-groups, multiple-people, multi-data collection and multiple-data analysis as described in Figure 3.1.

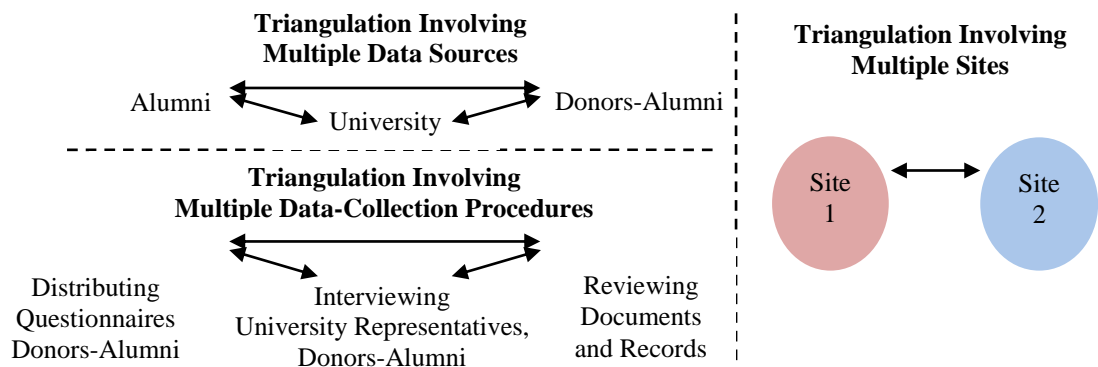


Figure 3.1 Triangulation (the Process of Qualitative Cross-Validation) for the study

Through triangulation, limitations and the problems associated with a single data collection approach could be recognised and addressed and a more complete data set, not available from a single data collection approach, could be achieved where some generalizability of findings beyond the sample small and contextually limited sample of case study participants may be possible (Creswell, 2008). This project was designed as a case study involving two PHEIs from a limited geographical areas in Australia and Malaysia. As a project residing in a cross-cultural context, the understanding of the variables encompassed within the universities' philanthropy agenda were to be described and the relationships between them determined.

The research design allowed for comparative analysis of both the quantitative data and the qualitative data within each data set and between data sets. Analytic techniques were applied on both types of data and mixed concurrently throughout the analysis process (Creswell & Plano Clark, 2011). Analysis was used to discover emergent themes and descriptive statistical information to address the research questions. The unit of analysis (UoA) to be adopted was a central concept in connection with understanding, preparing and implementing a case study (Grünbaum, 2007; Yin, 2003a). UoA defines what the case study is focusing on (what the case is), such as, an individual, a group, an organisation, a city and so forth (Grünbaum, 2007). Two levels of unit of analysis were identified;

1. Case-study institutions
 - *University I* (Malaysia); and
 - *University II* (Australia)
2. Case-study participants:
 - Group 1: University Leaders;
 - Group 2: University Administrators; and
 - Group 3: University Donors-Alumni.

Case Study: Institutions

To allow for a robust description of the phenomenon under investigation, a non-probability sampling strategy, Opportunity Sampling (Burns, 2000), an approach carried out on conveniently accessible groups, was used in the selection of the case

study Institutions. The institutional selection was a convenience sample because of their convenient accessibility and closeness to the researcher. *University I* and *University II* were selected based on the judgement of the researcher (Teddlie & Tashakkori, 2009) that both institutions were able to provide a wealth of details on the phenomenon to address the research questions (see Appendix B). Table 3.1 presents an overview of the case study Institution's characteristics.

Table 3.1 *Case Study Institutions' Characteristics*

Characteristic	Description	
	<i>University I</i>	<i>University II</i>
Year established	1969	1894
Country Located	Malaysia	Australia
Geographical Location	Northern Malaysia Situated in an island state within a federation of the country	Southern Australia Situated in an island state within a federation of the country
Branch Campuses	2	4
Status	Research Intensive	Research Intensive
University Foundation (established)	None	1994
Development and Alumni Relations Office year established	2008	2009
Workforce	7,700	2,558
Number of Students	29,789	26,783
Number of Alumni	21,093	50,994
Number of Donors	414	1313
Number of School	24	32
Number of Research Centres and Institutes	26	23

Source: *University I* and *University II* Donors-Alumni database and 2010 Annual Report (Universiti Sains Malaysia, 2010; University of Tasmania, 2010a)

Case Study: Interview Participants

The study involved identifying the key officials of the case study institutions who were directly or indirectly involved in the university's Advancement and

Philanthropic activities and individual and corporate donors-Alumni of each university. Following a discussion with both universities' Advancement Officers, the approach to recruit the participants involved: first, University Leaders and key university officials were identified in the university's Organisation Chart (see Appendix I1) and, second, through the third party resource office, the University Advancement and Alumni Relations Office, for the donors (see Appendix C and Appendix D). In recruiting University Administrators, the approach was made through their respective Department Heads/Managers. Meanwhile, the third party resource offices were utilised to recruit the Donors-Alumni who were selected randomly from the active donors residing in the university Active Donors-Alumni database. All of the participants were volunteers unknown to the researcher. Discussions pertaining to donor's religious affiliation and race were explored in the *University I* – Malaysia context but not in *University II* – Australia. This is because Malaysia is demonstrably a more publicly religious country and with identified racial groups in the society, when compared with Australia, and it was thought this question would be important in the former.

Case Study: Questionnaire Respondents

The study involved identifying donors and Alumni of the university based on the active Donors-Alumni database of the university. The third party resource offices were utilised to broadcast the questionnaire to all active donors-Alumni residing in the university's system.

Ethics Approval

This project required the approval of the Tasmanian Social Science Ethics Committee to enable data collection (see Appendix A1, Appendix A2 and Appendix A3). A Full Application was submitted to the Committee with relevant documentation. Primary consideration in seeking ethics approval is the maintenance of the privacy and anonymity of the institutions and the participants to be included, the confidentiality of the data provided, the integrity of the research process and the right of the institutions and the participants to withdraw from the study at any time.

An application to the Malaysian Prime Minister's Department was made to conduct the research in Malaysia, and this too was approved (see Appendix A4).

Data Gathering Methods

The mixed method design allowed for both types of data to be gathered concurrently. The questionnaire was distributed to the respondents in both case study institutions followed by the interview sessions with the selected participants.

Data Gathering Methods: Interview

Where possible face-to-face interviews were adopted to enable the researcher to establish rapport with participants, gain their cooperation, clarify ambiguous answers and seek follow-up information if necessary. However, in order to accommodate the participants' time schedule and geographical constraints telephone interviews were arranged where appropriate. The interviews with the University Representatives and University Donors were semi-structured and involved both question and response format (Punch, 2009) (see Appendix E). Interviews were conducted in English and, in Malaysia, in Bahasa Malaysia if this was preferred by the interviewee.

Interviews were conducted with University Leaders, University Administrators and, Donors and Alumni. Interviews lasted between 30-60 minutes, and if timing was an issue multiple sessions were arranged. Interviews were held at a place and time mutually convenient to the participants and were conducted on one occasion with each participant. The interviews with University Leaders focused on the university's vision for philanthropy and the governance of the university's philanthropic agenda. The interview questions designed for the University Administrators were structured around the university's fundraising strategies, fundraising policy, measures in building philanthropy culture, Alumni relation programs, governance on gifting, financial, administrative and risk management practices in supporting the university's philanthropic goal. The questions required the participants to provide information regarding the fundraising management and philanthropic activities of a university, and to share their experiences and the challenges facing them in the course of undertaking their responsibilities.

Interviews were conducted with Donors-Alumni on their views and perceptions of giving to the public higher education institutions in both Australia and Malaysia. Questions required responses relating to the motivational factors in giving, the relationship with the university, and preferences in giving. While the majority of interviews were conducted face-to-face, telephone interviews were conducted with three donors to enable a broader understanding on the topic from the perspective of the multi-ethnic groups in Malaysia. These interviews focused on cultural factors influencing giving among different races in Malaysia.

Data Gathering Methods: Questionnaire

A questionnaire was adopted to collect information about university donors', prospective donors' and Alumni motivational factors for giving to the PHEIs. The questionnaire was adopted as "one of the tools of population survey which aims at a comparative and representative picture of a particular population" (Gillham, 2000, p. 18). To maximise the potential response, an online survey was adopted. As a means to improve the response rate and to safeguard the anonymity and confidentiality of the respondents from the researcher, the assistance of the University's Advancement and Alumni Relations Office was obtained to distribute the instrument. In *University I*, the survey was distributed to the respondents through email and flyers attached in the April 2011 issue of the University's Leader Magazine. While in *University II*, the survey was published on the University's Alumni News Website.

The Questionnaire Content

The content of the questionnaire was based on an examination of the literature, best practice instruments from previous studies on the topic and the professional experience of the researcher. Questionnaires were designed also to explore donor's and non-donor's perceptions of their giving to the PHEI. Two sets of questionnaires were developed: first, the University's Alumni/Private Individual Questionnaire and, second, the University's Corporate/Trust/Foundation Questionnaire. These two sets of questionnaires were further expanded into two sub-sets of questionnaires to meet the needs of the two case studies and contained forced and open-response questions and items which relied on Likert scales. Set A: Questionnaire Alumni/Private Individual for *University I* (see Appendix G1) were written in two languages, English

and Bahasa Malaysia, and it contained two additional demographic items, race and religious affiliation, as compared to the same Set for *University II*. While, Set B: Questionnaire Corporate/Trust/Foundation for *University I* (see Appendix G2) were written in two languages, English and Bahasa Malaysia to enable the participants to better understand the questions being asked, as compared to the same set of questionnaire for *University II*. The summary of the questionnaire's content is presented in Appendix G3.

Data Gathering Methods: Document Analysis

The document method of data collection - where related documents and records are reviewed (Wiersma & Jurs, 2009) and analysed also was utilised. Document analysis is a systematic procedure for reviewing or evaluating documents, both printed and electronic (Bowen, 2009). According to Corbin and Strauss (2008, cited in Bowen, 2009), document analysis requires data to be examined and interpreted in order to elicit meaning, gain understanding, and develop empirical knowledge. These data were designated into two categories:

1. statistical and descriptive data of the case study Institutions' Alumni and philanthropic sources; and
2. evidence from documents and archival records relating to the topic.

The statistical and descriptive data were provided by the University Representatives via an Microsoft Excel spread sheet. These documentation and statistical materials were gathered to corroborate and augment evidence from interviews and the questionnaire (Yin, 2003a).

Sample Selection

Sample: Case Study Participants

The study adopted a design where samples were selected from two populations (*University I* and *University II*) simultaneously and the research was conducted in related to the same research problem (Wiersma & Jurs, 2009). To gain a comprehensive understanding of the case study universities' philanthropic agenda, the study adopted the Purposive Sampling method where the samples were chosen for a specific purpose (Cohen et al., 2000). Samples were categorised into three

sub-groups according to the nature of their contributions and involvement in the philanthropy agenda in both case study universities:

1. University Representatives
 - a. Group 1- University Leaders; and
 - b. Group 2- University Administrators
2. University Donors and Alumni
 - a. Group 3 – Donors-Alumni

Sample Selection: University Representatives interview participants

Participants having a relatively high level and direct knowledge of the phenomenon under investigation were selected (Cropley, 2002). The participants were chosen as the key informants for the study based on their role, involvement and positions related to the policy, management of fundraising and philanthropic agenda.

Table 3.2 *Sample: University Representatives*

Sample Group	<i>University I</i>	<i>University II</i>
	n	n
Group 1 - University Leaders	3	3
Group 2- University Administrators	4	6
Total	7	9

The informants as presented in Table 3.2 are “information rich”, selected because of their multiple roles and positions in the case study Universities to provide the information needed to address the research questions (Teddlie & Tashakkori, 2009) (see Appendix H1 and Appendix H2). For this study, the number of participants were sufficient to allow a sound understanding of the phenomena under investigation.

Sample Selection: Universities Donors-Alumni

To provide a focus to the study, the scope of the exploration resided with donors (Alumni and non-Alumni) who had contributed to the case study universities during the years 2006 to 2010. Prospective donors are those who have not

contributed to the case study universities to date, but have the potential to become donors. A stratified random sampling technique (Burns, 2000) that ensured the strata within the population are each sampled randomly was used in the selection process of the case study respondents and participants. Two groups and three sub-populations or strata with each strata having its characteristics which are related to the study were identified:

1. University Internal Community
 - Staff, Retirees, Alumni, Current Students
2. University External Community
 - Private individuals (e.g., parents, general public)
 - Organisation donors (e.g., Corporate/Trust/Foundation)

The sample for the purpose of the study were then selected from each stratum at random (Wiersma & Jurs, 2009) from the University's Active Donors' List.

Sample Selection: Donors-Alumni interview participants

At the time of the study, there were approximately 414 Active Donors-Alumni of *University I* and 1313 Active Donors of *University II*. Twenty *University I* Donors-Alumni were approached, approximately 5 per cent of the total Active Donor population. Twelve donors (3 per cent) agreed to participate in the study. For *University II*, 20 donors (2 per cent) were invited and six Donors-Alumni (0.5 per cent) agreed to participate in the study. Although the latter sample is not large enough to generalise to the population, it is sufficient, however, to provide an understanding of the views and expectations from the donors' point of view of the key concepts being explored in the study as "quality, rather than quantity should be the essential determinant of numbers" (Oppenheim, 1992, p. 68).

Sample Selection: Donors-Alumni questionnaire respondents

The questionnaire was designed to explore the pattern of philanthropic giving in the case study universities. To derive the reasonable number of respondents needed for the study, simple random samples were drawn from the stratified population giving equal chance of analysis of being included in the sample (Burns, 2000; Teddlie & Tashakkori, 2009). Samples of Active Donors and Alumni were

selected from the total population of Donors-Alumni residing in the university database, which include Alumni who have not contributed to the case study universities. The online questionnaire was distributed to over 7,000 Active Donors and Alumni of *University I*, and almost 23,000 Active Donors and Alumni of *University II*. A total of 143 Donors-Alumni of *University I* completed the survey, which represented a return rate of 2 per cent, and in *University II*, 82 Donors-Alumni (0.4 per cent) participated in the survey.

- *Sample formulation and demographic details*

As a study conducted in a multi-ethnic and multi-religion country like Malaysia, there was a need to investigate donors' giving behaviours according to various ethnic groups and religious beliefs. Therefore, in *University I* the random samples comprised samples from different races and religious background. However, this variation did not arise in the samples of a more mono-cultural society.

Changes in the composition of the case study cohort

During the course of the study, an additional Group 4: Stakeholder was added in Malaysia. This group comprised of key stakeholders outside the institution, namely the Regulator (Government). The participant was not known by the researcher but was purposely chosen by the researcher because of the participant's position and role in the country's higher education system. In *University II*, due to changes in the university's leadership, the initial participation of the university's Vice-Chancellor was not possible. Therefore, the decision was made to seek the participation of the Provost (e.g., the Senior Deputy Vice-Chancellor) of the university instead.

Pilot Test of Instruments

The pilot test was conducted from November 2010 to January 2011 (see Figure 3.2) involving four participants from *University I* and six participant of *University II* (see Table 3.3) on the following areas:

1. testing the online questionnaire using the Qualtrics application (e.g., the accessibility, performance, security, reporting); and

2. testing the survey-questionnaire contents (e.g., design, instructions, language, errors, scale, ambiguity, completeness, vagueness, biasness).

Activity	2010		2011
	November	December	January
<u>Questionnaire</u>			
1. Pilot run			
2. Amendment			
3. Sent out			

Figure 3.2 Pilot Testing Timeline

Table 3.3 *Sample: Pilot Test*

Sample Group	University I	University II
	n	n
Group 2 – University Administrator	3	2
Group 3 – Donors-Alumni	1	4
Total	4	6

The feedback received from the respondents related to the design and content of the questionnaire were analysed and where necessary the instruments were modified accordingly. Data gathered from the survey were analysed using SPSS Statistical Package. The reliability of the scales of each set of items in the questionnaire was assessed using Cronbach's alpha coefficient test (Pallant, 2011). The results showed that all items in Section B: Giving Incentives, and Section C: Relationships with the university have a good internal consistency with alpha coefficient value above 0.7.

Validity and Reliability

The issues of reliability and validity are important because in them the 'objectivity' and 'credibility' of the research is at stake (Kirk & Miller, 1986, p. 11, cited in Perakyla, 2004). This research made use of both qualitative gathering methods and analysis techniques in order to minimize errors and biases in the study (Yin, 2003b), and to allow for reproducible findings. To measure the internal consistency of the items, Cronbach's alpha was used to test the reliability of the

questionnaire scales. To improve the reliability of the qualitative data, steps were taken throughout the research process to ensure the quality of the research design. Data from the interviews were transcribed and translated accurately to represent the actual meaning, a professional transcriber was hired to transcribe the recording in the Australian context to get the accurate meaning of the interview and the language use in the interview, and in drawing themes and coding from the data.

Validity represents how well the case study instrument measures what it is supposed to measure (Burns, 2000). To evaluate the content validity, qualitative data were assessed by reference to the literature while the quantitative data were measured by the variables and findings from surveys rated highly which were conducted in previous studies. In addition, the internal consistency of the qualitative data were checked by building-in redundancy, where items on the same topic were repeated in the interview (Burns, 2000). To improve the construct validity of the case study, multiple sources of evidence to demonstrate convergence of data were employed (Burns, 2000). Triangulation was used to improve the trustworthiness of the data sources within and between the data sets of the case studies. This technique not only helped to improve the internal validity of the data sources but also the reliability (Burns, 2000). In addition, to strengthen the interview data validity, recording transcriptions were return to the participants for checking and confirmation (Creswell & Plano Clark, 2011) .

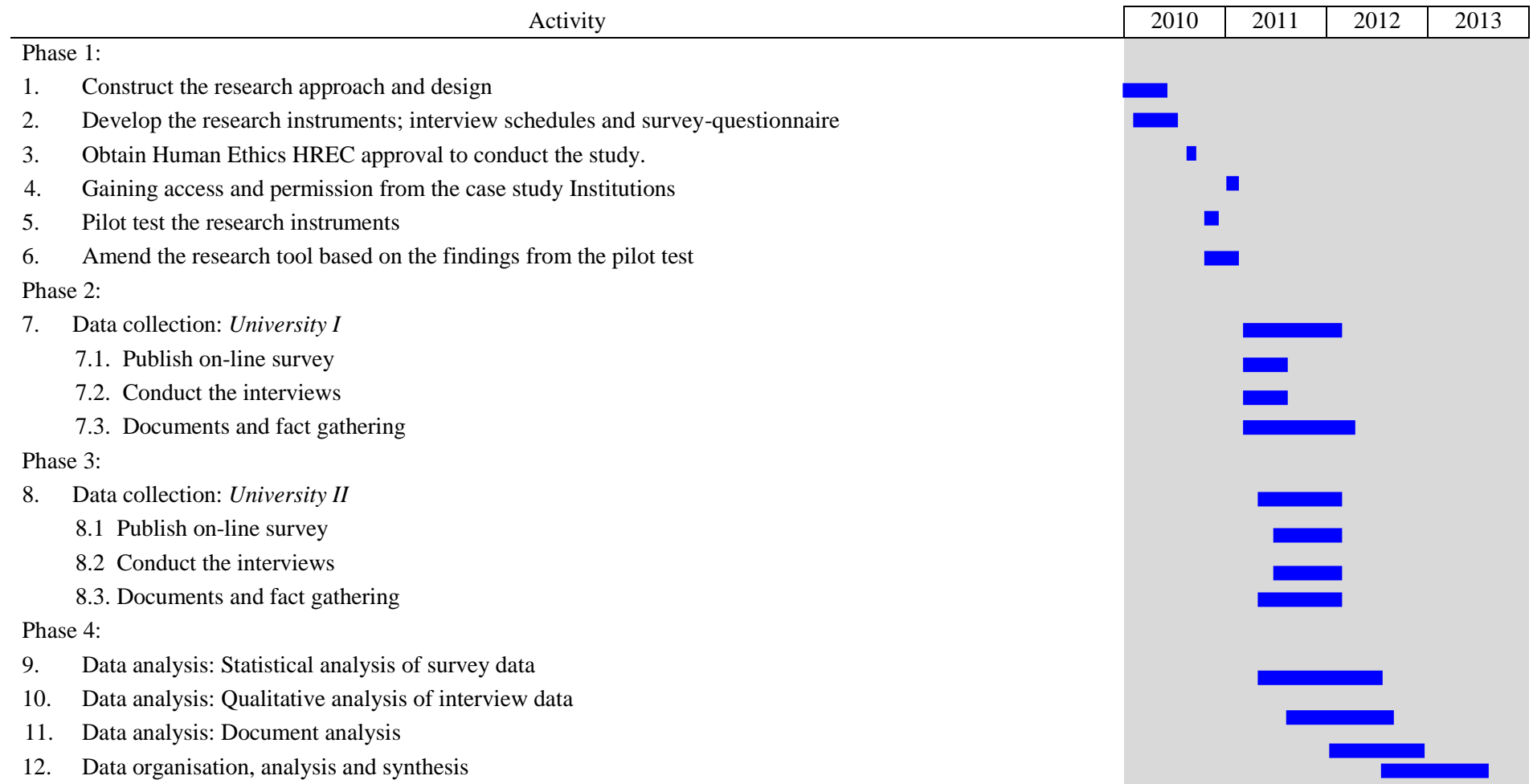


Figure 3.3 Research Activity Timeline

Project Timeline

Figure 3.3. shows the timeline of the study which began with the process of constructing the research approach and design. Phase 2 involved the data collection activity at *University I* (Malaysia), which took six months to complete, from February 2011 to July 2011. Data gathered through questionnaires, interviews and document in Phase 2 were analysed concurrently with the commencement of data collection in Phase 3: *University II* (Australia) from September 2011 to January 2012. Although, the online survey was broadcast from April 2011 to July 2011, the study had not received a good response from the Donors-Alumni in *University II*. Therefore, to increase the response rate, the questionnaire was re-published through the university *eAlumni News* in October to November 2011.

Data Management

Huberman and Miles (1994, cited in Hardy & Bryman, 2004, p. 533) defined data management as “a systematic, coherent process of data collection, storage and retrieval”. As the study used a mixed method data gathering approach, it generated large data sets from interviews, questionnaires and other sources of evidence. Therefore, the data were organised according to the nature of the data to reduce tension of accessibility to the data files, prevent confusion and avoid ‘drowning in the data’.

Interview Data

All interviews were audio-tape recorded in full (verbatim) with the permission of the participants. Interview data were then rendered into textual form by transcription (Hardy & Bryman, 2004) into Microsoft Word (a word processing software). Recording of *University I* participants that were conducted in the English language were transcribed by the researcher, while interviews conducted in the Bahasa Malaysia, were transcribed and translated into the English Language by a professional translator to ensure accuracy. All *University II* recording interviews were transcribed by a professional transcriber. This was done as a way of reducing the time taken for transcription and, importantly, to ensure the accuracy of the transcription as the researcher is not the native speaker of the language. Utilising the

professional to undertake the transcribing and translation of the interviews, which were later checked by the researcher, provided an opportunity to check on the accuracy of the content to increase the integrity and quality of the data (see Appendix F). Transcription scripts were randomly sent to a number of participants for confirmation. All the selected participants accepted the scripts without any changes being required.

All data (audio-tape recording and text) were then filed as password-write-protected data and imported into a computer database, NVivo 9 (QSR International, 2009), a qualitative data analysis (QDA) computer software package. The NVivo software helped to organize the non-numerical data by classifying, sorting, arranging the information and coding and later made the unstructured data available for analysis by examining relationships in the data and modelling. In addition, NVivo searching features allowed for easy access and retrieval of the data files.

Questionnaire Data

The data were captured from the on-line survey software, Qualtrics (Qualtrics Labs Inc, 2011), a survey software package used in the design and broadcasting of the online survey. The data were stored in the server of the University of Tasmania and were protected under the University of Tasmania ICT Security Policy (University of Tasmania, 2010b) and could only be accessed by a valid identification (ID) and password provided by the university. The data later were directly imported into the analysis software package, IBS SPSS (IBM Corporation, 2010) for analysis. Data from the open-ended questions were downloaded into Microsoft Excel spreadsheet, analysed and coded as string variables before uploaded into SPSS for statistical analysis. Analysis of output produced by the Qualtrics Survey, revealed results of missing data which later went through a “Missing Value Analysis” process using the IBM SPSS software.

Data Analysis

Completion of the data collection process was the beginning of the organizing, abstracting, synthesising and integrating process on the data sources (Burns, 2000). The analysis stage was segmented into two phases:

1. Phase 1

Institutional Internal Factors - The examination of the case study institution's fund raising and philanthropic approach and processes; and

2. Phase II

Institutional External Factors - The examination of the PHEI Donors-Alumni relationships and motivational factors for giving.

Qualitative Data Analysis: Interview Data

The study applied the Grounded Theory analysis technique (Strauss & Corbin, 1998) to analyse the qualitative data. The data were coded and analysed and those that are related to a common pattern were grouped together as a 'concept'. Concepts were grouped and regrouped to find the higher order of commonalities called 'categories'. A cluster of linked categories conveying a similar meanings emerged through the inductive analytic process which characterise the qualitative paradigm and formed a 'theme'. The recorded data were transcribed as a way to prepare for coding.

Coding involved identifying, recording one or more passages of text, indexing, categorising the text in order to establish a framework of thematic ideas about it (Gibbs & Flick, 2007). The coded data were organised by themes into the qualitative data analysis software, NVivo 9 (QSR International, 2009) to look for patterns and to produce explanations and understanding of the phenomenon e.g., philanthropic support to PHEIs. Themes that were identified from the analysis were then coded and compared and contrasted with other similar materials (Hardy & Bryman, 2004) in other sources (documents, statistics and figures). This exercise allowed for comparison between cross-cases and within-cases, the coding and recoding of data as new themes emerged from the various data sets within and between the case studies.

Thematic Analysis

The study made use of the thematic analysis approach to identify meaningful categories or themes in the interview and the questionnaire open-ended data. According to Teddlie and Tashakkori (2009):

Qualitative analytic techniques involve generating emergent themes that evolve from the study of a specific piece of information that the investigator has collected.(p. 252)

The interviews were recorded and transcribed, then analysed using the thematic method (Gibbs & Flick, 2007) and organised into concepts and categories based on the semi-structured interview questions and the participants' responses in addressing the questions to provide opportunity for comparison of views across different participants and within the participants of the data set.

The data were later coded into the qualitative data analysis (QDA) software, NVivo 9 (QSR International, 2009) for purpose of comparison and re-ordering of the data as interpretation developed (Hardy & Bryman, 2004). As a code-and-retrieve package, the software allowed searching through the data to identify and retrieve similar patterns recurring across and within the data set. Analyses were conducted to seek common themes and common patterns within-case and cross-case of each group of participants in the data set. Themes were coded and categorised to form an understanding of the emerging ideas and further recoded and reorganised as the study progressed.

Quantitative Data Analysis: Questionnaire

Data collected were analysed using descriptive statistics of those that described individual variables and distributions, and those that measured the relationships between the variables and allowed the summarizing of data within-case and cross-cases data set using measures that were easily understood. The study employed the descriptive statistical procedures appropriate to non-parametric tests to analyse the survey data because of the relatively small number size of the survey sample (Pallant, 2011) which suggested it was not appropriate to use the statistical procedures for random normally distributed samples. The survey data were analysed using the statistical package SPSS 20 (IBM Corporation, 2010).

Non-parametric tests

Non-parametric tests were chosen to provide descriptive statistics from the survey data on the basis of two assumptions: first, the survey data were relatively small and could not be regarded as normally distributed (Burns, 2000). Second, most

of the survey items were designed to obtain nominal (categorical) data for questions in Section 1 (Demographic Information) and ordinal (ranked) data in Likert Scales, for Questions in Section 2 (Contribution Information), Section 3 (Giving Incentives), and Section 4 (Relationship with University-Alma Mater).

Analysing multiple responds questions

The questionnaire contained seven questions that required multiple responses. Q1.1 - “Status of respondent” was critical to the analysis to establish the relationship between the types of respondent against types of contribution. Similarly, Question 2.4 and Question 2.7 required respondents to provide responses on the types of contribution they currently made and consider giving to the case study Institutions in the future. This information was important for the case study Institutions in the development of the institutional philanthropic strategies. All responses from these items were downloaded from the SPSS package into a Microsoft Excel spread sheet for further analysis.

Analysis of open-ended questions

The questionnaire provided five open-ended items that allowed the respondents to give their views in several areas. Responses from these open-ended items were later downloaded from the survey software, Qualtrics (Qualtrics Labs Inc, 2011) into Microsoft Excel spread sheet, coded accordingly by category to form a multiple response item set and entered into SPSS for analysis.

Analysis of the rank order questions

Nine questions required respondents to provide answers on a Likert Scale as listed in Table 3.4.

Table 3.4 *Likert Scale items*

Question number	Description
Q.2.8	Channels to solicit donations
Q.2.9	Contribution interest
Q.3.1a, Q.3.1b and Q.3.1c	Giving Incentives
Q.4.1, Q.4.2, Q.4.3 and Q.4.4	Relationships with the university

Descriptive statistics were used to report the results for items Q.2.8 and Q.2.9. because of the inconsistency in the responses received from the respondents where some of the respondents did not rank the items (from scale 1 to 6) as instructed but instead the items were scored from 1, least satisfied, to 6, most satisfied. A number of non-parametric statistical tests were conducted on the questions with ordinal data to examine the relationships between personal motivations, and relationship expectations to donor and non-donors.

Spearman Rank Order Correlation was used to calculate the strength of the relationships between the variables. Chi-square tests for independence were used to explore the relationship between the categorical variables (Pallant, 2011). While Mann-Whitney rank-sum test comparing ranked scores (George & Mallery, 2003) were used to test for differences between two independent groups; donors and prospective donors on factors influencing giving decisions (Pallant, 2011) and the items in Section 3 and Section 4. Data from the Organisation Donors were analysed using the descriptive statistics based on the level of importance of each items from 1, (least important), to 6 (most important), to the donor respondents.

Internal Reliability

The reliability of the scales of each set of items in the survey as an indicator of internal consistency of the survey measurements was assessed using Cronbach's alpha coefficient test (Burns, 2000). The results showed that all the Likert Scale items had a good internal consistency with alpha coefficient value above 0.7. The reliability of the scale used in Question 4.4 had an alpha coefficient below 0.6.

However, this was considered acceptable given there were fewer than 10 items in the scale. However, the scale for items in Question 2.8 can be considered unreliable having coefficient value below 0.2. The results of the reliability test on the scale varies depending on the sample (Appendix G4).

Document and Textual Analysis

All documentary sources gathered which related to the philanthropic support to PHEIs were analysed according to the nature of the evidence. The sources included: documents received from the case study universities on fundraising and philanthropic policy, procedures, processes, university governance, organisational charts, Annual

Reports, Newsletters, management policy and statistical data on university fundraising and financial data on philanthropic activities. The documents and statistical data were analysed using documentary and textual analysis. The words and their meaning depending on where they are used, by whom and to whom the documents were targeted also were analysed (Punch, 2009) as meanings varies according to social and institutional setting as noted by Jupp (1996, cited in Punch, 2009, p. 201).

The findings from the analysis were put into text format using a word processing software, Microsoft Word, for easy retrieval. Analyses of the statistical records and financial data were made available in Microsoft Excel format. The qualitative analysis did not seek to reduce or condense the data but sought to enhance the data, increase its bulk, density and complexity (Gibbs & Flick, 2007). The study accumulated a large amount of qualitative information in several different forms, e.g., transcripts, recording and notes to enhance the understanding of the investigated phenomenon. The use of the code-and-retrieve software NVivo eased the analysis process.

Data Reduction

The study accumulated a large array of quantitative and qualitative data. Therefore “to analyse or to provide an analysis will always involve a notion of reducing the amount of data collected so that capsule statements about the data can be provided” (Hardy & Bryman, 2004, p. 4) . Reducing the large data sets into smaller capsules enabled the researcher to “see” what is happening and “to gain sense” of what the data showed (Hardy & Bryman, 2004). Statistical package SPSS and Microsoft Excel provided the means to help manage the large volume of quantitative data. Techniques such as frequency tables and measures of central tendency were used to help reduce the handling of large amounts of quantitative data. Items in the Section 3 of the questionnaire were grouped using the factor analysis (Appendix N) and independently analysed using SPSS to look for underlying constructs which led to the items being sub-categorized and sub-grouped to enable a more efficient analysis be carried out.

Summary of Chapter 3

This chapter described the research methodology used in the study to provide reliable and comprehensive data, which would address the research aim and answer the research questions. Due to the paucity of research concerning strategies to attract philanthropic support to Public Higher Education Institutions in a developing country such as Malaysia, and a more advanced Western country such as Australia, a qualitative approach was decided for the study to provide an in-depth understanding of the issue.

The data were collected from multiple sources, engaging with multiple groups of people as the study informants, using multiple data-collection procedures and data collection instruments and involving a single study in multiple data-sites. The processes of analyses of the qualitative and quantitative data have been described in the chapter. The results from the analysis of the data in the context of Research Question 1 will be presented in the following chapter.

Chapter 4 Results: Research Question 1

Introduction

This chapter is the first of three chapters which report the data collected from interviews, questionnaire and documents from the case study institutions. In this and the following two chapters, results from the analysis of both qualitative and quantitative data were presented to address the study's Research Questions. This chapter reports the results to address Research Question 1 and the sub-question, namely:

What are the current policies, organisational practices and effort in regards to philanthropic fundraising in the two case study institutions?

Sub-question:

How does the university's capacity and fundraising history influence the two case study universities philanthropic fundraising?

Organisation of the Chapter

This chapter presents the results in five parts: first, institutional fundraising background and history; second, institutional fundraising capacity; third, institutional philanthropic governance; fourth, institutional philanthropic efforts that includes fundraising policy, strategies and practices and, finally, issues and tensions faced by both case study institutions in raising philanthropic support namely, ethics and accountability in fundraising.

Institutional Advancement Background

Three components of the universities' Advancement internal environment were investigated and reported, namely: the university's Foundation, the university's Development and Alumni Relations, and the university's Alumni Association or Committee.

Fundraising History from philanthropic sources

Fundraising history from philanthropic sources of both universities were presented in Table 4.1. The data revealed some similarities and differences between the institutions, which allow for meaningful comparison between them.

Table 4.1 *University I and University II brief fundraising history from philanthropic sources*

<i>University I</i>	<i>University II</i>
<p><u>Prior to 2007:</u></p> <ol style="list-style-type: none"> 1. The Alumni Liaison Office (ALO), a unit under the responsibility of the University's Registrar managed the philanthropy functions. 2. The management of the fundraising activities were unstructured with small fundraising projects or ad-hoc projects or on needs basis, and not on an annual cycle 3. Engagement activities were organised to maintain a close relationships and create bonding with the Alumni and to encourage the Alumni to return to the university. <p><u>2007 onwards:</u></p> <ol style="list-style-type: none"> 4. In 2007, <i>University I</i> decided to embark on a broader and more targeted philanthropic agenda. 5. In 2007, the university appointed an External Consultant to evaluate the university's philanthropy operation and strategy to provide recommendations. 6. In 2008, implemented the Consultant's recommendations and established the Development and Alumni Liaison Office (DALO) be responsible for the philanthropy and Alumni relations activities of the university. 7. Two Units were formed, namely; Advancement Unit to facilitate the university's philanthropy activities, and the Alumni Liaison Unit (ALO), to manage the Alumni Relations activities. 8. A Director (part-time) was appointed, who reported directly to the Vice Chancellor, and one Fundraiser (part-time). 	<p><u>Prior to 1994:</u></p> <ol style="list-style-type: none"> 1. University's Public Relations Unit managed the philanthropy functions. 2. In 1993, the university embarked on a serious attempt to raise funds from philanthropic support but the effort was unsuccessful because of the failure to get the fundraising objectives embedded with the overall mission of the university. <p><u>1994 onwards:</u></p> <ol style="list-style-type: none"> 3. In 1994, the university established the University's Foundation under the Associations Incorporation Act 1964 as the major fundraising arm of the university. 4. The management of the fundraising activities through the Foundation were structured, operated under a formal Deed of Trust, with a Board of Governors and managed by Directors from prominent community and business leaders. 5. In 2007, the Foundation raised more than \$26 million. A total of \$825,000 worth of bequests was received with a further estimate of over \$1 million of bequest pledges. 6. An External Reviewer was appointed to evaluate the university's philanthropic and fundraising agenda. 7. In 2009, based on the Consultant's recommendations, the university established the Development and Alumni Relations Office (DARO). 8. The Office is responsible to oversee two areas of advancement, namely: philanthropy through Development, and Alumni Relations. 9. A Director (full-time) was appointed, who reported directly to the Vice Chancellor, through a Senior Executive and several fundraisers (full-time and part-time).

History of the University's Foundation

In governing the university's philanthropy agenda, both universities recognised the importance of forming and establishing an independent governing body namely, the university's Foundation. At the time of the study, *University I* did not have a Foundation to govern the fundraising aspects but was in the process of establishing it. The importance of a Foundation to strengthen the university's philanthropy agenda was stated by one Alumni Relation Officer:

If the Alumni see that there is a Foundation with a transparent Board of Trustees and a proper management, they will start contributing. Now we do not have that kind of structure, a platform that Alumni trust and are willing to contribute to (U1-Admin₂).

On the other hand, *University II* established a Foundation in 1994 to help ensure the university “remained a vibrant institution - a leader in education that produces quality graduates, and research connected to the businesses and industries not only of the state, but across Australia and the world” (University of Tasmania, 2011a, p. 45). As a separate legal entity, the Foundation was governed by a separate set of Rules and Regulations from the university and had a formal Trust or Deed to fundraise for the university and manage the philanthropic funds.

History of the Institutions' University Alumni Association/Committee

University I Alumni Association (UAA) established in 1989 to encourage interactions between the members, students and the university's authorities, participate actively in the intellectual development of the university, and promote the development and welfare of its members. The data suggested that UAA worked closely with the Alumni Liaison Office (ALO) in many areas, especially in promoting philanthropic activities and fundraising, for example, inviting Alumni to attend university functions.

University II Alumni Committee (UAC) ensures the university's Alumni activities are conducted in accord with its objectives, and the strategic goals of the university's Alumni are achieved (University of Tasmania, 2012g). The Chair of University Alumni Committee described the Committee's mission as “friendship raising” rather than “fundraising”.

University fundraising capacity

Table 4.2. presents some characteristics relevant to fundraising. The data show there are similarities in their existing strengths and potential areas that can be utilised to attract public support.

Table 4.2 *University I and University II fundraising capacity*

Characteristics	Description	
	<i>University I</i>	<i>University II</i>
University		
Age	<ul style="list-style-type: none"> • 44 years • Malaysia second oldest public university 	<ul style="list-style-type: none"> • 119 years • Australia fourth oldest university
Status	<ul style="list-style-type: none"> • APEX and Research Intensive 	<ul style="list-style-type: none"> • Research Intensive
Geographical Advantage	<ul style="list-style-type: none"> • Situated in one of Malaysia's most urbanised and industrialised cities 	<ul style="list-style-type: none"> • The only public university of Australian Southern state
Total strength	<ul style="list-style-type: none"> • 7,700 staff • 29,789 students • 21,093 Alumni • 414 donors 	<ul style="list-style-type: none"> • 2,558 staff • 26,783 students • 50,994 Alumni • 1,313 donors
Donors distributions ^a	<ul style="list-style-type: none"> • 63.5 per cent - Alumni • 36.2 per cent - Staff 	<ul style="list-style-type: none"> • 67.9 per cent - Alumni • 0.9 per cent - Governing and Foundation Board members • 17.1 per cent - corporate • 1.2 per cent - international
University		
Foundation established	<ul style="list-style-type: none"> • None 	<ul style="list-style-type: none"> • 19 years
Endowment	<ul style="list-style-type: none"> • \$20 million 	<ul style="list-style-type: none"> • \$30 million
Donations ^a	<ul style="list-style-type: none"> • 61.7 per cent from Alumni 	<ul style="list-style-type: none"> • 56.1 per cent from corporate
Development Office		
Age	5 years	4 years
Staff	<ul style="list-style-type: none"> • Director • 1 fundraiser (Part-time) • 33 staff 	<ul style="list-style-type: none"> • Director • Fundraiser (3 Full-time, 1 Part-time) • 12 staff
Alumni database system	<ul style="list-style-type: none"> • Not integrated system/ manual 	<ul style="list-style-type: none"> • Integrated system

Note. *University I* and *University II* Donors-Alumni database. 2010 Annual Report (Universiti Sains Malaysia, 2010; University of Tasmania, 2010a). ^a2010 Total Gifts and Donors types (see Appendix J1).

The analysis of *University I* and *University II* fundraising strength are presented in Table 4.3.

Table 4.3 *Analysis of University I and University II fundraising strength*

Institution	Strength		
	High	Moderate	Low
<i>University I</i>	<ul style="list-style-type: none"> • Reputable higher education institution e.g., age, status, Alumni, staff • Strategically located • “APEX” brand • Alumni and Staff donors • ^aSound Alumni Relations Management: <ul style="list-style-type: none"> - Strong resources allocated for Alumni Relations 	<ul style="list-style-type: none"> • Establishment of Advancement and Alumni Relations Office, e.g., age • Management of Development and Alumni Relations: <ul style="list-style-type: none"> - Number of registered Alumni • Total endowment raised 	<ul style="list-style-type: none"> • Management of Development and Alumni Relations: <ul style="list-style-type: none"> - ^aNon dedicated full-time Director and fundraiser - Resources allocated for fundraising activities - A manual/non-integrated Alumni database system • Number of support from Governing member and International Alumni donors.
<i>University II</i>	<ul style="list-style-type: none"> • Reputable higher education institution e.g., age, status, Alumni, staff • The only public university in the state • “Island” brand • Dedicated University Foundation • Alumni Donors • ^aManagement of Development and Alumni Relations: <ul style="list-style-type: none"> - Dedicated full-time Director - Integrated Donors-Alumni system 	<ul style="list-style-type: none"> • Establishment of Advancement and Alumni Relations Office, e.g., age • Management of Development and Alumni Relations: <ul style="list-style-type: none"> - ^aNumber of full-time fundraisers - Number of registered Alumni • Total endowment raised • Number of support from Corporate, International Alumni and Governing member donors. 	<ul style="list-style-type: none"> • Management of Development and Alumni Relations: <ul style="list-style-type: none"> - ^aResources allocated for Alumni Relations. • Number of support from Staff donors

Note. ^a *University I* and *University II* Advancement and Alumni Relations Office human resources distributions (Appendix I2)

Institutional Philanthropic Governance

Governance Structure of the University Foundation

Vision and Mission

University II Foundation's vision is to facilitate achievement in the key areas of excellence and programs identified as greatest priority by the university, and to accelerate achievements through provision of funding for targeted projects and programs (University of Tasmania, 2012a). To attain its Vision Statement, the Foundation established a Development Fund where donations were directed to help a specific purpose or to areas of greatest priority and need within the university.

Role

As the fundraising arm of the university, the Foundation's role is to assist the university to achieve its mission and strategic objectives by working with the university's Alumni and Friends to receive, manage, and allocate gifts. The university's Provost described the Foundation's function as:

The reason [Foundation's establishment] was to provide a focus for fundraising and to build a capital sum. In the short to medium term to provide support particularly to students, and in the very long term to provide an endowment that would support things like Chairs and staffing positions and so on (U2-Leader₁).

The Foundation helped to secure and manage support for scholarships and research at the university (University of Tasmania, 2011a). According to the university's Foundation Chairman, focusing on scholarships has brought success and a high reputation to the Foundation.

Structure

Operating under a formal Deed of Trust with a Board of Governors, who are donors and prominent members of the community, (for example business leaders), who volunteer their time and expertise (University of Tasmania, 2012d) . The independent Board of Directors was established to maintain accountability and stewardships between the university and the Foundation (University of Tasmania, 2012a) and to govern the university's philanthropy agenda.

Governance Structure of the Development and Alumni Relations Offices

Vision and Mission

University I Development and Alumni Liaison Office (DALO) aspire to become the foremost Alumni Relations and Development effort in the region through maximizing Alumni engagement and private support.

For *University II*, the Development and Alumni Relations Office (DARO) vision is to manage relationships and build support through Alumni, friends of the University and the local, national and international communities for the advancement of the university.

Fundraising goals

University I and *University II* have both set long and short-term fundraising targets. According to the Advancement Officer of *University I*, the Office sets its fundraising goals in stages, starting with the Annual Fund before moving to major gifts. The target of engagement is to 'raise friends' because fundraising is dependent on 'friend-raising'.

In *University II*, plans were developed to set key deliverables and performance measures in the fundraising agenda. According to the Senior Advancement Officer, the goal setting process involved formulation of a one year plan followed by a five year plan that incorporated key deliverables and, the performance measures which were to be reviewed annually.

Role

In *University I*, DALO is responsible for fostering and nurturing lifelong relationships with the university's Alumni and Friends; creating loyalty and providing service to graduates; and increasing philanthropic support to help meet the university's targets for growth, innovation and contribution to the wider society.

Likewise in *University II*, DARO is responsible for managing relationships and building support through its Alumni, friends of the University and local, national and international communities for the advancement of the university (University of Tasmania, 2012b).

Structure

In *University I*, the Director and the staff of DALO are responsible for managing the day-to-day operations relating to fundraising and Alumni relations activities and operated centrally. The Director of DALO reported philanthropy and Alumni activities directly to the Vice-Chancellor, who is responsible to the university Board of Directors (see Appendix I1).

Likewise in *University II*, the Director of DARO is responsible for the management of the university's philanthropy and Alumni relations. The Director assisted the CEO of the Foundation in managing the day-to-day operations, and reported through a senior administrator to the Vice-Chancellor and to the Alumni Committee (see Appendix I1). According to university's Foundation Chairman, the dual function played by the CEO of the Foundation has proven to be working well:

The CEO presently has a direct reporting line to the CEO of the university and he has a direct reporting line to the Board of the Foundation, and a direct reporting line to the Alumni. In the case of the Foundation, effectively his reporting line is to the Chairman of the Foundation, in the case of the Alumni it is to the Chair of the Alumni Committee (U2-Leader₃).

To strengthen the governance of the university's fundraising agenda, the University's Foundation Chairman suggested that an Advancement Board be established. DARO currently operated from a centralised structure and planned to place professional advancement personal in the Faculties to assist with fundraising activities in stages. Currently, only the Medical Research Institute has dedicated non-centralised advancement personnel to raise philanthropic funds.

Resources

University I DALO comprised of 33 full time staff, ranging from senior manager, fundraising officer, Alumni Relations, IT personal and supporting staff (see Appendix I2), holding various academic background and working experiences (see Appendix I3). A Fundraising manager was appointed on a contractual basis and was supported by staff that handles gift processing, donor stewardship, IT support and worked closely with the Alumni Relations team. In 2010, DALO was allocated \$114,000 of operation budget, a decrease of 57 per cent from the 2009 budget (\$264,200).

In *University II*, DARO was comprised of 12 staff; 7 full-time staff and 5 part-time (see Appendix I2) with varied experience and backgrounds (see Appendix I3). The Development team of four handles fundraising activities, while the Alumni Relations team managed scholarships and Alumni matters. According to DARO Deputy Director, more resources were channelled towards supporting the philanthropy activities because:

We have deliberately set up in that way, it is fair to say probably that out of our staffing contingent, more of our effort go into philanthropy than Alumni Relations, we've got probably around two full time equivalent on Alumni relations, which isn't a lot and then we've probably got around nine that support philanthropy (U2-Admin₂).

In 2010, DARO was allocated \$1,594,778 as an operating budget, a decrease of 7 per cent from 2009 (\$1,707,036). For the university to seriously promote philanthropic support, one Alumni Relation Officer stated:

I think for the university to display a real commitment to philanthropy, they would need to resource us more strongly (U2-Admin₃).

Governance Structure of the University Alumni Association/Committee

University I defines “Alumni of the university” as a stipulated group of the university graduates of the university (Section 36(1)). The University Alumni Association (UAA) was established under the Registrar of Society Malaysia, as a separate entity from the university. The primary objectives of UAA is to encourage the development and continuous improvement and ‘uplifting the spirit of fraternity and sense of belonging among its members’.

The *University II* Alumni Committee (UAC) was established under Ordinance 11, *University II* Act 1992. Under the Ordinance, Alumni was defined as either “a graduate, or a person who has been a member of the University staff for 3 or more years, or a student who has successfully completed the Study Abroad and Exchange to Tasmania program or other exchange program of at least one semester of study at the university, or a person approved as an eligible person by the Committee. A student who has completed successfully one full year of study will automatically qualify as a ‘student alumnus’ (University of Tasmania, 2012e). The Alumni Committee is responsible to oversee the Alumni and Alumni Relations activities.

Although the role of the Alumni Committee has evolved over time, the Chair of the Alumni now has more than a ceremonial role, as stated by the Chair of Alumni:

It's very much changed and rapidly changed to a much more of an advisory role, rather than a proactive action role, and I can see that the Chair has gone from much more of a ceremonial role to be more involved in policy (U2-Admin₆).

Recognising university staff as Alumni of the university would grow the culture of giving amongst the university internal community as stated by one Alumni Relation Officer.

Institutional Fundraising Policies

University's Gift Policy

In *University I*, the Gift Acceptance policy (GAP) was formulated to establish an institutional policy for the acceptability of gifts (see Appendix K1) and DALO was entrusted to administer the policy. The policy covers gifting provisions related to: key principles governing gift acceptance and administration, gift acceptance, methods by which gifts may be made, gifts-in-kind and naming rights attached to the gift.

For *University II*, the Gift Acceptance Policy (GAP) was approved by the university's Council under the University's Ordinance 11- Alumni and Ordinance 30 - Endowments, Prizes and Scholarships, (see Appendix K2) and DARO was made responsible for the policy implementation. The GAP covers gifting provisions related to: key principles governing gift acceptance and administration, gift acceptance policy, donor's rights, methods of which gifts may be made, gifts-in-kind, gifts requiring university contribution, and naming rights attached to the gift. The university also supported the principles set out in the Australian Vice-Chancellors' Committee Code of Practice for Australian University Philanthropy in carrying out the gifting agenda (see Appendix L). In consideration of the appropriateness of a gift, the Director of DARO stated:

The university will have the right not to accept gifts or, if you know, it comes out down the track that the gifts are tainted in some way, then they will be able to return that money if need be. We hope that we do our homework before hand to make sure the gifts aren't tainted, but you can never be a hundred per cent (U2-Admin₁).

The data suggested that:

- i. GAP of both universities had described clearly the roles and responsibilities of the personnel involved in managing the philanthropic funds;
- ii. *University I's* GAP do not clearly spelled out nor elaborate on donor's rights, but it was clearly defined in *University II's* GAP;
- iii. Obligation to fulfil donor's wishes are clearly defined and elaborated in *University II's* GAP, but not in *University I's* policy;
- iv. GAP of both universities were develop in accordance with the university's Vision and Mission Statements;
- v. Both universities show transparency in its administration and management of philanthropic sources and have clearly defined the legal considerations involving gifts in accordance with the country's relevant laws (see Appendix K3);
- vi. Both universities placed great importance in recognising their donors by appreciating them in various ways. Donors were categorised according to the amount of their contributions (see Appendix K4); and
- vii. Both universities have placed great importance on recognising their donors as presented (see Appendix K5). The interview data suggested strongly that both universities recognised and acknowledged their respective donors through letters, newsletters, invitations, updates, naming rights, and providing the use of the institutions' facilities.

Institutional Philanthropic Operations

Institutional Fundraising Approaches

Types of giving

- *Annual Giving*

In *University I*, the Annual Fund consists of three parts: the staff annual fund, the Alumni annual fund, and the parents' annual fund and are used to support, for example, scholarships, travel for student study abroad, special student needs, classroom technology and library resources.

In *University II*, the Annual Appeal is the university's annual fundraising request aimed to provide student scholarships and an endowed fund for initiatives in areas of the university's greatest need (University of Tasmania, 2012c) and to establish a long-term culture of giving from among the community of graduates and friends (University of Tasmania, 2011a). As seen by the University's Foundation Chairman:

The message that we give to most people who give us money or are thinking of giving us money is that we want to fund it [the relationship] in perpetuity, and that resonates so that we are not just going to spend the money and not have anything for the future (U2-Leader₃).

- *Major Gifts*

The interview data suggested that *University I* had moved to focus on major gifts but foresee challenges facing the office to solicit for major contributions as stated by the Advancement Officer:

We have a bigger picture that we want to achieve on major gifts. We are embarking on some Chairs and endowments. Individuals that we identify, are those capable of giving a lot more, institutions that have Corporate Social Responsibility funds. We targeted the richest people in Malaysia. The challenge comes with major gifts when people want to fund a particular research and you don't have the proper engagement from the researchers (U1-Admin₁).

University II focused on major gifts to increase donations for example in endowed scholarships or a Bequest in memory of a loved one. The Director of DARO stated:

We focus on big gifts. That is our focus. The smaller gifts still come, it is important but we concentrate on big gifts (U2-Admin₁).

- *Planned Giving*

University I had not begun to solicit for planned gifts or bequests. Unlike *University II*, Bequest Programs were formalised with the main program to provide significant support that will manifest benefits to the university over the long term, as bequests are realised (University of Tasmania, 2011a). *University II* total donations and bequests showed a 55.6 per cent increase from 2009 to 2010, and an increase of 23.5 per cent from 2010 to 2011 (University of Tasmania, 2010a, 2011a).

Fundraising Approach

Table 4.4 *Institutions' fund raising soliciting approaches (2009 to 2011)*

Solicitation Approaches	<i>University I</i>		<i>University II</i>	
	2009	2010	2009	2010
Online payment	X	X	X	X
Direct mail	X	X	X	X
Payroll giving	X	X	X	X
Fund raising consultants	X		X	X
Telephone fund raising		X		X
Personal solicitation	X	X	X	X

Note. X Strategy utilised

Table 4.4 show that multiple soliciting approaches were utilised by both universities and the choice of approaches varies according to the nature of solicitation purposes. In this context, the interview data suggested that both universities utilised direct mail or email to engage with students before they leave the university and also to appeal for support.

In *University II*, pro-active actions were taken to discuss with the Alumni donors about their giving plans. The university also utilised advertisements and media, e.g., television, but this did not occur in *University I*. In addition, both universities employed social media network, for example Website, Facebook, Blogspot, to maintain connections with Donors and Alumni. However, the universities faced difficulties to access the Donors-Alumni latest corresponding address, and thus, depended strongly on Donors-Alumni to update their profile, or to inform the university of their latest contact details. Despite utilising multiple solicitation approaches, a face-to-face soliciting strategy was the main strategy for both universities. Other fundraising approaches were used, namely; University Internal Community, for example: Leaders, Faculty members, staff and students, and University External Community: for example, Parents and University's Alumni, and Donors.

University Leaders and Faculty members as fundraisers

Both universities utilised the Leaders in the soliciting process. In *University I*, the Faculty members' participation in fundraising was still "very minimal".

However, the Advancement Officer believed that Leaders were an important medium in the solicitation process because “Leaders in their own circles can move and drive an agenda amazingly. I saw good participation from Leaders but maybe we need to move beyond where these leaders need to become champion to solicit from the people around” (U1-Admin₁).

The data also suggested Leaders’ participation in *University II* soliciting process, while often it was difficult to arrange, as stated by the Alumni Relations Officer:

I think that the Vice-Chancellor really understands the need to have good relationships with Alumni and the necessity for philanthropy. I’m sure he understand it and is very prepared to come to events and speak and he does say use the position of Vice-Chancellor to engage, but I haven’t yet seen it (U2-Admin₅).

The University Foundation Chairman described his involvement in the solicitation process: “Through my contact, I put him [donor] in touch with the CEO of the Foundation and we ended up getting a donation of one million dollars. I think one of the reasons we have been successful is the support in person by university leadership” (U2-Leader₃). “Champions” within the university’s community, who were willing to assist in the solicitation process, and to identify other people within their colleague, also were identified as fundraisers.

Parents, Students and Alumni as Fundraisers

The interview data suggested that both universities utilised parents and students in the soliciting process. In *University I*, Alumni who are actively involved in the Alumni activities and fundraising for their Faculties were identified and were encouraged to help raise funds for the university. In *University II*, parents and students participated in the university’s philanthropy activities, as stated by Director of DARO: “We've got the students’ parents and family helping us raise the money, because they’re passionate about for raising that cause. So they were helping to do that.” (U2-Admin₁)

Soliciting channel

To explore respondents’ soliciting channel of interest, six types of channels were identified (see Question 2.8 Appendix G1 and G2).

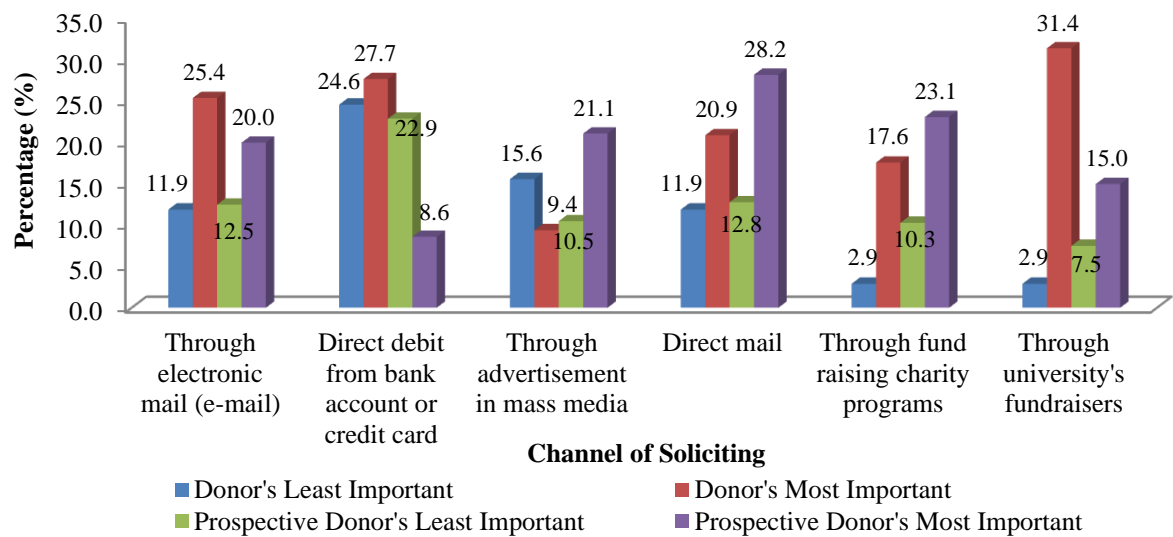


Figure 4.1 Channel of soliciting: By level of importance to *University I* individual donors and prospective donors

Figure 4.1. showed that individual donors preferred to donate to *University I* if they were approached by the university fundraisers, but not through direct debit from bank account or credit card facilities. On the other hand, prospective donors favoured responding to an appeal received through direct mail but not by the university's fundraisers. However, the survey data show that organisation donors preferred to donate through direct debit from bank account or credit card (scale 5) and responding to appeal received through email (scale 5), but do not favour responding to appeal through advertisements in the mass media (scale 1).

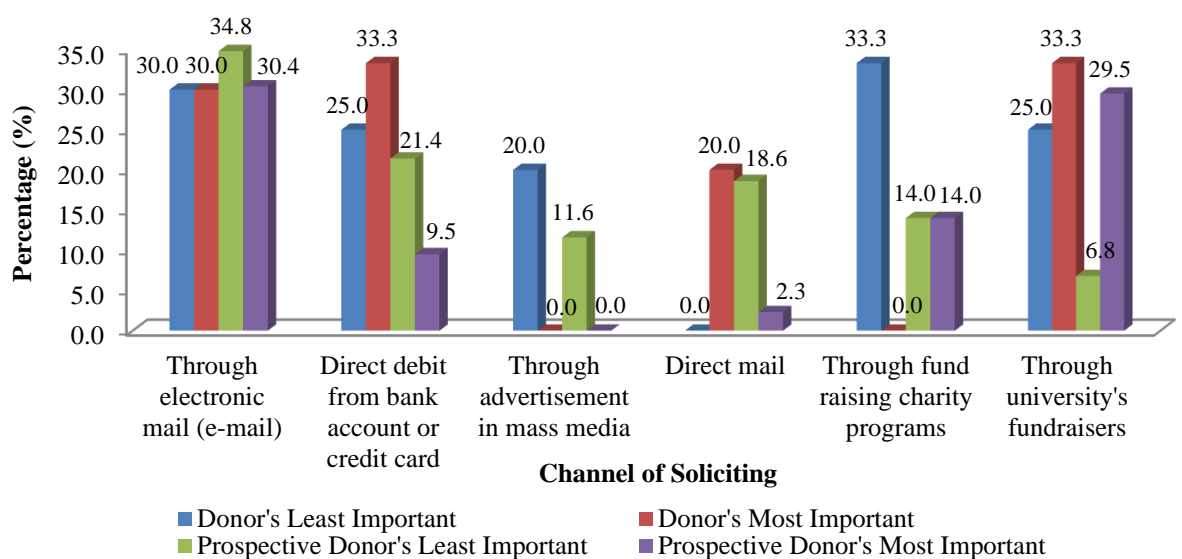


Figure 4.2 Channel of soliciting: By level of importance to *University II* individual donors and prospective donors

Figure 4.2. illustrated that individual donors prefer to respond to *University II's* fundraisers more than through electronic mail. Conversely, prospective donors favoured responding to appeal through electronic mail but not to university's fundraisers appeal.

Institutional Fundraising Strategies

The "Fundraising Pyramid" is the strategy tool utilised by both universities to set their fundraising goals and plans. This is comprised of: One Off or Special Gifts, Annual Giving, Major Gifts, and Planned Giving. *University I* fundraising strategy plan consisted of three stages; (i) Stage 1: Focused on Annual Fund, (ii) Stage 2: Major Gifts, and (iii) Stage 3: Planned Gifts. The Advancement Officer described the fundraising strategy as:

We use the giving pyramid [model] where at the bottom of the pyramid we try to raise funds in small amount but from a large volume of people. As we climb the pyramid, then we have the major gifts where we target smaller group of people but larger volume amount. We are working on major gifts where we seek donations at a larger amount from organisations and institutions for Endowments of Chairs (U1-Admin₁).

University II's Director of DARO reported the university's fundraising strategy based on the giving pyramid model as: "We follow the giving pyramid steps, moving to large gifts, and hopefully bequests, down the track, so that is our key strategy for donor acquisition" (U2- Admin₁). The university has had success in attracting Annual Giving and currently focuses its resources on raising larger gifts.

Branding and Campaign

The interview data suggested that both universities have taken steps in branding the university. In *University I*, a University Alumni Association Committee member suggested that the "Research and Apex University" status had lifted the university's reputation nationally and internationally. At the time of the study, *University I* had yet to conduct any campaign program, as reported by the Advancement Officer:

We have not conducted any campaign because the model for our university is we are strongly funded by the Government. So people question the need for the university to raise funds, for example, if you want a Library, then you ask for budget from the Government (U1-Admin₁).

However, the university strategic appeal is to capitalise on the institution's strength as stated by the Deputy Vice Chancellor:

Our strategy is to find the countries with similar problems as us, that acknowledge our institution's strength and contributions, and at the same time have the resources, in terms of grants and could offer us the Chair. We came up with an Action Oriented Chair. The idea is to produce a solution that could be patented. If we succeed, we will increase our international grants, KPI's and the number of Post Graduates (U1-Leader₂).

As the only university of the State, *University II* has a comprehensive course profile. As reported in the *University II's* 2011 Annual Report, the university seeks to capitalise on its unique state island location identity and access the resources from the State; for example environment, people, culture, government and industry by providing distinctive courses aligned with the university's theme areas and the State's perceived educational needs (University of Tasmania, 2012f). The strength of the university was described by University Foundation Chairman:

You're not competing against another university We are the University of [state name], we are outside of the state government but I think almost the second largest employer in the State. As a part of a bigger network it adds value. We have a unique opportunity in [state name] because we only have one university. We have a captive audience. We're a state-wide university, it's a very powerful message and a powerful opportunity and we are the only one. We are the University of [state name], everything to do with [state name] has some limitations. We're not a large population but from the Foundation point of view, to be the Foundation of the only university presents a unique opportunity to promote our endeavours and unashamedly we do (U2-Leader₃).

During 2009/2010, the university conducted four campaigns for four different projects. In 2009, a target of \$7,800,000 was announced and \$4,820,976, or 62 per cent of the funds were realised. Likewise, in 2010, a target of \$8,446,000 was announced, and \$6,281,273 or 75 per cent of the sum realised. Special project campaign appeals were conducted based on project priority set by the university through the Foundation for example, "Save the Tasmanian Devil Appeal" and Observatory Appeal. These appeals had managed to attract significant support from the community. At the time of the study, no specific capital raising campaign was conducted.

Stewardship for Fundraising

Two areas of the institutions stewardship for fundraising were investigated, namely; reporting, and relationship building.

Reporting

In *University I*, performance of philanthropic activities were communicated to Donors and Friends through the Annual Report. The content of the annual report outlined information such as, the number of university donors, and usage of the funds. Challenges faced in preparing the report were related to donors' confidentiality and anonymity, as stated by the Advancement Officer:

The first year I listed out all the name of the donors in my report but a number of donors don't want to be listed. This is a great cultural change between Malaysia and the West. I had to remove 14 pages of names because people do not want their names to be displayed as a donor, They are embarrassed and they want to give quietly (U1-Admin₁).

In *University II*, reports were given to Annual Appeals donors, while personal statements were prepared for major donors. The university abides to the Australian Vice-Chancellors' Committee Code of Practice for Australian University Philanthropy which clearly stated the need for institutions to ensure that all Donors have access to its most recent published financial statements. In addition, Donors' also were given Alumni News to keep them updated about the university.

Relationship Building

Direct mails and emails were sent to *University I's* Alumni and Friends residing in the database to maintain relationships and connectedness. Emails were send periodically on updates concerning the university, or about an event and also articles on philanthropic through the university's magazine; "Leader". Donors and Alumni also were invited to attend university events such as, Convocation, or activities carried out on the Campus. In *University II*, Deputy Director of DARO stated that a mixed approach was utilised to maintain the university's relationship and connection with Donors and Friends:

For donors that give not just for the Annual Appeal, who gave from the mail-out, we will have face-to-face contact with them so that they would give to a specific scholarship and perhaps larger amounts to an Appeal. We meet with them, chat with them, and seek pledges for

bequests. That level absolutely has a really good relationship and connection (U2-Admin₃).

The data suggested that:

- i. Alumni News were utilised to promote the university's philanthropy agenda, while email and web facilities were employed to connect and keep Alumni and Friends informed about the university;
- ii. Alumni magazine, published twice a year, and monthly e-newsletter were made available to nearly 40 per cent of Alumni with email addresses recorded in the database including far-flung Alumni living overseas (University of Tasmania, 2010a);
- iii. Scholarship sponsors and students receiving the scholarships were acknowledged and recognised through two prestigious award, namely, Foundation Graduate Award, and the Distinguished Alumni Award. University's Foundation Awards Dinner is one of the major event of its kind in the state and one of the university's premier public occasions (University of Tasmania, 2010a) and well received especially by the corporate donors based on the number of participation in the university's events and support for student scholarship;
- iv. Alumni and Friends also were invited to attend the public lectures; and
- v. To promote a close relationship with donors, university's fundraiser make every effort to accommodate their wishes, as stated by the Deputy Director of DARO:

[University fundraiser] worked with some people who have seen-sawed between making a bequest or not making one, or they have a scholarship going, and they are not happy with this or don't have a good recipient student. We've recently received a very large bequest from someone that I think he [University fundraiser] had managed that relationship all the way through, where they would come in and say I'm not happy (U2-Admin₄).

Alumni Engagement

In *University I*, Alumni were invited to attend events organised and held in the university's campus such as "Balik Kampus". In nurturing the culture of giving,

students were encouraged to be involved in the university's philanthropic activities as stated by the Advancement Officer:

Students are actively involved in the Alumni activities and fundraising in their own Schools. When we approach the parents, the students were the one who came to present the gifts on behalf of the parents. Hopefully this process will create an awareness among the student of giving back to the Alma Mater. When we dispersed funds to the needy students, we often remind them of the need for them to give back to the university (U1-Admin₁).

In addition, the university also planned to increase the engagement level with its overseas Alumni Chapter. To-date, the level of engagement between university and international students were not strong, as stated by the Alumni Relation Officer: "At the moment, our engagement with the foreign students are very minimal. However, in October, we will be starting our engagement with the Alumni Chapter in Jordan. We have an Alumni Chapter in Indonesia but we don't go and see them" (U1-Admin₂). *University II* Strategic Plan (2012 to 2016) reported the university's plan to strengthen partnerships with the community, and also the Alumni (University of Tasmania, 2011b). The University's Provost described the engagement plan as:

We have a very special relationship with our community, the government, and other stakeholders. Alumni are a very important part of that, I think we need to be build that relationship that Alumni as part of our strategy for engagement and influence. Recognize that it would produce hopefully some financial benefits as well, but the financial benefits are second order whereas the first order is the relationships (U2-Leader₁).

Twenty-five events had attracted more than 2000 Alumni and friends in 2011 (University of Tasmania, 2011a), as compared to 30 functions attracting more than 1800 Alumni and Friends in 2010. Events were held in the State, other states in Australia, and also other parts of the world, e.g., New York, London, Singapore, Shanghai and Malaysia (University of Tasmania, 2010a). The university established linkages with its international Alumni donors and prospective donors through the off-shore Foundation, that is, University Foundation USA. To ensure connectedness and future support, the importance to instil culture of giving among the international students while they are still studying at the university was highlighted by the Alumni Relation Officer: "I think amongst the international graduates, that they are not fully

aware about the University's Alumni Association before they leave, and of course then we're playing catch-up" (U2-Admin₃).

According to the University Foundation Chairman, inviting donors and prospective donors to attend university events built connectedness and nurtured culture of giving. Alumni participation in university's events have shown positive response as reported by the Alumni Relation Officer:

There are significant number of Alumni who do correspond all the time. People are updating their details on our integrated web database interface. More people are coming to events and some initiatives that we've started (U2-Admin₃).

The data suggested that Alumni and Friends were pleased to be invited to university events and to be acknowledged by the university's Leader, as stated by University's Foundation Chairman:

Donors love being invited to the Vice-Chancellor's office for morning tea to be thanked for their donation and they will return and try to persuade other family members and friends to do the same thing (U2-Leader₃).

Community Engagement

In *University I*, the Division of Industry and Community Network, headed by a Deputy Vice Chancellor is responsible for industry and community engagement. However, collaboration between DALO and this Division in building the engagement for philanthropic activities is unclear.

The Vice-Chancellor of *University II* in the 2011 Annual Report described the university's close relationship with the State Government and its engagement programs with the community had provided partnership opportunities for the university to draw the community into more deeply its activities. The Provost described the university's community engagement vision as:

It's much stronger and much robust than for many of the other universities, partly because we are the only university in the State so we have that inevitably a closer relationship... but also a higher level of responsibility than many other universities would have. We are effectively the research arm of the State government. We have a very real obligation to meet the very diverse education needs of the state. We have an opportunity to work at the local scale with local stakeholders to support and encourage and to work with them (U2-Leader₁).

University Internal Community Engagement

The data suggested that in *University I*, raising awareness among the internal community to support the university's needs was not strong. This meant there is a pressing need to create awareness of the university's need to encourage support from the university's internal community across all branches.

University II also did not have a strong internal community giving culture. It is evident when some of the staff were unaware of DARO's existence and its role. Therefore, leaders' contributions would assist to stimulate other parts of the university community to donate, as stated by the Director of DARO: "Before we encourage people within the university to give, we need to have our Senior Executives give. Once we can show the Leaders' of the university's giving, then it's much easier" (U2-Admin₁). The culture of giving amongst the university community varies depending to the positions they hold, as stated by the University Foundation Chairman:

I think with those who were in strong leadership positions in the university there is considerable awareness. The university however has a lot of employees and I suspect that we haven't got the culture of giving through the university staff as far as we might like. We haven't really built on that successfully so far, we're still young in this regard. I don't think we've actually had a significant focus in the university. We have a long way to go but the ground is fertile (U2-Leader₃).

The data also suggested some difficulty faced by the community in dealing with the university because the university did not have a single point of contact, and client relationship management was not consistent, where interactions with the university tended to be "ad hoc, personality driven, and transient" (PhillipsKPA, 2011).

Table 4.5 *Summary of University I and University II fundraising efforts*

Institution	Administrative Structure	Policies	Internal and External constituencies	Philanthropic sources	Fundraising Approach	Fundraising Vehicle
<i>University I</i>	<ul style="list-style-type: none"> • Director of Development and Alumni Liaison Office reports directly to the Vice-Chancellor • Centralised management approach • Full-time Relation Officers • Part-time fundraiser 	<ul style="list-style-type: none"> • Gifting policy • Recognition policy • Investment guidelines • Operating procedures • Reporting standards • Internal auditing 	<ul style="list-style-type: none"> • University Leaders • Alumni Association • Alumni • Staff • Students as volunteers • Zakat payers • Islamic Centre • Corporate partnership • Parents 	<ul style="list-style-type: none"> • Leaders • Alumni • Staff • Retirees • Students • Parents • Organisations 	<ul style="list-style-type: none"> • Annual appeal • Major gifts • One-time gift 	<ul style="list-style-type: none"> • Face-to-face • Direct mail • Email solicitation • Online • Telephone fundraising • Payroll giving
<i>University II</i>	<ul style="list-style-type: none"> • Director of Development and Alumni Relations reports to the Vice Chancellor through a Senior Administrator • Director of Development and Alumni Relation is also the CEO of the University Foundation, reports to the Chair of the Foundation on matters related to philanthropy • Director of Development and Alumni Relation report to the Alumni Chair on Alumni matters. • Comprised of both full and part-time Development and Alumni Relation staff • Centralised management (with some selected Research Institute managed their own fundraising activities) and moving towards decentralised fundraising 	<ul style="list-style-type: none"> • Gifting policy • Recognition policy • Conflict of interest policy • Investment guidelines • Operating procedures • Reporting standards • Risk register • Code of practice for Australian university philanthropy • Internal auditing 	<ul style="list-style-type: none"> • University Leaders • Foundation Board • Alumni Committee • Faculty efforts and Alumni outreach • Students • Faculty champion • Staff • Corporate partnership • Volunteers • Parents 	<ul style="list-style-type: none"> • Governing Board • Leaders • Alumni • Staff • Retirees • Students • Parents • Organisations 	<ul style="list-style-type: none"> • Annual appeal • Major gifts • Bequest • Pledges • One-time gift 	<ul style="list-style-type: none"> • Face-to-face • Direct mail • Email solicitation • Campaign • Online • Telephone fundraising • Payroll giving

Issues in Raising Philanthropic Support

Ethical Fundraising and Conflict of Interest

University I clearly stated its commitment not to compromise and accept gifts which are not ethical. The data suggested the challenge facing the fundraiser was to ensure donations were from “clean money” or “halal money”; money derived from legal sources as stipulated by Islamic guidelines as stated by the Advancement Officer:

Our university is very particular about where the money comes from as well. There is a question of ethics. Can you accept gifts from anybody and everybody? So there is a concept of “Clean Money”. The university leadership makes this very clear that whoever you solicit gifts from then the management wants to know that the money is clean. I can see that the discomfort within the University Board not to accept gifts just from anybody. Sometime there is a caveat on how and who you can raise funds from. There is an issue of the halal of that money which in the western context is not there (U1-Admin₁).

According to the Advancement Officer, this guideline was more than balanced by the possible loss of reputation from an inappropriate source:

You really have to screen and to make sure that this person is somebody your management, leaders comfortable with. This is our local boundary and we have to respect this because at the end of day it's the leader who will ask the organisation or the individual. So if he is not comfortable with that respected MD or CEO then he is not going to make that ask (U1-Admin₁).

In *University II*, this principle was not explicitly stated in GAP but was precisely defined in the Australian Vice-Chancellors' Committee Code of Practice for Australian University Philanthropy (See Appendix L) and addressed in the “Avoiding Conflict of Interest Guideline”. According to the Senior Financial Officer, ethical positions are complex or difficult to outline: “We haven't had enormous amounts of donations and haven't taken extremely strong views on ethical positions because at the end of the day the ethical positions can be difficult to substantiate across a whole community and university is a place for everybody” (U2-Admin₅). On the phenomenon “You scratch my back and I'll scratch yours” in the fundraising context the Director of DARO stated:

We have strict Australian guidelines to make sure that it is a donation and not a business relationship. We're quite clear that when people give us gifts that doesn't mean they will get business in return, so it's more about the discussion, Its none of, the intent of "you scratch my back, I'll scratch yours" we don't actually go along those lines (U2-Admin₁).

The issue pertaining to racial and religion based solicitation does not arise due to the *University II*'s more mono-cultural identity. According to the Director of DARO, it is illegal for the university to record details related to the donor's religion or race in the database. However, the university was conscious of these sensitive elements, especially in their solicitation activities involving the international donors and prospective donors. When asked about maintaining donors profiles and issues pertaining to religion and race, he commented:

We don't distinguished, in actual fact, it's illegal for us to record religion, race, members of political party group in our database. But we are very conscious of it, especially for our international students (U2-Admin₁).

Fundraising risk and confidentiality

Both university managements acknowledged the risk involved in the event of raising philanthropic funds. However, the steps taken to mitigate the potential risk were unclear in the *University I*. While in *University II*, the university had a clearly define risk policy. Risk register and the measures to mitigate the risk were identified and defined.

The data on the University Gift Policy indicated that the *University I* commitment to maintain high level of commitment to donor stewardships and *University II* declaration in treating donors details with high respect and confidentiality.

Culture of giving and asking

The data suggested one of the reasons *University I* has yet to see success in attracting philanthropic support was because of the 'mind set' of the people in giving to the public universities. Therefore, it is important to instil the idea of giving in the community, as this will lead to the change of the "mind set" about giving to the public universities, as stated by the Vice Chancellor:

Giving back to the community and people will only enrich the university. I think it has to be part of education. Teachers when they go to classes, it is about giving. The idea of giving is something that needs to be put back into the university, something that we want to make a mainstream of education (U1-Leader₁).

To inculcate giving culture, MOHE Secretary General supported the need to change the people “mind set” of philanthropy and giving to PHEIs:

You want to move the mindset of the people in the society to be a great nation that contribute significantly to the development of the country. Great people normally will contribute a lot to the country and to the society. One of the areas that is good for these great people is to make them inspired with philanthropy. If a lot of people are inspired with this, a lot of funds will be given back to the society. So this is the value we need to inculcate (U1-Stake₁).

The data suggested fundraising efforts to attract philanthropic support for the public universities in Malaysia are still very limited and this may be related to the culture of not giving to public universities. According to the University Senior Internal Auditor, though the university used to received philanthropic contributions for capital infrastructure such as for the development of the university’s swimming pool and the University’s Mosque indicating the existence of giving culture to the university, as the University grows, the culture of giving to the university had slowed down. These phenomena might be due to soliciting effort or “culture of asking” by the university. He stated:

It’s a matter of gearing up the asking culture. When there is an opportunity, leaders must ask. Must pitch and create the culture of asking. We have good contacts but we have never nurtured the contacts for philanthropy (U1-Admin₁).

Philanthropy as a revenue stream for the universities

According to *University I* Deputy Vice Chancellor, the university has yet to show success in attracting major contributions because they had not been able to formulate a strategy that could attract donors:

We have to go out and invite people to come together and to share our needs. There must be certain concepts and approaches. We have not been successful to bring in “investment” into the university (U1-Leader₃).

Another reason for Malaysian PHEIs had not been successful in raising philanthropic support was because of the perception that the universities are funded sufficiently by the Government. Universities need to deal with this public perception that Public Universities were adequately funded by the Government and hence there was no necessity for philanthropic support. As stated by MOHE Secretary General

I don't think philanthropy has yet become a high revenue generating avenues in our Public HEIs. Philanthropy is mainly confined to the offering of scholarships/financial assistance to individuals (rather than to universities per se) for the pursuit of their tertiary education. This may due to the fact that they viewed Public HEIs are already sufficiently funded by the Government (U1-Stake₁).

In *University II*, the University's Provost stated that while the university acknowledged the potential of philanthropy as a means in sharing the cost burden of the university with the public in certain areas of the university's development, philanthropic contributions was seen as a small fraction in the university's income and did not contribute to the university's operating budget:

Philanthropy is a tiny fraction of our income. It really goes to major purposes with some important exceptions. One is to flow into capital development particularly buildings and we've had a fair bit of success there, and the other is to support students and particularly through scholarships. The major elements are on the capital side and to support students, which means that philanthropy does not yet make a major contribution to our routine operating costs. The Foundation and self-funding is having a very marginal effect on the university's operating budget (U2-Leader₁).

Alumni Giving

According to the *University I's* Vice Chancellor, the "mind set" on supporting the needs of the university, was one of the reasons of the low support by the Alumni and more attention be given to the "intangibles", for example, instilling giving values among the students:

The value of the university is about people. The value of the university is about life. The value of the university is about something that we cannot measure which has tremendous impact on our thinking, on our well-being, on our view point, I cannot image that things which are not tangible do not have value, that spontaneous feeling is something that you need to nurture and that is something that we have not paid attention to (U1-Leader₁).

He further suggested to ensure success in getting support, it is important to make Alumni feel important:

Bring back as many Alumni as possible because the Alumni will feel the sense of the urgency and experience of why this university must be funded, because they are part of the university. I think the role of the Alumni is important. It is important in the sense that the university must make them feel important (U1-Leader₁).

The system of paying for education, has in one way or another, contributed to the attitude towards giving of the graduates as stated by the Vice Chancellor:

I feel that most of the students when they benefited from scholarship or things like that, giving back is a difficult thing. This whole mind set I think is something that we need to deal with. If we do not do it, I think this whole style of giving and not giving back becomes an issue of all. Sometimes when they feel that they are not getting the most of their education, they refused to give back. So I think this is the attitude that we have inculcated which is to me anti-education, anti-intellectual (U1-Leader₁).

In *University II*, one of the reasons offered for the low level support from the Alumni was because the majority of Alumni were young and did not have the capacity to give. This scenario imposed a challenge for the university to cultivate donations from the Alumni, as stated by the University's Foundation Chairman:

To inculcate the culture of giving amongst Alumni, I think we need to recognize that the great majority of *University II* graduates are probably aged under 40, many of them will still have young families and mortgages and their capacity to give is going to be fairly limited. It will be another ten or twenty years before that group reaches the stage where philanthropy becomes feasible on a large scale and another generation after that before a large scale bequesting becomes an issue, so it's a very long term investment (U2-Leader₃).

The data also suggested that students were found to spend less time at the university (University of Tasmania, 2011b) and this posed a challenge to build connectedness with the university. According to the University's Provost, it is vital for the university to include building Alumni relationship as part of the university's engagement strategy:

I think we need to be building that relationship that Alumni's part of our strategy for engagement and influence. Recognize that it would produce hopefully some financial benefits as well, but the financial benefits are second order whereas the first order is the relationships" (U2-Leader₁).

Government participation in philanthropy

Another factor that contributed to the tension in attracting philanthropists to give to the universities is the Government's support. According to MOHE Senior Officer, incentives were given to philanthropist for supporting the PHEI based on a case-by-case basis. The Vice Chancellor suggested low philanthropic support to PHEIs may be due on the amount of investment given to education by the Government did not demonstrated them as fully serious in providing education to the people:

I think they [philanthropist] have not seen or are not convinced that the Government is placing enough investment in the university. When low investments were given to the university, to them education was given a low priority. I think it is the question of getting their [philanthropist] interest and to convince them that this [giving to the PHEIs] is a good investment (U1-Leader₁).

Likewise in *University II*, Government participation in promoting giving is important because the involvement would help shift the culture of giving among the people in the country, as stated by the Provost:

I think that is a very long-term strategy and I think it has to be very closely tied to a potential shift in national culture towards a more general acceptance of philanthropy. I think there are things that the Government can do to improve its support and the incentives (U2-Leader₁).

Solicitation Approach

Both institutions encountered challenges to implement some solicitation approaches, namely; telephone fundraising. Both universities had not maximised the telephone as the vehicle for fundraising for different reasons. In *University I*, the data suggested that Malaysian are not used to being asked for donations via the telephone and are more comfortable with a face-to-face approach. In *University II*, the university's hesitation to utilise this approach was because of the cost involved, e.g., financial and human resources. Another challenge facing both universities to maximise the utilisation of internet tools and social network medium is to reach all Alumni and Friends as not all of them are technology savvy.

Summary of Chapter 4

This chapter presented the findings to address Research Question 1 and its sub-questions. The analysis of both qualitative and quantitative sources as well as the findings from documents and statistical evidence were presented. The analysis of institutional Advancement characteristics produced descriptive evidence of elements for a successful PHEIs philanthropy fundraising. The similarities and differences were analysed in light of cross-cultural and institutional comparisons.

The findings produced five common factors for a successful PHEIs philanthropy fundraising, namely, institutional strength, sound management, institutional strategic alignment, fundraising approaches and practices moderated in light to cultural and social needs, and engagement and marketing strategy for success. Importantly, there emerged from the findings two common phenomenon to higher education philanthropy; “culture of asking” and “culture of giving to Public Universities” across both countries. The following chapter presents the results to address Research Question 2.

Chapter 5 Results: Research Question 2

Introduction

Understanding the patterns of giving at the donors' individual level will provide a more complete knowledge of giving and philanthropy at the institutional level and this, in turn, will assist in building a successful Advancement and Fundraising program. This chapter is the second of three chapters, which report the results of the research to address the Research Question 2, namely:

What are the present patterns of philanthropy in the two case study Institutions and the factors influencing individuals' philanthropic decisions?

In addressing Research Question 2, the quantitative data obtained from the survey-questionnaire conducted with the case study Institutions' donors and prospective donors were used as the primary source of information. The questionnaire provided the information on the donors' giving patterns, their purpose and reasons for giving to the case study Institutions, and also the prospective donor's patterns of giving. The responses from the questionnaire were analysed statistically to address Research Question 2. Bivariate descriptive statistical tests were utilised to compare the results by types of university donors. Each aspect of donor's giving behaviour from the descriptive statistical analysis were complemented by the data obtained from the interviews with the University Representatives and Donors-Alumni to form a more complete picture of the case study Institutions' patterns of philanthropy.

Organisation of the Chapter

This chapter presents the results of Research Question 2 for *University I* and *University II* in three parts. First, demographic and socio-economic characteristics that influence donors' giving behaviour are reported. Second, the motivational factors that trigger an individual's and organisation's giving decisions are presented. Third, the analyses of the donors' giving patterns are reported. These analyses provide an understanding of donor's and prospective donor's giving patterns.

Donors at *University I* and *University II*

Background factors: Individual's characteristics

To understand donor's philanthropic giving behavior better, their demographic characteristics (e.g., gender, age, marital status, race, religious affiliation, number of children, business type, business location), and socio-economic characteristics (i.e., income, employment status, education background, education support mechanism, nature of business) were gathered and the results are reported. Data drawn from the questionnaire showed that 211 individual respondents participated in the survey and were categorised into two groups, namely: (i), university Internal Community, and (ii) university External Community.

Table 5.1 *University I and University II individual donors' and prospective donors' distributions: By donor's type*

Donor's type	<i>University I</i>				<i>University II</i>			
	Donors		Prospective Donors		Donors		Prospective Donors	
	n	%	n	%	n	%	n	%
University Internal Community								
Staff, retirees, Alumni, Current Students	81	98.8	52	98.1	13	92.7	61	98.4
University External Community								
Other private individuals	1	1.2	1	1.9	1	7.1	1	1.6
Total	82		53		14		62	

Table 5.1 shows that the University Internal Community group contributed the most in both universities. Respondents of *University I* comprised more donors than non-donors but not at *University II* (see Appendix M1 for detailed analysis of the individual donors' and prospective donors' distribution by donors' type).

Individual's demographic characteristics

Table 5.2 shows the demographic characteristics of individual donors and prospective donors of both case study universities and the Chi-square level of significance.

Table 5.2 *University I and University II: Respondent's demographic characteristics and level of significance*

Demographic characteristics	University I				University II				Asymp. Sig. p<0.05	Asymp. Sig. p<0.05
	Donors (n=82)		Prospective Donors (n=53)		Donors (n=14)		Prospective Donors (n=62)			
	f	%	f	%	f	%	f	%		
Gender					0.122					0.285
Male	48	58.5	35	66.0		5	35.7	29	46.8	
Female	34	41.5	18	34.0		9	64.3	33	53.2	
Age					*0.001					0.109
20 years or under	0	0.0	0	0.0		0	0.0	1	1.6	
21 – 40 years	36	44.4	43	81.1		0	0.0	29	46.8	
41 – 60 years	43	53.1	8	15.1		10	71.4	21	33.9	
More than 60 years	2	2.5	2	3.8		4	28.6	11	17.7	
Marital Status					*0.001					*0.046
Single, never married	17	20.7	29	54.7		7	21.4	19	31.1	
Married/living with a partner	62	75.6	23	43.4		6	64.3	36	59.0	
Separated	0	0.0	0	0.0		0	0.0	1	1.6	
Divorced	2	2.4	1	1.9		2	14.3	4	6.6	
Widowed	1	1.2	0	0		0	0.0	1	1.6	
Number of children					*0.003					0.143
None	23	28.0	32	60.4		3	21.4	33	54.1	
1 – 2	30	36.6	18	34.0		7	50.0	15	24.6	
3 – 4	22	26.8	2	3.8		3	1.4	9	14.8	
5 and more	7	8.5	1	1.9		1	7.1	4	6.6	
Religious Affiliation					*0.001					
Buddhism	1	1.2	5	9.4						
Christianity	0	0.0	2	3.8						
Hinduism	4	4.9	1	1.9						
Islam	76	92.7	43	81.1						
Other	1	1.2	2	3.8						
Race					*0.001					
Chinese	2	2.4	8	15.1						
Indian	7	8.5	1	1.9						
Malay	68	82.9	43	81.1						
Other	5	6.1	1	1.9						

Note: See also Appendix M2: *University I* Individual donor's demographic characteristics; Appendix M3: *University II* Individual donor's demographic characteristics; Appendix M4: *University I* Individual donor's religious affiliation and race distributions

Of particular interest for *University I*:

- i. There were more male donors (58.5 per cent) than female donors;
- ii. 59.8 per cent of donor respondents were individuals currently employed by the university;
- iii. Respondents between 41 years to 60 years old were more likely to donate as compared to donors more than 60 years of age (2.5 per cent). Donors between 41 years to 60 years represented 53.1 per cent of total respondents of whom 40.7 per cent were employed at *University I*;
- iv. Those who were married are more likely to donate (75.6 per cent) with 52.4 per cent of them were *University I*'s staff (not Alumni and not student; and widowed were the least (1.2 per cent) likely to give;
- v. Donors having one or two children contributed the most (36.6 per cent) as compared to those having no children or having three or more children. 35.4 per cent of the donors had one or two children were employed at *University I*;
- vi. Donors comprised of 92.7 per cent practising Islam and 56.8 per cent were the staff of the university;
- vii. 82.9 per cent of the donors were Malays and 50 per cent of them were staff at *University I*;
- viii. Prospective donors were more likely to be female (53.2 per cent) than male, with 81.1 per cent aged between 21 years to 40 years. Single individuals constituted 54.7 per cent of the total prospective donors and 60.4 per cent of them were the University's Alumni. Prospective donors comprised of 81.1 per cent practising Islam and, this number comprised the total of Malays; and
- ix. Age, marital status, number of children, religious affiliation and race are statistically significant variables for *University I*.

Of particular interest for *University II*:

- i. There were more female donors (64.3 per cent) than male donors;
- ii. 71.4 per cent of donor respondents were Alumni;

- iii. Respondents between 41 years to 60 years old were more likely to donate as compared to donors 20 years or under (1.6 per cent). Donors between age group 41 years to 60 years old represented 71.4 per cent of the total respondents of which 42.9 per cent were University Alumni;
- iv. Married donors or those with a partner were more likely to donate to the university (64.3 per cent) than those divorced;
- v. Donors having one or two children contributed the most (50 per cent) as compared to donors without children or having three or more children;
- vi. Prospective donor respondents were more likely to be males (66 per cent) than females. 51.6 per cent of the respondents were more than 41 years. Individuals less than 20 years of age were less likely to donate to the university and 59 per cent of the individuals were married or living with a partner. 64.5 per cent of the prospective donor respondents were the University's Alumni; and
- vii. Only marital status is the statistically significant variable for respondents of *University II*.

The data also show that Alumni between the ages of 21 years to 40 years (16 per cent) donated more than other age group for *University I* (see Appendix M2). While, Alumni donors between 41 years to 60 years of age (42.9 per cent) contributed the most when compared to the other age cohorts (see Appendix M3).

Individual's socio-economic characteristics

The socio-economic characteristics of donors and prospective donors investigated in the study were: income and employment status, education background, and support mode during their study. Table 5.3 shows the socio-economic characteristics of individual donor and prospective donor respondents at both case study universities and Chi-Square level of significance.

Table 5.3 *University I and University II: Respondent's income and employment status and level of significance*

Socio economic characteristics	University I					University II				
	Donors (n=82)		Prospective Donors (n=53)		Asymp. Sig. p<0.05	Donor (n=14)		Prospective Donors (n=62)		Asymp. Sig. p<0.05
	f	%	f	%		f	%	f	%	
Yearly income					*0.001					0.429
\$25,000 or less	13	16.0	14	27.5		0	0.0	12	20.3	
\$25,001 – \$49,999	28	34.6	29	56.9		2	16.7	18	30.5	
\$50,000 – \$74,999	5	6.2	5	9.8		5	41.7	13	22.0	
\$75,000 – \$99,999	15	18.5	1	2.0		2	16.7	7	11.9	
\$100,000 – \$124,999	11	13.6	2	3.9		2	16.7	4	6.8	
\$125,000 or more	9	11.1	0	0.0		1	8.3	5	8.5	
Employment status					*0.001					0.058
Unemployed	4	5.7	4	8.0		4	30.8	15	25.0	
Self-employed	7	10.0	0	0.0		1	7.7	6	10.0	
Employed	59	84.3	56	92.0		8	61.5	39	65.0	
^aEducation background										
Primary	11	9.5	19	21.1	*0.001	6	17.1	22	17.6	0.593
Secondary	19	16.4	12	13.3	*0.001	6	17.1	22	17.6	0.593
Diploma	12	10.3	15	16.7	*0.001	5	14.3	15	12.0	0.285
Bachelor degree	42	36.2	35	38.9	0.913	9	25.7	43	34.4	0.285
Master degree	22	19.0	8	8.9	*0.001	8	22.9	17	13.6	0.593
Doctoral degree	10	8.6	1	1.1	*0.001	1	2.9	6	4.8	*0.001
^aStudy support mode										
Loan	24	24.5	30	53.6	*0.001	0	0.0	1	1.3	-
Working part-time	4	4.1	1	1.8	*0.001	6	37.5	21	26.6	0.593
Scholarship	38	38.8	14	25.0	0.821	4	25.0	24	30.4	0.109
Parents	26	26.5	7	12.5	*0.002	2	12.5	25	31.4	0.008
Working full-time	6	6.1	4	7.1	*0.001	4	25.0	8	10.1	0.109

Note: ^aQuestions with embedded items which allowed more than one response.

See also Appendix M5: *University I* Individual donor's socio-economic characteristics; Appendix M6: *University II* Individual donor's socio-economic characteristics

The analysis of the respondents' income and employment characteristics for *University I* indicated that:

- i. Donors with income between \$25,001 - \$49,999 per annum, contributed the most to the university (34.6 per cent) and 19.8 per cent of them were employed by *University I*;
- ii. Individuals currently employed, donated the most and 61.4 per cent were staff at *University I*;
- iii. Prospective donors with an income up to \$49,999 per annum, formed the largest group (84.4 per cent) in this category; and
- iv. Yearly income, employment status, having a primary, secondary, higher degree education (masters and doctoral), and getting support through loan, parents, working either part-time or full-time during studies, were statistically significant.

The analysis of *University II* responses showed:

- i. Individuals with an income between \$50,000 - \$74,999, per annum (6.2 per cent) contributed the most;
- ii. Individuals currently employed, donated the most and 3.4 per cent were *University II's* Alumni;
- iii. Prospective donors with an income up to \$49,999 per annum were the largest group (50.8 per cent) in this category; and
- iv. Holding a doctoral degree and giving is statistically significant.

The study also examined the job category of *University I* staff donors group. The data presented in Appendix M5 and Appendix M6 showed that Staff (not *University I's* Alumni) in the General Administrative and Technical Support group donated the most (28.3 per cent). The results indicated the existence of the relationship between donors and employers, or Alma Mater, affected donors' decision to give. The Spearman Correlation test showed that *University I* Staff are more likely than *University II* to give to the university irrespective of their job category ($r=0.0.323$, $p=0.004$).

The data as presented in Appendix M5 and Appendix M6 show that the majority of respondents from both Institutions held a tertiary education qualification. The percentage of total respondents with Bachelor degree was higher (75.1 per cent) than respondents with Post-Graduate Degrees at *University I*.

While the percentage of *University II* donor respondents with Bachelor degree (25.7 per cent) was almost equal with respondents with Post-Graduate degrees (25.8 per cent), but most of the prospective donors holds a Bachelor degree (34.4 per cent).

The data indicated financial aid from others, e.g., a scholarship (38.8 per cent), was the most common among the *University I* donors, whereas working to support study (37.5 per cent) was most common for the *University II* donor respondents.

Background factors: Organisation donor characteristics

Only one Organisation Donor from *University I* participated in the survey. The organisation is a Malaysian owned company and its business is Finance/Banking and Insurance. No Organisation Donor from *University II* participated in the survey.

Giving patterns at *University I* and *University II*

Four areas of donors' giving to the case study universities were investigated: (i) purpose of giving, (ii) types of giving, (iii) frequency of giving, and (iv) involvement in the universities philanthropic activities.

Purpose of giving to *University I* and *University II*

To explore the purposes of giving to the PHEIs, eight types of giving were identified and utilised as an item in the questionnaire (See Q2.5 Appendix G1 and Appendix G2).

Table 5.4 *Individual donor's purpose for giving to University I and University II*

Purpose of giving	University I (n=82)		University II (n=14)	
	f	%	f	%
Donor's interest/request	30	21.1	2	13.3
Research and innovation	7	4.9	3	20.0
Staff welfare	35	24.6	0	0.0
Scholarship for students	10	7.0	7	46.7
Student welfare	39	27.5	3	20.0
University infrastructure	6	4.2	0	0.0
Special purpose	15	10.5	0	0.0

Note: Multiple purpose responses to question allowed respondents to identify more than one

The data in Table 5.4 show that they donated for multiple reasons. At *University I*, the welfare of the staff (24.6 per cent) and students (27.5 per cent) were the most common. At *University II*, respondents gave most to support the students' scholarship programs (46.7 per cent).

Types of giving to University I and University II

Current types of giving

Donors contributed various types of gifts to the universities, ranging from intangible assets, such as cash, to tangible property, such as equipment. Twelve types of contributions were identified and listed as an item in the questionnaire (See Q2.4. Appendix G1 and Appendix G2) and the types of giving from 2006 to 2010 are presented in Appendix M7. The data showed:

- i. *University I* - Individual Donors contributed most in the form of cash donations, including cheques, direct deposits (66.3 per cent); no donations were in the form of a bequest, or real estate, e.g., land, buildings. Donors were also inclined to give in gifts in kind (7.5 per cent) and for special projects (20 per cent);

- ii. *University I* - Organisation Donors favoured contributing in the form of cash donations and for special programmes or projects; and
- iii. *University II* – Individual Donor respondents contributed the most in cash donations, including cheques, direct deposits (50.0 per cent). Donors gave for academic scholarships (26.6 per cent), gifts in kind (14.3 per cent) and research projects (14.3 per cent). No donations were made in the form of a bequest and real estate, named chairs, or pledges.

Future consideration types of giving

The study also investigated the types of contributions that the respondents reported considering giving in the future (see Question 2.7 Appendix G1 and Appendix G2.). These giving from 2006 to 2010 are presented in Appendix M7. The data suggested:

- i. *University I* – Individual Donors: gifts in-kind were most favoured, followed with academic scholarships, but bequests and real property were unpopular forms. Organisation Donor: cash and special programmes or projects purposes were most favoured items. Prospective Donors: cash donations (35.6 per cent) and special projects (31.1 per cent) were the most popular, and bequest and real estate were the least favoured; and
- ii. *University II* – Individual Donors: cash donation (30 per cent) was the most popular form, followed by academic scholarships; bequests and real property remained unpopular items. Prospective Donors: cash donations were the preferred form (29.9 per cent), followed by gifts in-kind (12 per cent), and a tendency to consider giving in the form of pledges (2.9 per cent) and bequest (6 per cent), and named Chairs (1.5 per cent).

Frequency of giving to University I and University II

The study also investigated donors' frequency of giving (see Question 2.3 Appendix G1 and Appendix G2). The results suggested:

- i. In *University I* – Individual Donors: annual donations (37 per cent) was the most popular, 31 per cent preferred to give on a monthly basis, 26 per cent on a ‘rarely’ basis, 4 per cent bi-annually, and donating every three years (2 per cent) was the least popular; Organisation Donor preferred to donate on a monthly basis; and
- ii. In *University II* – Individual Donors: donating on a rarely basis (39 per cent) was the most common, 23 per cent preferred to give annually, 23 per cent every three years, 15 per cent on a monthly basis and donating every two years was least popular.

Donor’s participation in *University I* and *University II* Philanthropic Activities

The study investigated the intangible contributions such as time and involvement in the university’s philanthropic activities among individual respondents (see Q 1.12 Appendix G1 and Appendix G2). The results for *University I* showed:

- i. From 135 respondents, almost half (48.9 per cent) participated in the university’s philanthropic activities and a slight majority (51.1 per cent) had not;
- ii. The respondents gave five main reasons for their involvement:
 - to assist the university’s fundraising appeal (46.7 per cent);
 - for student activities (36.7 per cent);
 - for faculties (11.7 per cent);
 - for consultancy projects through the *University I* subsidiary company (3.3 per cent); and
 - special purposes such as during *Ramadan* or the fasting month (1.7 per cent); and

The data for *University II* showed:

- i. From 76 respondents, 22.4 per cent have participated in the university’s philanthropic activities and 77.6 per cent have not.

- ii. Three main reasons were given for their involvement:
- to assist the university's fundraising appeal (70.6 per cent);
 - for student activities (17.6 per cent); and
 - for the faculties (11.8 per cent); and

Donor's length of giving to *University I* and *University II*

Table 5.5 *Number of years as donor to University I and University II*

Years as a University donor	<i>University I</i>		<i>University II</i>	
	n	%	n	%
0 – 1 year	24	30.0	3	21.4
2 – 10 years	42	52.4	11	78.6
11 – 20 years	7	8.8	0	0.0
More than 20 years	7	8.8	0	0.0
Total	80		13	

Table 5.5 shows that donors of 2 years to 10 years were the largest group of respondents at both universities. Donors working for more than 20 years at the university formed the largest contributors for *University I* as showed in Figure 5.1. Pearson's R test indicated that there is a significant difference in the relationship between giving and number of years working in the university ($p=0.001$). The *University I* donor Staff are more likely to contribute to the university as the number of years working in the university increases ($r= 0.353$).

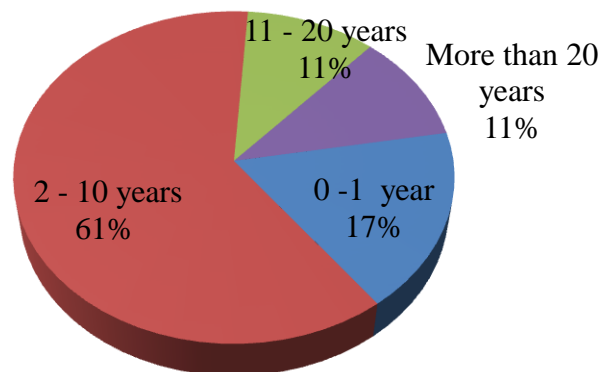


Figure 5.1 *University I* Staff donors distribution by number of years working at the university

Factors influencing philanthropic giving to *University I* and *University II*

Factors influencing respondent's giving decisions were divided into two categories: internal motivation factors, and, external motivation factors. Twenty one items of possible influence were investigated. Factor Analysis (see Appendix N), suggested these items comprised three groups: (i) personal internal motivations, (ii) government policies on philanthropy, and (iii) institutional profile.

Internal motivation factors influencing individual giving

Five internal factors influencing individual donors to give were investigated and reported: individual personal principle, social responsibility, public relations purposes, as a way to show gratitude to the university for donors' accomplishments, and donors' loyalty to the university (see Q3.1.B Appendix G1.).

Personal reasons and experiences

Table 5.6 shows the results of a Mann-Whitney test of difference in mean rank scores based on personal reasons and experiences across donor and prospective donor groups.

Table 5.6 *Comparison of mean rank scores based on Donor's Personal Reasons – Between Groups*

<i>Factors</i>	<i>University I</i>					<i>University II</i>				
	<i>Donors (n=82)</i>	<i>Prospective Donors (n=53)</i>	<i>Mann- Whitney U</i>	<i>Z</i>	<i>Asymp. Sig. p<0.05</i>	<i>Donors (n=14)</i>	<i>Prospective Donors (n=62)</i>	<i>Mann- Whitney U</i>	<i>Z</i>	<i>Asymp. Sig. p<0.05</i>
	<i>Mean Rank</i>	<i>Mean Rank</i>				<i>Mean Rank</i>	<i>Mean Rank</i>			
Personal principles	66.51	44.90	984.50	-3.663	*0.001	36.57	31.36	293.00	-0.993	0.321
Social responsibility	63.85	52.18	1306.00	-1.965	*0.049	32.29	33.20	347.00	-0.165	0.869
Public relations	53.00	66.69	1168.00	-2.199	*0.028	31.11	32.26	330.50	-0.230	0.818
Showing gratitude to the university	58.49	58.52	1568.50	-0.006	0.995	36.50	31.38	294.00	-0.930	0.352
Loyalty to the university	59.38	57.01	1505.00	-0.382	0.702	34.93	31.16	302.00	-0.709	0.478

Note: Significance at $p<0.05$

The results in Table 5.6 showed that in *University I*, personal principles, social responsibilities, and public relations, are statistically significant, but not in *University II*. The interview data suggested a number of personal reasons and experiences that influenced individuals to give to the universities; including loyalty or being grateful to the university (Alumni, staff), having an emotional connection with the university, on supporting a program or particular cause.

- *Loyalty to the Institution*

Two donors to *University I* perceived giving as demonstrating their loyalty to the university for the opportunity to work and study at the institution. One donor stated:

As someone working in the University, I love *University I*. Therefore I want to give to the University (U1-Donor₄).

Another donor commented:

I think it is because of the institution. If the institution are well known to us, regardless whether is it *University I* or others, but the one which had established a relationship with us (U1-Donor₁).

Three donors to *University II* also described their loyalty as a staff or Alumni as the determining factor influencing their decision. According to one donor, a Senior *University II* Administrator:

I contributed to *University II* because I have a loyalty to the university. I gave to the university because it's my university and because I work here (U2-Donor₃).

She also gave because of a long family connection with the university:

I have a family connection to the university in a historic sense. So there's that connection which makes me feel more heartfelt about the university and there's also that connection to the reasons that I give (U2-Donor₃).

- *Support the Alma Mater*

Giving back to their Alma Mater out of sense of responsibility was an important factor in contributing to the PHEI. One donor to *University I* stated:

As a *University I* student, we are like supporting our own School. We choose to donate to *University I* (U1-Donor₈).

Two other donors of *University I* saw their support as part of their responsibility as university staff and Alumni to help the university.

One donor stated:

As a *University I* staff, I need to give something. If we can afford to give, I think the donation will help those who are in need - students and staff. My purpose of giving is to help a specific group of students (U1-Donor₁).

Similarly, one *University II* staff donor and an Alumnus stated:

I am an alumnus of the university and I think, and I do believe, in that thing about you should give back (U2-Donor₃).

However, another donor suggested the reasons for the low support from the Alumni were the perceptions that supporting the university was not part of their responsibility. She stated:

The history of [state] and the Alumni has been such that they used to see fundraising or giving to the university as someone else did that and it was generally the Foundation (U2-Donor₅).

- *Support for a cause*

All individual donors saw giving to the university as directed to a particular cause, or supporting a particular program of interest and importance to them. One donor to *University I* stated:

I donated because I felt that there are people who needed contribution from the university (U1-Donor₂).

At *University II*, one donor stated:

Well, it's more of an individual thing. For me, it would have to be for something that I'm really passionate about, to be able to give some money to it (U2-Donor₁).

Another donor found giving rewarding and satisfying because he was able to help others, while other donors saw giving for the cause of education as most favourable. One of the donors stated:

I'm really committed to education and if I could do nothing else than to try and raise their educational aspiration, then I would really be a happy person. I just see what not having a good education does (U2-Donor₅).

The interview data also showed that donors of both universities gave without expecting anything in return. According to one donor to *University II*:

I don't have an expectation. I just have the expectation that other people will get the opportunities. I guess opening doors to opportunities is really all my expectation would be, to try to help people to appreciate the university and perhaps give something to it and to also change the profile of [state] education, that's been my main major focus (U2-Donor₅).

- *Religious giving*

The culture of giving can be identified in the religions practised in Malaysia as commented by all donors of *University I*. Practising giving or *sadaqa* (anything given away in charity for the pleasure of Allah), and fulfilling the obligation as a Muslim to pay a yearly purification tax namely *zakat* (signifies alms-tax that might purify and sanctify wealth (Al-Quran 9:130) (Hasan, 2010b) were their reasons for giving. All the Muslim donors perceived supporting the university through the *zakat*, such as, helping poor students.

According to a donor, many Muslims preferred to give to *zakat* because of the rebates provided in the Malaysian Income Tax system:

As a Muslim, I think about *zakat*. Even though *zakat* has a close relationship with tax exemption, I think many donors choose not to contribute to the Inland Revenue Department and choose to give to individuals through *zakat* (U1-Donor₁).

Two Indian donors reported that the Hindu religion encouraged them to give. One donor stated:

We are encouraged to give. Hinduism encourages us to give to the poor according to our ability (U1-Donor₆).

The data from *University II* showed that religion was not a major factor in the Australian context:

It's the old religion. Because you know, America is a very religious country. So many of the immigrants came for freedom of religion, early on but even later I mean even today. And so compared to Australia it's much more religious, I mean in Australia I think twenty per cent of people go to church, in America it's like sixty per cent. And some churches, people just give to the church, but others, you know, people are more intelligent, more educated and they see a responsibility here (U2-Donor₆).

External motivation factors influencing individual giving

External motivations for giving were categorised into two categories: (i) external factors related to Government policies on philanthropy and, (ii) external factors associated with the institutional profile of the recipient university.

Government policies on philanthropy

Table 5.7 shows the results of a Mann-Whitney test of difference in mean rank scores based on Philanthropy Policy across donor and prospective donor groups.

Table 5.7 Comparison of mean rank scores based on Philanthropy Policy – Between Groups

<i>Factors</i>	<i>University I</i>					<i>University II</i>				
	<i>Donors</i>	<i>Prospective</i>	<i>Mann-</i>	<i>Z</i>	<i>Asymp.</i>	<i>Donors</i>	<i>Prospective</i>	<i>Mann-</i>	<i>Z</i>	<i>Asymp.</i>
	<i>(n=82)</i>	<i>Donors</i>	<i>Whitney</i>		<i>Sig.</i>	<i>(n=14)</i>	<i>Donors</i>	<i>Whitney</i>		<i>Sig. p<0.05</i>
		<i>(n=53)</i>	<i>U</i>		<i>p<0.05</i>		<i>(n=62)</i>	<i>U</i>		
	<i>Mean</i>	<i>Mean</i>				<i>Mean</i>	<i>Mean</i>			
	<i>Rank</i>	<i>Rank</i>				<i>Rank</i>	<i>Rank</i>			
Tax savings incentives	52.57	64.21	1195.000	-1.884	0.060	34.38	32.02	307.000	-0.419	0.676
Policies on philanthropy	51.49	66.31	1100.000	-2.414	*0.016	29.54	32.64	293.000	-0.560	0.576
Matching gift	54.48	68.58	1214.500	-2.209	*0.027	25.08	33.20	235.000	-1.502	0.133

Note: Significance at $p<0.05$

Table 5.7 showed how in *University I*, government policies relating to philanthropy, and the matching gift policy are statistically significant, but not in *University II*. The interview data also showed that the Government's responsibility as the country's education provider, and the Government policy, e.g., tax incentives, were some of the reasons that contributed to the donor's decisions.

- *Tax incentives*

The interview data suggested that some donors were not influenced by tax incentives in their decisions to donate. As reported by one *University I* donor:

I did not see tax as a way for me to get exempted from tax since my income is not that big. Even if I do have a big income, I will still pay tax and donation is a another channel (U1-Donor₂).

Another donor noted, Malaysia's current tax incentives were not attractive to influence donors to give:

I see that the scope is a bit limited. I think that is one incentive, which needs to be looked at (U1-Donor₁).

The data from *University II* also showed mixed responses. Some donors perceived tax reduction as a strong incentive for donating while others felt that tax incentives did not influence their giving decisions. One donor stated:

Yes it certainly helps. When I was working I was on a good income and I could donate and it was tax deductible through the Foundation and so I donated for scholarships, I also donated for various projects of the university a number of things like that all of which could be tax deductible. It meant that I could give more knowing that I get half back (U2-Donor₇).

This view was not universal as some donors said the tax incentive was of little interest to them and another said that tax had never come into their thinking. However, the tax consideration goes beyond immediate tax incentives. According to a donor, tax relief would be an important factor to him when he had retired from paid employment.

- *Matching Gifts Policy*

The interview data showed that a *University I* staff donor perceived the matching gift policy as a significant motivational factor which would encourage philanthropic giving. He said:

I think it is good in the Malaysia context. However, I'm not sure whether we have it or not in *University I* (U1-Donor₁).

The data from *University II* also indicated donors' perceptions of the importance of Government participation in providing matching donations to stimulate the culture of giving in the society. One stated:

I think the government has got a role in publicising the benefits of philanthropic donation and I think the government can encourage that, the government can give matching donations and that's quite powerful, there's certainly a role for government in offering that type of matching donations and support (U2-Donor₇).

Institutional profile

Thirteen external factors relating to the institutional profile were investigated including ranking, leaders, financial position, performance of the university's subsidiary company or companies, research achievements, preferred university for contribution, academic achievements, students' achievement, Alumni achievements, corporate values, vision and mission and fundraising campaign, other donors contributing to the university and fundraising approach (see Q3.1.C Appendix G1.). To aid analysis and interpretation, these factors were then categorised into: (i) Institution's reputation, (ii) Institution's achievements, and (iii) Institution's management style.

- *Institution's reputation*

Table 5.8 shows the results of a Mann-Whitney test of difference in mean rank scores based on the institution's profile across donor and prospective donor groups.

Table 5.8 Comparison of mean rank scores based on Institution's Profile - Between Groups

Factors	University I					University II				
	Donors	Prospective	Mann-	Z	Asymp.	Donors	Prospective	Mann-	Z	Asymp.
	(n=82)	Donors	Whitney		Sig.	(n=14)	Donors	Whitney		Sig.
		(n=53)	U		p<0.05		(n=62)	U		p<0.05
	Mean Rank	Mean Rank				Mean Rank	Mean Rank			
University Reputation										
Ranking	52.66	65.49	1183.000	-2.055	*0.040	28.96	30.27	269.500	-0.248	0.804
Leaders	55.40	62.35	1361.000	-1.121	0.262	26.25	30.96	237.000	-0.877	0.381
Financial position	54.62	60.87	1338.000	-1.032	0.302	30.00	31.90	299.000	-0.344	0.730
University Achievements										
Students'	57.92	56.80	1496.500	-1.191	0.848	27.15	32.04	262.000	-0.910	0.363
Academic	52.33	64.33	1195.000	-2.000	*0.045	27.42	32.48	251.000	-0.895	0.371
Research	51.51	67.38	1101.500	-2.581	*0.010	27.68	30.53	238.000	-0.509	0.611
Alumni	52.72	63.97	1205.500	-1.838	0.066	31.12	31.60	313.500	-0.089	0.929
University Management Style										
Vision and mission	54.26	61.45	1313.500	-1.180	0.238	25.71	33.19	255.000	-1.402	0.161
Fund raising campaign	61.88	51.51	1269.000	-1.686	0.092	34.38	30.08	268.000	-0.801	0.423
Corporate values	52.05	65.06	1158.500	-2.124	*0.034	26.83	32.02	244.000	-0.927	0.354
Fundraising approach	59.36	54.43	1394.500	-0.796	0.426	33.19	30.41	283.500	-0.520	0.603
Other donors contributions	52.98	62.15	1240.500	-1.489	0.137	31.62	30.83	304.000	-0.153	0.878
Donors preferred University	58.64	59.60	1579.500	-0.155	0.877	38.50	29.64	227.500	-1.615	0.106

Note: Significance at p<0.05

The results in Table 5.8. show the university's ranking is statistically significant in *University I*, but not to *University II*. The interview data suggested the individual Donors of both universities were influenced by the university's reputation in their decision to donate. One individual donor to *University I* was influenced by the university's improved ranking, while other donors were influenced by the university's brand as a Research and "Apex" status university. Similarly in *University II*, a donor reported the university's reputation and contributions were important:

Most of the donors that I know about are people who haven't necessarily come to this university, and they've come to the [state] and come to appreciate the environment in which they and then realize some of the core activities associated with the [state] is residing within the university and therefore one receives some attention (U2-Donor₄).

Table 5.8 also showed in *University I*, the university academic and research achievements are statistically significant, but not in *University II*. On this point, the interview data also suggested *University I*'s achievements in receiving the "Accelerated Program for Excellence" or 'APEX' status had influenced decisions about giving. One donor donated because he supported the idea of having a world-class university for the country.

The results in Table 5.8 showed in *University I*, the university's corporate values was statistically significant, but not in *University II*. However, the interview data suggested the *University II* Foundation's management of the philanthropic funds had influenced at least one donor's decision:

I think it's very well run. I think that the Foundation is a very good organisation. It's an organisation that you can respect; you think that they're sincerely doing their best to do good work for the students. I think it's honestly administered; they take very good ethical decisions. I don't worry about where money goes or if it's diverted or misused, I think it's very specific (U2-Donor₇).

The study also investigated the donor's preferred charitable organisation through an item in the questionnaire (see Q 2.9 Appendix G1 and Appendix G2.). Ten types of charitable organisations were identified.

The data showed:

1. *University I* - Religious organisations were most popular (50.7 per cent) for individual donors and, private schools were least popular (4.8 per cent); Public universities were sixth (15.3 per cent) preferred charitable organisation for individual donors; and Public universities were most popular charitable organisation for the organisation donor; and
2. *University II* - The Health and Medical Organisations were most popular (61.5 per cent) for individual donors and private university were least popular (8.3 per cent); and Public universities were the second most popular (50 per cent).

Internal and external motivation factors influencing Organisation Donors' decisions

Internal Motivations

Four internal factors for giving were identified: (i) the Organisation's philanthropic principles (ii) Organisation perceived social responsibility, (iii) Organisation public relations purposes, and (iv) Organisation marketing strategy, as items in the questionnaire (see Q 3.1A Appendix G2.).

The data showed that *University I* Organisation Donor ranked all of the identified internal motivation factors as the most important factors in influencing their decisions. Two Organisation Donors, one from each university, were interviewed. The data suggested that the factors influencing the organisation decisions to donate to the institutions included; corporate social responsibility, organisation public relations, and support for a particular cause.

- *Corporate social responsibility*

The Organisation Donor to *University I* indicated that the main factor which influenced his decision was their corporate social responsibilities to the community. The donor perceived giving to the PHEI as fulfilling its business social agenda to the

community and as part of the company's corporate social responsibility towards nation building. He said:

We have allocated a certain sum of money to facilities. School needs, and at times, we do award scholarships to the excellent students, helping the poor students. We have allocated about \$1 million per year for all the universities, to be paid to the students. We also allocated for some other things, which depend on the university's request. Some may request us to sponsor conferences, seminars, research (U1-Donor₁₁).

The donor of *University II* stated that the company's corporate social responsibilities to give to the university benefit the business in Australia:

In the case of the support for the university, the focus is around leadership development, it's an area of interest, which would be beneficial to business in Australia. We see that as something, we would like to support as an organisation and it is time to continue to support doing that. It is because there is a social agenda within the business to say we ought to be doing this, we ought to be giving back to the community. It is more about investing in the future of the state and in the cultural heritage of the state and cultural diversity in the state. We do that is because the benefit is around the good that it does rather than the advertising the organisation gets from it (U2-Donor₈).

The donor further added: "We tell all our people about it internally these things that we're doing and so it helps build pride in the organisation and that [Company name] is not all about [business] but it's about giving back to the community. So it's important internally, less important for us externally" (U2-Donor₈).

- *Organisation's Public Relations*

University I donor described his organisation's reason for supporting the university as the close relationship the organisation had with the university:

We do not have the resources to give to every university. However, when the *University I* asked for our contribution, because of the relationships we had with the university, with the Dean, is good, therefore we gave (U1-Donor₁₁).

External motivations

Three external factors related to Government and philanthropy (see Q 3.1B. Appendix G2.), and 13 external factors associated with the institutional profile were

identified in the questionnaire (see Q3.1C. Appendix G2.). The data suggested that Government policy on giving, matching grants, and the university's ranking were the most important factors influencing donors' actions.

Emerging themes from factors influencing donors' decisions to support the PHEIs

Three factors influencing giving emerged from the interview data: social, and cultural context, and religious giving.

Social context

Donors perceived the respective country's philanthropy culture in relation to the universities as one of the challenges facing the university in attracting donations. Custom and practice, based on how an individual was raised, also played an important role in an individual's giving behaviour. At *University I*, cultural background, e.g., religious beliefs, race, custom and tradition formed the foundation of the respondent's gifting. A *University I* staff donor described his giving behaviour as being inspired by his father:

My father taught me not to wait until we were asked to help. When we can give, we should give. This practice was passed down by my father (U1-Donor₄).

The Malaysian people are considered "quite sympathetic" to helping others as commented by a Senior Professor of *University I*. However, there are also people in the community with the "tidak apa" or "never mind" attitude when it comes to helping others as reported by a donor. Another donor stated the culture of giving amongst the Malaysian community towards supporting PHEIs varies within the races:

The Chinese have got that in their culture. They give for education. It is not a Malay culture. Much less maybe the Indian culture and it is not also too much in the corporate culture. It is there somewhat but it is not widespread (U1-Donor₅).

Another individual donor, an Alumni of *University I* who received her education from a Chinese School system and was exposed to raising funds for the school, described her giving behavior as rooted in her Chinese background:

There is a giving culture in the Chinese. We are more likely to help our own community. That is helping each other in the Chinese community. Like giving donation, whenever possible we donate. Chinese like the spirit of helping each other (U1-Donor₈).

Government as education provider

A donor to *University I* suggested one of the reasons influencing people's decisions not to donate to the public universities was the perception as a Government university, the Government should pay. He described his views as follows:

The public may find that since it is a Government University, so the Government should be the one sponsoring (U1-Donor₉).

Similarly, in the Australian context, a donor described his views of the responsibility of the Government to provide education for the people:

There is a great deal of trust of the government. People are willing to pay taxes, people are happy to work with the government, but they also expect the government to take care of poor people, they expect the government to take care of healthcare and they expect the government to take care of education also. There will be some states where it's good some states and some it's not. The government does some but the poorer states have poorer universities, so that's one reason why people don't feel that they have to give out of their pockets because they think well "I pay taxes, the government should do this (U2-Donor₆).

Cultural context

The data clearly indicated that donors from both universities perceived that their country's philanthropic history contributed to the decision to donate. According to two donors at *University I*, Malaysia's philanthropic maturity is one of the factors influencing giving decisions. Another donor added that the culture of giving is in the society but not wide-spread:

It is to do with our culture. We have not reached the level of a culture of giving. But you cannot say that about giving to the individuals. If you see, the culture of giving is there but not to entities like the universities (U1-Donor₃).

Another donor commented:

It will take a long time to change the culture because if you asked someone who are not involved with the university or not involved with the public institution, they might not want to contribute. The trend is when the children are studying in the university, the parent will come forward to contribute to the public universities, but if they are not link to the universities, unless they are very robust, but I think it's very difficult for the people who are not totally linked to the public institution (U1-Donor₄).

In *University II*, donors indicated that the culture of giving played an important role in the society. However, the data suggested that Australia does not have a wide-spread culture of giving to university. One donor stated:

Australia doesn't have a culture of that of giving. They don't think that the university owes them anything in terms of that. I mean, they've all gone on to good careers and so on but they don't see that this university was special to them at all (U2-Donor₁).

Another donor commented:

We are not used to philanthropy, people think of it in huge terms and not in manageable terms and again I think communication of that, the idea that you can contribute a small amount, is important (U2-Donor₅).

The data also suggested that the difficulty of asking for donations contributed to the limited philanthropic culture in the society. As described by one donor:

It's a difficult thing in our culture to ask people for money, probably it is in most cultures except America, that's in their mind. For everyone else, we're a bit inhibited to ask someone for money (U2-Donor₇).

Summary of Chapter 5

This chapter presented the findings gathered to address Research Question 2. The analysis of both qualitative and quantitative sources were presented. The analysis of these data provided insights regarding donors' patterns of giving and factors influencing their decisions. The similarities and differences were presented in light of some social and cross-cultural comparisons. The findings identified two common factors influencing giving: background characteristics, and culture. The following chapter present the results to address the Research Question 3.

Introduction

The data relating to the case study Institutions' philanthropic practices and processes were explored and reported in Chapter 4 and the donors' giving behaviour and pattern of giving were presented in Chapter 5. This chapter is the third chapter which reports the donors' perceptions of their philanthropy to the Institutions and the Institution's Fundraising Management based on the data collected from the interviews, questionnaire and documents. Both the qualitative and quantitative data gathered in the study were analysed to address the following Research Question:

How do donors perceive their philanthropy to the case study Institutions and the case study Institutions Fundraising Management?

Organisation of the Chapter

This chapter presents the data in two parts: first, donors' perceptions of their contributions to the institutions. The donor's perceptions of their level of support, and its impact on the institutions were reported. The second section reports the donors' perceptions of the Institutions' Fundraising Management, which includes the Institutions' philanthropic practices, and the Institutions' Donor Relationship building. Finally, the chapter concludes with a summary, which provides a foundation for the Discussion chapter.

Donor's perceptions of their philanthropy to the institutions

Donors' perceptions of their philanthropy to the institutions were based on: (i) donor's level of philanthropic support to the institutions, (ii) donor's perceptions of the institutions' need for philanthropic support, and (iii) the impact of their philanthropy on the universities' goals, the recipients of the contributions, and the motivations for the support.

Donors' perceptions of their level of support to the Institution

The study investigated the donor's perceptions of supporting the institutions' philanthropic agendas through three items in the questionnaire (see Q2.6. Appendix

G1 and Appendix G2). The results of the individual donor's level of philanthropic support to the institutions were presented in Table 6.1.

Table 6.1 *Individual donor's level of philanthropic support to University I and University II*

Statement of support	<i>University I</i>		<i>University II</i>	
	n	%	n	%
I have supported the university but do not plan to continue	4	5.3	3	25.0
I currently support the university and plan to increase my support in the future	30	39.5	1	8.3
I currently support the university and plan to continue my support	42	55.2	8	66.7
Total	76		12	

The data in Table 6.1 showed that Individual Donors' of both institutions were highly committed to continue support, suggesting that most of them will remain as donors' to the university. The data also showed that some donors of both institutions had decided not to continue supporting. These findings are consistent with the interview data. When *University I* Staff donors were asked whether they would continue to donate to the university when they were no longer working at the university, all of them stated they would continue so long as they had the capacity to do so.

Likewise, *University II* Staff donors agreed they would continue to support the university: some would continue giving on the condition that their relationship with the university remained intact. One Alumni donor who is also a Senior Manager commented:

I have already decided to do that, unless I get very cross with the *University II*, I will continue that plan, yes, I will (U2-Donor₃).

The questionnaire also suggested that *University I* Organisation Donor would continue to support the university and had plan to increase their support (scale 4).

The Organisation Donors would also continue to support (scale 4) the university even after the university's primary contact personnel were no longer available to provide personal services for them (see Q.4.3.8 Appendix G2).

Donors' perceptions of the institutions' need for philanthropic support

The study also investigated respondents' perceptions of the universities' philanthropic needs. Two items were included in the questionnaire, namely: (i) the public universities need financial support from the Alumni more than the private universities (see Q 4.3.5. Appendix G1 and Appendix G2), and (ii) the public universities need financial support from philanthropists more than private universities (Q.4.3.7. Appendix G1 and Appendix G2). The data suggested:

1. *University I* Individual Donors showed a high level of agreement with item Q.4.3.5. (77.9 per cent), and item Q.4.3.7. (66.7 per cent); and
2. *University II* Individual Donors showed a high level of agreement with item Q.4.3.5. (64.3 per cent), and item Q.4.3.7. (57.1 per cent).

While the questionnaire data reported that *University I* Organisation Donor also showed a high level of agreement with item Q.4.3.5 (scale 4), the interview data suggested a different view. One Organisation Donor reported that his company did not think that the university needed the support from the public. He stated:

I don't think they [Public Universities] need support. They have never asked for my support before but now they are asking for my donation. I do not understand why the university doesn't have funds? Why? (U1-Admin₁₁).

One *University II* Organisation Donor also suggested that the university's needs for support was not visible to the companies and thus, failed to attract their attention to donate. He asserted:

I would agree that there is probably less involvement in Australia. It's just not visible enough to me. In the absence of understanding exactly what actually happens in Australian universities by comparison to what I see from Harvard, I know exactly what's going on in that university and what's happening with their endowment fund, and what they're doing and who they're supporting people and how that is happening. But I

don't see that in Australia, I don't see that in *University II*. They need to better market themselves (U2-Donor₈).

Donors' perceptions of the impact of their philanthropy

The study explored donors' perceptions of the impact of their philanthropy on the following: universities' goals/needs, recipients of donors' contributions, and donors' motivation for support.

The impact of donors' philanthropy on the universities' goals/needs

In *University I*, one donor reported that his contribution would assist the development for a better university, e.g., to help support the needs of the university's students and staff. Similarly, the Organisation Donor reported his company's contributions supported the university to conduct programs which benefit the educational community:

We allocated [funds] for some other things, depending on the university's request. Some may request us to sponsor conferences, seminars, research (U1-Donor₁₁).

In *University II*, one donor reported his contributions will give long term benefits to the university, through a scholarship for students, and providing job opportunities for the university's graduates. Likewise, one Organisation Donor reported his company's contribution to the university will benefit businesses in Australia, and have a positive impact to the state education development. These contributions not only match donors' purposes of giving, but also fulfil the university's social responsibility obligations. One donor stated:

The focus is around leadership development. This area of interest would be beneficial to business in Australia. We see that as something, we would like to support as an organisation and it is time to continue to support doing that. It is more about investing in the future of the state and in the cultural heritage of the state and cultural diversity in the state (U2-Donor₈).

The impact of donors' philanthropy on the recipients

The interview data in *University I*, suggested that two groups of recipients had benefited from donors' contributions, namely; the University's Internal Community

e.g., students, staff, and the University's External Community. The individual staff donors' perceived their contributions eased the students' financial burden, regardless of their background, e.g., religion and ethnicity, and a particular group of people within the university e.g., the low income group of University Staff and Retirees, and for a cause that would bring satisfaction and happiness to the recipients.

In *University II*, donors perceived their contributions benefited the University's Internal Community (e.g., students' needs) through scholarships. One donor provided an academic scholarship because he aspired to assist the students to achieve their potential in their studies. He said:

I like them [students] to be people who have got the ability but would find it difficult financially to achieve their potential without the scholarship (U2-Donor₇).

However, the culture of giving to assist other aspects University Internal Community, e.g., university's staff or retirees is not part of the history or tradition in *University II* as it is in *University I*.

The motivation of donors

The interview data suggested that donors to both institutions perceived their contributions influenced their motivation to support. In *University I*, one individual donor reported that he was motivated by his belief in the importance of education:

Working in a public university makes me realise the importance of education. My contribution is to support the students, especially supporting the children and education in general and not towards a specific group in the community. The contribution is going towards the majority in the society (U1-Donor₄).

In *University II*, a donor reported he was motivated to support the education of science teachers and so to have an impact in producing more and better trained science teachers for education in the state:

One of my issues that I care about now is that I'm especially interested in education of science teachers because I think that there's not enough people in society now studying science, math, engineering. That's a particularly important aspect in my view so I've been supporting science teachers (U2-Donor₇).

Another donor wished to support the broad development of post-compulsory education in the state:

I guess opening doors of opportunities is really all my expectation would be, to try to help people to appreciate the university and perhaps give something to it and to also change the profile of [state] education, that's been my main major focus (U2-Donor₅).

Donors' perceptions of the Institution's Fundraising Management

Donors' perceptions of the institutions' fundraising management were investigated and reported based on:

1. The institutions' philanthropic management practice; and
2. The institutions' Donor Relationship Management

Donors' perceptions of the institutions management practices

The study investigated donors' perceptions in this area through 10 items on the questionnaire and were categorised into three main areas, namely: the people involved in the university's philanthropic operations; the university's ability to manage the philanthropic operations; and the university's effort and success in marketing donors' contributions. The results of the individual donors' perceptions of the management practices of philanthropic funds at the *University I* and *University II* were presented in Appendix O1. *University I* data suggested:

- i. 52.7 per cent of individual donors were unsure the university would respond to their complaints and suggestions, while 56.8 per cent agreed they were kept informed of their contributions, and 56.8 per cent agreed they were given advice on giving;
- ii. 59.5 per cent of individual donors were satisfied with the decisions the university made for the use of their funds, 64.9 per cent agreed with the university's ability to manage their contributions, and 60.8 per cent were satisfied with the information provided to them. 77.3 per cent were satisfied with the university's fundraising objectives; and

- iii. 46.5 per cent of individual donors were unsure of the efforts taken to publicise their contributions but 56.1 per cent of them believed the university had succeeded to market their contributions; and
- iv. The Organisation Donor agreed that the university responded to their complaints and suggestions, kept them informed of their contributions, and gave them advice on giving. They also were satisfied with the decisions the university made for the use of their funds, the information they received from the university, the university's fundraising objectives, and strongly satisfied (scale 5) with the university's ability in managing their contributions. Donor also strongly valued (scale 4) the university's effort to publicise their contributions, and believed (scale 4) that the university has succeeded in promoting their contributions.

The data from *University II* individual donors suggested:

- i. 38.5 per cent agreed that the university would respond to their complaints and suggestions concerning the institutions, and 42.9 per cent agreed they were kept informed of their contributions. However, 56.8 per cent disagreed that the university would provide advice on giving; and
- ii. 53.9 per cent were satisfied with the decisions the university made for the use of their funds, 61.6 per cent were strongly satisfied with the university's ability to manage their contributions and, 69.2 per cent strongly satisfied with the university's fundraising objective. Only 38.5 per cent were satisfied with the information provided to them. 53.8 per cent were unsure of the efforts taken to publicise their contribution and 53.8 per cent of them were unsure with the university's success in marketing their contributions.

The interview data suggested that donors' perceptions of both institutions' management of their philanthropic funds were consistent with the findings from the questionnaire. For example, one *University I* donor stated:

I am confident the university will manage my contributions according to the terms and conditions (U1-Donor₁).

Likewise in *University II*, one donor noted that the institution had managed his contributions appropriately. He commented:

I think it's very well run. I don't have to worry about where the money goes or if it's diverted or misused (U2-Donor₇).

Donors of both institutions recognised the importance of transparency in the institution's management of the philanthropic funds. One *University II* donor commented: "The management of the money within the university is very important. I think people need to know that it is not just going into the great 'big pot' of a university" (U2-Donor₃).

Similarly, in relation to trust and transparency, *University I* Organisation Donor stated:

The university has to be transparent. The people will continue to donate if they trust the university (U1-Donor₁₂).

An Organisation Donor of *University II* highlighted the importance to keep donors updated about the university and their contributions. He commented:

The thing we want to know is that the right people have been selected and that there's a process for that and we have met the students and we know what's been happening with those and all that's going forward, and so that information flows back. I think, once you're in the system it's very good, it's therefore getting people into the system (U2-Donor₈).

Donors' perceptions of their relationship with the Institutions

Three aspects of donors' perceptions of their relationships with the institutions were examined, namely: the relationship with the people in the institutions; donors' involvement in the institutions' philanthropic activities, and the recognition received from the institutions.

The relationship with the people in the institutions

Donors' perceptions of their relationship with the people in the institutions were investigated through the following aspects, namely, the way donors were valued by the institution, and donors' relationships with the institution.

The way donors were valued by the institution

Four possible outcomes were identified and included as items in the questionnaire and the results were presented in Appendix O2. The data suggested:

- i. *University I* – Individual Donors: 60.8 per cent strongly agreed that the university have treated them well, 57.6 per cent agreed that the people of the university valued their contributions, 47.3 per cent agreed that the institution showed concerned for them, and 48.6 per cent took pride of their accomplishments;
- ii. *University I* – Organisation Donor strongly agreed (scale 4) that the people of the university treats them well, showed concern and valued them; and
- iii. *University II* – Individual Donors: 50.0 per cent agreed that the university had treated them well and 57.2 per cent agreed that the people in the university valued their contributions. However, only 35.7 per cent agreed that the institution showed concern for them and only 21.4 per cent thought the university took pride in their accomplishments.

Donors' relationships with the institution

The interview data suggested mixed perceptions of the relationships between the individual donors and the universities. In *University I*, some donors reported not having a close relationship with the university and wished for a closer one. Another donor described his relationship as follows:

I take that by receiving the bulletin from the university indicated the existence of a relationships. In my opinion, when they [*University I*] send something to me, that means a relationship has been established before (U1-Donor₁).

The *University I* Organisation Donor reported a close relationship with the university and this had influenced the organisation's decisions:

We do not have the resources to give to every university. However, when the *University I* asked for our contribution, since our relationships with the university and the Dean is good, therefore, we gave (U1-Donor₁₁).

In *University II*, there were mixed views of the relationships between the donors and the institution; for example, some donors stated that the university was moving in the right direction in building the relationships with its donors, but some corporate donors perceived that more efforts were needed to improve the existing relationships. One disappointed donor reported:

The university, I think needs to better develop its relationship skills, definitely that. Now, I could say that in my case, the university is not being particularly... is not doing that particularly well (U2-Donor₃).

The study also sought to investigate donors' perceptions of the institutions' fundraisers through three items in the questionnaire. The results of the individual donors' perceptions of the *University I* and *University II* fundraisers are presented in Appendix O3. The data suggested:

- i. *University I* - Individual Donor; 73.6 per cent strongly believed the fundraisers will not take advantage of their generosity, 73.6 per cent believed the fundraisers will always tell them the truth, and 45.9 per cent believed fundraisers cared about them;
- ii. *University I* - Organisation Donor strongly agreed that the fundraiser would not take advantage of their generosity, would always tell them the truth, and cared about them; and
- iii. *University II* – Individual Donors; 53.9 per cent believed the fundraisers would not take advantage of their generosity, and 54.9 per cent believed the fundraisers would always tell them the truth. However, only 23.1 per cent believed the fundraisers cared about them.

In *University II*, the interview data suggested that donors recognised the importance for the university's fundraiser to have the relevant inter-personal skills, to

understand the donors' expectations and to make the efforts to fulfil donors' wishes.

One donor stated:

There's a guy there [name of the officer] he would listen very intently and very carefully to the sorts of things you say and describe the types of students you want to help and then he'd go and work around the university and find the right type of people (U2-Donor₇).

He also perceived the importance for the university to appoint the right person as the university's fundraiser to ensure success. He stated:

There's a guy there [Fundraiser's name] he's a contact person and [Fundraiser's name], has been a very good contact and he helps to form the link, the sort of human link between the university and the donor. I think it is very important to have the right type of person, he's got an affinity and an understanding. It's very important to have someone that you can respect, their professionalism, their ethics, just the way they behave and I think he does a good job (U2-Donor₇).

Another donor also perceived the importance for the university's fundraiser to have good inter-personal skills and the desire to help others. She stated:

There is a particular person in this university in the Development area who knows students, who knows all the scholarship students, he remembers all those scholarship students, he worked with all those scholarship students. In many cases he has personally helped them if they're in difficulty (U2-Donor₃).

Involvement in the institutions' philanthropic activities

The study investigated donors' perceptions of their involvement in the institution's philanthropic activities. The interview data suggested that two *University I* donors valued highly the importance of getting involved in the university's fund raising activities.

One donor stated:

I felt compelled to take part in some activities and then from that point onwards into bigger thing. The passion is coming from my own interests in certain areas (U1-Donor₅).

For *University II*, a donor reported his contributions were through his volunteering work more than in terms of monetary gifts:

I guess my contribution has been more in time and effort than in finance, but I hope one would contribute to the other. Mine has never been in the form of monetary, but from the perspective I can help the university (U2-Donor₅).

- *Donors' reasons for not participating in the institution's philanthropic activities*

The study also sought to understand the donors' reasons for not participating in the institutions' philanthropic activities through an open-ended question in the questionnaire (see Q1.12 Appendix G1 and Appendix G2.). The results are presented in Table 6.2.

Table 6.2 *Individual Donors' reasons for not participating in the philanthropic activities at University I and University II*

Reasons	University I		University II	
	n	%	n	%
Not asked or never been approached	9	42.9	2	66.7
Do not have the time/busy on study/not interested/logistic issue (i.e., out of state)	2	9.5	1	33.3
Do not know the need to get involve or event not effectively communicated by the University	5	23.8	-	-
Not interested	5	23.8	-	-
Total	21		3	

Table 6.2 showed that generally, donors have never been asked nor approached to participate. The challenge of time was also reported.

- *Donor's perceptions of volunteering in the University's community projects*

The study also sought to examine donor's perceptions of volunteering in the University's community projects (see Question 4.4.3 Appendix G1 and Appendix G2). The results of donor's perceptions in participating in the university's philanthropic activities were presented in Appendix O5. The data showed that:

- i. *University I* – 54.9 per cent of the Individual Donors valued volunteering in the university's community project;
 - ii. *University I* – Organisation Donors agreed that they do not valued volunteering in the university's community projects; and
 - iii. *University II* – 53.8 per cent of the Individual Donors were unsure of volunteering in the university's community projects.
- *Donor's perceptions of the institutions valuing their participation in the university's activities*

Donor's perceptions of the institutions valuing their participation in the university's activities also were investigated (see Q.4.1.1. Appendix G1 and Appendix G2.) and the results was presented in Appendix O5. The data suggested:

- i. *University I* – Individual Donors; 59.4 per cent agreed that the institution valued their participation in the university's activities;
- ii. *University I* - Organisation Donor strongly agreed that the institution valued their participation in the university's activities; and
- iii. *University II* – Individual Donors; 50 per cent were unsure that the institution valued their participation in the university's philanthropic activities.

The interview data suggested that individual staff donors to *University I* valued the importance of volunteering to the university philanthropic agenda, for example,

We not only need to work sincerely and get satisfaction not only in terms of working but also we have to play our roles in the volunteering work (U1-Donor₄).

In *University II*, a donor reported his involvement in volunteering to support the university's long-term activities:

I've volunteered more than I've actually given it terms of donations [and] that might be in the future. I can do things that will benefit the university in the longer term (U2-Donor₅).

Recognition by the institutions

The study also investigated donors' perceptions of the institutions' recognition practices through 6 items in the questionnaire and the results were presented in Appendix O4. The data suggested:

- i. *University I* – Individual Donors; 37.6 per cent were satisfied with the on-campus benefits provided, 58.7 per cent agreed that the institution acknowledged them for contributing, and 55.4 per cent were satisfied with the recognition received. 68.5 per cent strongly valued receiving acknowledgement letters newsletter and updates from the university's and invitation to the university's functions;
- ii. *University I* - Organisation Donor strongly agreed that the people of the university acknowledged their support. They were satisfied (scale 4) with the recognition received, strongly satisfied with the on-campus benefits provided, valued receiving the acknowledgement letters from the university, and valued attending the university functions. They also strongly agree in not receiving regularly the university's newsletter and updates; and
- iii. *University II* – Individual Donors; 61.6 per cent highly satisfied with the recognition given by the institution, but only 23.1 per cent were satisfied with the university on-campus benefits. 50 per cent valued receiving letters from the university's leaders and, 53.9 per cent valued attending the university's functions

The interviews reported mixed perceptions. Generally, the individual donors reported receiving recognition from the institutions through invitations to attend university functions, acknowledgement letters, and updates, newsletters, and reports regarding the institution. In *University I*, one donor reported he perceived the importance of receiving updates and newsletter and this is consistent with the findings from the questionnaire.

In *University II*, a donor reported he received invitations to the University's Graduation Ceremony and this made him feel appreciated:

The university sent me a invitation for the Graduation Ceremony and they sat me in the front row which was very nice with some other very important people, and it was just very well handled. They remembered to invite me to that Graduation and it all makes a human dimension which all makes you feel worthwhile (U2-Donor₇).

Donors also reported the importance of the university events and receiving updates from the university in the relationships building. However, failure to recognised donors' contributions disappointed them as stated by one individual donor to *University II*:

We (donor and wife) have been giving pretty much since we started here and I've been pretty disappointed in that they have a website for example that listed donors and we weren't on it, it was supposed to be everyone gives more than this and we gave twice as much (U2-Donor₆).

Similarly, one Organisation Donor to *University I* stated that receiving feedback from the university would determine their future considerations:

If one of my customers asked for donation, if I trusted them then I'll give. But if they ask for donation and they don't produce reports, or if I found that they do not report, I wouldn't want to donate anymore (U1-Donor₁₂).

However, the interview data also suggested that despite the importance of recognition for their contributions, some donors give to the university without expecting a return of any kind; it was an individual difference and this needed to be recognised.

Summary of Chapter 6

This chapter presented the findings from addressing the Research Question 3. In this chapter, the analysis of both qualitative and quantitative sources produced descriptive findings from the cross-cultural context of donors' perceptions of giving to PHEI. The analysis produced four common factors from donors' perceptions, namely, causes for support, trust and confidence, relationships and recognition efforts. The following chapter analyses, synthesises, and evaluates the research findings and discusses them in the context of the Research Question 1, 2 and 3 the related literature review.

Chapter 7 Discussion and Conclusion

Introduction

This study sought to examine the factors influencing organisational philanthropic fundraising success, gain an understanding of factors influencing donor's giving decisions and donor's perceptions of giving with the aim to plan and develop strategy for a successful philanthropic fundraising program at two public universities, one in Australia, and one in Malaysia. This final chapter discusses the findings of the study in relation to the broad research aim, the results of each Research Question as reported in Chapter 4, 5 and 6, and the link of each question to the relevant literature as reviewed in Chapter 2.

The discussion is based on the findings obtained through document review, a questionnaire, and interviews with the universities' personnel, namely, the Universities' Leaders, the Universities' Administrators involved directly and indirectly with the institutions' philanthropic activities, and some of the Universities' Donors.

Themes which emerged during the analysis have influenced other issues and themes to surface, e.g., tensions and challenges faced by the institutions in raising philanthropic support. These tensions and challenges also are explored and discussed in this chapter. The implications for policy and practices to be drawn from the study of each institution's Advancement Program also were discussed. Finally, the recommendations for further research are presented and this chapter concludes with a summary of the study.

Findings Related to Research Questions

The discussions in this section are based on the data related to each research question as reported in Results chapters and link each question to the relevant literature. Hence, the findings from the research questions were link to the conceptual framework and discussed within three contexts. Firstly, institutional characteristics, governance and management practices influencing PHEI's philanthropic fundraising success. This will provide answers and assists to establish a sound understanding of the Institutional External Environment and Internal

Environment for the success of organisational philanthropy. Secondly, institutional giving patterns and factors influencing donors' giving decisions; and finally, university donors' perceptions of philanthropic support. These findings will develop the understanding of donors' giving behaviours to institutions. Hence, it will inform the planning for the institution's philanthropic strategies.

Institutional characteristics, governance and management practices influencing PHEI's philanthropic fundraising success

Research Question 1: What are the current policies, organisational practices and effort in regards to philanthropic fundraising in the two case study institutions?

Sub-question:

How does the university's capacity and fundraising history influence the success in the two case study universities philanthropic fundraising?

In response to the research question, the findings are discussed for each of the following headings: first, the institutional capacity and fundraising history, as to how these two institutional characteristics influence the philanthropy fundraising of the two case study universities, and second, the two case study universities' current policies, practices and efforts in philanthropic fundraising.

The institutions' fundraising capacity

Being one of the oldest state universities in their respective countries, *University I* and *University II*, both had the reputation and prestige to attract public confidence and trust of the universities philanthropic needs as identified by Liu (2007). Both universities also had the advantage of being able to capitalise on their unique 'island state' identity to attract support particularly from the local community. How institutions integrate their Advancement strategies depends on the location and market of the institution (Glass & Jackson, 1998), and also the institutional culture of giving to the university (Allen Consulting Group, 2007). It was evident from the data that both universities had taken measures to raise their profile, prestige, mission and 'brand' to market themselves as suggested by Holmes (2009), Lindahl (2010), Liu

(2007) and Ostrower (1995). Holding a Research Intensive university brand would attract philanthropy, particularly from those who have a commitment to support research programs that will benefit the wider community.

While there are similarities in the universities' fundraising capacity, the data also reported some differences between the universities. For example, in 2010, Alumni donated the most to *University I* whereas corporate donors were the most generous to *University II*. Though the largest number of *University II* donors were Alumni, their contributions were relatively marginal. This finding accords with Gaeir (2001) that Alumni are an important philanthropic source for their Alma Mater. The difference in Alumni support may reflect the countries' differing socio-economic factors. Although Australian corporate donors were found to be more supportive to *University II* than Malaysian corporations to *University I*, the corporate donors also indicated a need for the universities to "ask" for their support in a programmatic way as they would likely to take a more strategic approach in their decisions to give during an economic downturn (Tempel, 2010).

There was also a significant difference in the number of registered Alumni between the institutions. A substantial pool of *University II's* Alumni were more than 60 years of age, and, it could be argued, they had been successful in their careers. On the other hand, most of *University I* Alumni were less than 50 years of age, and perhaps were focused on careers and family building. Although both universities recognised the importance of Alumni as a philanthropic source (Gaeir, 2001), they failed to be engaged with the different generations of their Alumni, particularly the International students/Alumni as reported by *The Allen Report* (Allen Consulting Group, 2007).

University internal constituencies are another source of philanthropic support to both institutions and the data showed that *University I* had more staff donors than *University II*. However, *University II* had more support from the university's Governing and Foundation Board members. This demonstration of giving would be a useful way to reinforce the need for the philanthropy and other people might mimic the donors. These findings reinforced the understanding that the values of the organisation's trustees and senior staff must be demonstrated and aligned to encouraged institutional culture of giving (Coll, 2000; Devries & Pittman, 1998) and

the importance of recognising the efforts made by the internal staff in supporting the institutional fundraising activities (Kozobarich, 2000).

The institutions' fundraising history

Although both universities were among the oldest universities in their respective countries, they do not have a long history of extensive philanthropy culture and fundraising for philanthropic support but had success in attracting certain sector of the market (Tempel, 2010) to support their greatest needs: for example, sponsors for academic scholarships. The universities' decision to focus on philanthropy and fundraising activities to compensate for decreasing Government funding led them both to establish Development Offices with dedicated resources and this was in agreement with Allen Consulting Group (2007), and Expert Group (2007) recommendations.

The institutional fundraising governance, policies, practices and effort

- ***The institutional fundraising governance***

Appointing a Director of Development to champion and manage the university's philanthropic activities, and Alumni Relations activities, and allocating the relevant resources, e.g., financial and personnel, to a development team with varied educational background and experiences and fit with recent studies (Allen Consulting Group, 2007; Expert Group, 2007). They also adopted a centralised operational structure (Glass & Jackson, 1998) which was identified as the most common structure adopted by Development Offices. However, *University II* also had considered placing Advancement personnel in selected Faculties to get the Faculties more involved in the university's fundraising activities for better results, although decentralisation would result in changing the balance of fundraising power on campus between the Faculties and the Development Office (Glass & Jackson, 1998; M. R. Hall, 1993). Although both Universities aspired to be successful in raising philanthropic support, their aspirations were not fully understood by their internal community members. Therefore, to develop the institutional culture of giving and to ensure fundraising success, internal constituencies' participation in the universities'

philanthropic activities must be encouraged (Allen Consulting Group, 2007; Tempel, 2010).

The data also showed some differences relating to the establishment of the universities' Advancement operations. Both universities have chosen reporting structures, but they had distinct variations. For example, at *University I*, the Director of Development reported directly to the Vice-Chancellor, which conformed to best practice of an Institutional Advancement (Allen Consulting Group, 2007). However, at *University II*, the Director reported to the Vice-Chancellor through a Senior Administrator to Foundation Chairman on matters related to philanthropy and Chair of Alumni Committee on Alumni matters. *University II* integrated their Advancement into their organisational structure (Glass & Jackson, 1998). This reporting structure permitted a flow of information that enabled the Development Officers to interact with others in the organisation (Glass & Jackson, 1998; Smith, 1989).

The study also reported some differences in the human resources allocated to the Development Office, for example, *University I* appointed the Director on a part-time basis, and *University II* preferred a full-time staff member. However, as recommended by Carter (2000) and Hauenstein (2009), the universities should try to conduct their fundraising on limited resources. The data also suggested that while both universities tried to establish an effective Advancement Office, they faced difficulties in getting the local supply for talents in the field (Allen Consulting Group, 2007).

The data suggested that although both universities did not consider philanthropic contributions to be an important part of their operating budget, they recognised the potential and contributions of philanthropy in providing bursaries and support to students' needs. To achieve their fundraising targets, both universities had set their fundraising goals (Allen Consulting Group, 2007; Expert Group, 2007; 2010) in stages to suit their objectives. However, their Advancement plan typically was not clearly linked with the University's Strategic Plan. Thus, the fundraising goals were not clearly understood by the university's internal constituencies.

Both universities were committed to maintain a strong donor relationship and treated them respectfully. This is important in order to gain donors' trust (Tempel,

2010). All donations and gifts were applied in full to the purpose for which they were given and invested prudently. Steps were taken by both universities to minimise the ethical issues and risk associated with the fundraising activities as suggested by Tempel (2010), by installing policy, checks and balance mechanisms, such as operating procedures, internal and external auditing and reporting. However, the data showed that *University II* had installed stronger compliance mechanism such as risk register and Audit and Risk Committee than *University I*.

At *University II*, the University's Foundation, operated under a formal Deed of Trust with a Board of Governors was established to manage the university's philanthropic activities and to ensure good governance were practised (Expert Group, 2007). This had contributed to *University II* in attracting sponsors for scholarships. Although *University I* did not have a Foundation as its fundraising arm, the institution acknowledged the significance of having a Foundation and was presently establishing one (Collins, Leitzel, Morgan, & Stalcup, 1994; Glass & Jackson, 1998; Thomas Jr, 2006) and conformed to best practice setup of an Institutional Advancement Office (Kozobarich, 2000).

- *The institutional fundraising policies, and practices*

Both universities had a Gift Acceptance Policy as suggested by Expert Group (2007), Allen Consulting Group (2007) and Tempel (2010), developed in accordance with their Vision and Mission Statements. Similarly, to safeguard the university from legal implications arisen from philanthropic activities, both universities had clearly defined the legal considerations involving gifts (Tempel, 2010) in accordance with each country's relevant laws. To recognise donors, both Universities placed great importance on providing benefits and recognitions through letters, newsletters, invitation to the university's functions, updates, and naming rights. This relationship building is important (Allen Consulting Group, 2007).

An *University II*, the Code of Practice for Australian University Philanthropy complemented the University's Gift Policy (Allen Consulting Group, 2007) whereas *University I's* fundraising activities were only governed by the institution's gift policy. The national philanthropic policy is part of best practice and should be adopted in Malaysia for more transparent and accountable fundraising management.

University I was strict in not accepting gifts from businesses, e.g., dealing with alcohol, gambling, tobacco or other activities that were considered “haram” (Al-Jallad, 2008). Although this principle was not explicitly stated in their gift policy, it was made clear as an operation guideline. Arising from the study is the concept of “clean money” or “*halal*” money (Bustamy et al., 2002; Cogswell, 2002) which was essential for *University I*. However, *University II* does not have written restriction in the type of sources to solicit but it adopts a very cautious approach when soliciting from international sources.

The data also suggested that the donor’s wishes were more clearly defined and elaborated by *University II*, such as, donors’ right to information, treatment of donors’ confidentiality, than by *University I*. This idea of engagement building accords with the suggestions given by Allen Consulting Group (2007).

- *The institutional fundraising strategizing efforts*

The data showed that both universities worked closely with their respective Alumni Association/Committee to promote philanthropic activities and fundraising. This focused collaboration with the university’s internal and external constituencies is in agreement with Allen Consulting Group (2007) and Tempel (2010). They also shared similar views of Alumni relationships building, which is cultivation of Alumni for “friends raising” versus for “fundraising”. This approach had raised some issues between both Universities Alumni Association/Committee and their Development Offices, but they were not dysfunctional.

The giving pyramid formed the basis of both universities’ fundraising strategy and donors’ cultivation program. Firstly, they targeted to strengthen their donor base through the Annual Appeal to raise ‘friends’ before focusing on major and planned gifts (Allen Consulting Group, 2007; Expert Group, 2007; Tempel, 2010). To ensure proper management of philanthropic funds and to gain donors’ trust, both universities had established a specific Development Fund to ensure transparency in their philanthropic management (Tempel, 2010).

The data showed that both universities utilised a balance of multiple soliciting strategies, such as online payment, direct mail, email, internet fundraising, social media networks, peer-to-peer, campaign, payroll giving, with a face-to-face soliciting

strategy as their main strategy. *University II* also utilised advertisements, e.g., television, as a fundraising tool. These balanced utilisations of strategies towards successful solicitation are recommended in the literature (Allen Consulting Group, 2007; Tempel, 2010).

Other than soliciting channels, both universities also utilised their Internal Community (Allen Consulting Group, 2007; Expert Group, 2007; Tempel, 2010), e.g., Leaders, Faculty members, staff and students, Alumni and member of Alumni Committee/Association as “Fundraisers”. The leaders of both universities had strongly assisted in the solicitation process though presently it is not part of their stated role and responsibility. University leaders’ role in fundraising (Coll, 2000; Hauenstein, 2009), and the need for them to be equipped with fundraising skills (Expert Group, 2007) were among the important elements for HEs fundraising success. In the recent past, raising funds has not been part of the University Leader’s role, either in the Australian or Malaysian Public Universities. Therefore, as leaders, their involvement would not only support the university’s fundraising goals but also would encourage giving culture among the university members. The data showed a more active participation of leaders and faculty members at *University II* than *University I*. This may be explained by *University II* identifying Champions among its internal constituencies to be involved in the fundraising activities as compared to *University I*. The data also showed that both universities not only utilised their internal constituencies but also the University External Communities (Tempel, 2010), e.g., parents and Alumni, in the soliciting process. University’s external constituencies participation in the universities philanthropic activities reflected the strong base of support that both universities have to encourage giving culture among their community.

Not only are there similarities in the fundraising efforts between both universities, but the data also highlighted some differences in their strategies. At *University I*, due to cultural sensitivities in Malaysia, soliciting approaches were taken more cautiously in comparison with *University II* (Bustamy et al., 2002; Cogswell, 2002). Donors of both Universities had different preferences for soliciting approaches and these must be recognised by the Advancement team.

- *The transformation of institutional fundraising culture*

The data suggested more serious efforts were needed by both universities' leaders to encourage donations and to inculcate a giving culture. University Leaders should "walk the talk" and lead by example. Both universities' Alumni Committee/Association had played a significant role in building the university's philanthropic culture. In addition, at *University II*, the Chair of the Alumni Committee was no longer simply a ceremonial role but played a significant contribution in the university's philanthropic activities.

Malaysians tended to support initiatives closer to them, for example, their working colleagues as compared to the culture of giving among Australians which were more to support a cause.

The data reported that at *University II*, students spend less time at the university and this had posed a challenge to the university engagement strategy and relationship building. Therefore, the university had changed to focusing on the new students which allowed the solicitation process to start before students leave the university. This focused donors' engagement is in agreement with Allen Consulting Group (2007). Apparently, this approach is not visible in *University I* but presently more efforts were taken by the university to improve their engagement programs through the support of its Alumni Association.

- *The strategising efforts for building philanthropic relationships*

The data suggested that both universities had a strong relationship with their donors and tried to maintain the good relationships and to cultivate future giving. The university's fundraiser tried to accommodate donors' wishes, acknowledged community's support in official dinner, e.g., University Foundation dinner and events. This suite of behaviour accords with Lindahl (2010) and Tempel (2010) who both emphasised the need for ongoing, positive relationship building.

Although both universities tried to accommodate donors' wishes and to retain their support, *University II* had a stronger Alumni engagement programs as compared to *University I*. As Alumni comprised of both domestic and international members, getting the support from all members are crucial. The data showed that *University I* had a low level of engagement with its international students but had

plan to increase connectedness with its overseas Chapters. While at *University II*, engagement with international Alumni was typically through off-shore Foundations who had authority to provide events and liaise with Alumni regularly. These differences in engagement approaches may be explained by the universities' seriousness in engaging their Alumni and also the constraints they faced, e.g., financial and human resources.

Institutional giving patterns and factors influencing donor's giving decisions

Research Question 2: What are the present patterns of philanthropy in the two case study Institutions and the factors influencing donors' philanthropic decisions?

In response to the research question 2, the results as reported in Chapter 5 are discussed for each of the two headings, namely; differences in institutional patterns of philanthropy, and factors influencing donor's giving decisions to indicate the differences. Unfortunately, detailed analysis of the organisation donor's pattern of giving was unable to be conducted due to very limited responses to the questionnaire (a single response at *University I* and nil response at *University II*).

Institutional patterns of philanthropy

The institutions pattern of philanthropy was described as either University Internal Community or External Community. The data showed that most donors were the Internal Community consisting of staff, Alumni, students, and retired staff. This group of donors comprised more than 98 per cent of *University I* donors and a little over 90 per cent for *University II*. Although the University External Community comprising of private individuals, parents and corporate organisations were small in terms of number, they contributed significantly in terms of money and reputation to the universities.

In this study, the institutional patterns of giving were further described based on the donor's background characteristics and the factors influencing their decision to give to the PHEIs.

- *Donor's demographic characteristics*

In the study, eight donor characteristics were investigated: gender, age, marital status, number of children, income, employment status, education background and donor's study support mode. Data from the questionnaire recorded some similarities in the marital status, age, number of children, education background and employment status between donors of both universities.

Andreoni et al., (2003) and Randolph (1995) reported that being married is positively related to giving. Recently, Van Slyke and Brooks (2005) confirmed this finding and this study also found that most donors in both Universities were married or living with a partner. This is an important finding as it suggests marital status correlates with giving behaviour regardless of the donors' cultural and societal background.

The evidence on age influencing giving is mixed in the literature. Though most studies acknowledged a positive relationship (e.g., DFCSIA, 2005; Lyons & Nivison-Smith, 2006b; Wu et al., 2004), some studies found a correlation between age and the donors' giving pattern when it declined upon retirement (ABS, 2006; DFCSIA, 2005). In this study, most donors were between 41 to 60 years of age. The pattern of a donor giving actively as he/she ages and then declines upon reaching retirement age was confirmed in both Malaysia and Australia. Although studies conducted on Asian societies, such as Indonesia (Okten & Osili, 2004), found age was not related to giving, this study further found that in a heterogenous society comprising of multi-cultural and multi-religious society like Malaysia, age does play an important role in giving.

Another important characteristic related to giving was whether or not the donor had children. In this study, most donors had one or two children. This finding is in agreement with Beeler (1982) and Keller (1982), but not with Korvas (1984) and *The Giving Australia Report* (DFCSIA, 2005), who reported that it was more of the effect of having children and not on the number of children. As most of the respondents in the study were young Alumni, who might be just starting a family, the finding suggests that young Australians and Malaysians with not more than two children, were more likely to donate.

Also related to giving was the individual's education level. Most studies have reported positive relationship between individual education level and giving. However, some studies (Beeler, 1982) suggested that the individuals possessing the "highest degree received from the university" were more likely to donate. In this study, most donors possessed a Post-Graduate qualification (i.e., Masters, Doctoral degree). As most of the respondents in the study were Alumni, it is confirmed here that Australians and Malaysians who had attained the higher formal of qualification were more likely to be a donor.

Wolff (1999) suggested that women appeared to be more altruistic than men. In this study, most of *University I* donors were male while most donors of *University II* were female. The inconsistency between the studies' findings may be due to differences in the sample size and the societal context of the study. This study further found that the level of gender equality in a society can have an important influence on giving decisions. Men are commonly more dominant in the Malaysian society particularly among the Muslim community, having more purchasing and economic power. For example, in a typical Muslim household, the man is the one having 'the power' to make major decisions. This social framework differs from the gender equality prominent in a Western society, such as Australia, where women also had equal authority in the decision to donate or not.

Bustamy et al., (2002) described race, ethnicity and giving as interrelated in their study. The findings from this study also showed that in a heterogeneous society like that of Malaysia, the racial factor is a prominent consideration in the giving decisions. Though the data indicated that donors of *University I* are more willing to give for things within their racial community (as described by Bustamy et al., 2002, and Cogswell, 2002), emerging from the data is a changing pattern of giving among people in Malaysia. Malaysian donors now appear to be more willing to give across racial groups. This development may be due to the efforts taken by the Government through the '1Malaysia' concept, a government programme initiated to cultivate a dominant Malaysian culture. Though the study did not investigate specifically the level of generosity between races, the findings confirm that race is a factor and in turn this correlates to giving in a heterogeneous society.

- *Donor's socio-economic characteristics*

The findings of this study on income influencing individual giving reinforce those in the literature. In this study, donors of both universities are more likely to contribute as their income increases and this is in agreement with Brittingham and Pezzulo (1990); Lindahl and Winship (1992); Chua and Wong (1999); and Tsao and Coll (2005). Besides income, this finding also suggests that giving dependent on financial capacity and their socio-economic status (Clotfelter, 2003). This finding not surprisingly is consistent across countries, such as Australia and Malaysia regardless of their giving culture.

Receiving financial aid, such as a scholarship, was the most common education support mode for their own studies among the present donors of *University I*, a conclusion in agreement with Shadoain (1989) and Jencks (1987). Receiving financial aid to support education was found to be related to giving more broadly (Dugan et al., 2000). The majority of students in the Malaysian Higher Education System receive financial aid, either a scholarship or a loan, which is sufficient to support their student life based on the country's cost of living standard. Having received financial aid themselves, these students in their working life favourably view donating to others in need of scholarship or other support. On the other hand, in the Australia context, although most Australian Universities students also received financial aid, the high cost of living typically requires them to work to support their study. The data suggested that working to support study was common among the donors in Australia. It appears that having to work to support oneself and not relying on financial aid to support education has in one way or another contributed to their decreased support for Government universities. While the particular reasons for not giving are unknown, it might be in part because they are reflecting the fact they did not receive support of this kind.

Types of donation

From eleven donation types investigated, the data showed that for both universities' donors and prospective donors, cash donation was the most popular. This finding has been reported elsewhere (Bustamy et al., 2002). Bequests and giving in the form of real property were the least popular either for present or future

donations. This finding suggests that Malaysian and Australian donors do not have a culture of property bequest to Public Higher Education Institutions.

The data also suggest that giving for special projects was most popular in *University I*, while *University II* donors and prospective donors preferred giving for academic scholarships. However, for future donations, there were shifts in thinking as *University I* donors showed greater interest to give in kind, while *University II* donors identified research or special projects. This finding suggests that people are more likely to donate to universities' projects or programs most appealing to them. Thus, for the universities to attract support, they need to understand their market and formulate strategic appeals.

In relation to frequency of giving, the data reported mixed responses. Donating regularly, usually on an annual basis, was most popular among *University I* donors while *University II* donors preferred to give irregularly. The data also suggested a pattern of giving among donors in both Australia and Malaysia. Donors who give frequently were found to be more likely to continue to give especially if they have confidence in the university and they have close relationship with them. This finding on the importance for organisation to gain public trust and confidence and relationship building is in agreement with the literature (Tempel, 2010).

Factors influencing donor's giving decision

The questionnaire and interview data showed similarities and differences in factors influencing donors' decisions. These were complex and personal with multiple purposes and causes (Frumkin, 2006), and can be categorised as internal and external motivational factors.

- ***Donors' internal motivational factors***

The data suggested that most donors in both Australia and Malaysia gave to the PHEIs out of empathy or sympathy for the needs of other (e.g., Bustamy et al., 2002; Ostrower, 1995; Prince & File, 1994) for example, providing scholarship to students. In addition, individual memories and positive disposition (Beeler, 1982; Shadoian, 1989), such as emotional connection, sense of loyalty, experience or relationships (Oglesby, 1991), sense of gratitude (Wastyn, 2009) and showing of appreciation to

the institutions for education received for instance, also have positive influence on most donors of both countries in giving to the PHEIs. These personal motivations factors were common giving indicators across the wider society. These patterns of giving indicate that giving out of concern for others, sympathy, social responsibility, sense of loyalty and gratitude to the institution are common factors that motivate people to give across different culture and society such as in the case of Malaysia and Australia.

The data also reported that donors give because of their personal principles as acknowledged by Bustamy et al., (2002) and *The Giving Australia Report* (DFCSIA, 2005). For example, the desire to support a 'good' cause, to satisfy a need, or being passionate about a project, had influenced most donors. Donors also gave or donate out of their desire to fulfil their social or corporate responsibility (e.g., Cogswell, 2002; Fernandez, 2002b; Zulkifli & Amran, 2006), for example, to support a university project or for nation building. The findings confirmed that people or organisations in different contexts of culture and society, such as in Australia and Malaysia, will give to support others in need.

However, the data also identified some differences in the individual donor's internal motivations. For example, religion played an important role in influencing the Malaysian donors to give. This finding is confirmed by the *University I* data where most of the University's Muslim staff donors give *sadaqa* to support the university's mosque activities and the University's Muslim donors adhered to the practice of *Zakat* to pay their mandatory alms through the university. The data also reported that the Zakat funds were to be distributed to the deserving recipients within the university community, an example of which is the education of financially poor students. This finding on the role of religion fits with earlier research (e.g., Bustamy et al., 2002; Cheah, 2002; Cogswell, 2002). However, in the Australia context, the data suggested that religion did not have similar influence on the Australian donors. This study confirms that religion and religious practices have a strong influential role than when compared to a modern and or westernised society.

Tradition, custom and practices were found to have influenced giving and this accords with earlier research (e.g., Bustamy et al., 2002; Cogswell, 2002). This study confirmed this finding particularly in the Malaysian context, where people donate in

conformity with traditions and customs; for example, it is a traditional practice and custom for the Muslim community in Malaysia to donate to the poor during the holy month of Ramadhan. The study further found that preference to give “silently” and “anonymously” is a strong tradition among the Malaysian people. Donors in *University I* expressed their preference to donate anonymously and did not wish their contributions to be well publicised. However, this pattern of giving did not appear strongly among *University II* donors and this approach may be due to differences in tradition, customs and practices.

- *Donors’ external motivational factors*

Two external factors related to giving were investigated through the questionnaire and interviews, namely, Government policies influencing philanthropy and Institutional Profile.

- *Government policies influencing philanthropy*

The data reported mixed responses on the level of tax as a factor influencing giving to the universities of both countries. Some donors perceived tax as a strong incentive for donating which accords with the literature (e.g., Chua & Wong, 1999; Haggberg, 1992; Steinberg, 1990). On the other hand, tax had no effect on some donors of both universities, for example, the retirees, donors with income below the tax income bracket a finding which agrees with Allen Consulting Group (2007), Bustamy et al., (2002) and Cogswell (2002). As suggested by *The Giving Australia Report* (DFCSIA, 2005), in the Australian context, the current tax incentives do not help to produce a culture that promotes philanthropic giving to higher education. However, this finding may indicate that although tax is not a prominent factor in influencing giving, a Government policy change through tax incentives would help inculcate a giving culture and this policy change maybe important for the PHEIs philanthropy success in Australia or Malaysia.

Further, in the case of Malaysia, current tax regulations allow a person who makes payment for *Zakat* a special tax rebate on their income tax payment (Fernandez & Nadarajah, 2002). Findings from this study indicates that with this favourable tax incentive, *Zakat* is a significant avenue of private support which

University I should promote strongly within its internal community particularly in encouraging its Muslim staff members, students and Alumni to pay the *Zakat* through the university.

- *Institutional Profiles*

Thirteen external factors relating to the institutional profile that may influence donors were investigated through the survey-questionnaire. Three categories of the Institutional Profile emerged from the data, namely; Reputation, Achievements, and Management style.

The data reported that the *University Brand*, and organisation corporate values had an impact on donors' giving decisions to both universities. The importance of these 'reputational' factors has been highlighted by studies in the literature (Holmes, 2009; Liu, 2007; Mixer, 1993). The *University I* brand as a "Research and Apex" University and its reputation as a well respected academic institution regionally had influenced donors positively to give; while the "State University" brand and the distinctive Tasmanian appeal as well as a reputation of an internationally known university had influenced *University II* donors' decisions. This finding confirmed that institutional branding is related to giving across countries and also an important element for public universities in Australia or Malaysia in securing private support.

The data also recorded some differences between donors of both universities on their decision to give particularly in relation to the university's ranking and achievements. This finding was supported by earlier research (Holmes, 2009; Liu, 2007). *University I*'s ranking and research achievements had influenced donors to give to the university. However, this factor did not appear to have influenced donors significantly to give to *University II*. This inconsistency of results may be related to the stronger interest shown by donors in Malaysia on the accomplishments and research successes of Malaysian universities, and how these universities are ranked regionally and internationally, whereas these considerations were not crucial to influence donors in Australia. This conclusion may not be appropriate in the near future as philanthropy is seen as an important source of supports.

Thus, the findings from this study reinforced the fact that there are similarities and differences in donors' internal and external motivations to give across culture

and society. However, the influence of tradition and religious beliefs on giving decisions differs from one society to another. For PHEIs to achieve success, the findings suggested that PHEIs should focus and capitalise on their internal strength to attract support and at the same time solicit actively for the support from external stakeholders particularly Government participation to promote the culture of giving to the PHEIs.

University Donors' perceptions of philanthropic support

Research Question 3: How do donors perceive their philanthropy to the case study Institutions and the case study Institutions Fundraising Management?

Donor's perceptions of their philanthropy to the institutions

While data from the questionnaire reported that most of the donors believed that public universities need financial support from their Alumni more than the private universities, the data from the interview suggested otherwise. Some donors perceived that PHEIs do not need public support. These somewhat confusing responses may possibly be due to the fact that the universities have failed to publicise their need for support and likewise the donors have failed to understand the problems faced by the universities, for example, declining funding from the Government. This broad conclusion highlights the need for universities to showcase their needs and to incorporate the participation of their external constituencies in the development of the fundraising plans as suggested by the literature (Allen Consulting Group, 2007; Expert Group, 2007; Tempel, 2010).

In this study, most donors perceived their contributions will impact the University's Internal Community, e.g., students, and the University's External Community, e.g., the development of state education. For example, in *University I*, most of the University's staff donors perceived that their contributions would give impact on other members of the University's Internal Community, e.g., staff and University's retirees. However, giving to support the University's internal community does not appear to be an important factor to *University II's* Staff Donors. The difference may be due to the culture of giving among Malaysian who prefer

giving to those known to them as suggested by Bustamy et al., (2002) and are more emotionally responsive to the well-being of persons-close to them as suggested by Davis (1994, cited in Bekkers, 2010).

The Universities External Community perceptions of the importance of giving for educational causes is confirmed in the study for both Australian and Malaysian and this is in accordance with several studies conducted over a decade (Lindahl, 2010; Ostrower, 1995; Worth, 2000). Donors' perceived their contributions to the universities would support the universities students to complete their studies and their contributions would help nation building, e.g., producing workforce for the country.

Donor's perceptions of the Institution's Fundraising Management

The data from the questionnaire and interviews showed some similarities and differences in donors' perceptions of the Institution's Fundraising Management. Lindahl (2010) and Tempel (2010) highlighted the importance for organisations to gain donors' trust to attract private support. This finding was confirmed in this study where most donors were satisfied with the decisions made by the universities on the usage of the contributed funds because they reported a trust in the universities to fulfil their promises. This trust was illustrated in discussion relating to the university's fundraisers; most donors believed that the fundraisers will not take advantage of their generosity and will always tell them the truth. Findings from the study also confirmed that gaining donors' confidence as suggested by the literature (Expert Group, 2007; Tempel, 2010) and transparency in the management of philanthropic funds (Cogswell, 2002; Tempel, 2010) are common elements of fundraising success across countries regardless of their institutional and giving culture.

Tempel (2010) described the need to maintain donors' trust through the stewardship program. Thus, to ensure fundraising stewardship, the data indicated that both universities kept their donors informed of their contributions, usage and regularly updated them through newsletters, reports, emails and messages from the university management. Most donors stated receiving feedback from the university regarding their contributions would help determine their future giving. This finding

confirmed the importance of fundraising stewardship to retain and sustain donors' trust of the university fundraising management. This feature is relevant to universities across countries and institutional culture and accords with recent studies in the literature (Lindahl, 2010; Tempel, 2010).

Donor's perceptions of the Institution's Relationships Management

DFCSIA (2005) and Expert Group (2007) in their studies, found the importance of volunteering in giving. Although the data from the questionnaire reported that only half of *University I* donors had participated in the university's philanthropic activities and most of *University II* donors did not participate in any of the university's activities at all, the majority of them valued the importance of volunteering and the opportunity to be involved in the university's fund raising activities as suggested by the literature. Donors of both universities gave similar reasons for their involvement in philanthropic activities of their universities, namely; fundraising for student activities, and Faculty fundraising activities. The data from this study suggested that individuals who are involved in philanthropic activities are more likely to give to the PHEIs as compared to those who do not. This finding is true in both Australian and Malaysian context and is in agreement with the literature (DFCSIA, 2005; Mixer, 1993).

The data also showed that the most common reason given by donors on why they have not participated in the philanthropic activities of their university was that they had never been asked nor approached by the university. Not having the time to participate or not interested to participate or logistic issues (e.g., out of state) were the least common reasons given. In University I, most of the individual donors' preferred providing monetary support rather than volunteering but that was not the case for the organisation donor. In the case of *University II*, the majority of the donors preferred to be involved in activities such as fundraising events. The difference may be because of the culture of volunteering in fundraising activities is stronger in a society like Australia as compared to Malaysia which is more traditional and reserved.

The Allen Report (Allen Consulting Group, 2007) and Lindahl (2010) recommended that an Institutional recognition program was needed for fundraising

success. In this study, the data suggested that most donors valued receiving recognition and acknowledgements from the university, e.g., letters from university leaders, invitations to university functions, although they were unsure of the on-campus benefits provided for them. Most of them were satisfied with the recognitions received. They also agreed that the university had treated them well, showed concern and took pride in their accomplishments. Thus the findings from this study confirmed the importance of having institutional recognition for the donors to retain their continued support. The mechanisms used to recognise donors could vary between countries and cultures depending on the contexts.

The interview data also reported mixed perceptions of donors' level of relationship with the universities, for example, some donors thought that more efforts were needed to improve the existing relationships, while others believed they were already had a close relationship with the university. This finding lent credence to the importance of relationship building in fundraising success as suggested in the literature (Allen Consulting Group, 2007; Expert Group, 2007), and confirmed the fact that donor appreciation is an important element in the cultivation of relationship with donors as suggested by Allen Consulting Group (2007). Thus, the finding that the donor's relationship management is a critical factor for fundraising success must be given its due consideration for any formulation of philanthropic policy regardless of cultural differences.

Implications of Findings

This study is unique in that it looked at philanthropy in higher education institutions in the context of two public universities in two different countries. The main findings from the study suggested the need to recognize the important role of culture, including religion and the local milieu, the institutional framework and governance of the higher education institutions, the need for alignment of goals and university mission, and the role of government policies in the promotion of private financial support to universities.

Findings from the study have implications for the following: (i) Development of the culture of giving to public higher education institutions; (ii) the nature and framework of Institutional Advancement Programs; (iii) the roles of University

Leaders, Administrators and Advancement Practitioners; and (iii) the Development of Government Policies to promote and support philanthropic contributions to higher education institutions.

Development of the culture of giving to Public Higher Education Institutions in Australia and Malaysia

In both countries, it is a widely held view that public universities are the responsibility of the Government and that the Government should provide for universities (Matchett, 2009) and for the country's social needs, such as education (e.g., (Brooks & Lewis, 2001) Brooks & Lewis, 2001; Fernandez, 2002a). As such, people questioned why they should give to the universities. Existing literature confirms that there is a low level of support for Australian Universities (Allen Consulting Group, 2007) as there is no philanthropic culture to support higher education; nor are the community that "hot" on higher education as an ideal (Probyn, 2003). Likewise, the same set of characteristics can be said of the Malaysian Universities and their context.

The challenge faced by the public universities to attract private support becomes more difficult when countries do not have a culture of giving to public universities (Allen Consulting Group, 2007). This may be one of the broad reasons why most of the universities in Australia and Malaysia have not had great success in attracting philanthropic support. Although there are some common reasons for giving among donors of both universities as suggested by the data, donors' motivations are varied from one person to the other (Frumkin, 2006).

Social beliefs, culture, traditions and customs influence the culture of giving in a society (Bustamy et al., 2002). Similarly the composition of a society, whether heterogeneous (Okten & Osili, 2004) or homogenous (Liffman, 2009) also plays a role. In combination, these factors provide tremendous challenges to universities across countries to strategize their fundraising goals and approaches particularly when soliciting from prospective international donors. In the Malaysian context, the culture of giving is strongly influenced by the individual's religious belief (Bustamy et al., 2002). For example, giving to fulfil zakat obligation is more important than giving for other purposes. However, giving to fulfil a religious obligation is not

evident in the Australian society. Thus, this highlights the importance of culture in the challenges hindering fundraising success. Such a culture of giving to support higher education in a society must be developed as recommended by Expert Group (2007) to ensure philanthropy would be a potential avenue for PHEIs fundraising.

The data suggest that to develop a culture of giving to public universities in Australia, they may need to focus on individuals with the following demographic background: females, married or living with a partner and with children, aged between 21 to 60 years, holding a degree, at least a Bachelor level. The universities also need to target individuals with the following socio-economic characteristics: in the income bracket between \$50,000 and \$74,999, employed, and who worked to support their tertiary studies. The universities should also step up their efforts to court the Alumni (Domestic and International), approach the national Corporations and encourage internal community giving.

The data suggest that in Malaysia, the universities need to target individuals with the following demographic background: males, Malays, Muslims, married with children, aged between 21 to 60 years, and holding degree, at least a Bachelor level. The universities also need to focus on individuals with the following socio-economic characteristics: having an income between \$25,001 to \$49,999, employed, and a scholarship holder or received financial aid to support their tertiary studies. The universities should also focus on their internal community, that is, Staff and Retirees, Alumni (local and International) and make more efforts to encourage Corporate giving.

The study found multiple internal and external factors that promoted the culture of giving to Australian and Malaysian PHEIs. To ensure support, the universities in these countries should formulate their fundraising appeals to: (i) raise donor's empathy for the needs of others (e.g., Bustamy et al., 2002; Ostrower, 1995; Prince & File, 1994), (ii) fulfil their social responsibilities (e.g., Cogswell, 2002; Fernandez, 2002b; Zulkifli & Amran, 2006), and (iii) match donor's personal principles (e.g., Bustamy et al., 2002; DFCSIA, 2005).

To inculcate the culture of giving to PHEIs in these two countries, a focus on sustainable relationship building is important. Presently, the pattern of giving is positively related to (i) donor's memories and positive disposition to the institutions

(e.g., Beeler, 1982; Shadoian, 1989), (ii) donor's sense of gratitude to the institutions (Wastyn, 2009), and (iii) donor's wish to show appreciation because of his/her relationship with the institutions (Oglesby, 1991).

Giving to PHEIs was not found as a priority among Malaysians. This may be related to the fact that religious giving dominated Malaysian giving culture (Bustamy et al., 2002). In this context, Universities in Malaysia should target *zakat* (Cheah, 2002) and make a serious effort to encourage their Muslim internal community to pay *zakat* through them. Giving to PHEIs as part of religious giving has not been extensively investigated before and further studies in this area will add value to the existing literature. While Australia presently does not have a strong culture of giving to PHEIs (Allen Consulting Group, 2007), the data suggested that Australians have a high inclination to support education, although they prefer supporting Public Schools rather than Public Universities. Thus, to stimulate the culture of giving to Australian and Malaysian PHEIs, the institutions need to focus in convincing donors that "they" and "their contribution" matter to the university.

Studies indicated that another aspect of voluntary activity which would stimulate the culture of giving in the society is "volunteering". This study reported that although the culture of volunteering was stronger among people in Australia, and in accordance with *The Giving Australia Report* (DFCSIA, 2005) than among Malaysians, the culture of volunteering to the PHEIs was low in both countries. Therefore, to inculcate the giving culture to the PHEIs, Malaysian and Australian universities have to enhance their volunteering programs and focus in developing programs that would encourage more participation from their internal and external community.

The nature and framework of the Institutional Advancement Program of *University I* and *University II*

While the universities acknowledged the potential of philanthropy as a revenue stream (as suggested by Allen Consulting Group, 2007; Expert Group, 2007), the challenge facing the universities presently is that philanthropic contributions only contributed a small fraction of their income and has a marginal effect on their operating budgets.

A separate body to govern and manage the universities' fundraising such as a Foundation (Allen Consulting Group, 2007; Expert Group, 2007; Thomas Jr, 2006), and a structured Institutional Advancement (Kozobarich, 2000) have been suggested as elements for institutional fundraising success. However, most universities in Australia and Malaysia have faced challenges to establish an organised and structured Institutional Advancement due to factors such as getting the right local Advancement team with specialised expertise in fundraising, and financial constraints to acquire qualified fundraisers where they were most likely to be foreign experts. While the established framework of a structured Institutional Advancement could be useful guide and model for these universities to emulate, local and other factors should be carefully considered in the formulation of a suitable Institutional Advancement program. The data suggest strongly that *University I* Advancement framework should embrace the religion, traditions, customs, practices and sensitivities of its society rather than relying on western concepts, theories and successes. This finding accords with Lyons & Hasan (2002); while for *University II*, a framework that best fit its setting as a homogenous society and not import approaches outside of its milieu.

The culture of asking

A common phenomenon which surfaced in the data was the lack of a “culture of asking” for support and the lack of the skills of “asking”. This finding accords with Matchett (2009) who suggested the importance of “asking”, because people will not give unless they were asked. Donors in both universities were willing to donate if they were “asked” suggesting that “being asked” is one of the factors influencing donors to give as suggested by the literature (Allen Consulting Group, 2007; Expert Group, 2007; Matchett, 2009). A significant challenge to the universities in Australia and in Malaysia, as suggested in this study, is to develop this culture of “Asking” and the art of able to ask effectively. Both universities have to improve in this area if they want to be successful in philanthropy.

In the Malaysia context, the “Ethnic Diaspora” phenomenon as described by Fernandez (2002b) and also ethnic diversity factor (Okten & Osili, 2004) which contributed to the Malaysian philanthropy culture required universities in Malaysia

to consider the sensitivities of the society in their “asking” approaches. Breaking down the barrier to “Asking” and mastering the skill of “Asking” without trampling on sensitivities, e.g., traditions, customs, religious beliefs among the people, is thus essential for success in philanthropic fund raising.

Strategy for fundraising success

In building fundraising strategies, the data suggest both universities need to be able to answer the question of “why would individuals want to give to their universities”? If Universities are to increase their fundraising capacity, paying specific attention to the building-up of a University’s Profile, particularly their reputation, brand, status, research achievements (Holmes, 2009; Liu, 2007) and values (Mixer, 1993) to attract support will be important. *University I* can build on the “Apex” university status and take full advantage of that premier university image to attract support while *University II* can try to get the most out of their identity as one of the oldest and an elite international university working out of an island state with a strong and distinctive Tasmanian identity.

In the search for an optimal mix of fundraising vehicles to be used, both universities encountered the challenge of how to adopt approaches which were proven effective in other institutions, particularly in the United States and Canada but have not been well received in Australia and Malaysia. Examples of such approaches are telephone fundraising and internet fundraising. Malaysian and Australian donors were more comfortable with a face-to-face approach rather than through tele-conversation as suggested in the literature (Bustamy et al., 2002; DFCSIA, 2005) and not all donors in Australia or Malaysia are technology knowledgeable. These technological tools are products of modern time and will be the tools of the future. It is important that both universities find an innovative way to popularise these tools to gain the acceptance of the prospective donors.

The Universities also need to formulate a strategic appeal strategy which best meets their objectives and would help ensure success. For example, the *University I*’s “Action Oriented Chair” targeted to offer solutions to pertinent issues of Islamic countries is a unique formula that would differentiate the university from the other institutions particular from the West. Universities in Malaysia also should focus

more on Annual Giving programs because the people were more inclined to give on an annual basis while, for Australian universities, they should focus more on One-Off giving programs which was found to be most favourable. In *University II*, a stronger serious focus on attracting planned and major gifts especially from its successful Alumni would enable them to increase their philanthropic funds.

The data suggested that Australians and Malaysians preferred giving in the form of cash donation but not through bequest or planned and property. Therefore, universities in this region should increase their efforts to promote for planned and property gifts particularly to education. This suggestion would fit with a number of the major studies (Allen Consulting Group, 2007; Bustamy et al., 2002; DFCSIA, 2005). In the Malaysian context, the universities should concentrate to solicit for *Wakf* giving or religious planned giving, e.g., planned giving in the form of properties.

Alumni Giving

Most donors supported the importance of a “giving back” culture to their Alma Mater. This accords with earlier research (Leslie & Ramey, 1988), although some Alumni donors believed they are not obligated to support their Alma Mater. This study found that this phenomenon may be more prominent in Australia but Malaysian Universities are beginning to experience a similar situation. This lack of loyalty and bonding to their Alma Mater among the Alumni of the Universities may be related to the system of paying for education practised in Australia and Malaysia which has in one way or another contributed to the Alumni’s attitude towards giving to their Alma Mater. The challenge is for the universities to change this attitude of disinterest and cultivate the feeling of loyalty and affection for the Alma Mater among their Alumni.

Therefore, the University Alumni Relations professionals need to implement a stronger engagement building program to promote the culture of giving to students and to gain wider support from their internal community, such as the Divisions for Student Affairs. Aligning students, parents, and Alumni to meet the needs for “friend raising” and “fund raising” objectives will be critical for success.

Ethical Fundraising

Two prominent elements surfaced from the findings regarding soliciting for philanthropic needs in the Malaysian context were the concept of “clean money” or “halal money”, and being attuned to the sensitivity of the people. This finding fits with the major studies (Bustamy et al., 2002; Cogswell, 2002). The need to ensure that the donations collected are meeting the criteria for “halal money” means that fundraisers have to investigate carefully the source of the funds. This may limit the sources from which donations can be solicited. In addition, the fundraisers have the challenging task of managing the sensitivity issues that would jeopardise donation success. Although race and religion do not strongly influence giving in the Australian context, the institutions in this country were prohibited from recording details related to the donor’s religion and race to ensure donors’ and prospective donors’ sensitivity were managed efficiently.

Although both universities acknowledged the importance of having to mitigate potential risk (Tempel, 2010) in philanthropic fund raising events, the level of risk awareness and mitigating plan are more prominent at *University II*. The level of risk awareness is more prominent among the public universities in more developed countries such as Australia. In Malaysia where the level of risk awareness is relatively low, Malaysian universities have the tough task of clearing the perception that “fundraising in Malaysia is rife with corruption” (Cogswell, 2002) through good governance practices supported by a sound risk policy and mitigating plan.

Most donors in Malaysia preferred being anonymous when giving, for example, they did not want their names revealed in the university’s report as compared to the people in Australia. This created problems to the university in their effort to promote donors’ contributions and to showcase success to attract more support. This preference for anonymity may be due to the cultural patterns that influence giving in Asian society which favours giving silently as compared to a culture such as Australia, where promoting contributions is important. Thus, it is important for the universities to understand their philanthropic market and strategize their soliciting efforts accordingly.

The roles of University Leaders, Administrators and Advancement practitioners

University Leaders and Administrators

University Leaders in Australian and Malaysian Higher Education can benefit from the findings from this study to strengthen their role in driving their university's philanthropic efforts. Therefore, it is important for leaders of these universities to perform fundraiser roles (Cook, 2006, cited in Leahy, 2007) and be equipped with fundraising skills. Stronger participation by the Leaders in the university's effort to promote the importance of philanthropy as a source of funding by, for instance, donating personally to the university would strengthen the confidence in the university, communicate the "prestige" element and create awareness of the institution's need for financial support. These efforts it is suggested would showcase institutional profile more strongly for sustainable philanthropic support.

University's Administrators particularly those involved in Development and Alumni Relations activities must create awareness among the university stakeholders of the need for giving to the university and to align the goals of these internal and external stakeholders to the university's mission through various alumni and community engagement activities. Only through such congruence of goals between the community and the university can the university leaders be able to find success in their effort to create a sustainable culture of giving towards the university. The findings from this study suggested that fundraising success depended significantly on the Institution and its culture. It is important for University Administrators, particularly those involved in Student Development and Alumni Relations, to create collaborative fundraising initiatives with the university's internal and external constituencies to boost fundraising success, increase the level of awareness, promote the culture of donating to PHEIs, and encouraged more active participation from parties particularly Faculty members, internal champions and volunteers. These initiatives from the Administrators effectively implemented through a well coordinated long term plan will help the university to drive its philanthropic agenda, making philanthropic funding a significant source of revenue and in formulating appropriate changes to policy. The role of Administrators in enhancing the philanthropic culture is critical in *University I*. Similarly, the importance of the

Administrators cannot be denied in the university's effort to encourage the culture of giving among its internal constituencies.

Advancement practitioners

Advancement practitioners involved particularly in the Australian and Malaysian Higher Education contexts can benefit from this study in developing their Institutional Advancement program. Findings from the study suggested a bigger role for Advancement practitioners involved in Australian and Malaysian Higher Education. Through their Institutional Advancement programs, they are able to influence public opinion about the universities, increase the trust and confidence of donors towards the universities, changing the present widely held perception that university funding is solely a government responsibility and encourage more private donations in support of university activities. Some of the findings from this study may be considered by these practitioners in their Institutional Advancement Programs such as planning soliciting approaches that best fits the culture of giving of the society, and influencing Institutional and National policy changes to influence giving to PHEIs.

Other Public Higher Education Institutions

Other Public Higher Education Institutions with an Institutional Advancement Program can benefit from this study as they consider how to expand their existing fundraising efforts. Similarly, PHEIs considering embarking on philanthropic activities can use some of the findings from this study to improve their fundraising programs. More importantly, the study suggested ideas to other state universities within Malaysia and Australia (and elsewhere) to (i) recognise the elements of a successful institutional fundraising, (ii) add knowledge in increasing philanthropy learning from one another, (iii) understand the differences in the problems encountered and adapt and modify their policies accordingly, and (iv) alert the challenges facing them in attracting support to a public university.

Development of Government Policies to promote and support philanthropic contributions to Public Higher Education Institutions

With the requirement for Public Universities to be creative in finding ways to increase their financial resources as suggested by Ansberry (2010), two major findings from this study will assist the policy makers namely, the importance of Government participation in encouraging a philanthropy culture to support the Public Universities, and recognising the need to stimulate giving to the Public Universities through effective policy that would attract giving.

The findings suggested that the Government policies and incentives can help to shift the culture of giving to support higher education among the people in the country (Expert Group, 2007). Without the Government's participation in encouraging a giving culture in the society, it will be so much harder for the PHEIs to gain success in generating additional resources from philanthropic activities.

The stark question, 'How serious is the government in investing in higher education?' would influence prospective philanthropists' views to support the universities. The challenge facing universities in Australia and Malaysia is to influence their respective Governments to acknowledge the importance of philanthropic support as a potential source of revenue for the public universities and to support their fundraising efforts through appropriate Government's initiatives such as Tax relief for contributions to universities, special tax status for university foundations, tax rebates, and other incentives. As demonstrated from the findings of this study, government policy on philanthropy, particularly, tax incentives, (e.g., (Chua & Wong, 1999; Haggberg, 1992; Steinberg, 1990) is effective in inducing donations to higher education especially to retirees and those with income under the tax income threshold. In the case of Malaysia, higher tax rebate for zakat payment through universities and other similar government measures would increase the incentives for the majority Muslim population to consider giving more to the universities for higher education programs and activities.

The findings also suggested the tax benefits alone were not the main reason for donations for the average salaried person in both Australia and Malaysia. The Government may need to consider this and incorporate other measures to complement reforms in tax incentives. On the other hand, the tax rate may have

affected levels of giving among the affluent and this suggestion agreed with some of the findings in current literature (Mixer, 1993). Encouraging matching gifts to be given to employees for their contributions is one of the approaches which can be studied further; however, as this may increase the cost of doing business, corresponding revision in tax relieves to businesses may be necessary for the proposed approach to be acceptable to employers. Through skillful adjustment in tax and other government policies, Governments can directly influence the growth of favourable culture of giving to public universities.

Recommendations for Future Research

These findings suggest areas for future research that will benefit researchers and practitioners in Educational Advancement particularly in the Asia Pacific region.

Recommendations for further study

1. The study be replicated in several other public universities in Australia and Malaysia. This would provide more generalisable insights into Institutional Advancement in the two countries. In practice it would lead to the establishment of a nationwide database on Institutional Advancement in Malaysia, and enhance the existing nationwide data in Australia. Comparisons of Institutional Advancement patterns between institutions in these two countries would assist in policy review and formulation of better policies;
2. A more detailed study of *Institutional Profile* as a strategic fundraising tool in both Australian and Malaysian higher education context; and
3. A more extensive study on *Zakat* and *Wakf* as a potential source of private support to Malaysian Public Universities.

Recommendation to improve Advancement policy

1. University policy makers should formulate policies to stimulate giving to their institutions. They must devise strategies to improve their institutional profile to gain the trust and confidence of donors and then implement fundraising plans with the participation and support of their

internal and external constituencies. This stepped process should be implemented and evaluated for effectiveness.

Recommendations to improve Advancement practice

1. Fundraising typically has not been a part of the job description of Vice-Chancellors or other senior leaders in Malaysian or Australian universities though studies have recommended strongly that the “president” of the institution should directly solicit major gifts from potential donors (Coll, 2000; Hauenstein, 2009). Fundraising should now be a part of the job of the university’s president, and fundraising targets be a part of the leader’s key performance indicator;
2. Careful consideration is needed on the appropriateness of western concepts and theories (Lyons & Hasan, 2002) in the establishment of Institutional Advancement framework particularly in non-western societies where religion, traditions and customs have strong and deep-rooted influence on acts of benevolence in the society; and
3. Though it is not always common practice for the Government to provide incentives to encourage giving in a society (Allen Consulting Group, 2007). Government participation to nurture and advance the culture of giving to higher education is crucial through the introduction of relevant policies particularly those that can stimulate giving decisions such as tax reduction, matching incentives, and zakat rebate to the Muslims.

Strengths and Limitations

There are various strengths and limitations associated with different research approaches and designs (Burns, 2000; Teddlie & Tashakkori, 2009; Thomas, 2003). Therefore, the researcher must ensure that the strength of the research design outweighs the limitations so as not to undermine the value of the research.

Strength of this research study

The strengths of the research were:

1. The study involved collecting data at different sites (e.g., *University I* in Malaysia and *University II* in Australia), from different groups (e.g., University Representatives and University Donors and Alumni, University Leaders, University Administrators, staff, Alumni, donor, documents), and using different methods of data collection (e.g., interviews, surveys) that resides in a multi-sites, multi-sourced and multi-method research design;
2. The study conducted an in-depth investigation by engaging close researcher involvement with the university's key officials through interviews. This led to the researcher gaining an insider's view of the field and allowed the researcher to uncover and explore issues that are often missed by more quantitative enquiries;
3. The survey-questionnaire was developed by referring to the previous survey-questionnaires developed on the topic and to the researcher's own experiences moderated by the findings from the Literature Review;
4. The use of mixed method design in data collection and instruments (e.g., interview and on-line survey) enabled both depth and breadth coverage; and
5. The qualitative findings will be of particular benefit to the practitioners in the field of Public University Advancement and Alumni Relations. They will promote examination of new forms of knowledge and insights to influence policy changes in higher education philanthropy.

Limitations of the research

The limitations of the research were:

1. The scope of the study was limited to only two public institutions of higher learning in two different countries, Australia and Malaysia. Therefore, the findings from the study may not be generalised to other public institutions of higher learning in other countries;

2. The strength of the relationships between the variables relating to giving may not be robust enough to capture fully the donor's giving motivations;
3. Donors may not have been completely open and frank in providing information related to their perceptions and reasons for giving to the universities because of the sensitivity of giving, e.g., giving maybe part of religious requirements, and individual preference to give silently or anonymously. Some donors are the university's suppliers and they gave because of 'reciprocity';
4. The survey did not attract a high response rate from participating Donors and Alumni, especially in *University II*;
5. The time required for data collection, analysis and interpretation was lengthy and costly as the study involved 35 interview participants, 225 survey respondents and two sites.
6. Some issues on fundraising from philanthropic sources were unable to be examined and explored due to the time constraint and scope of the study.
 - i. Malaysian and Australian Governments' future policy and direction in supporting philanthropic contribution to PHEIs, i.e., matching grants, tax reliefs,
 - ii. Investigation on *zakat* contributions to PHEIs in the Malaysian context and its effect to the institution and recipients; and
7. The study was conducted within the researcher's own institution which may create a bias in respondents' reports.

Summary of Chapter 7

To draw this thesis to its conclusion, this chapter presented the findings from the study in relation to the overarching research aim and discussed these in the context of relevant literatures. The study is unique as it considered the institutional philanthropy in the context of public universities in Australia, and Malaysia. The case study design allowed for the development of significant insights into how the public universities can enhance their present under-developed fundraising from philanthropy.

The data suggested that changing the institutional philanthropic culture and getting the involvement of the internal and external constituencies were both needed to stimulate a sustainable growth of philanthropic giving to the Public Higher Education Institutions. Retaining and securing relationships with donors by establishing good governance and best management principles in advancement programs are fundamental elements in achieving fundraising success.

It is important to note that different cultures and different nations have their own philanthropic traditions which form the foundation of benevolence in the society and these must be respected and utilised. In a heterogeneous society, race, religion, custom and tradition played a major role in influencing an individual's giving behaviours in Malaysia, and these formed a fundamental platform that governed the fundraising framework of a successful institutional fundraising as compared to a more homogenous context as in *University II* in Australia.

Philanthropy is a valuable source of funding for public higher education institutions, but it is presently not well developed in Malaysian public universities and it is relatively more prevalent in Australian public universities. Therefore, it is important for the universities to craft a philanthropy 'model' that will have most impact on their prospective donors rather than to implement an approach from 'outside' their milieu.

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Appendices

Appendix A Ethics Approval

Appendix A1 HREC Ethics Approval – H0011473

Appendix A2 HREC Ethics Approval – H0011474

Appendix A3 HREC Ethics Approval – H0011475

Appendix A4 EPU Ethics Approval

Appendix A 1 HREC Ethics Approval – H0011473

Social Science Ethics Officer
Private Bag 01 Hobart
Tasmania 7001 Australia
Tel: (03) 6226 2764
Fax: (03) 6226 7148
Marilyn.Knott@utas.edu.au



HUMAN RESEARCH ETHICS COMMITTEE (TASMANIA) NETWORK

16 November 2010

Professor John Williamson
Education
Private Bag 1307
Launceston Tasmania

Dear Professor Williamson

Re: ETHICS APPLICATION APPROVAL

Ethics Ref: H0011473 - Growing the University's funding: Is philanthropy the answer? A case study of Universiti Sains Malaysia (USM) and University of Tasmania (UTAS): Group 1 - University's Leaders

The Tasmania Social Sciences HREC approved the above project on 16 November 2010.

Please note that this approval is for four years and is conditional upon receipt of an annual Progress Report. Ethics approval for this project will lapse if a Progress Report is not submitted.

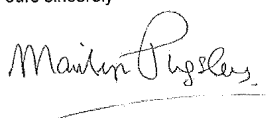
The following conditions apply to this approval. Failure to abide by these conditions may result in suspension or discontinuation of approval.

1. It is the responsibility of the Chief Investigator to ensure that all investigators are aware of the terms of approval, to ensure the project is conducted as approved by the Ethics Committee, and to notify the Committee if any investigators are added to, or cease involvement with, the project.
2. Complaints: If any complaints are received or ethical issues arise during the course of the project, investigators should advise the Executive Officer of the Ethics Committee on 03 6226 7479 or human.ethics@utas.edu.au.
3. Incidents or adverse effects: Investigators should notify the Ethics Committee immediately of any serious or unexpected adverse effects on participants or unforeseen events affecting the ethical acceptability of the project.

A PARTNERSHIP PROGRAM IN CONJUNCTION WITH THE DEPARTMENT OF HEALTH AND HUMAN SERVICES

4. Amendments to Project: Modifications to the project must not proceed until approval is obtained from the Ethics Committee. Please submit an Amendment Form (available on our website) to notify the Ethics Committee of the proposed modifications.
5. Annual Report: Continued approval for this project is dependent on the submission of a Progress Report by the anniversary date of your approval. You will be sent a courtesy reminder closer to this date. **Failure to submit a Progress Report will mean that ethics approval for this project will lapse.**
6. Final Report: A Final Report and a copy of any published material arising from the project, either in full or abstract, must be provided at the end of the project.

Yours sincerely



Ethics Executive Officer

Appendix A 2 HREC Ethics Approval – H0011474

Social Science Ethics Officer
Private Bag 01 Hobart
Tasmania 7001 Australia
Tel: (03) 6226 2764
Fax: (03) 6226 7148
Marilyn.Knott@utas.edu.au



HUMAN RESEARCH ETHICS COMMITTEE (TASMANIA) NETWORK

16 November 2010

Professor John Williamson
Education
Private Bag 1307
Launceston Tasmania

Dear Professor Williamson

Re: ETHICS APPLICATION APPROVAL

Ethics Ref: H0011474 - Growing the University's funding: Is philanthropy the answer? A case study of Universiti Sains Malaysia (USM) and University of Tasmania (UTAS):
Group 2 - University's Administrators

The Tasmania Social Sciences HREC approved the above project on 16 November 2010.

Please note that this approval is for four years and is conditional upon receipt of an annual Progress Report. Ethics approval for this project will lapse if a Progress Report is not submitted.

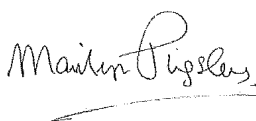
The following conditions apply to this approval. Failure to abide by these conditions may result in suspension or discontinuation of approval.

1. It is the responsibility of the Chief Investigator to ensure that all investigators are aware of the terms of approval, to ensure the project is conducted as approved by the Ethics Committee, and to notify the Committee if any investigators are added to, or cease involvement with, the project.
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3. Incidents or adverse effects: Investigators should notify the Ethics Committee immediately of any serious or unexpected adverse effects on participants or unforeseen events affecting the ethical acceptability of the project.

A PARTNERSHIP PROGRAM IN CONJUNCTION WITH THE DEPARTMENT OF HEALTH AND HUMAN SERVICES

4. Amendments to Project: Modifications to the project must not proceed until approval is obtained from the Ethics Committee. Please submit an Amendment Form (available on our website) to notify the Ethics Committee of the proposed modifications.
5. Annual Report: Continued approval for this project is dependent on the submission of a Progress Report by the anniversary date of your approval. You will be sent a courtesy reminder closer to this date. **Failure to submit a Progress Report will mean that ethics approval for this project will lapse.**
6. Final Report: A Final Report and a copy of any published material arising from the project, either in full or abstract, must be provided at the end of the project.

Yours sincerely

A handwritten signature in black ink, appearing to read "Martin Piggsley". The signature is fluid and cursive, with a horizontal line drawn underneath it.

Ethics Executive Officer

Appendix A 3 HREC Ethics Approval – H0011475

Social Science Ethics Officer
Private Bag 01 Hobart
Tasmania 7001 Australia
Tel: (03) 6226 2764
Fax: (03) 6226 7148
Marilyn.Knott@utas.edu.au



HUMAN RESEARCH ETHICS COMMITTEE (TASMANIA) NETWORK

16 November 2010

Professor John Williamson
Education
Private Bag 1307

Dear Professor Williamson

Re: ETHICS APPLICATION APPROVAL

Ethics Ref: H0011475 - Growing the University's funding: Is philanthropy the answer? A case study of Universiti Sains Malaysia (USM) and University of Tasmania (UTAS): Group 3 - University's Donors-Alumni

The Tasmania Social Sciences HREC Ethics Committee approved the above project on 16 November 2010.

Please note that this approval is for four years and is conditional upon receipt of an annual Progress Report. Ethics approval for this project will lapse if a Progress Report is not submitted.

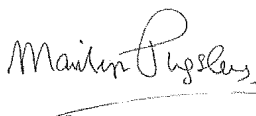
The following conditions apply to this approval. Failure to abide by these conditions may result in suspension or discontinuation of approval.

1. It is the responsibility of the Chief Investigator to ensure that all investigators are aware of the terms of approval, to ensure the project is conducted as approved by the Ethics Committee, and to notify the Committee if any investigators are added to, or cease involvement with, the project.
2. Complaints: If any complaints are received or ethical issues arise during the course of the project, investigators should advise the Executive Officer of the Ethics Committee on 03 6226 7479 or human.ethics@utas.edu.au.
3. Incidents or adverse effects: Investigators should notify the Ethics Committee immediately of any serious or unexpected adverse effects on participants or unforeseen events affecting the ethical acceptability of the project.

A PARTNERSHIP PROGRAM IN CONJUNCTION WITH THE DEPARTMENT OF HEALTH AND HUMAN SERVICES

4. Amendments to Project: Modifications to the project must not proceed until approval is obtained from the Ethics Committee. Please submit an Amendment Form (available on our website) to notify the Ethics Committee of the proposed modifications.
5. Annual Report: Continued approval for this project is dependent on the submission of a Progress Report by the anniversary date of your approval. You will be sent a courtesy reminder closer to this date. **Failure to submit a Progress Report will mean that ethics approval for this project will lapse.**
6. Final Report: A Final Report and a copy of any published material arising from the project, either in full or abstract, must be provided at the end of the project.

Yours sincerely



Ethics Officer

Appendix A 4 EPU Ethics Approval



UNIT PERANCANG EKONOMI
Economic Planning Unit
JABATAN PERDANA MENTERI
Prime Minister's Department
BLOK B5 & B6
PUSAT PENTADBIRAN KERAJAAN PERSEKUTUAN
62502 PUTRAJAYA
MALAYSIA



EPU
ECONOMIC PLANNING UNIT
PRIME MINISTER'S DEPARTMENT MALAYSIA

Telefon : 603-8872 3333

Ruj. Tuan:
Your Ref.:

UPE: 40/200/19/2737

Ruj. Kami:
Our Ref.:

Tarikh:
Date:

7 January 2011

Rohayati Mohd Isa
1/5 Lytton Street
Invermay
7248 Launceston
Tasmania, Australia
Email: rmohdisa@utas.edu.au

APPLICATION TO CONDUCT RESEARCH IN MALAYSIA

With reference to your application, I am pleased to inform you that your application to conduct research in Malaysia has been *approved* by the **Research Promotion and Co-Ordination Committee, Economic Planning Unit, Prime Minister's Department**. The details of the approval are as follows:

Researcher's name : **ROHAYATI MOHD ISA**

Passport No. / I. C No: **650131-08-6356**

Nationality : **MALAYSIAN**

Title of Research : **"GROWING THE UNIVERSITY'S FUNDING: IS PHILANTHROPY THE ANSWER? A CASE STUDY OF UNIVERSITI SAINS MALAYSIA (USM) AND UNIVERSITY OF TASMANIA (UTAS)."**

Period of Research Approved: **4 YEARS**

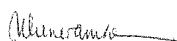
2. Please collect your Research Pass in person from the Economic Planning Unit, Prime Minister's Department, Parcel B, Level 4 Block B5, Federal Government Administrative Centre, 62502 Putrajaya and bring along two (2) passport size photographs. You are also required to comply with the rules and regulations stipulated from time to time by the agencies with which you have dealings in the conduct of your research.

3. I would like to draw your attention to the undertaking signed by you that you will submit without cost to the Economic Planning Unit the following documents:

- a) A brief summary of your research findings on completion of your research and before you leave Malaysia; and
- b) Three (3) copies of your final dissertation/publication.

4. Lastly, please submit a copy of your preliminary and final report directly to the State Government where you carried out your research. Thank you.

Yours sincerely,



(MUNIRAH ABD. MANAN)
For Director General,
Economic Planning Unit.
E-mail: munirah@epu.gov.my
Tel: 88882809
Fax: 88883961

ATTENTION

This letter is only to inform you the status of your application and **cannot be used as a research pass.**

Cc:

Ketua Setiausaha
Kementerian Pengajian Tinggi Malaysia
Bahagian Perancangan dan Penyelidikan
Aras 3, Blok E3, Kompleks E.
Pusat Pentadbiran Kerajaan Persekutuan
62505 Putrajaya.
(up: Hjh. Raihanah Bt. Hj. Khudri)

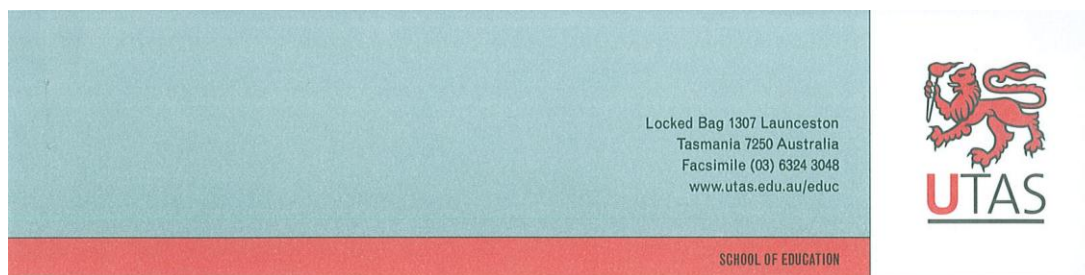
Appendix B Invitation and approval letter for the study

Appendix B1 Invitation letter for the study - *University I*

Appendix B2 Approval letter for the study - *University I*

Appendix B3 Invitation and approval letter for the study - *University II*

Appendix B 1 Invitation letter for the study - *University I*



27 January 2011

Y.BHG. PROFESOR TAN SRI DATO' DZULKIFLI ABDUL RAZAK
Vice-Chancellor's Office
Level 6, Chancellory Building
Universiti Sains Malaysia
11800 USM, Pulau Pinang
Malaysia

Dear Sir

Re: Proposed PhD Study

Ms Rohayati Mohd Isa, a University Financial Administrator in Universiti Sains Malaysia is currently completing her Doctor of Philosophy at the University of Tasmania, Australia under the supervision of Professor Williamson and Dr Myhill, senior staff members in the Faculty of Education, and Associate Professor Wilmshurst a senior staff member in the Faculty of Business. Her research for doctoral study is under the title '*Growing the university's funding: Is philanthropy the answer? A case study of Universiti Sains Malaysia (USM) and University of Tasmania (UTAS)*'.

This proposed study is conducted with the aims: first; to examine how a university in a developing country (Malaysia) and a university in a developed western society (Australia) view and develop private philanthropic support as a sustainable revenue stream; second; to investigate the appropriate planning strategies and management approach which must be put in place in order to promote the growth of philanthropy as a major component of the university's funding mix in the context of both Australia and Malaysia; third; to explore the determining factor(s) of successful fundraising models for higher education between countries and the reasons for the different rates of success; and fourth; to investigate the critical success factors in building a practical fundraising framework using private philanthropic support for the case study universities.

We are writing to you to seek your permission for us to conduct the above research using your institution as the subject of the case study. We will be conducting interviews with selected key officials of the university whom are directly involved in the university fundraising functions and managing funds from philanthropic sources. We will also conduct a survey by distributing questionnaires to your university's selected donors and alumni and collecting relevant data for analysis. For further information regarding the study, an information sheet is attached together with this letter.

Please note that your approval for us to conduct this study in your university is entirely at your discretion. However we do sincerely hope you will grant us the approval to proceed with the study using your university as the case study subject. If you would like more information about the study, please contact **Ms Rohayati Mohd Isa** on email: rmohdisa@postoffice.utas.edu.au or by phone on +613 6324 3792.

Thank you for your time and we are looking forward to receive your approval.

Yours sincerely,

Professor John Williamson
Chief Investigator

Ms Rohayati Mohd Isa
Student Investigator

Appendix B 2 Approval letter for the study - *University I*



Pejabat Naib Canselor
Office of The Vice Chancellor

Canselori

Universiti Sains Malaysia
Aras 6, Bangunan Canselori
11800 USM Pulau Pinang
T: 04.653 3101/653 4998
F: 04.656 5401
E: vc@usm.my
L: www.usm.my

04 July 2011

Professor John Williamson
Faculty of Education
University of Tasmania
Locked Bag 1307
Launceston TAS 7250
AUSTRALIA

Dear Professor Williamson

Re: Propose PhD Study

In response to your request to use Universiti Sains Malaysia (USM) as a subject in your research entitle "*Growing the university's funding: Is philanthropy the answer? A case study of Universiti Sains Malaysia (USM) and University of Tasmania (UTAS)*", I am pleased to inform you that your request is approved. I wish you every success with the research.

Sincerely,

DZULKIFLI ABDUL RAZAK, PROFESSOR TAN SRI DATO'
Vice-Chancellor

Appendix B 3 Invitation and approval letter for the study - *University II*



27 January 2011

Professor David Rich
Acting Vice-Chancellor
University of Tasmania
Locked Bag 1351
LAUNCESTON TAS 7250

Dear Professor Rich

Re: Proposed PhD Study

Ms Rohayati Mohd Isa, a University Financial Administrator in Universiti Sains Malaysia is currently completing her Doctor of Philosophy at the University of Tasmania, Australia under the supervision of Professor Williamson and Dr Myhill, senior staff members in the Faculty of Education, and Associate Professor Wilmschurst a senior staff member in the Faculty of Business. Her research for doctoral study is under the title 'Growing the university's funding: Is philanthropy the answer? A case study of Universiti Sains Malaysia (USM) and University of Tasmania (UTAS)'.

This proposed study is conducted with the aims: first; to examine how a university in a developing country (Malaysia) and a university in a developed western society (Australia) view and develop private philanthropic support as a sustainable revenue stream; second; to investigate the appropriate planning strategies and management approach which must be put in place in order to promote the growth of philanthropy as a major component of the university's funding mix in the context of both Australia and Malaysia; third; to explore the determining factor(s) of successful fundraising models for higher education between countries and the reasons for the different rates of success; and fourth; to investigate the critical success factors in building a practical fundraising framework using private philanthropic support for the case study universities.

We are writing to you to seek your permission for us to conduct the above research using your institution as the subject of the case study. We will be conducting interviews with selected key officials of the university whom are directly involved in the university fundraising functions and managing funds from philanthropic sources. We will also conduct a survey by distributing questionnaires to your university's selected donors and alumni and collecting relevant data for analysis. For further information regarding the study, an information sheet is attached together with this letter.

Please note that your approval for us to conduct this study in your university is entirely at your discretion. However we do sincerely hope you will grant us the approval to proceed with the study using your university as the case study subject. If you would like more information about the study, please contact **Ms Rohayati Mohd Isa** on email: rmohdisa@postoffice.utas.edu.au or by phone on +613 6324 3792.

Thank you for your time and we are looking forward to receiving your approval.

Yours sincerely

Professor John Williamson
Chief Investigator

Ms Rohayati Mohd Isa
Student Investigator

Appendix C Example of Information Sheet

Appendix C1 Information Sheet- University Administrator

Appendix C 1 Information Sheet- University Administrator



**PARTICIPANT INFORMATION SHEET (PROFORMA)
SOCIAL SCIENCE/ HUMANITITES
RESEARCH**

**GROWING UNIVERSITY'S FUNDING THROUGH PHILANTHROPY.
AN AUSTRALIAN AND A MALAYSIAN CASE STUDY**

Invitation

You are invited to participate in a research study into the role of philanthropy in public University funding. The study is being conducted by Ms Rohayati Mohd Isa, a PhD student in the Faculty of Education at the University of Tasmania, Australia, in fulfillment of her doctoral studies under the supervision of Professor Williamson and Dr Myhill, senior staff members in the Faculty of Education, and Associate Professor Wilmshurst a senior staff member in the Faculty of Business. Ms Rohayati Mohd Isa is also a Senior Financial Administrator at the Universiti Sains Malaysia (USM) and is currently on study leave from that institution.

1. 'What is the purpose of this study?'

The purpose is to investigate whether philanthropic contribution can be a reliable strategic alternative for raising additional funds to the public institution of higher learning. This purpose will be achieved by investigating (1) how a university in a developing country (Malaysia) and how a university in a developed western society (Australia) view and develop private philanthropic support as a sustainable revenue stream; (2) appropriate planning strategies and management approaches which promote the growth of philanthropy as a major component of the university's funding mix in the context of both Australia and Malaysia; (3) the determining factor(s) of successful fundraising models for higher education between countries taking into consideration the different contexts and expectations; and (4) the reasons for the different rates of success; and the critical success factors in building a practical fundraising framework using private philanthropic support for USM and UTAS.

2. 'Why have I been invited to participate in this study?'

You are eligible to participate in this study because of your unique insight in the philanthropic support to public institution of higher learning which is vital to the study.

3. 'What does this study involve?'

Participation in this study will involve the following:

For the interview: If you have given your consent, you may be asked to participate in an interview of approximately 30 to 40 minutes with one of the researchers (Ms Rohayati Mohd Isa). The topics to be covered in the interview will be on your views and experience on the philanthropic support to public institutions of higher learning. The interview will be audio-recorded with your permission and you also will have the opportunity to review the transcript of your interview; and

Completing facts sheets. You may be asked to complete the *facts sheets* by providing the quantitative and statistical data on the institution's alumni and financial fundraising information.

It is important that you understand that your involvement in this study is voluntary. While we would be pleased to have you participate, we respect your right to decline. There will be no consequences to you if you decide not to participate, and this will not affect your treatment / service. If you decide to discontinue participation at any time, you may do so without providing an explanation. All information will be treated in a confidential manner, and your name will not be used in any publication arising out of the research. All of the research will be kept in a locked cabinet in the office of the Faculty of Education, University of Tasmania. All research data will be securely stored on the University of Tasmania premises for five years, and will then be destroyed.

4. Are there any possible benefits from participation in this study?

It is possible that you will notice there will be improved understanding on the following:

- Behaviour pattern of the university's donors/alumni and the critical factors prompting them to make donations;
- Effectiveness of the measures and strategies undertaken by the university in attracting more contributions from philanthropy;
- Effective measures to upgrade fund raising capacity;
- Appropriate strategies to build and nurture donors/alumni relations with the university authorities;

- Growing importance of philanthropy as a source of additional revenue and effective management systems (including risk management to be introduced and implemented; and
- The dynamics of philanthropic contribution resulting from sharing of knowledge and experiences while participating in this study.

from the program after a certain period of time. This may lead greater effort and more innovative measures being undertaken by university administrators to promote the culture of donating to education. It may also result influencing policy change to view philanthropy as a reliable strategic alternative for raising additional funds in universities. We will be interested to see if you experience any other benefits from best practices of fund raising management, financial administrative and risk management processes supporting the university's philanthropy goals. If we are able to take the findings of this small study and link them with a wider study, the result may be valuable information for others and it may lead to useful addition to the body of knowledge of philanthropic sources as a potential revenue for public institution of higher learning across the world and understanding of philanthropy success in growing the University's funding.

5. What if I have questions about this research?

If you would like to discuss any aspect of this study please feel free to contact either the research chief investigator, Professor John Williamson at John.Williamson@utas.edu.au on +613 6324 3339 or co-investigators: Associate Professor Trevor Wilmshurst at Trevor.Wilmshurst@utas.edu.au on +613 6324 3570; or Dr Marion Myhill at Marion.Myhill@utas.edu.au on +613 6324 3908 or student investigator, Ms Rohayati Mohd Isa at rmohdisa@postoffice.utas.edu.au on 012 407 1101. Either of us would be happy to discuss any aspect of the research with you. Once we have analysed the information we will be mailing / emailing you a summary of our findings. You are welcome to contact us at that time to discuss any issue relating to the research study.

This study has been approved by the Tasmanian Social Science Human Research Ethics Committee. If you have concerns or complaints about the conduct of this study should contact the Executive Officer of the HREC (Tasmania) Network on +613 6226 7479 or email human.ethics@utas.edu.au. The Executive Officer is the person nominated to receive complaints from research participants. You will need to quote [HREC H11474].

Thank you for taking the time to consider this study.

If you wish to take part in it, please sign the attached consent form.

This information sheet is for you to keep.

Appendix D Example of Statement of Informed Consent

Appendix D1 Statement of Informed Consent – University Administrator

Appendix D 1 Statement of Informed Consent – University Administrator



CONSENT FORM FOR UNIVERSITY ADMINISTRATOR

Title of Project: **Growing university's funding through philanthropy. An Australian and a Malaysian case study**

-
1. I have read and understood the 'Information Sheet' for this project.
 2. The nature and possible effects of the study have been explained to me.
 3. I understand that the study involves exploring the views, experience and practice of fund-raising from philanthropic sources and its roles for public institution of higher learning funding. It involves:
 - i. individual interview which take approximately 30 to 40 minutes. The interviews invite participant to share their views and experience on philanthropic support to public institution of higher learning. I also understand that the interview will be audio-recorded with the participants permission;
 - ii. completing the *facts sheet*. This *facts sheet* the participants to provide the quantitative and statistical data on the institution's alumni and financial fundraising information; and
 - iii. provide access and opportunity to review, correct and elaborate on their interview transcript.
 4. I understand that participation involves the risk(s) that the participants may feel uncomfortable during the interview but their participation in this study is completely voluntary and that they are either free to decline to participate, without consequence, at any time prior to or at any point during the activity, or at liberty to withdraw if they believe there could be any discomfort or risk or sensitivity for them.
 5. I understand that all research data will be securely stored on the University of Tasmania premises for at least five years, and will be destroyed when no longer required.
 6. Any questions that I have asked have been answered to my satisfaction.
 7. I agree that research data gathered from me for the study may be published provided that I cannot be identified as a participant.
 8. I understand that the researchers will use any information I supply only for the purposes of the research.

9. I agree to participate in this investigation and understand that I may withdraw at any time without any effect, and if I so wish, may request that any data I have supplied to date be withdrawn from the research.

Name of Participant: _____

Signature: _____

Date: _____

Statement by Investigator

☐

I have explained the project & the implications of participation in it to this volunteer and I believe that the consent is informed and that he/she understands the implications of participation .

If the Investigator has not had an opportunity to talk to participants prior to them participating, the following must be ticked.

☐

The participant has received the Information Sheet where my details have been provided so participants have the opportunity to contact me prior to consenting to participate in this project.

Name of Investigator

Signature of
Investigator

Name of investigator _____

Signature of investigator _____ Date _____

Appendix E Interview Schedules

Appendix E1 Interview Schedule - University Leader

Appendix E2 Interview Schedule - University Administrator

Appendix E3 University Schedule - University Donor

Appendix E4 University Schedule - University Stakeholder

Appendix E 1 Interview Schedule – University Leader



INTERVIEW QUESTIONS Group 1 - University Leader

Growing University's funding through philanthropy. An Australian and a Malaysian case study

A General Questions

1. What is your role in the university's fundraising activity?
2. Can you share your experiences in raising funds for the university?

B Governance:

Factors regulating the university fundraising

3. Is fundraising and development a key part of the university's activity? Is donation or philanthropic contribution an important part of the university fund raising efforts? **(If not)**, is there plan to upgrade philanthropic contribution as a significant source of fund raising?
4. Does your university have a separate foundation established for the purpose of fundraising? (If no), does the university intend to establish a foundation for the purpose of fundraising? Can you share with me your view on establishing a separate foundation for the purpose of fundraising for the university?
5. How did the plans relating to the operations and goals of the university fundraising, get incorporated into the university's strategic planning process? Can you share with me the challenges and experiences faced by the University in setting up the policies and guidelines for fundraising activities?

C Contributing Factors

6. How does decrease in the state's appropriations influence universities to engage in more funds generation activities?
7. Can you share your views on whether the university's fundraising efforts have succeeded, with some meaningful impact, in filling funding gaps left by decreases in the state's appropriations?
8. Is promoting the contribution of the university to the community (domestic and international) important to the university? **(If yes)**, can you share with me the measures taken by the university? What is your view on the need for the university to promote the value of donors' contributions to the community?

H Ending questions

9. In your opinion, among the various sources of funding available, is philanthropy one of the areas that the university will be putting greater emphasis on in the future? If yes, can you share with me the measures that the university will be taking? If no, why?
- 10.. What do you consider as the greatest challenge(s) in raising donation at your university?
- 11.. Are there any topics or ideas which we have not covered and on which you would like to share with me since they relate to the success of your donation-raising operation?
12. Would you like to comment on any of the questions so far or expand on anything that we have discussed today?

Appendix E 2 Interview Schedule – University Administrator



INTERVIEW QUESTIONS Group 2 - University Administrator

Growing University's funding through philanthropy. An Australian and a Malaysian case study

A General Questions: Working information

1. What are your qualification and area of specialization?
2. What is your role in the university fundraising activity?
3. Have you gone or currently undertaking any professional development course on fundraising? (If 'Yes') Could you please tell me more about it?
4. How long have you been raising funds for the university?
5. Can you share your experiences in raising funds for the university so far?
6. Do you have personal fundraising goal as part of your job evaluation?

B Governance

Factors regulating the university alumni relations

7. Can you share with me the university's policies on alumni relations?

Factors regulating the university fundraising

8. Does your university have a separate foundation established for the purpose of fundraising? (If no), does the university intend to establish a foundation for the purpose of fundraising? Can you share with me your view on establishing a separate foundation for the purpose of fundraising for the university?
9. Can you share with me on the university's policies and procedures for fundraising activities?
10. Can you share with me the university's annual fund raising goal and the process in setting the goal.

Factors regulating the university fundraising risk

11. Does the university have a clearly stated policy on risk management? If yes, can you share with me on this matter? If no, why? How does the university manage and control risk?
12. What is the level of awareness on risk management among the staff and management of the university?

C RELATIONSHIP WITH DONORS-ALUMNI

13. Can you share with me about the Donor-Alumni relation activities in your university?

14. Given that relationships are important, what are the university's strategies for developing and maintaining effective Donor-Alumni relations?
15. Can you tell me about the university-donors/prospect-Alumni relationship?
16. *Can you share with me the benefit(s) provided to the Alumni and donors?*
17. Do your benchmarked the university's alumni relations success with your peers? Can you share with me on this matter?

D FUNDRAISING STRATEGIES AND APPROACH

18. Is fundraising and development a key part of the university's activity?
19. Is donation or philanthropic contribution an important part of the university's fund raising efforts? (*If not*), is there plan to upgrade philanthropic contribution as a significant source of fund raising?
20. How would you define the structure of your university fund raising operation?
21. Can you explain the university fund raising strategy?
22. How does your university define success when it comes to fund-raising?
23. Can you tell me about the university's fundraising campaigns?
24. From where do the majority of your gifts come?
25. How does the university attract support from businesses, trusts, foundations and other stakeholders in order to improve the university's fundraising capacity? What are the measures taken?
26. How does the university manage the cultural and religious sensitivities of the people in its fund raising activities, considering the different races and religions in Malaysia?
27. What are the measures recommended to or adopted by the university to ensure all fund raising activities from the community are permitted by current regulations, government procedures and legal requirements?

E FUNDRAISING ADMINISTRATION PRACTICES

28. Can you share with me on the resources involves in the fundraising and alumni relations for the university?
29. Once donations are received, what happens?

F ALUMNI ASSOCIATION/COMMITTEE

30. What in your opinion is the role of the alumni association/committee in supporting the university to seek funds from philanthropic sources?
31. Your view on establishing a separate foundation for the purpose of raising donations from the public for the university.
32. What are the measures taken or will be taking by the association/committee to improve the relationships.
33. How does the association/committee ensure that the alumni feel engaged and connected to the university? What are the measures taken to recognise and encourages donors-alumni links with the university?
34. What is the role of the association/committee in inculcating the culture of giving back to the alma mater among the students and alumni? How do the association/committee promote the importance of alumni contributions to the alma mater?

G RISK MANAGEMENT

35. What are the university's risk controlling measures on fund raising projects or activities? Who are responsible to identify and manage the risk?
36. How does the university manage the cultural and religious sensitivities of the people in its fund raising activities, considering the different races and religions in Malaysia?
37. The number of full-time professionals serving as risk managers in non-profit organisations is small compared to the private sector, but the demand for professional risk manager is increasing, what about the public universities? What about your university?

H ENDING QUESTIONS

38. In your opinion, among the various sources of funding available, is philanthropy one of the areas that the university will be putting greater emphasis on in the future? If yes, can you share with me the measures that the university will be taking? If no, why?
39. What do you consider as the greatest challenge(s) in raising donation at your university?
40. Are there any topics or ideas which we have not covered and on which you would like to share with me since they relate to the success of your donation-raising operation?
41. Would you like to comment on any of the questions so far or expand on anything that we have discussed today?

Appendix E 3 University Schedule – University Private/Corporate Donor



INTERVIEW QUESTIONS

Group 3 - University Private/Corporate Donor

“Growing the University funding: Is philanthropy the answer? A case study on Universiti Sains Malaysia (USM) and University of Tasmania (UTAS)”

A CONTRIBUTING FACTORS

1. Why do you/your organisation contribute to a specific public university? Why the *University I/II*? Can you comment more about this?
2. What is your understanding about the tax incentives on your contribution(s) to the public university? Is tax incentive a major factor influencing you/your organisation to make a contribution to public university?
3. Besides tax incentives, what are the important reasons prompting you/your organisation to make contributions to public university?
4. What in your opinion, should the university do to promote contributions to public university? Do you have any suggestions for improvement to the current system?
5. Can you share with me your organisation processes for making a decision to give funds to a specific public university?

B RELATIONSHIP WITH THE UNIVERSITY

5. How do you/your organisation evaluate your/your organisation relationships as a donor with the university? Do you have any suggestions for improvement?
6. How does you/your organisation evaluate the university's ability to manage and handle your contributions? Do you have any suggestions for improvement?

C ENDING QUESTIONS

7. What do you/your organisation consider to be the greatest challenge(s) in donating to the university?
8. What do you/your organisation consider to be the greatest challenge(s) to the university in seeking donations from individuals?

Appendix E 4 University Schedule – University Stakeholder



INTERVIEW QUESTIONS Group 4 - University Stakeholder

Growing University's funding through philanthropy. An Australian and a Malaysian case study

1. Of the alternative revenue sources—parents, students, faculty and staff entrepreneurship, and philanthropy--the potential of philanthropy to close" higher education's increasing cost-revenue gap has great appeal to politicians, parents, and students alike, partly because it is *not a tuition fee* and *not a tax increase*.

Q: What are the government's views in the move of shifting the cost burden in public higher education institutions onto parents and students?

Q: What is your view on the need for Malaysian Public Universities to look seriously on the non-governmental/non-taxpayer forms of revenue?

2. In the face of the diverging trajectories of higher educational costs and available governmental revenues, philanthropy becomes an enormously attractive political solution precisely because it is *not taxes* and it is *not tuition fees*

Q: Is philanthropy one of the revenue generating avenues that the Malaysian public university should be putting greater emphasis on in the future taking into consideration the limited number of wealthy philanthropy in Malaysia? If yes, can you share the measures that the university should be taking? If no, why?

Q: Can you share your views on whether the university's fundraising efforts from philanthropic support have succeeded, with some meaningful impact, in filling funding gaps left by decreases in the state's appropriations?

3. A major feature of the successful philanthropy is favourable tax treatment of charitable giving as the income tax deductibility of philanthropic contributions affects philanthropic giving.

Q: What is your opinion on the current Malaysian tax incentives for donations? Do they motivate people to donate to the public higher education institutions?

Q: Can you share your opinion on the current government gift matching policy (if any)? How significant is the impact of the government gift matching scheme to the university's funding from donations?

4. Governments must expect that philanthropic support will be unevenly distributed among their public institutions of higher education and must therefore be willing to tolerate the consequent widening of financial fortunes among their diverse institutions.

Q: What are the incentives that have been put in place or would be taken by the government to stimulate philanthropic giving by the community to the public universities?

Q: What do you consider to be the greatest challenge(s) in raising donations by the public universities and the keys to the universities successes in raising donations? How do you define success in raising donations for the public universities?

5. Governments need to pursue revenue supplementation at all levels, including moderate tuition fees, in addition to hoping for increasing philanthropic support to bring some taxpayer relief to some state owned universities and colleges.

Q: What is your views on the above statement?

6. ***Q: Can you share your views on the role of the public universities as the collection agent for zakat? Would zakat collection help the universities in complementing its corporate social responsibility towards the zakat's recipient or "asnaf" welfare and education?***

Appendix F Examples of Interview Transcript

Appendix F1 Interview Transcript – *University I* Advancement Officer

Appendix F2 Interview Transcript – *University II* Alumni Relations Officer

Appendix F3 Interview Transcript – *University I* Individual Donor

Appendix F4 Interview Transcript – *University II* Corporate Donor

Appendix F 1 Interview Transcript – *University I* Advancement Officer



Tasmania Social Science HREC Reference: H11474

***Growing University's funding through philanthropy.
An Australian and a Malaysian case study***

INTERVIEW TRANSCRIPT

Interviewer : Rohayati Mohd Isa
 Interviewee : *University I* Advancement Officer (U1-Admin₁)

Date : 8 April 2011
 Time : 10:00am – 11:00am
 Place: : Meeting Room
 Development and Liaison Office
 University I

Persons Present : Rohayati Mohd Isa - Interviewer
 : Development Officer - U1-Admin₁

Interviewer: *I would like to begin by thanking you for your time and interest in taking part in this interview. Your views and experience are very valuable in helping me to better understand the issues relating to philanthropic supports to Higher Education Institutions. Thank you for giving your permission for me to tape record and take notes during the interview.*

We proceed to talk about your background. Can you share with me about your qualification and your area of expertise?

U1-Admin₁: I am a Pharmacists by training and alumni of this university and my entire training is in Pharmacy and the Wellness Programme of Human beings. Nevertheless, I am very passionate about the University and I've taken time off from being a Quality Assurance and Quality Control Manager to help the University to set-up a sustainable fundraising program. This is in-line with the Vice Chancellor's mission that we should move away from government funding as much as we can to carry out our own programs.

Interviewer: *Can you share about your role and experiences in raising fund for the university? Do you enjoy fundraising activities?*

U1-Admin₁: I am the Development Manager following the model in the US. We have a consultant from US and she has modelled the fundraising institutions over there and set-up a development office within the alumni relation office. I have completed 2 years and this is my third year. Actually fundraising is nothing new to us. As Malaysians we have been doing this quite a lot in our little ways. But now the interesting things is we are structuring fundraising in a systematic ways so that there is a tool being implemented how we can seek funds from alumni. I enjoy the concept and understanding people and why human give and don't give. That is quite an eye opener for me.

Interviewer: *Have you attended any professional development courses or currently attending courses?*

U1-Admin₁: None, what so ever. Whatever I know came from the consultant that we had from Canada and now the Consultancy has finished. I hope that the University will invest in some of the philanthropy organisation like CASE. So, that's my hope. For the first two years, training were through our Consultant. She has left us last year. I am independent now for four months but we still bounds back to her if we have questions to twin and improve.

Interviewer: *Do you have a personal fundraising target and is it part of your job evaluation?*

U1-Admin₁: Yes, the consultant has set a fundraising target but not in dollar and cent, but more because it's a start-up, so how much of engagement, fundraising is actually friend raising first. Raise the friends and awareness and engagement hoping then to get the funds. Nevertheless now that we have finished two cycle of the annual fund, we can set the target for the third year. A part of my job evaluation is not the ringgit and cents, but the mechanism the tools the deadlines and how the whole system works.

Interviewer: *We move on to talk about the governance and the factors regulating the University fundraising activities. In your opinion is fundraising and development a key part of the University activity?*

U1-Admin₁: It isn't right now but in my opinion it should be. Currently in the it is not an important part. Seeking grants seems to be more of a priority. But we should move away from depending on the government because in Malaysia we have heavily funded by the Government, so why do we need to raise funds. Our budget were given by the government, so that is not an important part, right now. Everyone should be aware that we are here and any opportunity we can raise we should raise.

Interviewer: *What measure should be taken by the University to recognise the importance of raising funds from the public?*

U1-Admin₁: A lot of training, a lot awareness within the academic staff and non- academic in how to identify opportunities when you see one and who to channel that opportunities to. I am sure many of our people are getting grants and help and in their daily work they come across people who want to give but don't know where to channel that kind of input and opportunity.

Interviewer: *Is there a plan to upgrade philanthropic contribution as a significant source of fund raising?*

U1-Admin₁: Yes, definitely. Under the APEX agenda, it is a must to raise private funding from philanthropy. I feel that the Vice Chancellor is in the right direction by employing the consultant. He has set up an awareness and started the mechanism. So definitely we are in the right direction but we are not as matured and aged. It will take years, but the beginning has been started.

Interviewer: *Can you share with me on the establishment of the Advancement Office?*

U1-Admin₁: When I came in, we brought in a Consultant to give it a bit of direction. She was supposed to help the Alumni Liasion Office to setup Alumni Relation, fund-raising and communication, which are the three arms of any Alumni Liasion Office. In some countries, we call it Advancement Office. So we had communication, The Leader Megazine, we had Alumni Relations, but we didn't have Fundraising. So when the Consultant came in she said tidy up your data. Let me see, go and get all the data that you can, have as many traceble alumni and after that you start with the fundraising..

So we started with USM Annual Fund where we seek small donations from alumni once a year in one cycle. An alumni can give back any amount. In *University I*, we had a disadvantage because although we have 100,000 alumni, our traceable data when I started was only about 3,000. So we decided to enlarge our scope of donors by looking into parents off university students and staff. So, therefore we manage to get a bigger pool of donors and funds have been coming in from this pool

Interviewer: *Can you share with me about the fundraising activities before the establishment of the Advancement Office?*

U1-Admin₁: Very unstructured. They we doing very little projects where they collect funds like *Balik Campus*, or ad-hoc projects and they are not on an annual cycle but were “as and when need” basis. The establishment of the development section for fundraising is very organised now. It is centralised with the Alumni Liasion Office and all funds were channeled into an account with the Bursary. Therefor this is a clear message to the donors’ that this is the fund for the University and not for the Alumni Liaison Office. We have the engagement from the Bursary, the Vice Chancellor Office, and the Faculties. Centralised collection, centralised billing where the Bursar will give the receipt which are tax exempted, collection everything is as per the University guideline. We are the medium for asking, for facilitating donation, for churning to the reports for churning out the mail drops to ask the donation.

Interviewer: *Can you share about the Governing Body responsible in fundraising activities? Who does the Director of Advancement Office report to?*

U1-Admin₁: There used to be years ago, they set up a fundraising committee, where the Bursar, the Registrar, the Vice Chancellor key people were in it. But when I came in I have not heard of any active meetings or participations. Through the donors report. The University of course have the complete report because the money come into the University. The offices performance is communicated through the annual report. The annual report will outline how many donors we had, what we the funds, where the fund allocated for and how did we spent the money. So that report is churned out annually and it is the same report that goes out to the donors. The Director report to the Vice Chancellor. Yes, to the Vice Chancellor. In many Universities, it comes under student affairs. So, it is parked there. But in our University it is directly under the Vice Chancellor. All reports are channeled to the Vice Chancellor.

Interviewer: *Can you share about the Faculties involvement in the university’s fundraising activities?*

U1-Admin₁: Their involvement is non-structured. We approached them not as Faculties but rather than as individuals. We wrote to all the staff asking them to support the University’s Annual Fund where it will accompanied by a letter from the Vice Chancellor. Faculties do not drive the fund but they just give their commitment as individuals.

Interviewer: *What are the measures taken in disseminating fundraising best practices to the community to attract support?*

U1-Admin₁: We have our mail drops sent out once a year where we highlighted the importance of giving, case study on how their money has helped. Other than that we send out emails, examples of how people little give have made huge differences. The email is another vehicle where we sent out good articles about philanthropy inspiring people to give back then we also try to carry the message of giving back through our Leader Megazine. If we have some cases which are really nice, then we highlight in our Leader magazine. These are the ways that we are trying to create awareness. I believe that culture of “giving back” in our country is not as intensive as it should be.

People are still taking for granted that I need to be funded rather than I need to help fund my Alma Mater. Mail drops is the brochure that we sent our appealing to our donor once a year at the start of a fiscal year of a new annual fund. The mail drop is a very well thought of brochure that is sent out together with the letter from the Vice Chancellor and the pledge form and a returned envelope and is carried out by the Office. All has been done in a formal way and is done once a year and it is at the start of every annual fund year. Now, whatever comes from there means people are responding from the mail drops. Then we have the emails. The emails are sent out to tell people periodically what is going on, or we have send you a brochure in the event that you have looked at it and not got back to us can you do so. We also sent to them articles of philanthropic global examples. We send to alumni database, existing donors, our donors to be, people in the mail. This is call the email blast. We try to engage them. Sometime we don't tell them that they need to give but we sent them updates of the University. Keeping them engaged with the University. We have at least once in two months. We have Leader Megazine, we have articles on giving back and what are we doing where the money went just keeping them engaged about fundraising. General articles on fundraising and when we started then we highlighted what USM has been doing.

Interviewer: *Does the University plans to change the current structure of the Office from centralised to decentralised or mixed mode approach?*

U1-Admin₁: I don't think so. Our model was recommended by the consultant. Where you have the pyramid and at the bottom of the pyramid you try to raise funds in small amount but from a large volume of people. So as you climb the pyramid, then you have the major gifts. Major gifts you target smaller group of people but larger volume amount. So we are also working on major gifts where we seek donations at a larger amount from organisations and institutions and endowments of chairs and stuff like that.

Interviewer: *How does the University fund raising plan get incorporated into the University's strategic plan?*

U1-Admin₁: The bigger picture is the University must become sustainable financially and they have their KPI depend on how much they plan to raise. So we are supporting that. We are one of the supports. We are not the only medium of vehicle, there's a lot of fund coming in for example, research grant and being a Research University, the key word there is grants. So you find that is a bigger picture and fundraising philanthropic giving is a smaller part of a churning out money. Yes, it is being a part of a bigger picture of the APEX University and the research university KPI.

Interviewer: *Can you share about the University Annual Fundraising goal. How does it been set, in terms of the target, who approves it and how does it get incorporated into the university's goals?*

U1-Admin₁: The first year we didn't have any targets. It was a trial and error thing. So we send out mail drops of 28000 blast and we realised how difficult it was to get even 0.05%, people to respond to you. That was terrible. From 28,000 there was a lot of money invested and that was a shocking thing, people don't respond the way you want even if 10% had responded, that would have been 2,800. But my figures were in the 4 and 5 hundreds. And the 2d year we became more realistic and watch the pattern, nevertheless we found an increase in the responses so that to us was a good sign so based on that we set another target, let see a 5% increase in our donor circle, in our giving amount, so we set that targets and we communicate this to the higher authorities through our KPIs. Our internal KPIs which is translated back to the University.

Interviewer: *What factors impact the decisions regarding how much money to raise for a particular year?*

U1-Admin₁: Your traceable donor data, how current is your data will impact. The mail must be current, your email must be very current and if you don't have a traceable data then you cannot succeed.

Interviewer: *Does fundraising plan get incorporated into the financial planning? The Muslim with the concept of sedekah they prefer to give it to the mosque and USM. So how does this get incorporated into fundraising planning?*

U1-Admin₁: Maybe not the KPI but the KIP. Providing education to the bottom billions, providing the scholarships, the needy must have an opportunity to study, providing the students with the best environment, so that is where it comes in, APEX is about best students, best environment, best teachers. So with money we hope to provide environment like recently we had a van for the OKU. So we find the people do put aside some of money and every year in the month of ramadhan they would like to dispose of that. So try to tie our annual fund, so we ask them at the beginning of ramadhan month. So they know, if they want to give, they can either give there or there but the end results is the same. So we have people who tell us, please call us at the beginning then we'll give you all the funds. We have had people telling us on the phonethone, I've just given the money, never mind If I know the money is still going to the students and you are clear about it, call me at this time.

Interviewer: *Does fundraising plan get incorporated into the academic requirements?*

U1-Admin₁: Students who are unable, problem students, financially weak background students, we support them with the financial aid.

Interviewer: *Does the Bursar in specific and the Registrar involved in setting the fundraising targets and goals?*

U1-Admin₁: Up to now, no. It has come strictly from the Vice Chancellor and it this disseminated only to the office.

Interviewer: *We move to discuss about the University's giving policy. Does the University have a clear stated policy, procedures and guidelines on fundraising activities? Does it gel well in the Malaysian act, guideline and statute for donation purposes? How does these policy cascaded down to the staff?*

U1-Admin₁: In our appeal letter we have a pledge form and in the pledge form you will find that the donators, donors can tick where they want the money to go. In the event that they are not sure, they can tick USM Greatest Needs. Whereby the Vice Chancellor can decide where the fund should go but if they want the money to go to a particular area like scholarship, for the disable, for the zakat eligible group, they will tick accordingly. We will fulfill the donors wish as per the allocation of the fund. One example I can give you is from the first cycle, whatever we collected RM100,000 plus because we needed a van to transport our less able people and we didn't have the fund this so the Vice Chancellor that whatever that came from USM Greatest Needs will be channeled into this area. And we published this in our donor report where the money went to. We have our SOPs in place because we started from scratch so everything is in place and its very clear that we are doing fundraising for the University and because the Alumni Liaison Office is part of the institution, we don't do fundraising for ourselves. Basically, is an overlap, policy and guidelines we didn't formulate. We 'Malaysianise' what was existing from the Consultant's model.

So whatever she gave we made it more Malaysian and we 'twik tik' to make it workable in our situation. It does except for some cultural difference the acceptance of the policy is a bit different. For example, phonethone may work well in the west but it doesn't work very well here. So there's a lot of awareness creation first but nevertheless the policy and very straight forward. The guidelines are there that you are raising funds for the University, you get your budget from the university, raise friends for the university, engaged them and raise funds. It was accepted as our own SOPs and it is not centralised to the University, it more within the office.

Interviewer: *When does the policy's been approved and have you reviewed or update the policy?*

U1-Admin₁: It's very new, it's only about 2 years old so therefore we are still executing it, we haven't had to challenge it as such. The people who work with me mainly are doing a lot of medial very important work like acceptance of donation, receipting, sending out receipts, sending out stewardship letters, so the SOP has to be very clear communicated especially to the people who are handling the system. So we have done that. Initially I was doing it all alone with the help of people and I help let them understand what the system is and now is done by my one staff, Mansur who is very actively involved in acceptance, receipting, sending out receipts, emails and stuff like that.

Interviewer: *What are the challenges faced in formulating the policy and guidelines?*

U1-Admin₁: The challenge comes when you go into major gifts where people want to fund a particular research. You are trying to get funding for research. Yet, you don't have the proper engagement from the researchers. So, now we have a clearer picture, what a Development Office does, who writes the proposal, who writes the research proposal, who pitches the ask, now a little clearer, initially it wasn't. Because I believe everyone is doing this in silos. Everyone is pitching a gift but it is not centralised.

Interviewer: *Once the donation is received, what happen?*

U1-Admin₁: Then we go get down and we break down the allocation how many percent wants the fund to go where and where and where, and if we see a large amount going to a certain area that require the Vice Chancellor's intervention then we communicate this to him. This year we see a large amount wanting to go to students, student aid, therefore we go to student bodies, tell u, give us names of people of people who don't have any funding, we also wrote to the deans asking them to solicit name for us, and yes they have given us names of students who are in deep dire need of financial aid.

Interviewer: *What are the rules and regulations which need to be followed in regards to collection of donation in Malaysia? Maybe you can share with me on this?*

U1-Admin₁: All, any amount. All the money that comes in, that receipt has been churned out can be used by individual donors or institutions for exemption from tax. In Malaysia, I don't know. I can tell you about University. The payment must be centralised and made out to the University. We are not allowed to collect any payments in individual names or even in the officers name. It can be done online. It can be done via the web or through cheques or ATM machine deposits. Other than that the guidelines in Malaysia are if you want to issue tax exempt receipts, you must be registered to a particular organisation, Inland Revenue Board, where they will identify you and then allow you issue such receipt.

Interviewer: *We moved on to talk about the fundraising strategy. Can you share about the university current and future fundraising strategy and the process of formulating the strategy?*

U1-Admin₁: I think the current approach of mail drops and email blast, they are working very well. We are able to reach the donors and the future donors. Phonotenon I have my doubts, because it is very manual intensive labour and it is not well accepted by the donors but nevertheless we should not give it up. Our challenges is that we don't have a phonethon centre, so we have to go an rely on somebody else infrastructure to carry out our phonethon subject to their availability, so maybe they can use other mechanisms, you know marketing strategies where people can sign up on credit card and give for 10 years, 1 year, once a year I give RM300 and they don't want to be bothered. So we need to look into more current ways of raising funds from the existing donors. We sit down and we brainstormed in our committee meeting, in our office meeting to get ideas. It doesn't but it needs to be within the boundaries of the university policies.

Interviewer: *What are the resources used in soliciting and promoting giving to the University? Does the University Leaders and Alumni Association involved in the fundraising activities? Do you think the university legislators and academicians agree on philanthropy's role in supporting the University?*

U1-Admin₁: Leader magazine, emails, mail drops, we don't use...our own website, our Alumni Liasion website. I'm sure they have their own ways but it is not through our office. The Alumni Association have their own fundraising which they do for their society but yes, when we launched then they will actively involve in helping. The legislators and academicians do agree but how engage they are and what kind of active role they can play. Currently they are playing as donors. I see good participation from leaders who give to the annual fund but maybe we need to move beyond where these leaders need to become angles who need to solicit from the devils around. Very important to get their support because they are leaders in their own circles and they can move and drive an agenda, amazingly.

Interviewer: *What is the University's definition of major gifts? How do you solicit this gift?*

U1-Admin₁: A gift worth \$5000 and above. Individual that we identify, who are capable of giving a lot more, institutions that have CSR funds, organisations that have what they call for example they put aside large amount of money that they want to disperse to different reasons. So we target that riches people in Malaysia.

Interviewer: *How does the University attract support from the businesses, trust, Foundations?*

U1-Admin₁: University must think business mindedly. I think we have been very nice for a long time. Many people are generating income from us. Businesses that we do with vendors, we have never tap into the vendor community. Maybe it's just that the awareness is not there.

Interviewer: *How were donors been informed about the management of their contributions?*

U1-Admin₁: There is the report that is called the stewardship report and our Office is responsible to produce them. It's one report for all and the report will tell you how much was collected across the board and how the money were spend and it doesn't give the breakdown of the donor.

Interviewer: *What are the mechanism to coordinate the university's fundraising activity?*

U1-Admin₁: Not from this office because nobody answers to our office but maybe at the higher level at the student affairs body where the students raised fund I think this is being communicated to the HEP and they have a record of how much was raised for what activity through what funding although it wasn't for the University but nevertheless it was still fundraising.

Interviewer: *We talk a bit the fundraising campaign. Does the university engage in any fundraising campaign at the moment or have the university done any fundraising campaign so far? Where does the majority of the gifts come from?*

U1-Admin₁: No, not that I know of. Here no, we have the budget from the Government. No, any one single project. Yes, I think this is a great way if the University can identify a project for which it has no funds perhaps that will be a tangible item to seek philanthropy. Since everything is funded, like I said, you see the model for our University that we are heavily funds, in fact 100% funded by the Government. So what is the need for you to raise funds for. You want a Library you go ask for budget from the Government. So you see it's a demand and supply thing. When there is no demand so why there must there be a supply. Majority of the donations came from the parents, staff and alumni. All three, this are our major donors and in the year one we found that it is the staff who supported in percentage in a higher number. But in the second cycle, the parents and the alumni caught up. In our case the donation comes then we create the needs. It is not the needs that command the donation.

Interviewer: *How does the University manage the risk in raising philanthropic support due to religious, cultural and racial sensitivity of the Malaysian society.*

U1-Admin₁: I think all religion support giving. So therefore the sensitivity is not so much whether you should give or not but rather which organisation to give to. How can we make the Annual Fund our key program of giving. So that kind of thing can become pretty sensitive because many people would say."Hey, look if it is not meritocracy for students, are students of a particular race cannot get into the university, why should I bother with this fund. I rather channel it to a school which is supporting a particular race". So yes, I think that kind of thoughts are there but the University is being very neutral and therefore we always try to make sure that our funds are dissipated to benefit races of all irrespective of your background, culture and religion. So we have to make sure that we are seen to show when we solicit our brochures carry a universal message, a Malaysia message, when we disperse our funds, it again shows the message is carried out.

Interviewer: *What are the measures taken to attract prospective donors?*

U1-Admin₁: We try to study, we do research, who is link to the university, who sits in our Board of Committee, who knows what, we work on contacts and then we try to push because the final ask and pitching, people don't give to institution, people give to people, right. So if I know you, I want to give you, If you leave the organisation, I don't want to give to the organisation. So our strategy is to identify links, human links, who knows whom and how we can get the funds to come in.

Interviewer: *What are the measures taken to engage with the donors? How do you see the relationship between the University and donors, so far?*

U1-Admin₁: Yes, we have outline this, people who give within certain gift circles, if you give RM1000 and less, what are your privileges, as you climb up the circle, leader circle, APEX circle, than your privileges are more, like last year those who give like in the higher upper bracket, received a diary from the university, thanking them, that they are donors, inviting them for our convocation and they were be given special card to enter, so this are ways that the University rewards and keep them engaged and

stewardships. We also have plans to invite them for our Hari Raya do, so keep them informed and invite them for certain areas and if they are in certain bracket they are entitle to they own privileges. Good, good relationship. I think those who have become donors, we are taking such good care of them because they write back to tell us, thank you and that means a lot.

Interviewer: *Can you share the tools utilised in engaging with the donors and prospective donors?*

U1-Admin₁: Facebook, University Facebook, our office facebook, the support groups and if we have a certain project then we will create a blogspots and then we link it to the Facebook and then we highlight the issues for example we had a major gift with a late cleanup initiative, so we created a blog spot we get the students involved and they we blasting all their information there, so I think this are the ways technology are very utilised in blasting out and engaging our donors but not all donors are technology savvy, so keeping in mind then there needs to be balance between the two.

Interviewer: *How often does the office in contact with the donors? How fast does the latest information of donors get updated in the system? How does donor's update their recent correspondence?*

U1-Admin₁: One in two months definitely. Like I told you via email or something. Within a week if there is, the problem is not updating but people wanting to inform us of the change. Through the leaders, sometime we write to them telling them that please update your data and if things get bounce back we know that things are not working then we try to contact the person on the phone to get the latest updates but many at times it is the alumni who are not pro-active in informing us.

Interviewer: *Can you share about the university's volunteering programs and donor's involvement as fundraisers?*

U1-Admin₁: Yes, the Alumni Relations Officer is working very closing with the peer group to set up a YAYASAN USM ALUMNI. We are using our University's Leaders to help solicit funds and start our own Foundation. So we do use key people who are so and so in the society to start this ball rolling.

Interviewer: *What are the measures or initiative taken by the University to inculcate the culture of giving among the students and alumni?*

U1-Admin₁: Yes, there are two things here. One is that the students are giving back to the Schools, so they are actively involved in the alumni activities and fundraising in their own PTJs. The centralised own where I see where the fundraising, where we approach parents. When we approach parents, we see the students coming in to give the gifts of the parents. So they know that their parents are giving back because they are appreciative of their children getting an education. So, hopefully this kind of engagement will create awareness in the student that there is such a way of channeling and giving back to your Alma Mater. Secondly, when this year when we disperse fund to the needy students, we will tell them, look. This is coming from the Annual Fund, next year or next time when you become an independent individual, you give back to the university. So there have been talks to have this contractually done that means if you are recipient that you promise to give so much so, next time.

Interviewer: *How does the University promote donors contribution? How about the in the newspaper?*

U1-Admin₁: You be surprised the first year I listed out all the name of the donors in my report but the number of donors who don't want to be listed. This is a great cultural change between Malaysia and the West. In the West, the giving circle and the name how much you gave is advertised and they want that, but in Malaysia I had to remove 14 pages of names because people didn't want their names to get an interview with a donor, please tell us why you gave so much, they are embarrassed. They want to give quietly. Through our annual report. We interview the main donors. We asked them whether they would like to be interviewed but we won't mention the gift and they would tell us why. So we highlight the profile of donors through our reports. There are donors or philanthropist who want the University to informed them about their donation but there groups who doesn't want as you've mentioned. We have not yet promote through the newspapers. Perhaps for a major gift, then we would do it. Internal mail, we advertised through the internal mail. The reports are sent out to all the staff.

Interviewer: *Among other various sources of funding, do you see philanthropy as one of the area that the University is putting a lot of effort?*

U1-Admin₁: Yes, that's right. It is putting a clear cut emphasis on it. Because of the engagement of the Consultant. That was quite a big decision to put aside money, investing money in fundraising. That means we are serious about it and it wasn't pittance, it was quite a some. Establishment of the office, direction, creating a post, my post was created, that wasn't existed before I came, so this are all investment in human, policies, philanthropy. That I see and it's here to stay. That interest and investment is there. I think its tremendous what our office has given to the university in terms of fundraising has created a niche market and its created a place in the university that we are doing something significant in giving back. Our role is more amplified, they see our involvement in doing up the proposals, what you call, the ownerships of Major Gifts and Annual Fund is here in this Office. The engagement is improving and because of that engagement, the funds can come in better.

Interviewer: *Does the University intend to benchmark the best practices on fundraising and management of the fundraising in the near future?*

U1-Admin₁: Yes, it hopes to have a foundation. It hopes to have a Board of Directors sitting on the Foundation so that everything is transparent. I think we are headed in that direction is just that the funds need to become big enough to do that. In Malaysia, we have none to benchmark with so we are following the best practices of the Western Universities.

Interviewer: *Is there any other topic or ideas that I have not cover that you want to share in related to this topic?*

U1-Admin₁: Yes, perhaps our University is very particular about where the money comes from as well. There is a question of ethics. Can you accept gifts from anybody and everybody. I think this question is not so prominent in the Western culture where money is money and we are in need of money and we don't question how you earn that money. So there is a concept of "Clean Money" and I don't know about other universities, but in my University here the leadership makes this very clear that whoever you solicit gifts from, I'm not talking about Annual Fund but to approach a major donor, then the management wants to know that the money is clean.

Interviewer: *Is it stated clearly in the policy and how does it affect the fundraising activities?*

U1-Admin₁: No, it's not stated clearly but it's a thing of ethics. Yes, it has been addressed, through my experience I can see that the discomfort within the University board not to accept gifts just from anybody. They need to know that this person is not involved in gambling, he earned his money the clean way and that is important. And its sometime that is a caviat on how and who you can raise funds from. Definitely, definitely it makes it harder to fundraise because you really have to screen and you have to make sure that this person is somebody your management, leaders comfortable with.

Interviewer: *Can you explain further about "clean money"?*

U1-Admin₁: For example, we have casinos, we have the Genting Highlands, we have the TOTO welfare, we have lots of involvement where money is there, lots of money but we know that the background of that money was not through clean, I wouldn't say clean, they didn't cheat anyone but they didn't raised it through means of handwork. So gambling is not halal, for example, so that is considered something which so there is an issue of the halal of that money which in the western is not there. So this is our local boundary and we have to respect this because at the end of day it's the leader who will ask the organisation or the donor. So if he is not comfortable with that respected MD or CEO then he is not going to make that ask.

Interviewer: *Thank you for your time and assistance in this interview.*

End Recording

Appendix F 2 Interview Transcript – *University II* Alumni Relations Officer



Tasmania Social Science HREC Reference: H11474

***Growing University's funding through philanthropy.
An Australian and a Malaysian case study***

INTERVIEW TRANSCRIPT

Interviewer : Rohayati Mohd Isa
Interviewee : *University II* Alumni Relations Officer

Date : 13 September 2011
Time : 12:00pm – 1:00pm
Place: : Office of the Alumni Relations Officer
University II

Persons Present : Rohayati Mohd Isa - Interviewer
: Alumni Relations Officer - U2-Admin₅

Interviewer: *I would like to begin by thanking you for your time and interest in taking part in this interview. Your views and experience are very valuable in helping me to better understand the issues relating to philanthropic supports to Higher Education Institutions. Thank you for giving your permission for me to tape record and take notes during the interview.*

Can you share with me about your background, area of specialization and the University's alumni activities

U2-Admin₅ I have never done a job exactly like this before but many of the things that I have done before contribute to this job. So I have a degree from Oxford but in Modern History and then I have worked in management and administration since then. And I have also. I took quite a lot of time out when I had my children and I wrote novels and children's books and fiction for women and magazines. And then from there I moved to being a freelance editor and proofreader. So all of those skills have been very helpful in as much as we have the alumni news magazine etcetera and I have to write a newsletter every month. So I do find that just having a good facility with the written word has been very useful. Also before this job I worked with the Launceston Chamber of Commerce and did a lot of events management, and so again that's been useful. Now the one area that I have never worked in before is philanthropy. So I have done some training, but my role as alumni development manager gives me management responsibility for alumni relations, reporting to Mark all over the world, but just fundraising responsibility in the North of Tasmania. For me that turns out to be at the moment working with corporate donors in the north. I do think that it is very important for the future but my understanding is that at the moment I think alumni are not giving fifty percent of our philanthropic income. But maybe in the future you know when we have built up more engagement with them you would hope that this must be an important pool, but at the moment not quite yet. No. Well somebody was in a role similar to mine and has been for some years. My position is new as of last year but certainly there was no fundraising responsibility in this role before last year. Other people had done the role before, just the alumni relations but not on its own, so perhaps combined with other events or graduations.

So alumni was more done sort of off the side of their desk as one activity out of several and although, also really there was some events, no e-newsletter that's new, and maybe one magazine per year where there was intended to be two. So it was a little disorganised and so for example at the moment we're trying to visit London every year for an event. They managed to go once every 4 or 5 years, and the same with Canberra, once in 4 or 5 years. So then you're not really managing to build that relationship. You're there and the alumni are thrilled to see you and they say please come next year and you leave it for five years, it's doesn't really work. It's probably not a good use of resources. So I'd say that now I'm doing this role and without other responsibilities such as graduation, we're able to focus much more strongly on it. So it's certainly received a big boost.

Interviewer: *Can you share your involvement in the university's fundraising activities? Do you enjoy raising funds so far?*

U2-Admin₅ Yes, but just in Northern Tasmania. So I don't really have responsibilities for example for trying to raise funds, maybe from bequests from alumni on the other side of the world. Now where that of course there's a cross over is perhaps if you start to build a relationship with somebody on the other side of the world. I wouldn't dream of handing it over to somebody else because then the relationship would to some degree fall down, so if I meet somebody in London at an event then of course I'm going to pursue that opportunity gently. I don't have in-depth involvement in that. My involvement is much more in looking after our donors in the North, so I have about 40 donors up here who mainly contribute to scholarships for our scholarship program. And working with individual alumni who I meet and encouraging them to become more engaged so I have, yes that's the answer.

Interviewer: *Can you share with me about the human resources of the Alumni Relations Office, their role and responsibilities?*

U2-Admin₅ I have an alumni officer, and she's full time and then working for her we have a data entry staff and she works half time. But it is actually really difficult to make time to go out and try to fundraise when there is so much alumni relations work because really I'm the only one with [staff1] and [staff2] help dealing with the alumni relations in a concentrated way. And then the fundraising, I mean it's important, it's a very different activity so you have to really make time for that separately, so, and I don't feel that I get much support actually in that. I think if we could resourced I think it would be a really good thing, and I know that Mark was going to ask in the budget for the Development Officer for the North and I know that he's already asked before to have a shared position up in Cradle Coast Campus because realistically it's very difficult for me to cover that area as well and yes it would be a good thing.

Interviewer: *Is fundraising part of your yearly job performance evaluation?*

U2-Admin₅ Yes it is. But we have a team evaluation system and so it'. I mean for example, the other day I met up with some development team members at the University of Melbourne and their KPI's were really tough and I thought that would be very difficult in this position if you had quite such tough fundraising KPI's. And I think Mark well recognizes that would be unrealistic, just because of the amount of time that gets spent on running events and helping produce the magazine and the newsletters etc. So it's not too rigorous but we do have team KPI's to try and increase our fundraising by 15% in each area every year. So there's no doubt you know, you're expected to contribute to that, yes very much so.

Interviewer: *Can you share your experience in meeting the fundraising target?*

U2-Admin₅ Yes, it seems to vary a bit, but of course it can get skewed by one major donation and suddenly you've done it and you think, well, how will we do it next year without that million dollars that suddenly being produced. So it gets quite easily skewed.

Interviewer: *Can you share about your experiences in raising fund for the University, so far?*

U2-Admin₅ There has certainly been a lot to learn about what types of fundraising we're looking for and about our scholarships program which I knew nothing about. I only started this job last year, and so there's been a lot to learn about what kinds of sponsorship we're looking for. But having said that I suppose, I mean one of our biggest donors has been [Company's name] who have a manganese plant called [project name] up near [town name] and a lot of the relationships with staff at [Company's name] had been developed over the years by the scholarships office and the foundation, but more particularly by the community engagement manager for the North and so I worked with her then to make a presentation about what scholarships, perhaps [Company's name] might like to contribute, they were already doing a couple. But as a result they decided to increase their funding considerably, so they're basically donating nearly half a million dollars over five years, \$400,000 to \$500,000 over five years. So then of course it's a matter of continuing to manage that relationship and to make sure they're happy with the decisions and one of the areas that's difficult is that I have that relationship with the sponsor but the scholarships office have the relationships with the students, and to some degree with the sponsor over the actual applications that come in and short listing and so forth. So if we're not careful that can be an awkward cross over in whose dealing with the sponsor, and that's an area I don't really like very much. I rather wish that the scholarship office came under our controls and then we could be working, we do work closely with them, but even more closely. Sometimes I find that they tread on my toes in dealing with the sponsors.

Interviewer: *In your opinion, does the objectives or the vision of the Department's fundraising activities and the university's raising funds mission, is being cascaded down and understood by the staff?*

U2-Admin₅ Yes I think so, yes. I think really where improvement could be is in trying to educate faculties in. putting forward for example their fundraising priorities so that we can help work on those too. That's probably an area where, you know, in the past universities have been fairly well funded and now less well. But we haven't quite caught up, if you like; in the faculties becoming educated to think this is an important fundraising priority we must work with the development office to achieve this. So you know when Mark has written out to all the deans before, saying, what are your priorities for the year, sometimes there's not much in the way of replies and that's very frustrating because undoubtedly there are strong priorities. And I think that under the new Vice-Chancellor each faculty will be given much clearer fundraising targets themselves and that will raise their awareness.

Interviewer: *Can you share about the culture of giving in the branch campuses?*

U2-Admin₅ I'd say not very strong at the moment. Now I think there are a couple of ways that would going to be able to work more effectively, and that is because the alumni committee, which [Director] and I report to, has pretty much decided, and it will need to go to council, to change the definition of alumni and under the new definition students who have successfully completed one year at University will become student alumni, and this will give us the reason and well' have to develop a mechanism of communicating with those students. So we should be able to engage with them better before they graduate. At the moment we're finding, especially I think amongst the international graduates that they're not really aware of the alumni before they leave, and of course then we're playing catch up.

And the second change to the definition will be that any staff members who have worked here for three years will become alumni even while they are here and therefore we will be able to raise their awareness. So at the moment they don't unless they happen to be alumni anyway before they became staff members, they're not receiving our magazine and our newsletters and looking at all the engagement that we're trying to do. And once they are, it will be I think, much easier to start to get that message out.

Interviewer: *Could you share with me about the existing policy or rules and regulations alumni operation and who approved the policy?*

U2-Admin₅ In terms on trying to engage with alumni, our policy is to send out two alumni news magazines every year. The monthly e-newsletter to help engage with them. And to hold events, well, a lot of events every year. So at the moment I'm asked to hold two in the Launceston's area, two in Hobart, one in the North West, probably three interstate per year. So Canberra, for example we have a dinner coming up, and about three overseas, wherever there is a big enough cluster of alumni to make that worthwhile. And then, we also are trying to make busier our alumni networks overseas, so that there is a bit of ongoing activity when we can't be there. But we're trying to do that without actually using formal chapters because we felt that those have been quite fraught in the past with potential difficulties and even legal ramifications, so we're quite relaxed about the networks. We would rather that they didn't do much than that became difficult. So obviously we send the annual appeal to all the alumni every year, that's one of the benefits of being a relatively small university that we can still send the appeal to all of them, Definitely the alumni committee, yes. And the Vice Chancellor sits on the alumni committee as an ex-officio position. So that's all actually been done in our five year plan. That's very detailed but it does talk about not only the alumni relations activities but also the fundraising and how they connect together.

Interviewer: *Does the university benchmark the alumni relations with it's peers?*

U2-Admin₅ We're just starting to do that now. We have been looking at other universities and deciding which ones to benchmark and also talking to the Vice Chancellor about that and I think they're in the process of selecting three. And then we will be so that should start late this year of next year.

Interviewer: *How do you view the university's relationships with the alumni?*

U2-Admin₅ Actually, really quite positive. We have 55 thousand alumni that we believe we're managing to contact, and that's a huge number obviously to have any meaningful relationship with. But there are a significant core of alumni who do correspond all the time. Some of our KPI's are around more people updating their details on our integrated web database interface. And all the time we're finding more and more people are doing that. More people are coming to events and some initiatives that we've started, for example we're running a pilot mentoring scheme to engage alumni in mentoring final year students, particularly in [State] but we do have some interstate. That sort of thing has taken off in quite an exciting way, in such a way I hope that it will get beyond the pilot scheme and get run every year and we've found it quite easy to attract alumni to wishing to be engaged in this way. So certainly working with the networks to try and generate more activity when we're not there is difficult.

Interviewer: *How do you get updates about the chapters, their activities and progress?*

U2-Admin₅ It just involves a lot of coordination and emailing them. And also I send out a form towards the end of the year but this is new, we haven't done this before so I'm shortly going to send out the first year's form just asking them to report back on what activity there's been, But it will be quite a low level at this stage.

Interviewer: *What are the activities that have been done so far to engage students while they're still studying with the university?*

U2-Admin₅ So for example, with [Community Engagement Office], I held two public debates here recently, one on same sex marriage and one on euthanasia, and certainly we tried to get students involved by advertising them all around campus and so forth. And we have another event next week, where again I've opened it up to students in particular disciplines, so this is to do with for example, a refugee and a woman who worked at the war crimes tribunal at the Hague whose an alumnus, and again we've invited students to come from those disciplines like social work, sociology and government who I think would be interested. We're certainly not trying to be exclusive towards alumni but we're trying to attract students. We also plan to work increasingly at graduation time which I think is a little bit late but at the moment we're just not resourced to do much more. But we do we already in their envelope with their testimony they receive a letter from the alumni and a membership card and it tells them how to get involved. But we also have in the graduation brochure, we're going to ask the graduations office if we can have a bit about the alumni, and I was hoping to have something like this so that they can immediately scan it and get on our website and find out about us.

Interviewer: *How often does the alumni database get updated?*

U2-Admin₅ All the time. So for example, of the fifty five thousand or so active records we have we will have done between eleven and fifteen thousand record changes this year so it's a lot, an awful lot, which is why it has been fantastic that we managed to employ Natalie half time because we were getting a bit behind with our data entry. But no, we get hundreds and hundreds every month. So for example recently on the e-newsletter we managed to work out that we could show each alumnus what address we currently have for them and we asked them to go online or email us back. Overnight we would maybe get two to three hundred responses just from one e-newsletter. We keep every old address that they previously had. So whenever somebody changes their address with us we save the old one and use the new one. We don't do that in a systematic way and I think that with more resources we could work hard at using alumni to promote the university in different places and I think on the whole were not good at doing that yet. I think it's something that we could do much more with.

Interviewer: *So far how do you get your database started? Out of that how many are active?*

U2-Admin₅ From the student system, from when people graduate. So every graduate that we have ever had has come across onto our database. Yes, so we do have all of them for the last one hundred and twenty years. Fifty-five thousand. We have their active addresses, and there have been a bit over eighty thousand all together, many of whom now have died. But we have about fifty-five thousand, with we believe correct addresses. But each time we send out the magazine obviously many have moved. We probably have about four hundred returns. There's always an improvement and we try to think of ways every month in the newsletter to ask alumni to respond in some way and update their addresses. We give them incentives, free passes, draws, that sort of thing. But no, now that we have, I mean we could use [Staff name] full time but because of having her we've managed to do a lot of cleanup queries. So we will interrogate the database and see where, for example, country addresses are not consistently formatted and she will work through thousands and thousands of records just to make sure that they are up-to-date. But the lifelong email address will make a big difference when we get that hopefully next year.

Interviewer: *So you do send hard copies updates to the members, domestics and international?*

U2-Admin₅ Yes well so, with the magazine many alumni are married to each other. So this brings the fifty-five thousand down to about forty thousand that we mail and many thousand that we now email. So each year there are five thousand new graduates, so for half of last year and this year we're only sending the magazine electronically to them. So that's why there are a difference between our mailing list of forty thousand and fifty-five thousand all together. Plus there are many hundreds who have asked to have it electronically. Absolutely everywhere. Everywhere that we do have a good address, yes.

Interviewer: *What are the tools that the office uses to connect with the alumni and the prospects donors?*

U2-Admin₅ So I think those are the main ones, we have the magazine, the newsletter, events, the mentoring and the appeal. Those are probably the main ones that at the moment.

Interviewer: *What are the benefits given to the alumni?*

U2-Admin₅ We do have benefits, yes. Although I find that's a difficult area. We offer benefits and we try to offer a new one in every monthly electronic newsletter. But, it's interesting. It's difficult at the moment because our software is down, but we seem to find that quite a lot of people look at the benefit on the webpage but not very many people actually take it up. So whatever the discount or thing...if it's something free we get quite a lot of responses. When we surveyed the alumni, which Mark put in place just before I started so we got the results in January last year, 2010, benefits were something that the alumni said they really wanted; they were very keen on that. A high percentage wanted benefits. Well I think that they expect nice cheap accommodation and travel etcetera, anything that you can get. And of course nobody is going to tick no, I'm not interested because everybody wants a cheap deal. But the reality is, I don't think they are very interested. But the one area where I think they are interested and we get a lot of requests, is to get good access from home to electronic journals. And this is something that we are working closely with the library on. They can join the library for fifty dollars just as they can join the gym for etcetera. And they can go into any of the UTAS libraries and they can get onto the electronic journals in the library. But they can't yet do it from home. And we're working with IT through the library to try and make this possible for many journals. Now they will have to pay a higher fee but we think a lot of alumni would like this benefit, yes.

Interviewer: *Do you send letters of recognitions to the donor and alumni?*

U2-Admin₅ Certainly, whenever alumni make a donation or anybody makes a donation they do receive an acknowledgement and it's a different level of acknowledgement depending on how much they give. The office also put out a foundation update. So each six months there is a foundation update showing what has been done with the money and which scholars there are and there's a little profile about them etcetera. And then where we have alumni for example, in the latest newsletter we have an item that we mentioned where three totally separate alumni have got really good positions, one as a magistrate and one in government and one somewhere else, so we kind of mention those types of things so that we're always celebrating them. And in the alumni news magazine, we also always have at least one page on fundraising, so once a year we have a full list of all the donors who don't wish to be anonymous and we also have information about our different appeals perhaps well' just pick two. So in the next magazine in December there will be a item about the medical services two building which is near [place], its' being built for [Research Institute], so there will be an item about that. And last magazine we had information about Tyler, you know who gave the art collection, so we definitely try to celebrate where somebody's made a big donation.

The same with Mitchell Martin Webber who is a donor who rang up to give seven thousand and I think he gave one hundred thousand thanks to Mark chatting on the phone. And he obviously wanted quite a lot of publicity and he was mentioned in the magazine, very much so. And on the basis of his major donation it gave us a big boost to be able to provide more annual appeal scholarships of greater value so we gave a lot of that credit to him.

Interviewer: *What should be the measures taken by the university to improve the existing alumni and the university relationship?*

U2-Admin₅ Yes. I think there's a lot more we could do to work with them individually. If we had more staff there's no doubt about that. We could work harder at meeting with them and talking through with them opportunities for them to be involved with the university. But is all a matter of resourcing.

Interviewer: *Can you share the students/alumni/overseas chapters involvement as volunteers in fundraising activities?*

U2-Admin₅ Not very much. They have used volunteers in the past but at the moment we don't find that we have the staff available to organize it. So I certainly, it's a very good idea but at the moment I just wouldn't be able to take it on, just the organisation of it. Yeas, they are volunteers among overseas chapters. But we don't expect them to do a great deal. We expect them to be a first point of contact for maybe a new graduate or somebody who's traveling, let's say to Singapore. So they're name and contact details are there and then we might work with them. But in other places, for example Indonesia, we find they're not active or the person coordinating has been there for a long time and maybe the people that are meeting together are maybe all the same age, maybe they are all elderly, and it is not very welcoming for the younger graduates. This is something we would like to do better, I could maybe have just one staff member just dealing with international networks. That would be fantastic, that would be a big improvement.

Interviewer: *In your opinion, what else should be done to attract people to actually come and donate, especially the alumni?*

U2-Admin₅ Well I think one of the things that is building a little bit is alumni visiting, coming back to visit the university. So we support reunions, but for example we have, I think its now 18 Malaysian alumni coming here in October, so well' put on a tour of the Hobart campus because they studied in [place], and dinner with the Vice-Chancellor in the evening, and I guess not only are they coming and I know they will give a donation but also we give it quite a lot of publicity, so we will report on it in the magazine and we will let other people know that this happened so that they can maybe think this is a good idea, we also could do this.

Interviewer: *In your opinion, does that the university put a lot of interest and efforts in philanthropic sources and alumni as the potential sources to the university? Do you think it is necessary to have a qualified fundraiser or just anybody with an interest will do?*

U2-Admin₅ I think that the Vice-Chancellor really understands the need to have good relationships with alumni and the necessity for philanthropy. I'm sure he understand it and is and he's very prepared to come to events and speak and be the one you know, he does say use the position of Vice Chancellor to engage, but I haven't yet seen, I mean obviously our department is quite new, but our funding has gone down not up in the last twelve months.

And so, I think for the university to display a real commitment to philanthropy they would need to resource us more strongly for example a development officer in the North because Launceston are, the North has a far lower rate of donations than Hobart. So I'm sure there is untapped potential up here if they had somebody who could devote more time to it. I'm sure there is the potential, and I so think that the tools we are using, funnily enough just the electronic newsletter alone has really started to engage many alumni in corresponding, and then we had one group of alumni come and visit us. And completely triggered by the newsletter arriving with them when they were all on holiday together in Thailand, and I guess that started the conversation, and so I think just these small efforts of communications will gradually make the difference. Qualified might help, but there's undoubtedly courses. An experienced fundraiser might be a great help.

Interviewer: *What do you consider would be the greatest challenge in raising donations in this university?*

U2-Admin₅ I think it would be a matter of time. I think that its' something that we have to build the change in attitude and culture over several years. So you cannot expect to start in 2010 and have massive success within two years, but I think it is working with students and helping to get the message out repeatedly and often that universities are no longer funded to the degree that they need to be. Whereas a lot of our older graduates maybe still don't realize this. I don't think that the lack of university funding in Australia for example has received the same amount of publicity as it has in Britain where you know, where the students have been on strike etcetera because of the cut to their allowances towards like HECS type things. I don't think that's as clear to people here. And so I think it's going to be a matter of getting that message across over, consistently over several years and I think that's where all our communications and events, we're careful, at events for example, we try, we never ask for money but we mention the need for it every time. So that gradually we start to get this message across.

Interviewer: *Thank you for your time and assistance in the interview.*

End Recording

Appendix F 3 Interview Transcript – *University I* Individual Donor



Tasmania Social Science HREC Reference: H11475

***Growing University's funding through philanthropy.
An Australian and a Malaysian case study***

INTERVIEW TRANSCRIPT

Interviewer : Rohayati Mohd Isa
Interviewee : *University I* Individual Donor (U1-Donor₄)

Date : 11 May 2011
Time : 12:30 pm – 1:00 pm
Place : Finance Department Meeting Room
University I

Persons Present : Rohayati Mohd Isa - Interviewer
: Individual Donor - U1-Donor₄

Interviewer: *I would like to begin by thanking you for your time and interest in taking part in this interview. Your views and experience are very valuable in helping me to better understand the issues relating to philanthropic supports to Higher Education Institutions. Thank you for giving your permission for me to tape record and take notes during the interview.*

We shall begin the interview with some questions on your contribution background to the University. Why do you contribute to a specific public university? Why University I?

U1-Donor₄: Contributing can be in many forms such as volunteering work. Satisfaction not only from the work or the salary you received, but we must play a bigger role such as, becoming a volunteer. So my contribution is in terms of my involvement in some of the association and giving through zakat, alms giving. Since I am an employer in *University I*, so I decide to contribute to the university. Since I am working in a place which focused is on knowledge, therefore there is where my interest it. So my contribution is to help people to learn. Especially our children, future children. Even with a little help from us, can help in their education. Helping the general public and not to a specific group [race]. The people need for a good public institution. That's the reason why I chose to donate to the public university. I contribute to USM because I worked here and it's easy for me to contribute monthly through salary deductions. So it was easy for me to do through salary deduction. That's one reason. In addition, As someone working in the University, I love *University I*. Therefore I want to give to the University. I give to people close to me. Since USM close to me. I started with USM.

Interviewer: *How long have you been a donor to the university? Will you continue donating even after you are no longer working with the university?*

U1-Donor₄: Almost 15 years through the Islamic Center. Recently through the alumni office, 2-3 years ago. I will continue giving as long as I'm working here. I will continue giving if I have the capacity to do so even after I left the university.

Interviewer: *Is tax incentive a major factor influencing you to make such a contribution/donation to the university?*

U1-Donor₄: I don't look at tax as a factor to give. We give if we are able to do so.

Interviewer: *Can you share how you were approached for donation? What approaches should be taken by the university to solicit for donations? Do you have any suggestions for improvement to current fund raising approaches? What is your opinion about soliciting through phone?*

U1-Donor₄: Yes, there is an approach by the university, through email, letters, and pamphlets. Providing monthly contributions mechanism through USM alumni. The appeal was to support the student, for the education, for our future student. I'm really touched. So I contribute. I think a good approach is through salary deduction. Another kind of approach and is to contribute like giving during the fasting month such as breaking fast program that is helping students in need. Firstly we talk about staff. I think a good mode is through salary deduction. We can always have boxes around because some people do not want people to know of their donation. Through phone I really don't appreciate that approach.

Interviewer: *What should the university do to promote donation and contribution by the public?*

U1-Donor₄: Firstly, to approach the staff or USM community. To look for contribution to help the student. Then to approach the outside community. We should seek support from the parents. That of course if they want to promote to public we must have a reason behind it. Why, where is it going to be channel, because a person wants to contribute maybe wants to know where the money is it to be channel, so whatever the university want to organize for donation, fundraising, the reason behind the appeal should be the goal.

Interviewer: *How do you evaluate the university's ability to manage and handle the contributions? How often do you receive newsletter or report from the university?*

U1-Donor₄: I'm satisfied. I think it is the responsibility of the person collecting the money. It's their sole responsibility to ensure the collection is been done properly. To me that doesn't matter. It's not my concern. The people have to be sincere and to carry out the trust. They can always expand the area for giving. I feel that whoever is collecting the contribution should play their part. So I always think that's should be the way. Coming back to alumni. I don't know how much contribution they have received. Recently I receive some reports from the alumni office, where they give annual report which includes information on the amount collected. I just give a small contribution. I received letters from the Islamic Center and the alumni office. I think is quiet sufficiently.

Interviewer: *How do you evaluate your relationship with the university? What is your expectation by giving?*

U1-Donor₄: I don't expect any treatment from anybody for giving. No. you give you don't look for return. You don't look for better treatment just because you contribute. My father taught me not to wait until we were asked to help. When we can give, we should give. This practice was passed down by my father.

Interviewer: *In your opinion what do you consider to be the greatest challenge for the university in seeking donations from the public? What is your opinion about the culture of giving to the public universities in Malaysia?*

U1-Donor₄: Actually we have to change the mindset of the people. Educate the people. The challenge faced by the university is to change the mindset of the people. For example, so far up people are enjoying free education up to secondary level. But they have to pay fees when entering the university. So the challenge is to change the mindset of the people. Your money is not just to for you buy a car, for the house, but also for your children education. I don't want to be depended on the university and government to pay for my education as long as I can pay for it. I pay for it. We have scholarship but if you can, you have the money spend it on your children education. It's the mindset. I think that's the greatest challenge for us. It will take a long time to change the culture because if you asked someone who are not involved with the university or not involved with the public institution, they might not want to contribute. The trend is when the children are studying in the university, the parent will come forward to contribute to the public universities, but if they are not link to the universities, unless they are very rich, but I think it's very difficult for the people who are not totally link to the public institution. But I see a lot of it where the rich giving scholarships to the university students. I believe there are many contributions by the Malaysian community, Malaysian individuals. But we have the mentality that its the government university, so don't need to give but maybe we can change that.

Interviewer: *Are there any topic or ideas which we have not covered and on which you would like to share with me other than what we have discussed today?*

U1-Donor₄: I see sometimes to come to the stage where you want to be able to give will takes time. As a young person you have not learn a lot. So educate the young on the importance of sharing and not just receiving. So, even what you like you don't take it all. You must know how to share them. What you like you should just take a little. Don't take all.

Interviewer: *Thank you for your time and assistance in this interview.*

End Recording

Appendix F 4 Interview Transcript – *University II* Corporate Donor



Tasmania Social Science HREC Reference: H11475

***Growing University's funding through philanthropy.
An Australian and a Malaysian case study***

INTERVIEW TRANSCRIPT

Interviewer : Rohayati Mohd Isa
 Interviewee : *University II* Corporate Donor (U2-Donor₈)

 Date : 8 September 2011
 Time : 11:00am – 11:30am
 Place: : Office of the CEO

 Persons Present : Rohayati Mohd Isa - Interviewer
 : Corporate Donor₈ - U2-Donor₈

Interviewer: *I would like to begin by thanking you for your time and interest in taking part in this interview. Your views and experience are very valuable in helping me to better understand the issues relating to philanthropic supports to Higher Education Institutions. Thank you for giving your permission for me to tape record and take notes during the interview.*

Why does your organisation contribute to a specific public university? Why University II? Can you comment more about this?

U2-Donor₈: Sure. It might be seen as unusual for an organisation like TOTE Tasmania given it's owned by the government to have a gifting program as it does and where it supports various endeavors which might seem unusual for something owned by the government to do given the government's other broader social agenda. However, TOTE is run as an independent public style company and it wants to build its reputation as being part of the community in which it works from or invests in and takes its business from and that's important to it. There is a social policy inside of the business which pegs a percentage of the profit that we make each year, the net profit before tax that we make each year, to be gifted and that's what we look to do. In addition to that we also ask our employees to volunteer for various charities for two days in every year and we pay them their wages to volunteer. If they give their time to volunteer for various causes then we'll pay their salary to do that. And so that broader aspect that involves all the people in our business. Why do we choose the things we choose to invest in? It's more about investing in the future of the state and in the cultural heritage of the state and cultural diversity in Tasmania. We choose generally to invest silently, so that... we see that it could be that... the reputation of a gambling company investing in some of the areas that we do invest might taint that investment so we'll do it by proxy and in the case of the University of Tasmania we invested through the Order of Australia foundation and through one of our proxy companies, sorry one of our subsidiaries companies called Agility which is an IT company. So the reason we do that is because the benefit is around the good that it does rather than the advertising the organisation gets from it.

So in the case of the support for the university the focus is in around leadership development, areas of interest which would be beneficial to business in Australia. We see that as something we would like to support as an organisation and it's time to continue to support doing that. So that's why we do that, it's because there's a social agenda within the business to say we ought to be doing this, we ought to be giving back to the community. We don't necessarily give a dividend to the community per se but this is our way of giving dividend and sharing some of the wealth creation. We do give outside of the university. There are a number of donations made to community organisations and groups which so various things in the community. For instance we gave to a group who through proxy, who made donations to community gardens, and so it didn't come from TOTE. So community gardens for people who were isolated and socially disadvantaged in that way, to a group who were in a men's group in the Midlands of Tasmania, so senior citizens, older men living on farms all around central Tasmania who have no social outlet, sitting in four walls all week could be picked up and taken to a group to socialize.

Interviewer: *Can you share your views on the support shown by the Australian companies in supporting public universities in terms of funding or infrastructure?*

U2-Donor₈: Yeah, it's funny. I would agree with your observation that there is probably less involvement in that in Australia, or less... Yes, or even internationally. But I think the point we made before we started the interview, and if we look at the US, and I'm in the alumni at Harvard Business School, so I would say at least once a month I would get a letter seeking my financial support for something and I read about what other people are doing. That university, this is Harvard together, has an enormous endowment fund such that here are very few students who go there, certainly in PhD and Master's programs who pay full fees. Most of them go there on talent and they're subsidized from the endowment. That's from generous donations and their own investment. But buildings there, I know when I was there Michael Bloomberg donated 6 million dollars just to build a new door on one of the libraries, just enormous donations. Well fortunately *University II* has benefited from some very kind donations. I know that there is a art collection that was recently donated to the university. In terms of heritage that's a fantastic donation to make, but in terms of financial support we can never sell it so it hangs on the wall somewhere, but still it's very nice and very generous of the benefactor. But there doesn't seem to be that history here. And I think that may be to some extent that universities in Australia, that's not part of their culture to do it in the same way, they don't work as hard at it. Endowment funds are made major businesses so I'm contacted all the time and I don't see that in Australian universities so it may be because the universities aren't professional enough about seeking out the support.

Interviewer: *What is your understanding about the tax incentives applied to your organisation's contribution(s) to the public universities? Do you see the current tax incentives has encouraged giving?*

U2-Donor₈: Well, if they're looking at their bottom line I think that's it's less about tax to be honest with you because all the tax does is allow the corporation to be more generous, so it's more about the financial conditions in which the companies trade. So to the extent that they don't have spare cash and they're cutting costs, they're gifting program would be one of the first things to be cut. So in terms of your broader question about what would a public corporation in Australia and why they would be interested in tax because it gives you the opportunity to be more generous. You can get 30% of your donation back in tax; you're inclined to give more money.

Interviewer: *Is tax incentive a major factor influencing your organisation to make such a contribution/donation to the university?*

U2-Donor₈: It doesn't factor into our consideration because of the nature of our ownership we don't actually pay tax so for us it's not a factor.

Interviewer: *Besides tax incentives, what are the important reasons prompting your organisation to make donations/contributions to the university? Can you share the organisation's view on matching gifts in attracting staff to volunteer or donate?*

U2-Donor₈: Well that's an interesting point because that's a were we get, we tell all our people about it internally these things that we're doing and so it helps build pride in the organisation and that [Company's name] not all about gambling but it's about giving back to the community. So it's important internally, less important for us externally and there are other things we do to advertise the business but that's less important to us in that sense. We've had people say to us, we shouldn't accept this gift because we don't want to be accepting gifts. We don't want people to connecting our brand with your brand because you're a gambling company and for whatever that is. But we respect that, so in the gifting program it's not actually promoting the company it's actually giving back. And the only promotion that happens is that the staff know. So people inside the business understand what happens when this business is more than just generating profits and handing those to the shareholders. There isn't a rule there that says that it couldn't be international, but as a matter of practice it has always been Australian, local and mostly Tasmanian.

Interviewer: *What is your opinion of government policies to encourage giving?*

U2-Donor₈: There is an encouragement to the extent that you get a tax deductibility, but the tax deductibility only relates to certain donations and you have to apply for that in you're and organisation on that side and there are certain organisations that can't get so I'm not sure that general philanthropic activity is encouraged, but certainly in areas, building funds and certain relief charity organisations and like certainly are supported by the government. Is it appropriate? Well to the extent that they do that that's appropriate. But I think it's less about government encouragement and more about capacity and in difficult economic times for organisations capacity is tighter so they don't do it. But there are good reasons why companies, and mostly internal culture reasons, are involved in gifting programs.

Interviewer: *How do you evaluate the university's ability to manage and handle the contributions?*

U2-Donor₈: The bursary program at [University II] is very strong, and that's the program we're associated with, and what I can see from that there are many students, undergraduate, post graduate, who are getting good support from the business community in Tasmania, maybe you could get more.

Interviewer: *What in your opinion should the university do to promote donations and contributions to the university?*

U2-Donor₈: Well there needs to be a strategic approach to it and a very definite view of the target and to go out a chase it and deal with it. I know that happens but I don't know that it happens to the same degree, well that's my observation. If you want more money, put more effort into it, it's a statistical game, the more you ask the more you'll get. Yeah, I think there is from corporate Australia there's fairly broad support, certainly in research. But in broader support, I just think more work needs to be done from the university's perspective. Well in the absences of...it's just not visible enough to me.

In the absence of understanding exactly what actually happens in Australian universities by comparison to what I see from Harvard, I know exactly what's going on in that university and what's happening with their endowment fund, and what they're doing and who they're supporting people and how that is happening, but I don't see that in Australia, I don't see that in [University II]. They need to better market themselves. Well I suppose I take the view that so long as you get the formula right, and even if you don't get it quite right, the more you ask the greater success you will have because it's a numbers game. If you're successful 5% of the time, so five and a hundred times and you ask a hundred people you'll get five successes, if you ask five hundred people you'll get twenty-five successes, so it automatically follows. So self-promoting would generate the income for the university but that's a big thing, touting yourself in that way is maybe uncomfortable for some people.

Interviewer: *In your opinion, is philanthropic giving a potential source of funding for Australia public universities?*

U2-Donor₈: Yes I do. Well, there's good evidence of it today in Australia, there's just not enough of it, so I think, it's not as though we're running a vacuum here, there is philanthropic donation and in Tasmania as well. It's just that if it were approached better you might get more of it, and people understood how that money was being spent or applied, and that art donation that was made recently was because the chap who went to the university who gave the art was an undergraduate at [University II] and then went on to some Ivy Leagues and some other various universities, I think it might have been the University of Melbourne as well, but he saw Tasmania as being the poor cousin, as being the one that started out and all the others having the opportunity of getting the money which I thought was rather a nice connection. In his case it was a genuine donation because it wasn't about promoting himself in some learned and esteemed institution from the US or wherever, it was about where it was needed. And I suspect that if more people understood the real benefit of this, and can make that connection then you'd get more donations.

Interviewer: *We now move on to talk about the relationship between your organisation as a donor with University II. How do you evaluate the relationship between your organisation as a donor and the university? Have the university provided enough information or communicated about your donations?*

U2-Donor₈: Yeah, there is. The last thing, to be honest with you, the last thing we want...we want to know that the right people have been selected and that there's a process for that. We've met the students and we know what's been happening with those and all that's going forward, and so that information flows back. But I think, so once you're in the system it's very good, it's therefore getting people into the system. Well I think that I feel appropriately communicated with. It's about finding new ones because you don't know what you don't know and so...And I have to say we sorted out the donation in the first instance. We went out to the Order of Australia and we said that we would like to be involved in this process and that's how it came about. So we actually activated it, it wasn't an approach. We don't need to know all the fine minutiae, but I think where it would be more beneficial is if there were, and maybe in the alumni of the university and contacting former students who have gone on to do other things and keeping a good check of the alumni. So I suspect, because that would be a good thing, the alumni programs are less intensive in Australia than they are in the US. I'm getting emails all the, at least three or four a week on various alumni programs. It's very active, and on travel and new information, articles, a whole range of stuff keeps flying through.

Interviewer: *Is the organisation satisfied with the current relationship with the university?*

U2-Donor₈: Yes. But I think more could be done. I'm not sure how many organisations are out there, I think there are more of them, but how many more organisation are actually looking to do that and they're looking to a gifting program, they're making choices about what's visible to them and maybe this is invisible.

Interviewer: *Thank you for your time and assistance in this interview.*

End of Recording

Appendix G Examples of Survey-questionnaire Instruments

- Appendix G1 Survey-Questionnaire for Private Individual Donor
- Appendix G2 Survey-Questionnaire for Questionnaire
Corporate/Trust/Foundation
- Appendix G3 Survey-Questionnaires Content Summary
- Appendix G4 Internal Reliability of Survey-Questionnaires items

Appendix G 1 Survey-Questionnaire for Private Individual Donor



1 April 2011

SQ.2A
Private Individual Donors
Questionnaire

SQ.2A				
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Research Study: Growing the university's funding. Is philanthropy the answer? A case study of Universiti Sains Malaysia and University of Tasmania

Sir/Madam,

You are invited to participate in a research study into the role of philanthropy in public university funding. The study is being conducted by Ms Rohayati Mohd Isa, a PhD student in the Faculty of Education at the University of Tasmania, Australia, in fulfillment of her doctoral studies under the supervision of Professor Williamson and Dr Myhill, senior staff members in the Faculty of Education, and Associate Professor Wilmshurst a senior staff member in the Faculty of Business. Ms Rohayati Mohd Isa is also a Senior Financial Administrator at the Universiti Sains Malaysia (USM) and is currently on study leave from that institution.

The purpose of this study is to investigate whether philanthropic contribution can be a reliable strategic alternative for raising additional funds for a public institution of higher learning. This purpose will be achieved by investigating (1) how a public university in a developing country (Malaysia) and a public university in a developed western society (Australia) view and develop private philanthropic support as a sustainable revenue stream; (2) appropriate planning strategies and management approaches which promote the growth of philanthropy as a major component of the university's funding mix in the context of both Australia and Malaysia; (3) the determining factor(s) of successful fund raising models for higher education between countries taking into consideration the different contexts and expectations; and (4) the reasons for the different rates of success and the critical success factors in building a practical fund raising framework using private philanthropic support for the case study universities.

You are invited to participate in this study because of your unique insight in the philanthropic support to the public institution of higher learning which is vital to the study. As a donor/alumnus to the university, we trust your views, experience and input on this matter can provide significant insight into the study. Your input will be valuable for the advancement of knowledge in this area.

The questionnaire consists of two parts: Part A consists of Section 1 which will ask you to provide some demographic information. Part B consists of Section 2, 3 and 4 which will ask you to give answers on your views, opinion and experiences concerning philanthropic support to the university. The survey comprises of 30 questions and should take approximately 15 to 20 minutes to answer. We would appreciate you answering all the questions. All responses will remain **confidential**. Kindly return the completed questionnaire by **30 June 2011** using the attached envelope to: **Ms Rohayati Mohd Isa, Faculty of Education, Locked Bag 1307 Launceston Tasmania 7250 Australia**. If you would like further information about the study, please contact **Ms Rohayati Mohd Isa** on email: rmohdisa@postoffice.utas.edu.au

Thank you.
Rohayati Mohd Isa

Date: / /
 MM DD YYYY

PART A	SECTION 1 DEMOGRAPHIC INFORMATION	
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The following questions ask you to provide some **information about yourself**. Please tick (✓) the appropriate response in the boxes provided.

Q1.1. You are
 Please tick (✓) all that apply

- ☐ 1. Currently employed with the *University of*
- ☐ 2. Retired/resigned from the *University of*
- ☐ 3. Graduated from the *University of*
- ☐ 4. Currently studying in the *University of*
- ☐ 5. Other, please specify

Q1.2. Gender

- ☐ 1. Male
- ☐ 2. Female

Q1.3. What is your age
 in years?

- | | | | | |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 1 | 2 | 3 | 4 | 5 |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 20 years
or under | 21 - 40
years | 41 - 60
years | 61 - 80
years | 81 years
or over |

Q1.4. What is your current
 marital status?

- | | | | | |
|-----------------------------|--------------------------------------|--------------------------|--------------------------|--------------------------|
| 1 | 2 | 3 | 4 | 5 |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Single,
never
married | Married/
living with
a partner | Separated | Divorced | Widowed |

Q1.5. How many children
 do you have?

- | | | | |
|--------------------------|--------------------------|--------------------------|--------------------------|
| 1 | 2 | 3 | 4 |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| None | 1 - 2 | 3 - 4 | 5 and more |

Q1.6. What is your country
 of residence?

- ☐ 10. Australia
- ☐ 194. Other, please specify

Q1.7. What is your education background? *Please tick (✓) all that apply.*

<input type="checkbox"/> 1. Primary	<input type="checkbox"/> 5. Masters Degree
<input type="checkbox"/> 2. Secondary	<input type="checkbox"/> 6. Doctoral Degree
<input type="checkbox"/> 3. Post Secondary/Diploma	<input type="checkbox"/> 7. None of the above, please specify and proceed to Q1.9.
<input type="checkbox"/> 4. Bachelor's Degree	<div style="border: 1px solid black; height: 30px; width: 100%;"></div>

Q1.8. Please indicate your tertiary education history/information.
Please respond (✓) for each qualification.

Degree	1.1. Faculty/School	2.1. Year Graduated	3.1. Institution
Post Secondary/Diploma	<input type="checkbox"/> 1. Arts & Music	<input type="checkbox"/> 4. Engineering, Architecture, Technology	<input type="checkbox"/> 1. 1969 and before
	<input type="checkbox"/> 2. Business	<input type="checkbox"/> 5. Health & Science	<input type="checkbox"/> 2. 1970-1980
	<input type="checkbox"/> 3. Education	<input type="checkbox"/> 6. Law	<input type="checkbox"/> 3. 1981-1990
Degree	<input type="checkbox"/> 1. Arts & Music	<input type="checkbox"/> 4. Engineering, Architecture, Technology	<input type="checkbox"/> 4. 1991-2000
	<input type="checkbox"/> 2. Business	<input type="checkbox"/> 5. Health & Science	<input type="checkbox"/> 5. 2001 and after
	<input type="checkbox"/> 3. Education	<input type="checkbox"/> 6. Law	<input type="checkbox"/> 2. Other
Bachelor	<input type="checkbox"/> 1. Arts & Music	<input type="checkbox"/> 4. Engineering, Architecture, Technology	<input type="checkbox"/> 1. 1969 and before
	<input type="checkbox"/> 2. Business	<input type="checkbox"/> 5. Health & Science	<input type="checkbox"/> 2. 1970-1980
	<input type="checkbox"/> 3. Education	<input type="checkbox"/> 6. Law	<input type="checkbox"/> 3. 1981-1990
Degree	<input type="checkbox"/> 1. Arts & Music	<input type="checkbox"/> 4. Engineering, Architecture, Technology	<input type="checkbox"/> 4. 1991 - 2000
	<input type="checkbox"/> 2. Business	<input type="checkbox"/> 5. Health & Science	<input type="checkbox"/> 5. 2001 and after
	<input type="checkbox"/> 3. Education	<input type="checkbox"/> 6. Law	<input type="checkbox"/> 2. Other
Master	<input type="checkbox"/> 1. Arts & Music	<input type="checkbox"/> 4. Engineering, Architecture, Technology	<input type="checkbox"/> 1. 1969 and before
	<input type="checkbox"/> 2. Business	<input type="checkbox"/> 5. Health & Science	<input type="checkbox"/> 2. 1970-1980
	<input type="checkbox"/> 3. Education	<input type="checkbox"/> 6. Law	<input type="checkbox"/> 3. 1981-1990
Degree	<input type="checkbox"/> 1. Arts & Music	<input type="checkbox"/> 4. Engineering, Architecture, Technology	<input type="checkbox"/> 4. 1991 - 2000
	<input type="checkbox"/> 2. Business	<input type="checkbox"/> 5. Health & Science	<input type="checkbox"/> 5. 2001 and after
	<input type="checkbox"/> 3. Education	<input type="checkbox"/> 6. Law	<input type="checkbox"/> 2. Other
Doctoral	<input type="checkbox"/> 1. Arts & Music	<input type="checkbox"/> 4. Engineering, Architecture, Technology	<input type="checkbox"/> 1. 1969 and before
	<input type="checkbox"/> 2. Business	<input type="checkbox"/> 5. Health & Science	<input type="checkbox"/> 2. 1970-1980
	<input type="checkbox"/> 3. Education	<input type="checkbox"/> 6. Law	<input type="checkbox"/> 3. 1981-1990

Q1.9. What is your employment status?

- ☐ 1. Unemployed
- ☐ 2. Self-employed
- ☐ 3. Employed

Q1.10. What is your yearly income?

- | 1 | 2 | 3 | 4 | 5 | 6 |
|--------------------------|---------------------------|---------------------------|---------------------------|-----------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| \$25,000
or
less | \$25,001
-
\$49,999 | \$50,000
-
\$74,999 | \$75,000
-
\$99,999 | \$100,000
-
\$124,999 | \$125,000
or
more |

Q1.11. How did you support your study in the university? *Please tick (✓) all that apply*

- ☐ 1. Not Applicable
- ☐ 2. Loan
- ☐ 3. Working part-time
- ☐ 4. Scholarship
- ☐ 5. Parents
- ☐ 6. Working full-time
- ☐ 7. Other, *please specify*

Q1.12. Have you been involved in the *University II* fund raising activities?
(*eg: The university fund raising campaign, sports or charity events*)

- ☐ 1. Yes,
*please explain
briefly the nature of
your involvement*

- ☐ 2. No,
*please explain the
reason why.*

Q2.2. How long have you been a donor to the *University II*?

1	2	3	4	5
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
0 - 1 year	2 - 10 years	11 - 20 years	21 - 30 years	More than 30 years

Q2.3. How often do you contribute to the *University II*?

1	2	3	4	5
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monthly	Annually	Bi-annually	Every three years	Rarely

Q2.4. What types of contribution have you donated to the *University II* in the last five years 2006–2010)? *Please tick (✓) all that apply.*

- | | | |
|--|--|--|
| <input type="checkbox"/> 1. Academic scholarships | <input type="checkbox"/> 5. Life insurance | <input type="checkbox"/> 9. Research grants /programmes |
| <input type="checkbox"/> 2. Bequest | <input type="checkbox"/> 6. Named chairs | <input type="checkbox"/> 10. Special programmes/projects |
| <input type="checkbox"/> 3. Cash (including cheque, direct deposit, shares, bonds, debentures) | <input type="checkbox"/> 7. Pledges | <input type="checkbox"/> 11. Tangible personal property (eg: artwork, museum artefact, books) |
| <input type="checkbox"/> 4. Gifts in-kind (eg: equipment, furniture, facilities) | <input type="checkbox"/> 8. Real estate (eg: land, building) | <input type="checkbox"/> 12. Other, <i>please specify</i> :
<div style="border: 1px solid black; height: 40px; width: 100%;"></div> |

Q2.5. What are the purposes of your contribution?
Please tick (✓) all that apply.

- | | |
|---|--|
| <input type="checkbox"/> 1. Donors interest/request | <input type="checkbox"/> 7. Special purposes, <i>please specify</i>
<div style="border: 1px solid black; height: 60px; width: 100%;"></div> |
| <input type="checkbox"/> 2. Research and innovation | |
| <input type="checkbox"/> 3. Staff welfare | |
| <input type="checkbox"/> 4. Scholarship for students | <input type="checkbox"/> 8. Other, <i>please specify</i>
<div style="border: 1px solid black; height: 60px; width: 100%;"></div> |
| <input type="checkbox"/> 5. Student welfare | |
| <input type="checkbox"/> 6. University infrastructure | |

Q2.6. Which of the following statements best describes the support you provide to the *University II*? Please tick (✓) one.

1	2	3	4	5
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have never supported the university and do not plan to do so in the future	I have never supported the university but plan to do so in the future	I have supported the university but do not plan to continue	I currently support the university and plan to increase my support in the future	I currently support the university and plan to continue my support

Q2.7 What types of contribution will you consider donating to the *University II* in the future? Please tick (✓) all that apply.

<input type="checkbox"/> 1. Academic scholarships	<input type="checkbox"/> 5. Life insurance	<input type="checkbox"/> 9. Research grants/programmes
<input type="checkbox"/> 2. Bequest	<input type="checkbox"/> 6. Named chairs	<input type="checkbox"/> 10. Special programmes/projects
<input type="checkbox"/> 3. Cash (including cheque, direct deposit, shares, bonds, debentures)	<input type="checkbox"/> 7. Pledges	<input type="checkbox"/> 11. Tangible personal property (eg: artwork, museum artefact, books)
<input type="checkbox"/> 4. Gifts in-kind (eg: equipment, furniture, facilities)	<input type="checkbox"/> 8. Real estate (eg: land, building)	<input type="checkbox"/> 12. Other, please specify: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>

Please **rank** the following channels of giving in terms of importance to you using the scale from **1 (least) to 6 (most)**. Please tick (✓) only one response for each question.

Q2.8. Channels to solicit donations;

Num	Channels	(Least) 1	2	3	4	5	(Most) 6
1.	Through electronic mail (e-mail)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Direct debit from bank account or credit card	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Through advertisements in mass media	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Direct mail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Through fund raising charity programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Through the university's fundraisers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please **rate** the following types of charities in terms of importance to you using the scale from **1 (least) to 5 (most)**. Please tick (✓) only one response for each question.

Q2.9. Contribution interests;

Num	Organisation	(Least)				(Most)
		1	2	3	4	5
1.	Animal welfare (e.g: RSPCA, WSPA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Children's welfare (e.g: The Smith Family, Children's Charities, World Vision Australia, Orphanage Organisation)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Old folks (e.g: Foundation for Aged Care, Alzheimer's Australia Vic)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Health and medical (eg: Action Aid Australia, National Breast Cancer Foundation)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Religious (eg: Community church)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Tertiary education – Private university	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Tertiary education – Public university	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	School education – Public school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	School Education – Private School	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	International aid and development (e.g: Water Aid Australia, Australian Red Cross, World Food Programme (WFP))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PART B	SECTION 3 GIVING INCENTIVES
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The following questions ask you to provide your views on **factors influencing your contribution's to the university**. Please **rate** the following factors (**policy, personal, institution**) in importance to you using the scale from **1 (least) to 5 (most)**. Please tick (✓) only one response for each question.

Q3.1. Factors influencing my decision to contribute to the University II are:

A. Policy

Num	Factors	(Least)				(Most)
		1	2	3	4	5
1.	tax savings incentives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	government policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	matching gift received from my employer for my contributions to the public universities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B. Personal

Num	Factors	(Least) 1	2	3	4	(Most) 5
1.	my personal principle	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	my social responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	public relation purposes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	the way for me to show my gratitude to the university for my accomplishments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	my loyalty to the university	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C. Institution

Num	Factors	(Least) 1	2	3	4	(Most) 5
1.	the university's ranking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	the university's leaders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	the university's students' achievements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	the university's vision and mission	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	the university's financial position	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	the university's academic achievements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	the university's fund raising campaign	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	other donors contributing to the university	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9..	the university's reputation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	the university's research achievements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	the university's corporate values	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.	the university's Alumni's achievements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.	the university actively approaches me for my contribution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.	my preference is to contribute to the <i>University II</i> rather than other institutions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PART B	SECTION 4 RELATIONS WITH ALMA MATER
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The following questions ask you to provide your views on your relationship with the *University II*. Please read the statements below and select the response that best fits your view. Please tick (✓) only one response for each statement.

SA = Strongly Agree, A = Agree, N = Not Sure, D = Disagree and SD = Strongly Disagree

Q4.1. The people in the *University II*:

Num	Statements	1 SD	2 D	3 NS	4 A	5 SA
1.	value my participation in the university's activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	treat me well as a donor/alumnus of the university	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	show concern for my accomplishments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	value my contribution to the university's well-being.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	responds to any complaints or suggestions I have concerning the university.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	keep me informed of how my contributions are being managed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	give me suggestions on where best to place my contribution.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	take pride in my accomplishments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	acknowledge me when I did something that benefits the university.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q4.2. I am satisfied with:

Num	Statements	1 SD	2 D	3 NS	4 A	5 SA
1.	the on-campus benefits I receive for being a donor/alumnus of the <i>University II</i> .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	the decisions the <i>University II</i> makes for the use of my funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	the <i>University II</i> 's ability to manage my contributions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	the methods used by the <i>University II</i> in making requests for my contribution.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	the <i>University II</i> 's fund raising objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	the information I receive regarding the use of my funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	the recognition I received from the <i>University II</i> for being a donor/alumnus.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q4.2. I am satisfied with:

Num	Statements	1 SD	2 D	3 NS	4 A	5 SA
1.	the on-campus benefits I receive for being a donor/alumnus of the <i>University II</i> .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	the decisions the <i>University II</i> makes for the use of my funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	the <i>University II</i> 's ability to manage my contributions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	the methods used by the <i>University II</i> in making requests for my contribution.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	the <i>University II</i> 's fund raising objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	the information I receive regarding the use of my funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	the recognition I received from the <i>University II</i> for being a donor/alumnus.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please read the statements below and select the response that best fits your view. Please tick (✓) only one response for each statement.

SA=Strongly Agree, A= Agree, NS= Not Sure, D=Disagree and SD=Strongly Disagree

Q4.3. I believe that:

Num	Statements	1	2	3	4	5
		SD	D	NS	A	SA
1.	the university's fundraisers care about me.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	the university's fundraisers will not take advantage of my generosity.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	the university's fund raisers will always tell me the truth.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	my contribution to the university will bring benefits to the people I know.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	public universities need financial support from the university's Alumni more than private universities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	the university has succeeded in marketing my contributions to the community.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	public universities need financial support from philanthropists more than private universities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q4.4. As a *University II's* donor/alumnus, I value:

Num	Statements	1	2	3	4	5
		SD	D	NS	A	SA
1.	receiving regularly the university's newsletter and updates.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	receiving acknowledgement letters about my contributions from the university leaders.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	volunteering in the university's community projects.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	the university's efforts in publicizing my contributions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	attending university functions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q5. If you would like to make any further comments or suggestions as a donor/alumnus to support the financial needs of the university, please use the space below.

Are you interested in taking part in an interview?

The topics to be covered in the interview will be on your views and experience on philanthropic support to the public universities.

If you would like to participate in the interview or you would like further information about the study, please contact Ms Rohayati Mohd Isa on email:

rmohdisa@postoffice.utas.edu.au

Thank you for your participation.

Your responses will help us to understand this important topic better.

Appendix G 2 Survey-Questionnaire for Questionnaire Corporate/Trust/Foundation



1 April 2011

SQ.2B**Corporate Donors
Questionnaire**

SQ.2B				
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Research Study: Growing the university's funding. Is philanthropy the answer? A case study of Universiti Sains Malaysia and University of Tasmania

Sir/Madam,

Your organisation is invited to participate in a research study into the role of philanthropy in public university funding. The study is being conducted by Ms Rohayati Mohd Isa, a PhD student in the Faculty of Education at the University of Tasmania, Australia, in fulfillment of her doctoral studies under the supervision of Professor Williamson and Dr Myhill, senior staff members in the Faculty of Education, and Associate Professor Wilmshurst a senior staff member in the Faculty of Business. Ms Rohayati Mohd Isa is also a Senior Financial Administrator at the Universiti Sains Malaysia (USM) and is currently on study leave from that institution.

The purpose of this study is to investigate whether the philanthropic contribution can be a reliable strategic alternative for raising additional funds for a public institution of higher learning. This purpose will be achieved by investigating (1) how a public university in a developing country (Malaysia) and a public university in a developed western society (Australia) view and develop private philanthropic support as a sustainable revenue stream; (2) appropriate planning strategies and management approaches which promote the growth of philanthropy as a major component of the university's funding mix in the context of both Australia and Malaysia; (3) the determining factor(s) of successful fund raising models for higher education between countries taking into consideration the different contexts and expectations; and (4) the reasons for the different rates of success and the critical success factors in building a practical fund raising framework using private philanthropic support for the case study universities.

Your organisation has been invited to participate in this research because of its unique insight in the philanthropic support to the public institution of higher learning which is vital to the study. As a corporate donor to the University, we trust your organisation's views, experience and input on philanthropic support to the public institutions of higher learning can provide significant insight into the study.

The questionnaire consists of **two (2)** parts: **Part A** consists of **Section 1** which will ask you to provide some demographic information. **Part B** consists of **Section 2, 3 and 4** which will ask you to give answers on your organisation's views, opinion and experiences concerning philanthropic support to the university. The survey comprises of 19 questions and should take approximately 15 to 20 minutes to answer. We would appreciate you answering all the questions. All responses will remain **CONFIDENTIAL**. Kindly return the completed questionnaire by **30 June 2011** using the attached envelope to: **Ms Rohayati Mohd Isa, Faculty of Education, Locked Bag 1307 Launceston Tasmania 7250 Australia**. If you would like further information about the study, please contact **Ms Rohayati Mohd Isa** on email: rmohdisa@postoffice.utas.edu.au

Thank you.
Rohayati Mohd Isa

Date: / /

MM DD YYYY

**PART
A****SECTION 1****DEMOGRAPHIC INFORMATION**

The following questions ask you to provide some information about your organisation. Please tick (✓) the appropriate response in the boxes provided. Only one response for each question.

Q1.1. What is the type of your organisation?

- ☐ 1. Australian owned company
- ☐ 2. Foreign owned company
- ☐ 3. Government owned company
- ☐ 4. Trust/Foundation
- ☐ 5. Other, *please specify*

Q1.2. Where is your organisation's located?

- ☐ 10. Australia
- ☐ 194. Other, *please specify*

Q1.3. What is the nature of your organisation's business?

- | | | | |
|--|---|--|--|
| <input type="checkbox"/> 1. Retail and wholesale | <input type="checkbox"/> 5. Construction | <input type="checkbox"/> 9. Transportation and communication | <input type="checkbox"/> 13. Culture, sport, and leisure services |
| <input type="checkbox"/> 2. Medical health and social welfare services | <input type="checkbox"/> 6. Agriculture, forestry and fisheries | <input type="checkbox"/> 10. Finance, banking and insurance | <input type="checkbox"/> 14. Professional science and technical services |
| <input type="checkbox"/> 3. Accommodation and restaurants | <input type="checkbox"/> 7. Education services | <input type="checkbox"/> 11. Manufacturing | <input type="checkbox"/> 15. Other, <i>please specify</i> |
| <input type="checkbox"/> 4. Water, electricity, and gas | <input type="checkbox"/> 8. Real estate and leasing | <input type="checkbox"/> 12. Mining and quarrying | <input type="text"/> |

Q1.4. Has your organisation been involved in the *University II* fund raising activities? (eg: *The university fund raising campaign, sports or charity events*)

- ☐ 1. If YES, please explain briefly the nature of the involvement

- ☐ 2. If NO, please explain the reason why.

PART B	SECTION 2 CONTRIBUTION INFORMATION	
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The following questions ask you to provide some information about the **profile of your organisation's contributions to the *University II***. Please tick (✓) the appropriate response in the boxes provided.

- Q2.1. Has your organisation made contributions to the *University II* in the last five years (2006 – 2010)?
- ☐ 1. Yes
- ☐ 2. No, please proceed to question Q2.6.
-
- Q2.2. How long has your organisation been a donor to the *University II*?
- | | | | | |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 1. | 2. | 3. | 4. | 5. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 0 - 1 year | 2 - 10 years | 11 - 20 years | 21 - 30 years | More than 30 years |
-
- Q2.3. How often does your organisation contribute to the *University II*?
- | | | | | |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 1. | 2. | 3. | 4. | 5. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Monthly | Annually | Bi-annually | Every three years | Rarely |
-
- Q2.4. What types of contribution has your organisation donated to the *University II* in the last five years (2006–2010)? Please tick (✓) all that apply.
- | | | |
|--|--|--|
| <input type="checkbox"/> 1. Academic scholarships | <input type="checkbox"/> 5. Life insurance | <input type="checkbox"/> 9. Research grants/programmes |
| <input type="checkbox"/> 2. Bequest | <input type="checkbox"/> 6. Named chairs | <input type="checkbox"/> 10. Special programmes/projects |
| <input type="checkbox"/> 3. Cash (including cheque, direct deposit, shares, bonds, debentures) | <input type="checkbox"/> 7. Pledges | <input type="checkbox"/> 11. Tangible personal property (eg: artwork, museum artefact, books) |
| <input type="checkbox"/> 4. Gifts in-kind (eg: equipment, furniture, facilities) | <input type="checkbox"/> 8. Real estate (eg: land, building) | <input type="checkbox"/> 12. Other, please specify:
<div style="border: 1px solid black; height: 30px; width: 100%;"></div> |
-
- Q2.5. What are the purposes of your organisation's contribution? Please tick (✓) all that apply.
- | | |
|--|---|
| <input type="checkbox"/> 1. Donors interest/request | <input type="checkbox"/> 6. University infrastructure |
| <input type="checkbox"/> 2. Research and Innovation | <input type="checkbox"/> 7. Special purposes, please specify
<div style="border: 1px solid black; height: 20px; width: 100%;"></div> |
| <input type="checkbox"/> 3. Staff welfare | |
| <input type="checkbox"/> 4. Scholarship for students | <input type="checkbox"/> 8. Other, please specify
<div style="border: 1px solid black; height: 30px; width: 100%;"></div> |
| <input type="checkbox"/> 5. Student welfare | |

Q2.6. Which of the following statements best describes the support your organisation provides to the *University II*? Please tick (✓) one.

1	2	3	4	5
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
My organisation has never supported the university and do not plan to do so in the future	My organisation has never supported the university but plan to do so in the future	My organisation has supported the university but do not plan to continue	My organisation currently supports the university and plan to increase our support in the future	My organisation currently supports the university and plan to continue our support

Q2.7. What types of contribution will your organisation consider donating to the *University II* in the future? Please tick (✓) all that apply.

<input type="checkbox"/> 1. Academic scholarships	<input type="checkbox"/> 5. Life insurance	<input type="checkbox"/> 9. Research grants/programmes
<input type="checkbox"/> 2. Bequest	<input type="checkbox"/> 6. Named chairs	<input type="checkbox"/> 10. Special programmes/projects
<input type="checkbox"/> 3. Cash (including cheque, direct deposit, shares, bonds, debentures)	<input type="checkbox"/> 7. Pledges	<input type="checkbox"/> 11. Tangible personal property (eg: artwork, museum artefact, books)
<input type="checkbox"/> 4. Gifts in-kind (eg: equipment, furniture, facilities)	<input type="checkbox"/> 8. Real estate (eg: land, building)	<input type="checkbox"/> 12. Other, <i>please specify</i> : <div style="border: 1px solid black; height: 40px; width: 100%;"></div>

Please **rank** the following channels of giving in terms of importance to your organisation using the scale from **1 (least) to 6 (most)**. Please tick (✓) only one response for each question.

Q2.8. Channels to solicit donations;

Num	Channels	(Least)					(Most)
		1	2	3	4	5	6
1.	Through electronic mail (e-mail)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Direct debit from bank account or credit card	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Through advertisements in mass media	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Direct mail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Through fund raising charity programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Through the university's fundraisers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please **rate** the following types of charities in terms of importance to your organisation using the scale from **1 (least) to 5 (most)**. Please tick (✓) only one response for each question.

Q 2.9. Contribution interests;

Num	Organisation	(Least) 1	2	3	4	(Most) 5
1.	Animal welfare (eg: RSPCA, WSPA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Children's welfare (eg: The Smith Family, Children's Charities, World Vision Australia, Orphanage Organisation)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Old folks (eg: Foundation for Aged Care, Alzheimer's Australia Vic)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Health and medical (eg: Action Aid Australia, National Breast Cancer Foundation)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Religious (eg: Community church)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Tertiary education – Private university	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Tertiary education – Public university	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	School education – Public school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	School education – Private school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	International aid and development (eg: Water Aid Australia, Australian Red Cross, World Food Programme (WFP))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PART B	SECTION 3 GIVING INCENTIVES
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The following questions ask you to provide your organisation's views on the **factors influencing the contribution to the university**. Please **rate** the following factors (**policy, personal, institution**) in importance to your organisation using the scale from **1 (least) to 5 (most)**. Please tick (✓) only one response for each question.

Q3.1. Factors influencing our organisation's decision to contribute to the University II are:

D. Policy

Num	Factors	(Least) 1	2	3	4	(Most) 5
1.	tax savings incentives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	government policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	matching gift received from the government for our contributions to the public universities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E. Personal

Num	Factors	(Least) 1	2	3	4	(Most) 5
1.	our organisation's principles	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	our organisation's social responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	our organisation's public relation purposes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	our organisation's marketing strategy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

F. Institution

Num	Factors	(Least)					(Most)				
		1	2	3	4	5	1	2	3	4	5
1.	the university's ranking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	the university's leaders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	the university's students' achievements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	the university's vision and mission	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	the university's financial position	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	the university's academic achievements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	the university's fund raising campaign	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	other donors contributing to the university	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	the university's reputation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	the university's research achievements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	the university's corporate values	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.	the university's Alumni's achievements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.	the university actively approach us for contribution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.	our preference is to contribute to the <i>University II</i> rather than other institutions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PART B	SECTION 4 RELATIONS WITH ALMA MATER
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The following questions ask you to provide your organisation's views on the **relationships with the University II**. Please read the statements below and select the response that best fits your organisation's view. Please tick (✓) only one response for each statement.

SA = Strongly Agree, A = Agree, NS = Not Sure, D = Disagree and SD = Strongly Disagree

Q4.1. The people in the *University II*:

Num	Statements	1	2	3	4	5
		SD	D	NS	A	SA
1.	value our participation in the university's activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	treat us well as the university's donor.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	show concern for our accomplishments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	value our contribution to the university's well-being.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	respond to any complaints or suggestions we have concerning the university.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	keep us informed of how our contributions are being managed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	give us suggestions on where best to place our contribution.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	take pride in our accomplishments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	acknowledge us when we do something that benefits the university.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q4.2. We are satisfied with:

Num	Statements	1	2	3	4	5
		SD	D	NS	A	SA
1.	the on-campus benefits we receive for being a donor of the <i>University II</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	the decisions the <i>University II</i> makes for the use of our funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	the <i>University II</i> 's ability to manage our contributions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	the methods used by the <i>University II</i> in making requests for our contribution.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	the <i>University II</i> 's fund raising objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	the information we receive regarding the use of our funds.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	the recognition we received from the <i>University II</i> for being a donor.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q4.3. We believe that:

Num	Statements	1	2	3	4	5
		SD	D	NS	A	SA
1.	the university 's fundraisers care about us.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	the university's fundraisers will not take advantage of our generosity.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	the university's fund raisers will always tell us the truth.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	our contribution to the university will bring benefits to the community.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	public universities need financial support from the university's Alumni more than private universities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	the university has succeeded in marketing our contributions to the community.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	public universities need financial support from philanthropists more than private universities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	we will continue to give to the university even after our primary contact person with the university is no longer around.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q4.4. As a *University II*'s donor, we value:

Num	Statements	1	2	3	4	5
		SD	D	NS	A	SA
1.	receiving regularly the university's newsletter and updates.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	receiving acknowledgement letters about our contributions from the university's leaders.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	volunteering in the university's community projects.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	the university's efforts in publicizing our contributions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	attending university functions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q5 . If you would like to make any further comments or suggestions as a donor to support the financial needs of the university, please use the space below.

Are you interested in taking part in an interview?

The topics to be covered in the interview will be on your organisation views and experience on philanthropic support to the public universities. If you would like to participate in the interview or you would like further information about the study, please contact Ms Rohayati Mohd Isa on email: rmohdisa@postoffice.utas.edu.au

Thank you for your participation.

Your responses will help us to understand this important topic better.

Appendix G 3 Survey-Questionnaires Content Summary

Section	<i>University I</i>		<i>University II</i>	
	Set A University's Alumni/Private Individual	Set B University's Corporate/Trust/ Foundation	Set A University's Alumni/Private Individual	Set B University's Corporate/Trust/ Foundation
I	Alumni/Private Individual Donor's demographic information: • 12 items	Corporate/Trust/Foundation Donor's demographic information: • 3 items	Alumni/Private Individual Donor's demographic information: • 10 items	Corporate/Trust/Foundation Donor's demographic information: • 3 items
II	Items constructed to elicit Private Individual Donor's views on: • The contributions to the university; • The giving incentives; and • The relationships with the University • 3 ranking items, • 5 Likert Scale items • 11 open items 34 questions with 247 items	Items constructed to elicit Corporate/Trust/Foundation Donor's views on: • The contributions to the university; • The giving incentives; and • The relationships with the University • 3 ranking items, • 5 Likert Scale items • 11 open items 21 questions with 151 items	Items constructed to elicit Private Individual Donor's views on: • The contributions to the university; • The giving incentives; and • The relationships with the University • 3 ranking items, • 5 Likert Scale items • 11 open items 30 questions with 228 items	Items constructed to elicit Corporate/Trust/Foundation Donor's views on: • The contributions to the university; • The giving incentives; and • The relationships with the University, • 3 ranking items, • 5 Likert Scale items • 11 open items 18 questions with 136 items
Language	Bahasa Melayu; and English Language	Bahasa Melayu; and English Language	English Language	English Language

Appendix G 4 Internal Reliability of Survey-Questionnaires items

Donors	<i>University I</i>		<i>University II</i>	
	Items	Alpha Coefficient	Items	Alpha Coefficient
Question 2.8	6	0.217	6	-
Question 2.9	10	0.811	10	0.799
Question 3.1	23	0.908	22	0.955
Question 4.1	9	0.912	9	0.894
Question 4.2	7	0.865	7	0.898
Question 4.3	7	0.752	7	0.785
Question 4.4	5	0.645	5	0.659

Appendix H Comparisons of Sample distributions

Appendix H1 *University I: Participants' personal attributes*

Appendix H2 *University II: Participants' personal attributes*

Appendix H 1 *University I: Participants' personal attributes*

Group	Personal Attributes			
	Gender	Ethnicity	Position/Role	ID
Group 1	Male	Malay	1. Vice Chancellor	U1-Leader ₁
	Female	Malay	2. Deputy Vice Chancellor	U1-Leader ₂
	Male	Malay	3. Deputy Vice Chancellor	U1-Leader ₃
Group 2	Female	Indian	1. Advancement Manager	U1-Admin ₁
	Female	Malay	2. Alumni Relations Manager	U1-Admin ₂
	Male	Malay	3. Vice President Alumni Association	U1-Admin ₃
	Male	Malay	4. Senior Internal Auditor	U1-Admin ₄
Group 3	Male	Malay	1. <i>University I</i> Staff	U1-Donor ₁
	Female	Malay	2. <i>University I</i> Staff	U1-Donor ₂
	Female	Malay	3. <i>University I</i> Retired Senior Leader	U1-Donor ₃
	Male	Malay	4. <i>University I</i> Staff	U1-Donor ₄
	Male	Sikh	5. <i>University I</i> Staff	U1-Donor ₅
	Male	Malay	6. <i>University I</i> Alumni	U1-Donor ₆
	Male	Indian	7. Parent	U1-Donor ₇
	Male	Indian	8. Parent	U1-Donor ₈
	Male	Chinese	9. <i>University I</i> Alumni	U1-Donor ₉
	Male	Chinese	10. <i>University I</i> Senior Professor	U1-Donor ₁₀
	Male	Chinese	11. Corporate donor	U1-Donor ₁₁
	Male	Malay	12. Banking Institution	U1-Donor ₁₂
Group 4	Male	Malay	1. Secretary General Ministry of Higher Education	U1-Stake ₁
Total				N=20

Appendix H 2 *University II*: Participants' personal attributes

Group	Personal Attributes		
	Gender	Role/Position	ID
Group 1	Male	1. Provost	U2-Leader ₁
	Male	2. Dean	U2-Leader ₂
	Male	3. Foundation Chairman	U2-Leader ₃
Group 2	Male	1. Director of Advancement and Alumni Relations	U2-Admin ₁
	Female	2. Deputy Director Advancement and Alumni Relations	U2-Admin ₂
	Female	3. Alumni Relations Manager	U2-Admin ₃
	Female	4. Advancement Officer	U2-Admin ₄
	Male	5. Senior Financial Officer	U2-Admin ₅
	Male	6. Chair of Alumni	U2-Admin ₆
Group 3	Male	1. <i>University II</i> Senior manager	U2-Donor ₁
	Male	2. <i>University II</i> Senior Professor	U2-Donor ₂
	Female	3. <i>University II</i> Senior Manager	U2-Donor ₃
	Male	4. <i>University II</i> Senior Professor/Foundation Member (ex-officio)	U2-Donor ₄
	Female	5. <i>University II</i> Alumni	U2-Donor ₅
	Male	6. <i>University II</i> Senior Professor	U2-Donor ₆
	Male	7. <i>University II</i> Foundation Board member	U2-Donor ₇
	Male	8. Corporate company representative	U1-Donor ₈
Total			N=17

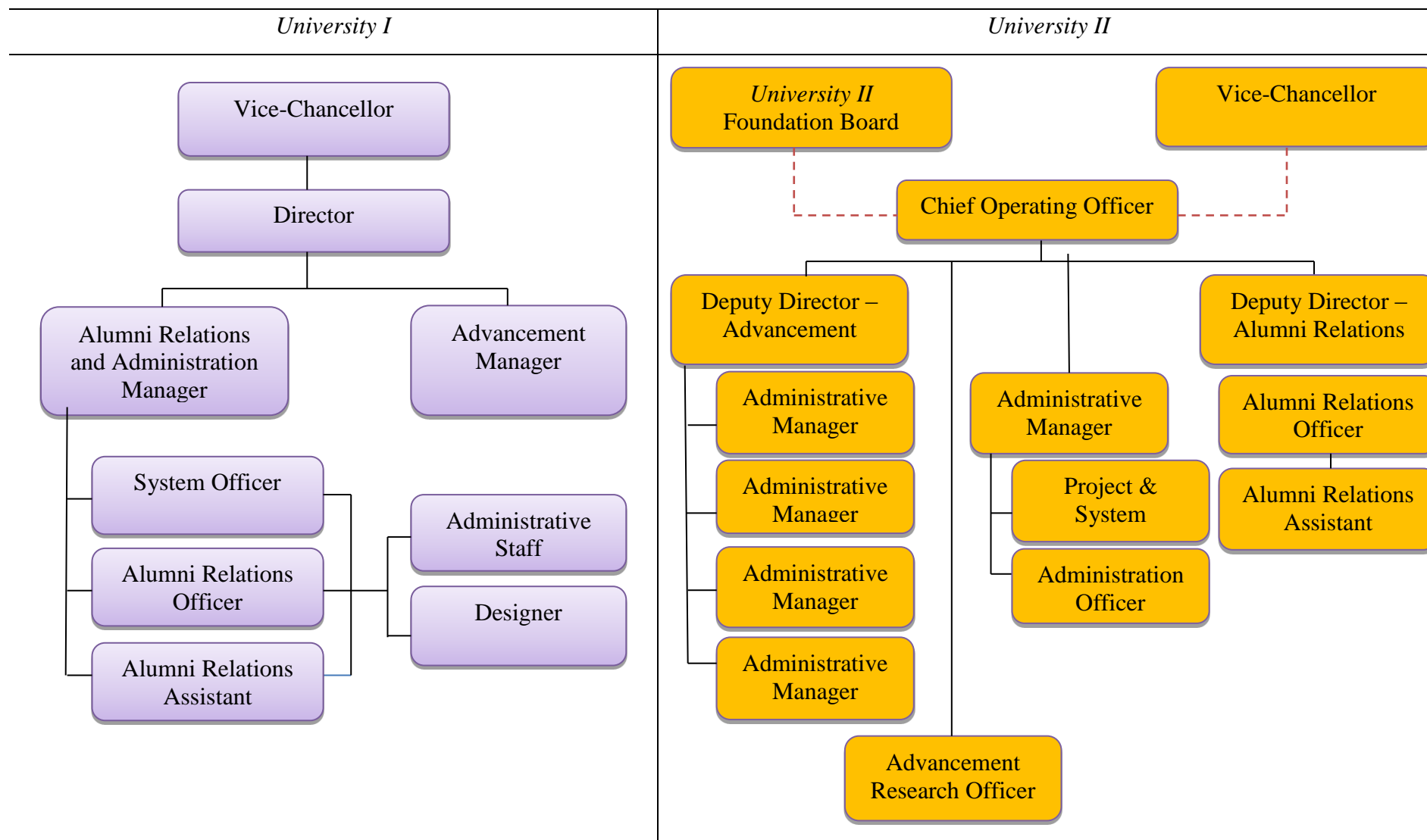
Appendix I Comparisons of case study Universities Advancement and Alumni Relations Human Resources

Appendix I1 *University I and University II Advancement Office Organisation Chart*

Appendix I2 *University I and University II: Advancement and Alumni Relations Office personnel (2010 and 2011)*

Appendix I3 *University I and University II: Advancement and Alumni Relations Key Personnel Academic and Working Background*

Appendix I 1 *University I and University II* Advancement Office Organisation
Chart



Appendix I 2 *University I* and *University II*: Advancement and Alumni Relations
Office personnel (2010 and 2011)

Functions	<i>University I</i>					<i>University II</i>				
	Total number of staff		Total number by staff employment			Total number of staff		Total number by staff employment		
			Full-time		Part-time			Full-time		Part-time
	2010	2011	2010	2011	2011	2010	2011	2010	2011	2011
Senior fundraising and Alumni Relations management	3	3	3	3		2		2		
Fundraising activities	1	1	1	1						
Alumni relations	3	3	3	3		2				2
Database management and technical support	1	1	1	1		1				1
Prospective and Alumni research	2	2	2	2		1		1		
Gift processing	1	1	1	1						
Event management	2	2	2	2						
Donor stewardship	2	2	2	2		4		2		2
Administrative support	11	11	11	11		2		2		
Other	7	7	7	7						
Total	33	33	33	33		12		7		5

Appendix I 3	<i>University I and University II: Advancement and Alumni Relations</i> Key Personnel Academic and Working Background
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Personnel Background	<i>University I</i>		<i>University II</i>		
	Advancement Manager	Alumni Relations Manager	Director of Advancement	Advancement Manager	Alumni Relations Manager
Academic Background	<ul style="list-style-type: none"> • Pharmacist • Training in Pharmacy and the Wellness Programme of Human beings. 	<ul style="list-style-type: none"> • Degree Social Science 	<ul style="list-style-type: none"> • Accounting degree, with major background in general management • Not a professional fundraiser 	<ul style="list-style-type: none"> • Bachelor of Arts, majored in French and Japanese, hadn't worked in fundraising prior to this job 	<ul style="list-style-type: none"> • Degree Modern History
Working Experiences	<ul style="list-style-type: none"> • Quality Assurance and Quality Control Manager 	<ul style="list-style-type: none"> • University Administrator 	<ul style="list-style-type: none"> • Health Research Institute 	<ul style="list-style-type: none"> • Tourism industry council,; not for profit association of tourism operators, 	<ul style="list-style-type: none"> • Worked in management and administration • Wrote novels and children's books and fiction for women and magazines • Freelance editor and proof reader • Launceston Chamber of Commerce
Professional Training Courses or Conference on philanthropy	<ul style="list-style-type: none"> • None. • Knowledge acquired from the consultant appointed by the University 	<ul style="list-style-type: none"> • None 	<ul style="list-style-type: none"> • At least one a year, e.g., CASE 	<ul style="list-style-type: none"> • At least one a year, i.e., CASE 	<ul style="list-style-type: none"> • At least one a year, e.g., CASE

Appendix J *University I and University II Donors' Types and Gifts*

Appendix J1 *University I and University II: Total gifts and Donor Types
(2009 to 2010)*

Appendix J 1 *University I* and *University II*: Total gifts and Donor Types (2009 to 2010)

Types of donor	<i>University I</i>				<i>University II</i>					
	Types of donors		Total Amount (\$)		Types of donors		* Contributions		Total Amount (\$)	
	2009	2010	2009	2010	2009	2010	2009	2010	2009	2010
Individual										
**Governing board	-	-			3	8	4	28	8,050.00	188,000.00
Foundation board	-	-			4	4	4	5	22,650.00	13,520.00
University staff	118	150	330,312.00	80,551.00.00	29	38	88	143	69,583.77	48,746.00
Alumni	348	263	677,270.00	575,010.00	805	891	419	494	167,399.60	532,804.00
Private individual			38,598.00	66,551.00			540	774	181,416.33	184,996.76
Sub-total	466	413	1,046,180.00	722,112.00	841	941	1055	1444	449,099.70	1,417,166.76
Organisation										
Government owned companies					11	8	17	12	365,741.96	202,870.90
Companies	1	1	35,800.00	10,120.00	136	155	189	238	674,414.98	2,250,468.00
Trusts/Foundations				70,000.00	10	12	7	10	127,991.66	209,810.00
Sub-total	1	1	35,800.00	80,120.00	157	175	213	260	1,168,148.50	2,663,148.90
Other										
Faculty/School/Research Institute					17	14	25	17	258,140.55	212,700.00
Councils (Local Government)					7	10	8	12	48,870.00	99,095.65
Schools (Primary/High)					35	26	43	26	26,338.00	29,898.55
Other			259,400.00	54,342.00						
Sub-total			259,400.00	54,342.00	216	225	76	55	333,348.55	341,694.20
International sources										
Individual (including Alumni)					111	145	114	124	10,764.13	20,640.43
Companies					2	2	2	2	59,566.09	20,505.00
Trusts/Foundations					1	-	2	-	94,599.00	-
Sub-total					114	147	118	126	164,929.22	41,145.43
Total	467	414	1,341,390.00	856,574.00	1171	1313	2924	3770	2,115,526.07	4,014,055.59

Note. * Number of contributions received; ** Current member at time of donation

Appendix K Comparisons of Case Study Universities' Fundraising Governance

Appendix K1	<i>University I and University II: Gift Policy: Gift Acceptance</i>
Appendix K2	<i>University I and University II Gift Policy: Key principles</i>
Appendix K3	<i>University I and University II: Gift policy: Legal consideration</i>
Appendix K4	<i>University I and University II: Donor's Membership Guideline</i>
Appendix K5	<i>University I and University II: Donor's Recognition Guideline</i>

Appendix K 1 *University I* and *University II*: Gift Policy: Gift Acceptance

<i>University I</i>	<i>University II</i>
Designated gifts are used expressly for the purposes for which they are given; such purposes must be consistent with the University's mission and academic priorities.	Will work with all Donors and recipients to ensure the purposes for which the gifts were given can be satisfied.
Undesignated gifts must be used for such purposes as the University judges will best advance its mission and academic priorities.	Will ensure relevant Officers are consulted prior to gift acceptance.
Does not accept gifts that involve unlawful discrimination on prohibited grounds.	Will make every effort to accept gifts but retains the right to refuse the offer of any gift.
Does not accept gifts that return valuable consideration to the Donor or anyone designated by the Donor, may include, but not limited to; employment in the University, enrolment in the University program or a University procurement contract.	May refuse a gift if its acceptance is incompatible with its mission, image and values, or compromises the autonomy of the institution. Retains the right to return gifts to Donors should information be received after the gift is received that could adversely impact the reputation, image, mission or integrity of the University.

Appendix K 2 *University I* and *University II* Gift Policy: Key principles

<i>University I</i>	<i>University II</i>
All development of fundraising activity shall reflect the fundamental principles of the University.	Acceptance of a gift will be in harmony with the mission and strategic objectives of the University and will preserve or enhance the reputation of the University.
Values and will protect its integrity, autonomy, and academic freedom, and does not accept gifts when a condition of such acceptance would compromise the University's fundamental principles.	Ongoing gift administration will be in accordance with University policies and procedures and will be transparent.
Solicitation of gifts is informed by and consistent with academic priorities established by appropriate University's processes.	Wishes of the Donor, expressed in an instrument of gift, are paramount in determining how the University will manage the gift.
	Investment and capital management framework applied to gifts will provide for ongoing benefits to the University over the longer term.

Appendix K 3 *University I* and *University II*: Gift policy: Legal consideration

<i>University I</i>	<i>University II</i>
The University Council, senior administration, managers, and employees shall comply with all relevant Malaysian laws.	Ensure that the University operates in accordance with Australian Taxation Office (ATO) with respect to all donations.
Must effectively disclose to the University all conflicts of interest and all situations that might be perceived as a conflict of interest.	The University will ensure that University staff engaged in Donor liaison and the soliciting of gifts do not grant or accept favours for personal gain and avoid actual or apparent conflicts of interest.
Proper steps are taken when accepting gifts in accordance with <i>University I</i> policies, maintaining the University's high level of commitment to donor stewardship.	Donors can expect that their details will be treated confidentially and will not be shared with any organisation outside the University without their explicit permission.

Appendix K 4 *University I* and *University II*: Donor's Membership Guideline

Membership type	<i>University I</i>	<i>University II</i>
	Donation Value	Donation value
Apex Circle	\$5,000 or more	
University Circle	\$2,000 to \$4,999	
Leader's Circle	\$500 to \$1,999	
Lestari Circle	Below \$500	
Vice-Chancellor's Circle		\$100,000 or more
Patron		\$50,000 to \$99,999
Benefactor		\$30,000 to \$49,999
Fellow		\$10,000 to \$29,999
Member		\$2,000 to \$9,999

Appendix K 5 *University I and University II: Donor's Recognition guideline*

<i>University I</i>	<i>University II</i>
Depending on the type of gift, recognition may be given in a variety of ways including:	Depending on the type of gift, recognition may be given in a variety of ways including:
<ul style="list-style-type: none"> • Invitation to University events • Access to selected campus facilities and services • Opportunity to meet other leading supporters of the University at special events • Updates on University achievements and activities through communications and invitations to special events • Naming opportunities of assets whether physical or non-physical 	<ul style="list-style-type: none"> • Foundation memberships • The naming of a scholarship or bursary • A special event, such as a scholarship or bursary presentation • Acknowledgment at the Foundation Annual Awards Dinner • With some very significant gifts, it is possible to name a facility after the donor

Appendix L Australian Vice-Chancellors' Committee Code of Practice for
Australian University Philanthropy

Australian Vice-Chancellors' Committee

Code of Practice for Australian University Philanthropy

Australian Universities have a long and distinguished history of philanthropic support from generous benefactors. It is a tradition of giving and sharing that is vital to the role of Universities in advancing knowledge for the common good. Universities recognise that the support of well-motivated citizens and corporations will always be important. Equally, there are many in society eager to make a lasting contribution to the role that Universities play. To ensure that Universities earn and maintain the respect and trust of the general public, and that Donors and prospective Donors can have full confidence in them, Australian Universities have committed themselves to this Code of Practice.

Responsibilities of the University

1. The University will welcome and respect the interest of individuals and organisations seeking to contribute to the University.
2. The University will ensure that University staff engaged in Donor liaison and the soliciting of gifts do not grant or accept favours for personal gain and avoid actual or apparent conflicts of interest.
3. The University will ensure that all personnel involved in managing gifts exercise prudent judgment in their stewardship responsibilities.
4. The University will ensure that only authorised representatives of the University undertake solicitation of gifts.
5. The University will not seek or accept gifts where this would be inconsistent with the University's mission.
6. The University will at all times respect information about Donors and prospective Donors and their gifts and will ensure that such information is handled confidentially, to the extent provided by law and consistent with the Donor's wishes.
7. The University will ensure that potential Donors are encouraged to seek independent professional advice about the taxation status and any other business or legal implications of their gifts or potential gifts. University staff may work with such advisers to assist with gift arrangements.
8. The University will ensure that non-cash gifts and gifts in kind are evaluated having regard to the University's capacity to use the gift effectively, the benefits they may bring and any on-going costs associated with their use and maintenance.
9. The University will ensure that all gifts are treated in accordance with the Donor's wishes, to the extent consistent with the letter and spirit of the law.
10. The University will ensure that all gifts are dealt with in accordance with all laws and regulations applicable.
11. The University will confirm the acceptance of all gifts in writing.
12. The University reserves the right to decline a gift for any reason.
13. The University will ensure that all Donors have access to its most recent published financial statements.

14. The University will ensure that Donors receive prompt, truthful and complete answers to their inquiries.
15. The University will ensure that all Donors receive appropriate acknowledgment and recognition being mindful of the donor's wishes.

Rights of Donors

16. A Donor can expect to be informed of the University's mission, of the way the University intends to use the gift, and of its capacity to use gifts effectively for their intended purposes.
17. A Donor can expect that the University and its staff will actively and positively provide relevant information on the University, and the use of, and progress with, the gift.
18. A Donor can expect to be informed of the identity of the University's key personnel involved in managing the gift.
19. A Donor can expect that the behaviour of individuals representing the University will be professional in nature.
20. A Donor can expect to be informed whether those seeking gifts from them are volunteers, University staff, or engaged agents.
21. A Donor can expect that no program, agreement, trust or contract will be pursued with potential Donors at the expense of the Donor's best interest and motivations.
22. A Donor can expect that their details will be treated confidentially and will not be shared with any organisation outside the University without their explicit permission.

March 2000

Source: Australian Vice-Chancellors' Committee (2000)

Appendix M Comparisons of Individual Donors and Prospective Donor Types

Appendix M1	<i>University I</i> and <i>University II</i> : Individual donors and prospective donors': By donor's type
Appendix M2	<i>University I</i> : Individual donor's demographic characteristics
Appendix M3	<i>University II</i> : Individual donor's demographic characteristics
Appendix M4	<i>University I</i> : Individual donor's religious affiliation and race distributions
Appendix M5	<i>University I</i> : Individual donor's socio-economic characteristics
Appendix M6	<i>University II</i> : Individual donor's socio-economic characteristics
Appendix M7	Donors and prospective donors types of giving to <i>University I</i> and <i>University II</i>

Appendix M 1 *University I* and *University II*: Individual donors and prospective donors': By donor type

Donor type	<i>University I</i>				<i>University II</i>			
	Donor		Prospective Donor		Donor		Prospective Donor	
	n	%	n	%	n	%	n	%
University Internal Community								
Staff (not Alumni and not student)	49	59.8	8	15.1	1	7.1	2	3.2
Retirees (not Alumni and not student)	2	2.4	4	7.5	0	0.0	0	0.0
Staff and also Alumni	9	11.0	1	1.9	1	7.1	2	3.2
Staff and also current student	0	0.0	2	3.8	0	0.0	1	1.6
Retiree and also Alumni	1	1.2	1	1.9	1	7.1	1	1.6
Alumni (not staff, not student and not retiree)	16	19.5	32	60.4	10	71.4	40	64.5
Alumni and also current student	1	1.2	1	1.9	0	0.0	6	9.7
Case Study Universities current student (not staff and not retiree)	3	3.7	3	5.7	0	0.0	9	14.5
Sub-total	81	98.8	52	98.1	13	92.7	61	98.4
University External Community								
Other private individuals	1	1.2	1	1.9	1	7.1	1	1.6
Sub-total	1		1		1		1	
Total	82		53		14		62	

Appendix M 2 *University I*: Individual donor's demographic characteristics

Demographic characteristics	University Internal Community																University External Community		Total	
	University Staff		University Retirees		University Alumni		University staff and Alumni		University Alumni and current student		University retiree and Alumni		University staff and current students		University Students		Other Private Individuals			
	n	%	n	%	n	%	n	n	n	%	n	%	n	%	n	%	n	%	n	%
Gender																				
Male	28	34.2	1	1.2	11	13.4	4	2	2	0.0	1	1.2	0	0.0	2	2.4	1	1.2	48	58.5
Female	21	25.6	1	1.2	6	7.3	5	1	1	0.0	0	0.0	0	0.0	1	1.2	0	0.0	34	41.5
	49		2		17		9	3	3		1		0		3		1		82	
Age																				
21 – 40 years	16	19.8	0	0.0	13	16.0	4	3	3	0.0	0	0.0	0	0.0	3	3.7	0	0.0	36	44.4
41 – 60 years	33	40.7	1	1.2	3	3.7	5	0	0	0.0	1	1.2	0	0.0	0	0.0	0	0.0	43	53.1
61 – 80 years	0	0.0	1	1.2	0	0.0	0	0	0	0.0	0	0.0	0	0.0	0	0.0	1	1.2	2	2.5
	49		2		16		9	3	3		1		0		3		1		81	
Marital Status																				
Single	5	6.1	0	0.0	8	9.8	2	2	2	0.0	0	0.0	0	0.0	2	2.4	0	0.0	17	20.7
Married	43	52.4	2	2.4	8	9.8	6	1	1	0.0	1	1.2	0	0.0	1	1.2	1	1.2	62	75.6
Divorced	0	0.0	0	0.0	1	1.2	1	0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	2	2.4
Widowed	1	1.2	0	0.0	0	0.0	0	0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	1	1.2
	49		2		17		9	3	3		1		0		3		1		82	
Children																				
None	11	13.4	4	4.9	3	3.7	3	0	0	0.0	0	0.0	2	2.4	0	0.0	0	0.0	23	28.0
1 – 2	30	36.6	0	0.0	0	0.0	6	0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	36	43.9
3 – 4	8	9.8	2	2.4	4	4.9	0	0	0	1.2	0	0.0	0	0.0	0	0.0	1	1.2	16	19.5
More than 5	0	0.0	0	0.0	6	7.3	0	1	1	0.0	0	0.0	0	0.0	1	1.2	0	0.0	7	8.5
	49		6		13		9	1	1		0		2		1		1		82	

Appendix M 3 *University II*: Individual donor's demographic characteristics

Demographic characteristics	University Internal Community												University External Community		Total	
	University Staff		University Alumni		University staff and Alumni		University Alumni and current student		University retiree and Alumni		University Students		Other Private Individuals		n	%
	n	%	n	%	n	%	n	%	n	%	n	%	n	%		
Gender																
Male	0	0.0	5	28.6	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	5	35.7
Female	1	7.1	6	42.9	0	0.0	0	0.0	1	7.1	0	0.0	1	7.1	9	64.3
	1		10		0		0		1		0		1		14	
Age																
21 – 40 years	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
41 – 60 years	1	7.1	7	42.9	0	0.0	0	0.0	1	7.1	0	0.0	1	7.1	10	71.4
61 – 80 years	0	0.0	4	28.6	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	24	28.6
	1		10		9		1		1		1		1		14	
Marital Status																
Single	0	0.0	5	35.7	1	7.1	1	7.1	0	0.0	0	0.0	0	0.0	7	50.0
Married/living with a partner	0	0.0	3	21.4	0	0.0	1	7.1	1	7.1	1	7.1	0	0.0	6	43.9
Separated	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Divorced	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Widowed	0	0.0	1	7.1	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	1	7.1
	0		9		0		2		1		1		0		14	

Appendix M 4 *University I*: Individual donor's religious affiliation and race distributions

Demographic characteristics	University Internal Community											University External Community		Total		
	University Staff		University Retirees		University Alumni		University staff and Alumni		University retiree and Alumni		University Students		Other Private Individuals			
	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%
Religious Affiliation																
Buddhism	1	1.2	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	1	1.2
Hinduism	1	1.2	1	1.2	1	1.2	0	0.0	0	0.0	0	0.0	1	1.2	4	4.9
Islam	46	56.1	1	1.2	17	20.7	8	9.8	1	1.2	3	3.7	0	0.0	76	92.7
Other	0	0.0	0	0.0	0	0.0	1	1.2	0	0.0	0	0.0	0	0.0	1	1.2
	48		2		18		9		1		3		1		82	
Race																
Chinese	1	1.2	0	0.0	0	0.0	0	0.0	1	1.2	0	0.0	0	0.0	2	2.5
Indian	3	3.7	1	1.2	1	1.2	1	1.2	0	0.0	0	0.0	1	1.2	7	8.5
Malay	41	50.0	1	1.2	16	19.5	7	8.5	0	1.2	3	3.7	0	0.0	68	82.9
Other	3	3.7	0	0.0	1	1.2	1	1.2	0	0.0	0	0.0	0	0.0	5	6.1
	48		2		18		9		1		3		1		82	

Appendix M 5 *University I*: Individual donor's socio-economic characteristics

Appendices

Socio-economic characteristics	University Internal Community										University External Community				Total	
	University Staff		University Retirees		University Alumni		University staff and Alumni		University retiree and Alumni		University Students		Other Private Individuals			
	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%
Yearly Income																
Below \$25,000	4	4.9	0	0.0	3	3.7	1	1.2	0	0.0	4	4.9	1	1.2	13	16.0
\$25,000 –\$49,999	16	19.8	1	1.2	8	9.9	3	3.7	0	0.0	0	0.0	0	0.0	28	34.6
\$50,000 –\$74,999	3	3.7	0	0.0	2	2.5	0	0.0	0	0.0	0	0.0	0	0.0	5	6.2
\$75,000 - \$99,999	11	13.6	0	0.0	2	2.5	2	2.5	0	0.0	0	0.0	0	0.0	15	18.5
\$100,000-\$125,000	8	9.9	0	0.0	0	0.0	3	3.7	0	0.0	0	0.0	0	0.0	11	13.6
Above \$125,000	6	7.4	1	1.2	1	1.2	0	0.0	1	1.2	0	0.0	0	0.0	9	11.1
	48		2		16		9		1		4	0.0	1		81	
Employment status																
Unemployed	0	0.0	0	0.0	1	0.0	0	0.0	0	0.0	2	2.9	1	1.4	4	5.7
Self-employed	1	1.4	0	0.0	4	5.7	0	0.0	1	1.4	1	1.4	0	0.0	7	10.0
Employed	43	61.4	2	2.9	13	18.6	0	0.01	0	0.0	1	1.4	0	0.0	59	84.3
	44		2		18		0		1		4		1		70	
^aEducation background																
Primary	7	6.0	2	1.7	0	0.0	2	1.7	0	0.0	0	0.0	0	0.0	11	9.5
Secondary	14	12.1	2	1.7	1	0.9	2	1.7	0	0.0	0	0.0	0	0.0	19	16.4
Diploma	7	6.0	1	0.9	1	0.9	3	2.6	0	0.0	0	0.0	0	0.0	12	10.3
Bachelor degree	23	19.8	2	1.7	9	7.8	6	5.2	0	0.0	2	1.7	0	0.0	42	36.2
Master degree	11	9.5	1	0.9	5	3.4	2	1.7	1	0.9	1	0.9	1	0.9	22	19.0
Doctoral degree	9	7.8	0	0.0	0	0.0	1	0.9	0	0.0			0	0.0	10	8.6
	71	8	8		16		16		1		3		1		116	
Study support mechanism																
Loan	15	18.8	0	0.0	4	5.0	4	3.7	0	0.0	1	1.3	0	0.0	24	30.0
Working part-time	2	2.5	0	0.0	2	2.5	0	0.0	0	0.0	0	0.0	0	0.0	4	5.0
Scholarship	0	0.0	1	1.3	10	12.5	3	3.8	0	0.0	1	1.3	0	0.0	15	18.8
Parents	23	28.8	0	0.0	6	7.5	4	5.0	1	1.3	1	1.3	0	0.0	35	43.8
Working full-time	1	1.3	0	0.0	0	0.0	1	1.3	0	0.0	0	0.0	0	0.0	2	2.5
	41		1		22		12		1		3		0		80	

Note: ^aQuestions with embedded items which allowed more than one response

Appendix M 6 *University II*: Individual donors socio-economic characteristics

Socio-economic characteristics	University Internal Community								University External Community				Total	
	University Staff		University Alumni		University staff and Alumni		University Alumni and current student		University retiree and Alumni		Other Private Individuals			
	n	%	n	%	n	%	n	%	n	%	n	%	n	%
Income														
Below \$25,000	0	0.0	2	20.0	0	0.0	1	10.0	0	0.0	0	0.0	3	30.0
\$25,000-\$49,999	0	0.0	2	20.0	1	10.0	0	0.0	0	0.0	0	0.0	3	30.0
\$50,000-\$74,999	0	0.0	0	0.0	0	0.0	0	0.0	1	10.0	1	10.0	2	20.0
\$75,000-\$99,999	0	0.0	2	20.0	0	0.0	0	0.0	0	0.0	0	0.0	2	20.0
\$100,000-\$124,999	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Over \$125,000	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	0		6		1		1		1		1		10	
Education														
Primary	2	2.9	4	11.4	0	0.0	0	0.0	0	0.0	0	0.0	6	17.1
Secondary	2	2.9	4	11.4	0	0.0	0	0.0	0	0.0	0	0.0	6	17.1
Diploma	1	2.9	1	2.9	0	0.0	0	0.0	0	0.0	0	0.0	3	8.6
Bachelor degree	2	5.7	6	17.1	0	0.0	1	2.9	0	0.0	0	0.0	10	28.6
Master degree	1	2.9	4	11.4	0	0.0	1	2.9	1	2.9	0	0.0	8	22.9
Doctoral degree	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	1	2.9	2	5.7
	6		19		0		2		1		1		35	
Employment														
Unemployed	1	9.1	2	18.2	0	0.0	1	9.1	0	0.0	0	0.0	4	36.4
Self employed	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Employed	1	9.1	4	36.4	1	9.1	0	0.0	0	0.0	1	9.1	7	63.6
	2		6		1		1		0		1		11	
Support during study														
Loan	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Working part-time	0	0.0	1	8.3	1	8.3	0	0.0	1	8.3	1	8.3	4	33.3
Scholarship	0	0.0	2	16.7	0	0.0	1	8.3	0	0.0	1	8.3	4	33.3
Parents	0	0.0	2	16.7	0	0.0	1	8.3	0	0.0	0	0.0	3	25.0
Working full-time	0	0.0	1	8.3	0	0.0	0	0.0	0	0.0	0	0.0	1	8.3
	0		6		1		2		1		2		12	

Appendix M 7 Donors and prospective donors types of giving to *University I* and
University II

Types of giving	<i>University I</i>						<i>University II</i>					
	Present contributions		Future giving considerations				Present contributions		Future giving considerations			
	Donors		Donors		Prospective Donors		Donors		Donors		Prospective Donors	
	(n=82)		(n=82)		(n=53)		(n=14)		(n=14)		(n=62)	
	Frequency	%	Frequency	%	Frequency	%	Frequency	%	Frequency	%	Frequency	%
Academic scholarships	2	2.5	8	10.0	3	6.7	4	28.6	6	54.5	8	19.0
Bequest	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	4	9.5
Cash	53	66.3	58	72.5	16	35.6	7	50.0	6	54.5	20	47.6
Gifts in kind	6	7.5	19	23.8	5	11.1	2	14.3	1	9.1	8	19.0
Life insurance	1	1.3	1	1.3	1	2.2	0	0.0	0	0.0	0	0.0
Named chairs	1	1.3	2	2.5	1	2.2	0	0.0	0	0.0	1	2.4
Pledges	4	5.0	5	6.3	1	2.2	0	0.0	0	0.0	2	4.8
Real estate	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Research grants/programmes	4	5.0	5	6.3	5	11.1	2	14.3	1	18.2	5	11.9
Special programmes/projects	16	20.0	19	23.8	14	31.1	1	7.1	2	18.2	5	11.9
Tangible personal property	2	2.5	3	3.8	6	13.3	1	7.1	2	14.3	8	19.0

Note. Questions with embedded items which allowed more than one response

Appendix N	Factor loadings for exploratory factor analysis of the determinants of giving
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Determinants of giving	<i>University I</i>	<i>University II</i>
	Component	
Factor 1: Government and public policies for philanthropy		
Government policy	0.893	0.975
Tax savings incentives	0.802	0.906
Matching gift	0.799	0.873
Factor 2: Personal Motivations		
<i>Personal experiences</i>		
Loyalty to the university	0.818	0.815
Showing gratitude to the university	0.804	0.785
Public relation	0.519	0.637
<i>Personal reasons</i>		
Social responsibility	0.835	0.601
Personal Principle	0.753	0.540
Factor 3: Institutional Profile		
<i>Reputation</i>		
Ranking	0.799	
Leaders	0.734	
Financial position	0.664	
<i>Achievements</i>		
Alumni	0.318	
Research	-0.109	
Academic	-0.187	
Students'	-0.247	
<i>Management Style</i>		
Fundraising campaign	0.531	
Other donor's contributions	0.290	
Preference Universities for contribution	0.002	
Vision and Mission	0.179	
Corporate values	-0.241	
Fundraising approach	-0.273	

Appendix O	Comparisons of donor's perceptions of the Institutional management of philanthropic operations
Appendix O1	Individual donor's perceptions of <i>University I</i> and <i>University II</i> Management practices in relation to philanthropic funds
Appendix O2	Individual donor's perceptions of the ways they were valued by <i>University I</i> and <i>University II</i>
Appendix O3	Individual donor's perceptions of <i>University I</i> and <i>University II</i> fundraisers
Appendix O4	Individual donor's perceptions of the recognitions received from <i>University I</i> and <i>University II</i>
Appendix O5	Individual donor's perceptions of participating in <i>University I</i> and <i>University II</i> philanthropy activities

Appendix O 1 Individual donor's perceptions of *University I* and *University II*
Management practices of philanthropic funds

Question Number	Statement	University I				University II			
		n	%	%	%	n	%	%	%
			Agree and Strongly agree	Unsure	Disagree and Strongly disagree		Agree and Strongly agree	Unsure	Disagree and Strongly disagree
	The people of the University:								
Q.4.1.5.	respond to any complaints or suggestions I have concerning the university	74	39.2	52.7	8.1	13	30.8	38.5	30.8
Q.4.1.6.	keep me informed of how my contributions are being managed	73	56.8	29.7	6.8	14	42.9	28.6	28.5
Q.4.1.7	give me suggestions on where best to place my contributions	73	56.8	24.3	16.3	14	35.7	14.3	50.0
	I am satisfied with:								
Q.4.2.2.	the decisions the University makes for the use of my funds	74	59.5	37.8	1.4	13	53.9	38.5	7.7
Q.4.2.3	the University's ability to manage my contributions	74	64.9	32.4	2.7	13	61.6	30.8	7.7
Q.4.2.6.	the information I receive regarding the use of the funds	74	60.8	31.5	12.3	13	38.5	30.8	30.8
Q.4.3.5	the University's fundraising objectives	75	77.3	20.0	2.7	13	69.2	15.4	15.4
	I value:								
Q.4.1.4.	the university's efforts in publicizing my contributions	71	36.6	46.5	16.8	13	23.1	53.8	23.1
	I believe that:								
Q.4.1.6.	the university has succeeded in marketing my contributions to the community	73	56.1	38.4	5.4	13	23.1	53.8	23.1

Appendix O 2 Individual donor's perceptions of the ways they were valued by
University I and *University II*

Question number	Statement	<i>University I</i>			<i>University I</i>				
		n	% Agree and Strongly agree	% Unsure	% Disagree and Strongly disagree	n	% Agree and Strongly agree	% Unsure	% Disagree and Strongly disagree
	The people of the University:								
Q.4.1.2	treat me well as a donor of the university	74	60.8	33.8	5.5	14	50.0	35.7	14.3
Q.4.1.3.	show concern for my accomplishments	74	47.3	43.2	9.5	14	35.7	42.9	21.4
Q.4.1.4.	value my contribution to the university's well being	73	57.6	43.2	4.1	14	57.2	21.4	21.4
Q.4.1.8.	take pride in my accomplishments	74	48.6	45.9	12.2	14	21.4	50.0	28.5

Appendix O 3 Individual donor's perceptions of *University I* and *University II* fundraisers

Question number	Statement	<i>University I</i>				<i>University I</i>			
		n	% Agree and Strongly agree	% Unsure	% Disagree and Strongly disagree	n	% Agree and Strongly agree	% Unsure	% Disagree and Strongly disagree
	I believe that:								
Q.4.3.1.	the university's fundraisers care about me	72	45.9	43.1	11.0	13	23.1	46.2	30.8
Q.4.3.2.	the university's fundraisers will not take advantage of my generosity	72	73.6	19.4	6.9	13	53.9	46.2	
Q.4.3.3.	the university's fundraisers will always tell me the truth	72	73.6	22.2	4.2	13	54.9	38.5	7.7

Appendix O 4 Individual donor's perceptions of the recognitions received from
University I and *University II*

Question Number	Statement	University I				University I			
		n	% Agree and Strongly agree	% Unsure	% Disagree and Strongly disagree	n	% Agree and Strongly agree	% Unsure	% Disagree and Strongly disagree
Q.4.1.9	The people of the University: acknowledge me when I did something that benefits the university	75	58.7	37.3	1.3	14	42.8	28.6	28.6
Q.4.2.7	I am satisfied with: the recognition I received from the University for being a donor	74	55.4	37.8	6.8	13	61.6	30.8	7.7
Q.4.2.1.	the on-campus benefits I receive for being a donor of the University	74	37.6	47.3	10.9	13	23.1	53.8	23.1
Q.4.1.2.	I value: receiving acknowledgement letters from the university leaders about my contributions	75	68.5	22.9	4.3	14	50.0	28.6	21.4
Q.4.4.1.	receiving regularly the university's newsletter and updates	71	74.6	12.7	12.6	14	100.0		
Q.4.1.5.	attending the University functions	72	55.5	37.5	6.0	13	53.9	30.8	15.4

Appendix O 5 Individual donor's perceptions of participating in *University I* and *University II* philanthropic activities

Question number	Statement	<i>University I</i>				<i>University I</i>			
		n	% Agree and Strongly agree	% Unsure	% Disagree and Strongly disagree	n	% Agree and Strongly agree	% Unsure	% Disagree and Strongly disagree
	The people of the University:								
Q.4.1.1	Value my participation in the university activities	74	59.4	32.4	8.2	14	42.9	50.0	7.1
	I value:								
Q.4.4.3.	Volunteering in the university's community project	71	54.9	32.4	12.7	13	46.2	53.8	