

Fundraising Reports, 1977

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Marts & Lundy INC.

STAFF REPORTER

VOL. XXXV No. 5

January, 1977

1977 STAFF CONFERENCE

We expect to have specific details on the date and place of this year's staff conference for publication in the February issue of the Staff Reporter. At the Board of Directors' meeting in December, it was decided to limit the sessions to staff members, with the idea that families could plan for longer vacations than are permitted when they come to the conference. Also, we would appreciate staffmembers' ideas on where to hold the conference. Please send any suggestions or thoughts you have on the subject to Mel Brewer.

VOLUNTEER FUND-RAISING

Almost every member of the staff is called on from time to time to offer advice to friends, clients of the firm or others on fund-raising matters. We have always encouraged this, of course, as good public relations, and will continue to do so when the help doesn't create competition for the firm. As many of you know from bitter experience, those who are helped often simply neglect to say even a small word of thanks, but we're always grateful when someone does come back with an acknowledgement of the good we've done. One of the latest reports of that kind follows.

About four years ago, after having served as headmaster of The Hill School in Pennsylvania and St. Mark's School in Massachusetts, Ned Hall retired and for a complete change of scenery, took off for Botswana in South Africa. (It was formerly known as Bechuanaland when it was a British Protectorate.) He became a teacher and coach at the Maru a Pula School in Gaborone, the nation's capital, and formed the "American Friends of The Maru a Pula School, Inc." with tax-deductible status in the U. S. He asked us to give him some advice on how to raise some funds and to a large extent, followed the advice conscientiously although he was thousands of miles away. He enlisted the help of Acosta

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(Corky) Nichols a retired master of the Groton School as the U. S. treasurer of the group, brought the Headmaster and his wife to the States for a tour of several cities where they were introduced to prospective donors at dinners, teas, etc. From there on, his efforts resulted in the raising of \$45,000 in the States in 1976! Wally Ruckert and Mel Brewer served as "consultants" when called on and Ned Hall continues to sing the praises of Marts & Lundy, which he also did while serving at The Hill and St. Mark's. Ned says that Botswana is one of the last countries in Africa that is still delicately balancing between embracing Communism and democracy. He says he went there to help teach the students and others with whom he comes in contact that democracy is the better choice. We hope his efforts are successful.

MAIL LESSONS FOR FUND. RAISERS

Direct mail copywriters continually test their copy to be sure it is read. One recognized leader in this field says: There are six ways to be more selective and successful with copy--benefits, length of copy, testimonials, graphics, offers, and words themselves. But even using most carefully designed letters, he warned, people do not read direct mail. Experiments have shown that people cannot answer 50 per cent of the questions asked after reading letters. "The only place where a letter is read word for word is in the copywriter's office," he said. He added that the only thing new in direct mail is remembering there is nothing new. What may be successful in one campaign may not work in another. Some of this advice should be considered carefully when you are writing mail appeals or sending bulletins to workers.

MORE ABOUT MAIL

It is estimated that one third of U. S. adults made at least one purchase from mail order organizations in 1975, bringing total sales to a record \$16.5 billion. As you'll remember from your mail order catalogs which began to arrive for the 1976 Christmas season beginning last September, there are an estimated 6,500 companies employing mail ordering as a marketing vehicle. Estimates of some segments of the mail order business in 1976 show that \$965.7 million in insurance premium income was generated via mail order marketing. Mail order will account for close to 15 per cent of total general merchandise sales made in this country in 1976.

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This is the kind of competition your clients encounter when they decide to engage in mail campaigns for subscriptions to capital fund programs. Is it really logical to resort to mail when a personal call will produce better results?

CARD RACKS

The card racks supplied by the YMCA of Dallas, Texas are now selling at \$15 for a set of 10 racks. One set holds 400 cards.

In addition, the "Y" charges for shipping. Shipping charges are always included on the invoice sent to the customer and are stated as "shipping charges" and listed separately from the \$15.00 charge listed for the boards. There has been some misunderstanding about these charges recently, but the above information has been supplied by the "Y's" executive in charge of the racks as the last word on charges.

If your client wishes to order the racks, here is the proper address information:

Ms. Jean Talley
Director, Promotional Materials
YMCA of Dallas Metropolitan Area
901 Ross Avenue, Room 306
Dallas, Texas 75202

Phone: 214-741-1951

ENCLOSURES

1. An article on American Foundations, by historian Henry Steele Commager--a reprint from the December 1976 issue of MAINLINER, publication of United Air Lines, Inc.
2. "What Motivates People to Give?" Results of an interesting study on why alumni do or do not give to the annual fund.

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COUNSELING CONTRACTS

MELVIN D. BREWER

THE MERCERSBURG ACADEMY, Mercersburg, Pennsylvania

Implementation of our survey report has started and John C. Stahle will report for full-time duty on February 1. In the meantime, we are preparing for screening meetings, which Buck will supervise; meeting with prospective leaders -- the National Chairman said "yes" on December 27; beginning work on the case statement and the screening presentation; and working on a few leadership gift prospects.

SIMMONS COLLEGE, Boston, Massachusetts

Simmons is at the stage now where a single six or seven-figure gift would open the flood gates for a lot of others, but nothing like that is in sight. We keep plugging away in an attempt to uncover more large gift prospects and to get the corporation gifts committee and the staff person in charge of foundation grants to get to work. The Simmons alumnae are responding well to the "share" plan, but on the average, their gifts are low. They say it is because the "big" money in their households goes to the husband's alma mater, rather than theirs. Women's lib hasn't changed that situation as much as we had hoped, evidently.

HERBERT C. RICHMAN

MOUNT UNION COLLEGE, Alliance, Ohio

Some progress is being made on the advance gift solicitation, but a year-end meeting was postponed. At least the first million is pledged. We will initiate screening after the first of the year, but not publicly announce the goal until June, 1977.

BUCKNELL UNIVERSITY, Lewisburg, Pennsylvania

Goal: \$4,000,000

The Board voted to let contracts totaling \$3,250,000 for the field house section of the total athletic complex. Estimates on the equipment and campaign costs put the goal at \$4 million. To date they have pledges totaling \$1,400,000.

Charles Wolfe will start full-time resident direction January 1, 1977, but they have not agreed to more than three months of his services. They need a resident organizer badly. We shall see.

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JOHN I. CARLSON

1. \$100,000 to be matched dollar-for-dollar from the Board of Trustees
2. \$200,000 to be matched one for every two from selected alumni, parents and friends.

Mr. Anonymous has already established a \$600,000 trust, gave \$100,000 and his wife \$75,000 because one could not make a luncheon date with the Headmaster. Mr. Anonymous is not an alumnus, in fact he is from from another school. All of this is for a new library and endowment for the library.

TOZIER BROWN

ST. LUKE'S HOSPITAL CENTER, New York, New York

A million dollar commitment from the government of a foreign nation (details to be announced later) puts some real pizzazz into the campaign. The nucleus fund will be somewhere between \$2.5 and \$3.5 million as we get under way. The solicitation of Trustees will start in January and the medical staff has asked to go ahead with their campaign starting in February. The early signs among the medical staff are good and they have set a goal of \$1 million for themselves.

WASHINGTON & JEFFERSON COLLEGE, Washington, Pennsylvania

The general gifts campaign will get under way in Pittsburgh in January along with the cleanup of special and general campaigns in Washington, Pennsylvania. Two new satellite campaigns will also start along with the corporate campaign among Pittsburgh-based corporations. Work with major foundations, of course, continues.

LEHIGH UNIVERSITY, Bethlehem, Pennsylvania

The best news is that Ted Wachs will start writing a deferred gifts booklet for Lehigh, starting the first week in January. It will be great to have him back again. As we had planned, all of the big guns at Lehigh are now aimed at annual giving. A "front-end" telethon in five metropolitan centers has just raised nearly \$350,000 (1,902 donors!). Records are being set all down the line.

TOZIER BROWN

HAMILTON COLLEGE, Clinton, New York

The level of giving continues high in the "regional" campaigns, as they call them, but the coverage is poor. We are now analyzing the situation and trying to establish better controls for the next series of campaigns that begin in January. This is difficult to do when all of the procedures have been established and materials published.

COLGATE ROCHESTER/BEXLEY/CROZER, Rochester, New York

I am convinced that raising funds for theological seminaries is just about the most difficult task there is. The constituencies are built primarily upon "friends of friends" and this takes endless cultivation and patience. As far as we know, there are no alumni or alumnae of these Schools (three of them) who are bona fide special prospects.

MORAVIAN ACADEMY, Bethlehem, Pennsylvania

Dan Collins is just completing the survey interviews and it is a good thing - he will be on jury duty in Moorestown for most of the month of January. In our spare time, this will be the next writing project.

E. BURR GIBSON

HARVARD UNIVERSITY, Cambridge, Massachusetts

Goal not established

As I indicated in the previous report, we have suggested a possible timetable for a core campaign and have recommended strongly that the goal be expressed in terms of new money rather than a gross figure of everything that will be raised over the next five or ten years. Our schedule calls for the prioritizing of their list of needs by June of 1977 and the Dean of the School of Arts and Sciences has said that he will do his best to meet our deadline. Although there has been no decision as to whether or not such a campaign will actually take place some front-end money has been allocated and with it several more people will be added to the research office to help develop complete information on at least a thousand or so top prospects.

We have also appointed a coordinator for the capital campaign and his name is familiar to all of you--Boardman, but it's his brother Bill not our good friend, Dick. John Carlson was Bill's mentor a few years ago at Union Theological Seminary.

— *Mart & Lundy* INC.

E. BURR GIBSON

I am in the process of doing the first draft of a budget which will be quite a process in itself and we have also taken a look at what will be required in terms of computer services and that is an interesting exercise with a university as large as Harvard.

NORTHFIELD MOUNT HERMON SCHOOL, East Northfield, Massachusetts

I talked to the Director of External Affairs, John Leyden on December 30, and he was pleased to have received a year-end gift of \$66,000 from a prospect that had been rated at \$10,000! This puts Northfield Mount Hermon well over the \$2,000,000 mark toward their goal of \$3,375,000. A statement from me as fund counsel has been included in the materials that will go to the Trustees at their next meeting --many of the materials summing up the previous calendar year. In my report I said in so many words that the weakest part of the campaign was the personal solicitation of top prospects, which is largely the responsibility of the Board.

SUFFIELD ACADEMY, Suffield, Connecticut

In this situation we have a tentative capital campaign goal of \$3,000,000 and at the moment are in the midst of solicitation of Trustees, for whom we set a goal of \$300,000. This is obviously considerably short of the 25 per cent that we would normally like to have but their Board is just not a wealthy one. The first few gifts add to \$85,000 and we can see that we have a good shot at the \$300,000 but it will take another month or so before we have a complete picture. The first half a dozen prospects beyond members of the Board are the biggest ones in this campaign together having a potential for at least the next \$1,500,000 to \$2,000,000. The first issue of the Newsletter is coming off the press soon and in this case you might call it a pre-campaign reporter. It is designed to promote the DeWitt Wallace gift and alert everyone that the Trustees are considering all aspects of a major capital campaign over and above meeting the Wallace Challenge, which would take \$1,000,000.

RHODE ISLAND SCHOOL OF DESIGN, Providence, Rhode Island

We have just agreed to help the RISD with a campaign within a campaign to try to raise \$300,000 or more from current and immediate past parents. They have raised \$2,500,000 over the past several years for a capital campaign but have just not been able to do any work with the parents. Our plan is to help out for a couple of months on a counseling basis and then continue with a full-time staff for a few months, but this is not all absolutely solid at this writing.

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BRUCE G. FREEMAN

PENNSYLVANIA COLLEGE OF OPTOMETRY, Philadelphia, Pennsylvania

Did we say, "the program should now get back on track," with the faculty union distraction over? An attempt is being made to organize the secretaries and maintenance people. The President is again in the midst of the battle.

Trustee pledges are very slow in coming in - only three totaling \$25,000. A push will be made to complete the Trustee solicitation prior to their next meeting - January 23rd.

There are now two \$150,000 proposals out to individual prospects. Shortly after one proposal was made the prospect had a mild heart attack. This will obviously cause considerable delay in his decision, though we are confident he will still make a major gift.

Screening still proceeds very slowly. Only half the areas are planned. We are trying to pressure staff to complete this phase so that the campaign can proceed.

THE KEY SCHOOL, Annapolis, Maryland

The total of leadership and Trustee gifts is \$62,000. Much of the leadership phase remains to be completed. The top prospect (\$100,000 proposal) is still being worked in a planned three-visit solicitation. Organization of the general campaign will start later this month.

UNITED NEGRO COLLEGE FUND, New York, New York

Status quo! The log-jam is now in the Carter camp. We hope that with the less important appointments of cabinet, top executive branch staff, and a few ambassador level posts out of the way, President-elect Carter will get down to work on this important UNCF campaign.

ROBERT B. ST. LAWRENCE

MARY INSTITUTE - ST. LOUIS COUNTRY DAY SCHOOL,
St. Louis, Missouri

No contact from this "retainer" client during December. Preparation for a phonothon will require a visit to St. Louis in January. Hope to have a full report of progress at that time.

ST. LOUIS FOUNDATION FOR ALCOHOLISM AND RELATED
DEPENDENCIES, INC. St. Louis, Missouri

Gifts from all sources now total \$422,000 toward a \$1 million dollar goal. Four corporations have given \$275,000. The Board of Directors have contributed \$109,000 and \$38,000 has been pledged by the "Alumni Association."

This client did not want us to service them during December so we were not able to collect a fee. I should have sold them the retainer fee plus trips to avoid gaps in income.

January will require that I be in St. Louis at least one day to get back into control of things.

JOHN E. TAYLOR

MUSEUM OF SCIENCE, Boston, Massachusetts (4 days per month)

Campaign leaders decided that it would be best to suggest that the solicitors not make any calls over the Christmas season, and sent letters to that effect. We had little indication that any calls were being made, so little was lost. We are now doing what can be done to stir up the troops to complete the advance gifts phase and also the assignments in the major gifts category. It appears that with few exceptions the commitments being received are not substantial although somewhat above the annual giving experience.

Preparations are being made for the high level business and industry campaign involving perhaps a dozen or so of the major corporations.

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JOHN E. TAYLOR

THE PHILLIPS EXETER ACADEMY, Exeter, New Hampshire
(4 days per month)

Major efforts are being expended to locate the areas of alumni concentration in order to organize screening meetings. Concurrently, we are planning high level (over \$50,000 - hopefully \$100,000) prospect cultivation luncheons starting this Spring. The campaign is some time away - 18 months, but these folks want to be sure that the homework is done before the whistle blows particularly with the six and seven-figure prospects.

FLETCHER SCHOOL OF DIPLOMACY - Tufts, Medford, Massachusetts
(4 days per month)

We are back at this fine school located at Tufts to assist them in raising funds for an expansion of the building and also endowment. The Dean declined professional help after the survey we did for them over the summer. He felt that he could raise the four million dollars needed by the end of the year (1976). Apparently, he has not managed to make any calls and still has four million to go. Although it will not be easy - many of the graduates are teachers and Department of State people do not make big money - we feel that we can better their record, or lack of it.

GOVERNOR DUMMER ACADEMY, Byfield, Massachusetts (2 days per month)

First visits scheduled this month. We will be assisting this client in the preparation of their impending campaign on a two day per month basis. We have a good relationship with this school - Charlie Dice did the last campaign and conducted the recent survey.

LYME ACADEMY OF FINE ARTS, INC., Old Lyme, Connecticut
(1 day per month)

These folks have formed a school to promote the school of realism in art...vs. impressionism. They feel that the modern art folks have created a fad, and they are called to insure that realism maintains its place. They are \$45,000 in debt and desire to raise \$150,000 with next to no constituency, and in competition with the Lyme Historical Museum which has a campaign in progress for \$85,000 and having trouble. We have one day a month to help them solve the problem - and they have no staff.

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CAMPAIGN COMMENTS

DETROIT COLLEGE OF LAW
Detroit, Michigan
(313) 965-7667

Long-Range Goal	\$1,750,000
Published Goal	\$1,750,000
Suggested M&L Goal	\$ 750,000+
Raised to date	\$ 670,467

James Millar, Director

Like so many good Republicans, I too now sit here in lame duck session. Originally our contract with DCL was through last June. It was then extended to the end of 1976. As this date approached the administration realized that there was going to be a flood of year-end activity from their tax-conscious lawyer constituency, and, as they themselves would all then be on vacation, I had best hang in until Janaury 15th. Here I am.

In retrospect I wonder how, without volunteer leadership, we have raised the money that has come in. I can only surmise two things: one, the Detroit College of Law itself is for real; and secondly, careful supervision and execution of just simple campaign mechanics will in itself produce a certain amount. Actually, as the corporation and foundation committees now go into action, the end results should just about be at the Marts & Lundy suggested goal. So be it.

Where to next - sailing orders have not yet been received, but I do understand 521 has several balls in the air; and I stand ready to head North, South, East or West.

UPPER IOWA UNIVERSITY
Fayette, Iowa
(319) 425-4256

Long-Range Goal	\$1.6 million
Published Goal	None
Suggested M&L Goal	None
Raised to date	\$498,000

Ralph D. Wolfe, Director

We received an additional \$40,000 since our last report. To most of you that is quite a small increase. Here at Upper Iowa it is a biggie.

Our area campaigns are tough. They have no Director of Alumni Relations here whatsoever. Since our last campaign nothing was done in these areas where we had a measure of success. The powers that be believed that one way or another the angel from Saint Marts & Lundy could perform miracles. I sure wish Gabriel would blow his trumpet a little louder.

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Here's one that may give some of you a bit of encouragement. After screening and evaluation meetings, I was told we had a sleeper, 35 miles away from the campus, in Independence, Iowa. Of course all of us like to wake up sleepers so I proceeded with a member of the staff to visit the Rip Van Winkle. When we arrived we discovered the sleeper was on welfare and was in the process of going for a 75¢ lunch at a welfare food distribution center. My only regret now is that I didn't give the poor fellow the 75¢ for his lunch.

SCHOOLS

POLYTECHNIC PREPARATORY	Long-Range Goal	None
COUNTRY DAY SCHOOL	Published Goal	\$1.5 million
Brooklyn, New York	Suggested M&L Goal	None
(212) 836-9800 Ext. 18	Raised to date	\$475,101

J. Wiley Christie, Jr., Director

Our leadership gift workers are now set and should be making their calls. The year-end did put a crimp in activities, and this first week of the New Year is a matter of getting the car back on the track. I am hoping by the end of the week to have some of the chairmen set for the general campaigns.

MISCELLANEOUS

FAIRVIEW BAPTIST HOME	Long-Range Goal	\$500,000
Downers Grove, Illinois	Published Goal	\$500,000
(312) 852-4350	Suggested M&L Goal	\$500,000
	Raised to date	\$ 38,100

Fred L. Broad, Jr., Director

At the top of this form there is a note which says to be concise in reporting things which would be "of interest or value to the entire staff." Little has happened here during the past month which would be either.

We drag along from day-to-day trying to get action out of a group of constituents whose interest in this institution is at best secondary. In terms of potential there is really no reason why this institution should

— *Marts & Lundy* INC.

have any trouble in raising this modest goal, but nobody is really all that interested and there is no real urgency to the cause. Since we first came on the job there has been a marked improvement in the finances of the institution and now it looks like the debt that this program was so urgently needed to retire, will be paid off through normal income in less time than it will take them to collect the payments on the campaign pledges, but by the time this became evident, they were too involved in the campaign to turn back, and the money can always be used. However, this condition is not much inspiration to get out and work on the campaign.

COMMUNITY HOSPITAL
Geneva, Illinois
(312) 232-0771

Long-Range Goal	\$1,500,000
Published Goal	\$1,500,000
Suggested M&L Goal	None
Raised to date	\$1,290,459

John C. Stahle, Director

During the month of December we succeeded in assigning all remaining leadership and special gifts accounts. Then we tried as hard as we could to get them worked and reported. While we did not raise as much new money as I would like to see coming in, we did increase our total by \$150,000.

During January, we are going to try to put this campaign "over the top." The outstanding accounts have more than the potential to do this. The executive committee meeting is on Wednesday morning to lay plans for the clean-up.

Marts & Lundy services will terminate at the end of January.

THE UNITED PRESBYTERIAN CHURCH
IN THE U.S.A.
New York, New York
(212) 870-2501

Long-Range Goal	\$60 million
Published Goal	\$60 million
Suggested M&L Goal	\$50 million
Raised to date	\$163,000

Ronald V. Wells, Director

Yes it is a long way to go from \$163,000 to \$60 million or more but at least we are on the way. One special gift of \$10,000 and one church which has already campaigned and raised \$150,000. In addition there are several smaller pledges and gifts of \$3,000.

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When Major Mission Fund was featured as a rolling campaign no one could predict just how rolling it would be. The original concept was that a fair share of churches would go in this first cycle 1976-77 with the remainder fairly evenly distributed in the second and third cycles - 1977-78 and 1978-79.

On the basis of initial decisions we know for sure we have the Synod of Alaska Northwest, and the Presbyteries of San Diego, Scioto Valley, Muskingum Valley, and Baltimore going in 1976-77. These lower judicatories have adopted goals of \$4,118,000 which is their fair share of the \$60 million goal. Currently we are in the midst of session visits, and we know that an encouraging number of churches are accepting their suggested goals as reasonable and exciting projections of their potential. More of this can be reported next month.

We know that two Synods and three or four Presbyteries plus one top church have voted campaign in the second cycle 1977-78. Combined fair share goals if adopted could range between \$7,400,000 - \$8,000,000.

This leaves 12 Synods including the largest and at least 130 Presbyteries to campaign for over \$48 million in 1978-79. Initial votes for this third cycle apparently are not to be changed. We know for we have given it a solid try to move several of the larger Synods to a consideration of earlier campaigns at least for some of their Presbyteries. No changes!

The next months emphasis will be upon the development of the National Leadership Gifts Committee essentially as this is related to those areas currently campaigning. Since all top leadership gifts solicitation must be geared to each cycle this will of necessity be quite a different process both in recruiting and soliciting top prospects.

FOLLOW-UP REPORTS

THE SHIPLEY SCHOOL Bryn Mawr, Pennsylvania

The Shipley School campaign (Next Step Forward I & II) is over the top on their \$2,000,000 objective. The new gym is under construction and a number of other projects have been completed. In addition to the campaign results, \$75,000 has been raised for remodeling the old gym into an auditorium.

EASTERN BAPTIST COLLEGE St. Davids, Pennsylvania

Jack Baird reports the campaign now stands at \$1,260,000. The mysterious Mr. X (Gordon Palmer) died last month. The possibility of a bequest could put them over the top. Their present target date is March, '77. If the bequest does not come, Jack hopes to raise the additional money. Eastern College has a \$250,000 gift, not included in the present campaign, which will be used as the "kicker" for an Eastern College campaign for \$750,000 which will be announced in about twelve to eighteen months. The College campaign will be very low key. Jack promised to tell me more in the future.

Assignments as of
January, 1977

** Albion College	St. Lawrence
* American Indian Archaeological Institute	Carlson
Bucknell University	Wolfe, C.
* Chatham Hall	Carlson
* Christ Hospital	Brown, C. W.
* Colgate Rochester Divinity School	Brown, T.
Community Hospital	Stahle
* Concordia College	St. Lawrence
* Deerfield Academy	Carlson
Detroit College of Law	Millar
** Essex Health Care Foundation	Carlson
Fairview Baptist Home	Broad
* Governor Dummer Academy	Taylor-Carlson
* Hamilton College	Brown, T.
* Harvard University	Gibson
* Key School, The	Freeman
* Lehigh University	Brown, T.
* Lincoln School	Carlson
* Loomis-Chaffee School, The	Gibson
* Mary Institute - St. Louis Country Day School	St. Lawrence
* The Mercersburg Academy	Brewer

* Montclair Kimberley Academy, The	Carlson
** Moravian Academy	Brown, T.
* Mount Union College	Richman
* Museum of Science	Taylor
* Northfield Mount Hermon School	Gibson
* New York College of Osteopathic Medicine	Brown, C.W.
** Otterbein College	Hinebauch
* Pennsylvania College of Optometry	Freeman
* Phillips Exeter Academy, The	Taylor-Carlson
* Pingree School	Carlson
* Planned Parenthood League of Connecticut, Inc.	Carlson
Polytechnic Preparatory Country Day School	Christie
* Pomfret School	Gibson
* Rhode Island School of Design	Gibson
* St. Andrew's School	Carlson
* St. Luke's Hospital Center	Brown, T.
* Saint Louis Foundation for Alcoholism and Related Dependencies, Inc.	St. Lawrence
* San Antonio Museum Association	Gibson
* Simmons College	Brewer
* Simon's Rock Early College	Carlson
* Spelman College	Freeman
* Suffield Academy	Gibson

** Tower Hill School

* Trinity College

* Tufts/Fletcher

* Tuskegee Institute

* United Negro College Fund

* UPCUSA - Support Agency

Upper Iowa University

* Wallace Village for Children

* Washington & Jefferson College

* Western Maryland College

* Williston Northampton School

Carlson

Iannoli - Gibson

Taylor

Gibson

Freeman

Wells - Gibson

Wolfe, R.

Brown, T.

Brown, T.

Gibson

Carlson

* Counseling

** Survey

*** Study

**** Writing

INQUIRIES

Following is a list of inquiries received in the past few months. Some of these institutions/organizations have decided to use the services of other firms since the initial inquiry and others are pending. Those asterisked have been served by Marts & Lundy in the past.

The Albany Academy, New York

All Saint's Episcopal School, Vicksburg, Mississippi

Allentown College, Pennsylvania

Armenian Cultural & Education Center, Watertown, Connecticut

*Beaver College, Glenside, Pennsylvania

Berkshire School, Sheffield, Massachusetts

Birch Wathen School, New York City

Boys and Girls Club, Edgartown, Massachusetts

Brearley School, New York City

*Brown University, Providence, Rhode Island

*Chapin School, New York City

Chi Psi Fraternity, Ann Arbor, Michigan

Children's Protective Services, Massachusetts

Chowan College, Murfreesboro, North Carolina

*Christian Church in Indiana, Indianapolis

Cleveland Zoological Society, Ohio

*Colby Sawyer College, New London, New Hampshire

*Columbia Theological Seminary, Decatur, Georgia

Community School, Teheran, Iran

Dana College, Blair, Nebraska

*Dana Hall School, Wellesley, Massachusetts

Dickinson School of Law, Carlisle, Pennsylvania

Emerson Hospital, Concord, Massachusetts

Ferguson, Alice Foundation, Accokeek, Maryland

*Fessenden School, West Newton, Massachusetts

Franklin Pierce Law Center, Concord, New Hampshire

Gwynedd-Mercy College, Pennsylvania

*Hollins College, Virginia

*Institute of Advanced Study, Princeton, New Jersey

International School, Geneva, Switzerland

International Thespian Society, Cincinnati, Ohio

John F. Kennedy Museum, Fort Bragg, North Carolina

Lehigh County Blind Association, Allentown, Pennsylvania

Lenior Rhyne College, Hickory, North Carolina

Lewis University, Lockport, Illinois

Library of Congress, Washington, D.C.

*Luther College, Decorah, Iowa

MMI Preparatory School, Freeland, Pennsylvania

Clara Maass Hospital, Belleville, New Jersey

*Manchester College, North Manchester, Indiana

Marygrove College, Detroit, Michigan
Miami Valley School, Dayton, Ohio
Moorestown Friends School, New Jersey
*Moravian College, Bethlehem, Pennsylvania
Morehouse School of Religion, Atlanta, Georgia
Museum of Arts and Sciences, Macon, Georgia
Nassau Presbyterian Church, Princeton, New Jersey
National Audubon Society, New York City
New Brunswick Theological Seminary, New Jersey
Ohio State University, Columbus, Ohio
*Otterbein College, Westerville, Ohio
Petroleum Marketing Education Foundation, Columbia, South Carolina
*Perkiomen School, Pennsburg, Pennsylvania
*Philadelphia College of Textiles and Science, Pennsylvania
*Pikeville College, Kentucky
Quadrangle Club, Princeton, New Jersey
Quill Endowment Committee for the Society of Journalists
Sigma Delta Chi, Texas
Radcliffe College, Cambridge, Massachusetts
Ransom-Everglades School, Miami, Florida
*Rhode Island School of Design, Providence, Rhode Island
Saint Andrew's School, Tennessee

Sewanee (University of the South), Tennessee
Simon's Rock Early College, Great Barrington, Massachusetts
Skidmore College, Saratoga Springs, New York
Stanstead College, Quebec, Canada
Teaneck Public Library, New Jersey
University of Buffalo, New York
University of Tulsa, Oklahoma
University of Washington, Seattle
Vassar College, Poughkeepsie, New York
Villa Duchesne-Academy of Sacred Heart, St. Louis, Missouri
Virginia Wesleyan College, Norfolk, Virginia
Woodland Foundation for Anthropological Research, New York City
West Virginia University Foundation, Morgantown, West Virginia
Yeshiva University, New York City

Counsel

Exploring Issues and Trends in Private Philanthropy

Winter 1977

CORPORATE SUPPORT of HIGHER EDUCATION

..... See special insert on
corporate giving
following page 6 inside ...

Report on Fund-Raising

Capital Campaigns * Annual Giving * General News

ANNUAL GIVING PROGRAMS are on the upswing in most schools and colleges with vigorous programs being conducted for operating funds. Among some of the record-breakers for 1975-76:

RIPON COLLEGE'S 125th Anniversary Fund brought in contributions totaling \$551,148 -- topping its one-half million dollar goal. . . . The College reports alumni gave 48 per cent of the total and that emphasis on leadership gift societies and the work of 225 volunteers were the chief factors in the whopping 44 per cent increase in unrestricted private gifts. . . . THE MERCERSBURG ACADEMY, Pa. raised \$213,903, surpassing its \$200,000 goal -- a 22 per cent increase over the total given in 1974-75. . . . and of the overall total, \$110,820 came from leadership gifts (\$1,000 and over) of 37 individuals and nine corporations and foundations -- who are now members of the Academy's William Mann Irvine Society. . . . THE HILL SCHOOL, Pa. set another all-time-high fund record for total giving of \$287,000 from over 40 per cent of its alumni. . . . the campaign was sparked twice by challenge gifts which came at crucial times and set new giving records for short periods of intensive effort. . . . LINCOLN SCHOOL, Providence, R.I. also reported the most gifts and most contributed. . . . with credit for the increase in donors attributed to an up-front phonothon and the increase in the amount to an unexpected five-figure gift. . . . THE MONTCLAIR KIMBERLEY ACADEMY, N.J., produced an increase of 300 donors and the best record ever in its annual giving. . . . THE PHILLIPS EXETER ACADEMY, N.H., reached a record total of \$702,000 and 46 per cent participation in its 1975-76 annual giving program and ST. ANDREW'S SCHOOL, R.I., reported record giving, going over its stated goal of \$27,000. . . . DEERFIELD ACADEMY, Mass., reported total annual fund support for 1975-76 at \$660,303 -- an increase of 12 per cent over 1974-75. . . . FRIENDS ACADEMY, Long Island, reached a record high in its 1975-76 Annual Fund program, with contributions eight per cent above those of the previous year. . . . The Academy has multiplied its annual giving four-fold in the past decade. . . .

NEWS OF CAMPAIGNS IN PROGRESS:

BUCKNELL UNIVERSITY, Pa., has received challenge grants from two donors totaling \$1,200,000 toward a new recreation center. . . . MARY INSTITUTE-ST. LOUIS COUNTRY DAY SCHOOL, St. Louis, Mo., has passed the \$2 million mark in their campaign for \$5 million in new endowment. . . . POLYTECHNIC PREPARATORY COUNTRY DAY SCHOOL, Brooklyn, New York, announced \$439,727 in advance gifts at its kickoff in November -- toward a goal of \$1.5 million. . . . UPPER IOWA UNIVERSITY, Fayette, Iowa, has been offered a challenge gift of one dollar for each dollar raised from other sources up to \$1 million. . . . HAMILTON COLLEGE, Clinton, N.Y., has raised \$7 million in the early stages of its campaign with a goal of \$16 million. . . . ST. LUKE'S HOSPITAL CENTER, New York City, officially launched its campaign in December with a goal of \$33 million. . . . TRINITY COLLEGE, Hartford, Conn., is making steady progress toward its announced long-range goal of \$12 million with current commitments totaling \$9,600,000. . . . WESTERN MARYLAND COLLEGE, Westminster, Md., in response to a challenge gift of \$150,000 from a foundation as a "completion grant," met its goal in November and is now working on a program to meet a second \$500,000 challenge, which has raised its goal to \$2,900,000. . . . THE UNITED PRESBYTERIAN CHURCH IN THE U.S.A. is conducting four pilot campaigns in widely-scattered areas across the country prior to launching an all-out Major Mission Fund for approximately \$60 million over the next three years. . . . MOUNT



In his 50th anniversary luncheon address, Nils Y. Wessell reminded his audience that he has "sat on both sides of the foundation desk," first as president of Tufts University and more recently as president of the Alfred P. Sloan Foundation.

From this broad vantage point, he discussed the special problems facing education as America begins its third century and what our approach should be in dealing with them. Some excerpts:

"May I remind you also that if education is based on anything, it is based on optimism—optimism regarding the individual's ability to learn, to change, to make personal progress and to advance civilization. Pessimists should seek other haunts. If we are to inspire as well as to teach, and of what use is the one without the other, then we must look for promise and seek challenge, believe that there is 'a new Eden of restored possibilities,' that the American people in no small part through their educational institutions can rediscover their purposes, their common humanity, and their promise."

* * * *

"Gone is the day when it was enough to mount a special campaign once every decade or two to bring extraordinary funds to the coffers of a school or college. Every institution must have a continuing plan and if there are any peaks of effort, these should appear only as blips on a newer and higher plateau of effort."

* * * *

"... I see signs that the sap that is the American spirit is rising. As a people we possess a curative power deep in our souls. That power is more than education but certainly education is an extremely important component. As others have expressed it so well, we are clearly getting ready to cross one more river."

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UNION COLLEGE, Ohio, has announced a long-range goal of \$6,500,000 in an endowment campaign. . . . COMMUNITY HOSPITAL, Geneva, Illinois, went over the \$1 million mark before Thanksgiving in its campaign to raise \$1.5 million. . . . With a pledge of \$1 million from a donor first contacted a year ago, CORNELL COLLEGE, Iowa, has gone over its goal of \$4 million and BLUFFTON COLLEGE, Ohio, reports total pledges of \$1,565,000 and a foundation challenge grant of \$100,000 if the College raises another \$210,000 toward its science building program. . . . A goal will be set for the campaign of Philadelphia's PENNSYLVANIA COLLEGE OF OPTOMETRY after completion of trustee solicitation. . . . the College has received a \$3 million Federal grant to construct an Eye Institute and needs an additional \$1.3 million from private sources. . . . and on Long Island, N.Y., a campaign is under way to secure startup funds for the NEW YORK COLLEGE OF OSTEOPATHIC MEDICINE, which will be housed on the campus of The New York Institute of Technology. . . . this is the first college of osteopathic medicine in New York State.

GIFTS OF STOCK . . . A rising stock market was sharply reflected in gifts of securities last year. PRINCETON UNIVERSITY'S Annual Giving program in fiscal 1975-76 is a good example: In the preceding year, 279 donors gave a total of \$470,235 in securities, but in 1975-76, 327 donors gave a total of \$848,875. Other colleges and schools reported similar results. Princeton also reported three gifts of \$100,000 or more and 40 between \$10,000 and \$100,000 in last year's record \$4.4 million fund, with 56 per cent of undergraduate alumni participating. . . .

DO THOSE LEADERSHIP CLUBS HELP RAISE MONEY?

Among the preceding reports are some showing significant gains made because of participation in "leadership clubs," i.e., a device to encourage alumni and friends to make gifts of a minimum amount (usually \$1,000) which qualify them for special recognition as supporters of the institution.

The value of these clubs is attested to by all of the schools and colleges which have reported last year's results. The most interesting and effective results seem to have been compiled by independent schools.

Deerfield Academy is a prime example.

Deerfield 1797 is the name given to the Academy's exclusive club of \$1,000 and over donors. It was created by the late Robert Kriendler, President of the famous "21" Club in New York City, when he was National Co-Chairman of the Annual Support Program. In the first year (1970-71) there were 58 members. In 1975-76, the number of members totaled 175 -- including alumni, parents and friends, and although making up only four per cent of the donors, they accounted for nearly 60 per cent of the individual donor dollars -- \$322,816.03.

Since Mr. Kriendler's death, his wife has continued the tradition of holding the Annual Dinner of 1797 at the "21" Club. This takes place in October and not only serves to honor Deerfield and the members of 1797 but also serves to recall the memory of the Club's founder and beloved friend of the Academy -- Bob Kriendler.

The Mercersburg Academy reported a similar experience with its William Mann Irvine Society, named for the Headmaster who left a lasting imprint on the Academy. The 46 gifts of \$1,000 or over which qualified the donors for membership in the Society accounted for 51 per cent of the total amount of the fund raised last year.

At Friends Academy in Locust Valley, Long Island, Edward M. Lapham, Jr., Chairman of Annual Giving for 1975-76, reported that membership in the Gideon Frost Society increased by six donors over the previous year, with a total of 44 in the \$1,000 and over category in 1975-76. Members of the Gideon Frost Society receive an invitation to a dinner each year at the de Seversky Conference Center on the campus of The New York Institute of Technology in Old Westbury.

“Directions in Fund-Raising” is theme of 50th Anniversary Conference

Nearly 200 presidents, headmasters, executive directors and development directors of non-profit institutions gathered at The Waldorf-Astoria in New York City last August for a conference marking Marts & Lundy's 50th Anniversary. They attended panel discussions on “Directions in Fund-Raising” and honored volunteer and staff leaders for their contributions in the philanthropic field. Despite vacation schedules, it was the largest turnout of guests since the firm of Marts & Lundy began its annual client-staff conferences thirty years ago.

Guests and participants represented 98 colleges, universities, independent schools, religious groups and other philanthropic agencies. Massachusetts business leader S. Prestley Blake set the record for conference travel when he flew to New York from a yachting trip in the Greek Islands to receive one of the awards to volunteers.

Accent on the Future

“We decided early in our planning that there would be no toasts or cake-cutting,” Chairman Melvin D. Brewer announced. Instead, the conference sessions in the morning opened with workshops devoted to the three principal areas of fund-raising—capital giving, annual giving and deferred giving—with a wind-up session on “What Does the Future Hold for Philanthropy?”

Officers of the American Association of Fund-Raising Counsel, Inc. gave the lead-off talks in each session, with Marts & Lundy officers and board members acting as moderators and respondents.

Panelists discussed trends and probabilities in fund-raising, drawing upon their long experience as working professionals.

All of the morning speakers stressed the increased importance of strong leadership, careful campaign organization and personalized solicitation as philanthropic goals grow larger in the years ahead.

A general optimism about the future was tempered by concern for restrictive legislation and the need for united action by the private sector.

The Conference Luncheon

The luncheon program following the morning session took a more retrospective approach. Observing that professional counsel is “the catalyst that brings seeker and donor together,” Chairman Brewer said, “we thought there could be no more appropriate way to observe our anniversary than to pay honor to those who do the work, give the money and often get too little of the credit.”

Two sets of awards were made. Distinguished service citations went to representatives of three organizations which have been long-time clients of Marts & Lundy. The individuals themselves, Brewer added, “typify the kind of staff people to whom we pay honor for outstanding achievements and these three men, in a sense, represent hundreds of others who could qualify for these awards.” The illuminated scrolls for service went to: Paul J. Franz, Jr., Vice President for Development, Lehigh University; Dr. Frederick D. Patterson, Chairman of the Robert R. Moton Memorial Institute, Inc. and founder of the United Negro College Fund, Inc.; and the Reverend Ralph R. Rott, Executive Director of the Division of World Mission Support of the American Baptist Churches.

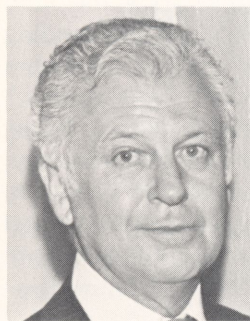
In addition, Marts & Lundy medallions were presented to four volunteer leaders, chosen for special recognition from the estimated 40 million Americans who annually contribute their time and resources to philanthropy. Recipients, and the institutions they principally served were: Morris B. Abram, United Negro College Fund, Inc.; S. Prestley Blake, Northfield Mount Hermon School, Bay Path Junior College and Trinity College, Connecticut; Mrs. George S. Pillsbury, Concord Academy; and the late H. Irving Pratt, the Groton School and Harvard University. Mrs. Pratt accepted the posthumous award to her husband.

Dr. Nils Y. Wessell, President of the Alfred P. Sloan Foundation, closed the conference on a strongly optimistic note in his address on the future of higher education. After citing the problems and criticisms that beset colleges and universities today, he pictured “a new era in education” ahead if we “embrace ceaseless efforts to bring to the enterprise . . . the financial support it must have.”

Highlights of the panel sessions, service awards and the main address follow.

The Future of Capital Giving Programs

From Remarks by **Edgar D. Powell**, Chairman of the Board, American Association of Fund-Raising Counsel, Inc. Chairman of the Board, American City Bureau/Beaver Associates



The Filer Commission. "The well-publicized recommendations of that group should be required reading for all who are interested in preserving the philanthropic process in America today. . . . It is the tomorrow of what you are all about. The AAFRC will seek through its member firms to support the Filer Commission recommendations and a specific one for a continuing permanent commission on philanthropy."*

Future of philanthropy. "Our history shows that the gross national product of philanthropy has never waived in its upward trend. New eras of social concern and responsibility simply add to the need for more dollars from the donor philanthropic process. These are the areas of enrichment in our life and cultural heritage."*

The capital campaign. "I believe we will see some advances in the need for campaigns directed toward cash-flow maintenance but there will be absolutely no diminution for the need for the capital campaign. Enhanced techniques, more sophisticated motivational techniques, but the capital campaign will be with us always."*

Leadership. "The higher you start for your recruiting the more money you are going to produce. The leader we need is not a paper clip counter or an invoice approver; he or she is interested in challenge and overcoming successfully great odds. . . . They give of their own time, talent and treasures."*

*Copies of "Giving in America," the report of the Filer Commission, are available from the Commission on Private Philanthropy and Public Needs, 1776 K Street, N.W., Washington, D.C. 20006, at \$1.50 each—Editor.

From Remarks by **E. Burr Gibson**, Vice President Marts & Lundy, Inc.



Leadership giving. "For the future, we must get even larger gifts from the top donors than we are getting today. This may sound impossible when you consider that in most campaigns 90 per cent of the total comes from 10 per cent of the donors. . . . However, the potential is there, if we look at the trend. Back in 1953 there was one millionaire for every 5,900 people. According to estimates for 1976 there is one millionaire for every 900 people—that's six and a half times as many as we had in 1953."*

Endowment. "Capital campaigns in the future must put more stress on endowment. We have gone through much of the building stage—although there will be more of that in the future—and the big job now is to add to endowment."*

Denominational giving. "Denominations have surely got to think about large gifts on a regular basis . . . there are lots of church supporters who are able to make these gifts regularly if you go after them on a proportionate giving basis rather than a percentage."*

The Future of Annual Giving and Deferred Programs

From remarks by **Roger H. Wilson**, American Association of Fund-Raising Council, Inc. President, John F. Rich Company



Program dollars. "I think there has been a shift in emphasis, and if it is the beginning of a new era, we be looking ahead to a period of financial growth, longer, during which time program dollars will demand a higher priority than maintenance."*

Annual giving significance. "The challenge is to achieve a million dollars in annual giving, equivalent of a yield from a twenty-year investment. Moreover, that yield is unique and can be applied to the most pressing needs."*

Deferred giving. "Deferred giving is an adjunct to and the natural consequence of a successful annual giving program, designed to encourage and build interest over part of the life of the donor."*

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1776 K Street, N.W., Washington,
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The Future of Annual Giving and Deferred Giving Programs

From remarks by **Roger H. Wilson**, Treasurer
American Association of Fund-Raising Counsel, Inc.
President, John F. Rich Company



Program dollars. "I think there has recently been a change in emphasis, and if it is the beginning of a trend we may be looking ahead to a period of five or ten years, perhaps longer, during which time *program* dollars are going to demand a higher priority than *dollars for bricks and mortar*."

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Annual giving significance. "The college or university that achieves a million dollars in annual giving income has the equivalent of a yield from a twenty million dollar endowment. Moreover, that yield is unrestricted income and can be applied to the most pressing obligations."

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Deferred giving. "Deferred giving should be seen as the adjunct to and the natural consequence of a long-successful annual giving program, designed to win donor adherence and build interest over part or most of a lifetime."

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From remarks by **Robert B. St. Lawrence**
Member, Board of Directors
Marts & Lundy, Inc.



Annual and capital giving. "The annual giving program is the very foundation upon which you build successful capital gift campaigns. These programs prepare prospects for making capital gifts by building habits of giving. They identify and prepare your leadership, not only for fund-raising but for board and other important committee memberships."

* * * * *

Future prospects. "In the immediate and long-range future, we need not concern ourselves with the possibility of running out of prospective donors. By 1985 almost 20 per cent of the families will be earning \$25,000 and above. The average American ten years hence will have over 40 per cent more income to spend."

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Deferred giving sources. "Strangely enough some of the largest bequests and retained income gifts come from persons whose lifetime giving would otherwise indicate modest interest in the institution and sometimes no apparent ability to make substantial gifts. Therefore, do not limit your prospects to those who are known to have the potential to make large outright gifts."

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Prospect screening. "In the future, there will be a need for more deep searching methods. Interested workers in the constituency must be trained to identify the many molds that fit a deferred gifts prospect and then encouraged to share this knowledge with you."

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Technology. "The wonders of technology will make it easier to research and cultivate prospects. Computers, discs that resemble phonograph records that use your TV screen to play color movies can be used to bring your case statement into the homes of prospects, video cassettes, electronic tapes, sophisticated phone systems, and the multitude of uses to which each can be put. . . will be used in fund-raising to a greater degree than ever before."

What Does the Future Hold for Philanthropy?

From remarks by **John J. Schwartz**, President
American Association of Fund-Raising Counsel, Inc.



Growth. "Philanthropy is a remarkable demonstration of what private initiative can accomplish when nurtured by a free society. Its dimensions in 1975 reached an all-time high of \$26.88 billion."

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The other side of the picture. "But we must keep in mind that while philanthropy increased 6.5 per cent in 1975, we experienced a 9.2 per cent inflation. . . . Another conclusion of the Filer Commission helps to place these figures in perspective: just to maintain the current level of programs, non-profit institutions and agencies, because they are labor intensive, must grow at the rate of 11 per cent a year."

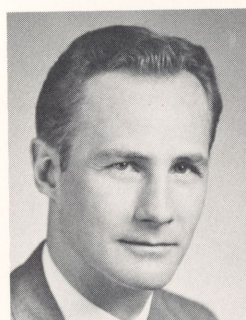
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The challenge. "The voluntary sector is getting itself together far more effectively than it ever has in the past. It has been stimulated into greater activity because of the impact of the Filer Commission and its recommendations and because there is a growing effort across the land to make charity more accountable. Everybody professionally

involved has a mandate to respond to what is a national cry for a better private sector than we've had in the past. Also, social needs are growing at a far greater pace than the capacity to deal with them has grown. This gap has to be closed by more activity by leadership and volunteers, more funding and more professionalism."

* * * *

From remarks by **John E. Taylor**
Member, Board of Directors
Marts & Lundy, Inc.



Standards. "Future support will go to those who are doing the task best in any given area in any given field. Trustees of leadership and ability will gravitate to those institutions and organizations that show vitality, upgrading and effectiveness in delivering the services they were created to provide."

* * * *

Education and training. "The future will doubtless see those in the field of fund-raising better prepared for their progression. . . . In this regard, I hope we will see more formal education and preparation for those who decide they are interested in this profession. An industry that generates some 26 billions of dollars annually should have some formal road of preparation for those who would take it. We could well use a West Point of philanthropy."

* * * *

Government regulation. "It is probable that the years ahead will require more time on the part of every administrator in the voluntary sector to insure that in every discussion of new legislation our position is ably presented. . . ."

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Competition for leadership. "I think we will find that volunteer leadership will be stretched very thin. Campaigns that involve real leadership, not the signing of letters, will only be available when and if there is very strong staff support and the kind of organization that able executives are accustomed to."

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Allied Chemical POSITION Recommending Inc to Higher Ec

Why should the nation's business community support philanthropy?

This question has been discussed by corporate officers began to give foundations which were held to contribute to the people. Corporate responsibility has increased in the past few years but not to the extent that it should.

Allied Chemical Corporation, under the leadership of Chairman John T. Connor, has been an active supporter of philanthropy. In 1975, the company increased its support of higher education to a goal (one per cent of profits before taxes) and was then the volunteer board chairman of the Council on Financial Aid to Education.

The position paper presented to the Council is, we think, a statement of exceptional interest. COUNSEL was granted permission to publish it as it will be of interest to the officers and directors of the companies.

1. BACKGROUND

The nation's business and industry contributed an estimated \$445 million in support of philanthropy during 1974, an increase of \$3.5 billion over the amount estimated for 1973, as reported in a study published by the Council for the Study of the Foundations.

This is an all-time high, and the highest year in which corporate giving has been reported. Increased over the previous year, the total support did not keep pace with corporate profits which rose from \$122.7 billion in 1973 to an estimated \$130 billion in 1974. As a result, corporate giving as a relation to Pre-Tax Net Income fell from an estimated 0.33% for 1973 to 0.32% in 1974. The estimated 0.37% in 1972 and 0.41% in 1973.

Moreover, the 56 chemical companies included in the CFAE survey contributed PTNI, slipping from 3rd place in 1971 to 11th place in 1974. The chemical industry lead all industries in 1973 with 0.507% of PTNI.

Comparatively, Allied Chemical contributed 0.28% of PTNI to education.

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* * *
J. Taylor
Directors

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Allied Chemical Corporation POSITION PAPER Recommending Increased Support to Higher Education

Why should the nation's business organizations support philanthropy?

This question has been discussed in various forums ever since corporate officers began to give financial assistance to institutions which were held to contribute to the general welfare of the people. Corporate responsibility has increased in recent years but not to the extent that farsighted businessmen think it should.

Allied Chemical Corporation, under the leadership of Chairman John T. Connor, has been an ardent advocate of corporate support of philanthropy. In 1975, the Corporation took steps to increase its support of higher education in an effort to meet the goal (one per cent of profits before taxes), established by the Council on Financial Aid to Education, Inc., of which Mr. Connor was then the volunteer board chairman.

The position paper presented to Allied's Board of Directors is, we think, a statement of exceptional corporate statesmanship. COUNSEL was granted permission to reprint the paper, believing it will be of interest to the officers and directors of other corporations.

1. BACKGROUND

The nation's business and industrial community gave an estimated \$445 million in support of higher education during 1974, an increase of \$35 million, or 8.5% over the amount estimated for 1973, according to recent figures published by the Council for Financial Aid to Education.

This is an all-time high, and it marks the fourth straight year in which corporate giving to higher education increased over the previous year. Still, corporate educational support did not keep pace with the increase in corporate profits which rose 14.7% from an estimated \$122.7 billion in 1973 to an estimated \$140.7 billion in 1974. As a result, corporate educational contributions in relation to Pre-Tax Net Income (PTNI) dropped slightly from an estimated 0.33% for all corporations in 1973, to 0.32% in 1974. The estimated national percentages were 0.37% in 1972 and 0.41% in 1971.

Moreover, the 56 chemical companies participating in the CFAE survey contributed \$22,069,400, or 0.24% of PTNI, slipping from 3rd place in the ranking of industries in 1971 to 11th place in 1974. The textiles and apparel industry lead all industries in 1974, contributing \$2,497,800, or 0.507% of PTNI.

Comparatively, Allied Chemical contributed \$657,899, or 0.28% of PTNI to education in 1974, thereby giving

more than the PTNI average of the chemical industry, but less than the PTNI figure for all corporations combined.

2. PROBLEM

Despite stringent economies and cost-cutting, our nation's colleges and universities are experiencing serious financial difficulties.

The Association of American Colleges in a current publication states: "In recent years, the financial position of the private colleges and universities has been notably weakening".

"... an abundance of scattered evidence suggests quite clearly that the number of student applications is declining, that the need to help students finance their expenses is growing at a faster rate than tuition income, that in some cases enrollment is falling, that a steadily decreasing proportion of educational costs is being met from endowment, that plant maintenance is being postponed, and that erosion in the quality of instruction may be occurring".

Public institutions are in similar straits with strong indications of reduced Federal and state support.

The financial crisis in both public and private institutions arises from recent quantum jumps in the costs of higher education largely due to:

- explosion of college enrollments since 1960 from approximately 3 million to over 9 million students today;
- the colleges' assumption of the responsibility for educating large numbers of disadvantaged students requiring financial aid and remedial courses;
- the rampant inflation of the 1970's which has particularly hit higher education, a labor-intensive activity which demands excellence and individual relationships and is not readily subjected to mass production techniques and consequent savings.

3. FACTS BEARING ON THE PROBLEM

As the financial crisis has increased in severity, corporate support of higher education, while rising in dollar amount, has failed to keep pace with:

- the increase in educational costs;
- its previous share of total voluntary support of higher education.

If corporations had been giving at the same percent of PTNI in 1974 as in the late 60's, their contribution to higher education would have amounted to roughly \$600 million. The amount actually provided was about \$445 million—25% less. Not only has corporate support of education fallen relative to corporate earnings, it has fallen in relation to other sources of voluntary support of education and it has fallen in relation to the financial needs of colleges and universities. Since the stake of the corporate

community in the continued solvency and health of education has not diminished, there is clearly a basis for suggesting that corporate management should raise its sights with regard to support of education.

What is needed is a firming up of business objectives in educational support and the adoption of explicit **quantitative** goals at levels that are fully reflective of the self-interests of the corporate community. Unfortunately, business support of education has depended disproportionately on the outstanding examples which have been set by more enlightened corporate leaders. As a result, there has been an uneven distribution of educational support within the corporate community; a small number of leading companies has carried too large a share of the effort, and too many companies have held back from appropriate degrees of involvement. The broad acceptance of goals among the "undercommitted" and the "uncommitted" companies should do much to raise the level of corporate support to education generally.

4. DISCUSSION

The **rationale** for corporate support of higher education is simply that such support serves the interests of the company and its stockholders. There is a vital interdependence between the corporation and the campus that there are important benefits to business which stem from its support of the academic community. The existence of such benefits means that corporate grants to education represent an **investment** of the business dollar, not merely an act of philanthropy.

Manpower

The most direct and tangible of these benefits arise from the role of colleges and universities as suppliers of educated manpower and as creators of new knowledge. That both manpower and knowledge are key factors in the success of a business enterprise is now widely recognized. Although they are interrelated, they are also separate in character and in relevance to the individual company, and one may be more important than the other depending on the firm's structure, its products and services, its technologies, and other factors.

Manpower, however, is clearly the one element of interest and importance to all corporations. In many respects, a company is its people, even though their talents and skills are not capitalized and shown with other assets on the balance sheet. One of the matters of continuing priority to the top management of all corporations is the inflow of adequate numbers of new personnel with the needed combinations of education and ability. And, in today's modern, technological society, college and university graduating classes are the only source of supply for the newly-educated manpower that the business community requires. Because other sectors of society have similar needs for educated people, the business world must com-

pete for the available supply against government, the professions, and a host of other employers.

Knowledge

In a similar way, business support of higher education yields a return in the form of advances in human knowledge. It has become an accepted function of higher education not only to disseminate the knowledge inherited from the past but also to increase that store of knowledge through research. In the community of scholars that is at the heart of every campus, basic research is able to flourish to a far greater extent and with far greater productivity than in any other circumstance. And out of these gains in the realm of thought come the bases for new ideas which practical men can mold into applications of direct and tangible benefit to business and society generally.

Just as it needs educated manpower, the business community must rely on the fruits of basic research for long-run prosperity and growth. The acceleration of technological advance in virtually every field of human endeavor has put a premium on innovative research and development leading to new and improved materials, processes, and products, not only as a response to consumer demands and the need for continuing gains in productivity, but also as a matter of competitive excellence in national and international markets. This innovative research and development is, in an important measure, made possible by the "fall-out" from the basic research that is concentrated on the campuses of institutions of higher education.

Public Service

Another area of corporate benefit arises from the public service functions of colleges and universities. Most of these public service functions are identical to the kinds of activities that have come to be asked of business under the concept of "corporate social responsibility". To the extent that the self-interests of the business community move it to become involved in these areas, there are clearly-defined advantages in providing support to the institutions of higher education for cooperative activities.

The Social Environment

There are other threads of interdependence between the corporation and the campus which may in the long run prove to have even greater value to private enterprise in a free, democratic society. Chief among these is the fact that the educational profile of the population has much to do with the environment in which business must function.

It is abundantly clear that education is a factor of immense value in economic growth and development, in the standards of living, and in the determination of the structure and character of the political arrangements which govern the relationships between business and the

rest of society. Education influences the character of personal aspirations, what individuals do with the standards of consumption, the way individuals respond to advertising and other marketing devices. Education is a major factor in productivity growth, and it has a significant impact on the demand for heavy goods of every description.

The climate in which business operates is a function of the social attitude toward education and toward the conduct of corporate affairs. Other factors aside, these attitudes are at the levels and the character of the products and the attainment. The more educated the population, the more that education stresses the relationship between the economy and the political system. The ends desired by the population are more dependent on the educational establishment. The educational establishment is more objective rather than dogmatic, the social attitude toward business is more favorable, the maintenance of free enterprise is more secure.

In the long run, it is the total level of higher education that determines the standards of living and the means by which it is achieved. Business can influence the content of education by providing financial support, but it cannot control the needs of the individuals and the interests of the society dedicated to the preservation of a high level of education in an enlightened society.

The Importance of Goals

Aside from the philosophy, one of the most important requirements of an aid-to-education program is a statement of the company's objectives and the level of educational support. The goal, in some kind of quantitative terms, is that the aid-to-education effort will be as vital a part of a company's aid to the community as it is in any other area of corporate effort. The scope of the corporate effort so that it is in line with the understanding of the company's long-range planning, and against which to measure year-to-

There are many worthy goals for itself. The choice of a particular goal should be based on the consideration of several factors:

- the value of the benefits, tangible and intangible, that the company has received from education;
- what the company can afford to contribute in terms of profits or some other appropriate measure;
- what the company's peers are doing in similar size and character, etc.;
- other demands on the company's resources.

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The climate in which business operates is clearly a
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ends desired by the population, and the more inde-
pendent the educational establishment is to render ob-
jectivity rather than dogma, the more likely it is that the
social attitude toward business will be conducive to the
maintenance of free enterprise.

In the long run, it is the totality of ideas fostered by
higher education that determines the kind of society de-
sired and the means by which it is achieved and preserved.
Business can influence the content of educational think-
ing by providing financial support appropriate to the
needs of the individuals and the institutions that are dedi-
cated to the preservation of a healthy, progressive, and
enlightened society.

The Importance of Goals

Aside from the philosophy, one of the fundamental re-
quirements of an aid-to-education policy is an explicit
statement of the company's objectives in terms of the
level of educational support. This implies an ultimate
goal, in some kind of quantitative terms, toward which
the aid-to-education effort will be aimed. Such a goal is
as vital a part of a company's aid-to-education policy as
it is in any other area of corporate policy. It defines the
scope of the corporate effort so that there will be a clear
understanding of the company's intentions, it provides a
basis for long-range planning, and it establishes a standard
against which to measure year-to-year performance.

There are many worthy goals that a company can set
for itself. The choice of a particular goal will normally rest
on the consideration of several factors:

- the value of the benefits, tangible and intangible, that
the company has received from higher education;
- what the company can afford to give, in terms of
profits or some other appropriate index;
- what the company's peers are doing—companies of
similar size and character, competitors, suppliers,
etc.;
- other demands on the company's contributions dol-

lar, and the importance of those demands relative to
higher education;

- the identity of the prospective recipients of the com-
pany's support, and the importance of such support
to them;
- the impact of educational support on the company
itself, its relations with employees, stockholders, the
press, and the public.

Types of Goals

In a current publication, CFAE suggests the following
types of goals for consideration:

The National Average: In 1974 corporations gave, on
the average, 0.32% of their Pre-Tax Net Income to higher
education. Companies far below this may want to set
goals to raise their giving to this level. Companies at or
above this level should consider other suggested goals.
Allied Chemical contributed 0.28% of PTNI in 1974 and
0.37% of PTNI in 1975.

Past Performance: As previously noted, in 1969 corpora-
tions gave on the average 0.44% of their Pre-Tax Net In-
come to higher education. Aiming to equal past perform-
ance does not seem like an unreasonable objective. Allied
Chemical contributed 0.86% of PTNI in 1970, 0.72% in
1971 and 0.55% in 1972. From 1973 through 1975, the
figure drops below the suggested 0.44%.

Share of Total Contributions: Nationally, corporations
devote 38% of their total contributions budget to higher
education. Companies well below this proportion may
want to set goals for reaching it—or even better, reaching
50%. The Allied Chemical Foundation has consistently
given about 50% of its annual contributions to education.

Per College Graduate Hired: Setting an annual goal
based on the number of college-trained graduates hired
during the year would be tying corporate giving to a most
tangible benefit. Corporate support of education in 1974
amounted to about \$950 per college graduate entering
business employment. This could be a goal for companies
well below it. Others might aim at reaching an average of
\$2,800 per college-trained new employee by 1982. Why
\$2,800 by 1982? Because, if all corporations were con-
tributing this much per hiree by 1982, it is estimated that
corporate support of higher education would then repre-
sent the same share of educational costs that it did in the
early 1950's. Allied Chemical hires about 150 college
graduates per year. On that basis the company contributed
\$4968 per new college graduate hired in 1975.

Allowing for Inflation: Another way to reach the same
share of educational support as in the 50's would be to
increase giving 7% each year, plus the inflation factor.
This was the actual rate of the growth of corporate sup-
port of higher education between 1949 and 1969. Assum-
ing a reasonable rate of inflation, this is a realistic target for

enlightened management. Since 1971 Allied Chemical's total giving to education has increased at an average rate of 9% per year. In 1975 the increase was 14%, or 45% with the inclusion of the tax benefit connected with the donation of the Morristown House to the Morristown-Beard School. Following is an analysis reflecting actual and projected dollar amounts in connection with a goal of 7% plus the inflation rate. The inflation rates used in the analysis are the same as those used by our corporation for projected budget purposes.

Year	Inflation Rate	Plus 7%	Total Aid to Education Goal	Actual/Budget
1975	8.7%	15.7%	\$ 761,189	\$747,995
1976	6.3%	13.3%	847,748	841,450
1977	6.0%	13.0%	957,650	***
1978	5.5%	12.5%	1,077,356	***

***—not established

1% of Pre-Tax Net Income: Modified appropriately for certain situations, such as insurance, banking and extractive industries, the 1% concept is a goal first promulgated by a group of Cleveland businessmen some years ago. Since then, many of them have worked their way up to this goal, and there are a substantial number of companies in the country that surpass it. Allied Chemical has fallen short of this goal. Any of these suggested goals, constructively applied over the next seven years, would increase total giving to education from the current level of \$445 million to approximately \$1.5 billion in 1982. Such an increase would play a substantial role in averting, or at least ameliorating, the drastic restructuring now confronting education.

5. CONCLUSION

Allied Chemical has met or come close to most of the CFAE suggested goals except 1% of Pre-Tax Net Income. Therefore, in view of the reasons given for corporate support of higher education and the urgent needs of colleges and universities, it seems reasonable and prudent for the company to adopt a quantitative goal directed toward educational support which will help meet these needs.

Obviously, 1% PTNI as a goal would be most beneficial to the educational community. However, such a goal would require a quantum jump in educational support from our present level.

Therefore, if the establishment of a goal is desirable, it may be more practical to implement a program of achievement designed to increase Allied Chemical's educational support at a planned growth rate of 7% plus the inflation factors.

6. RECOMMENDATION

Consonant with the needs of higher education and the soundness of corporate support, it is recommended that

Allied Chemical Corporation adopt the CFAE suggested goal of 7% plus the inflation rate as a realistic target. Achievement of the goal shall be measured in terms of the Corporation's total support of education for that year. This shall include research grants, measurable in-kind support, direct contributions to educational institutions and contributions from the Allied Chemical Foundation designated for educational support. Although the CFAE goal is principally aimed toward higher education, it is recommended that the adoption of such a goal by Allied Chemical include gifts to all segments of education. This will have the effect of simplifying accounting as well as providing the flexibility to meet unforeseen needs in pre-higher education. Because of present tax laws, it is presumed that designated gifts to the Allied Chemical Foundation for educational purposes would be dispersed within one year of receipt. The adoption of such a policy by the Corporation would result in a substantially increased Foundation educational budget, thereby allowing for the broadening of support in a variety of ways, including the possible development of a meaningful scholarship program for children of Allied Chemical employees.

For reprints of this article send requests to: The Editor, COUNSEL, Marts & Lundy, Inc., 521 Fifth Avenue, New York, N.Y. 10017.

The Council on Financial Aid to Education, Inc. carries on a continuous program to encourage corporate giving to education. The Council has information, booklets and statistics on corporate giving, including the most recent publication: "New Goals for Corporate Giving to Higher Education." This pamphlet describes the Council's goal of getting corporations to contribute one per cent of profits before taxes to education. For information and copies of booklets, write to CFAE, 680 Fifth Avenue, New York, N.Y. 10019.



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Executive Director, Division of World Mission Support
American Baptist Churches



MORRIS B. ABRAM

"... for six years of distinguished volunteer service as Chairman of the United Negro College Fund, Inc. ... and a host of other civic and governmental offices too numerous to mention."

New York, New York



S. PRESTLEY BLAKE

"He has given all the benefit of his considerable wisdom, his vitality as a spokesman for excellence in education at all levels, and his concern for the welfare of his fellowmen..."

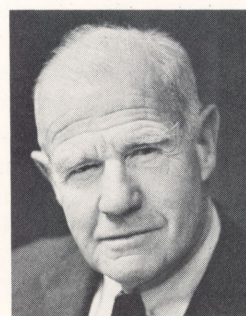
Somers, Connecticut



MRS. GEORGE S. PILLSBURY

"Her activities and achievements attest to the kind of imprint dedicated women everywhere can make on the institutions they serve."

Wayzata, Minnesota



H. IRVING PRATT

"... he set about quietly persuading others to join him in helping to finance hospitals, schools and colleges which he felt merited assistance... in a lifetime of service to philanthropy."

Oyster Bay, New York (Posthumous award)

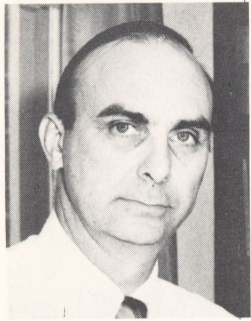
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Pre-Planning for the Capital Campaign

by Walter E. Reeves



Walter E. Reeves, is an experienced educational fund raiser and is currently Vice President for Institutional Relations at Carleton College, Northfield, Minnesota. He has had wide experience in capital campaigning at Carleton, Franklin and Marshall College in Pennsylvania, and Oberlin College in Ohio. He is a graduate of the University of Toledo. Mr. Reeves' article is adapted from an address made before a district meeting of CASE.

Campaigns are not made of a series of dollar goals or even of precise needs. Rather, a campaign is a statement about the institution, its philosophy and its dreams, and the dollars serve to enhance the chances for success in accomplishing and realizing those dreams.

Thus, a start must be made by proposing, in writing, what it is your college or university wants to become. I am not talking about the case statement; although ultimately the document I am referring to will serve as the basis for the case.

Carleton's statement was written by our president as a discussion paper. The original statement was only 10 pages long but it served as the catalyst for discussion among all constituencies about where we were and where we were headed.

Most "mission" statements, by their very nature, are somewhat general, but this factor alone does not limit their value. If an institution describes itself as an urban university serving as a regional resource of professional education, that says a good deal about the university. We decided we wanted to remain "liberal arts, undergraduate, and residential" and out of those characteristics came conclusions about our future.

Having developed such a statement it is well to give it very wide exposure. Throughout the campaign, it is essential that you use your existing institutional structures to authorize and ratify actions. In this litigious age, that makes good sense; more importantly, the process begins to capture those with whom you deal in a web of interest and support.

Taking the time for such positive steps has some very positive values. First, you are educating your closest constituencies, who often turn out to be your sharpest critics, about a forthcoming campaign and second, you intensify their involvement appreciably by forcing the various groups to act.

I probably need not tell you that it would be easier, at least initially, if you were not to make these efforts. But I believe most of you will agree that we got shot down as often from inside the institution as from outside. Circumvention of established organizational patterns ultimately may lead to difficulty!

Thus, it is necessary to keep touching bases throughout this process; take your program to the faculty, then to your trustee development committee, back to your alumni board, then to the executive committee of the board, etc. And don't forget to use your most prestigious student group as a sounding board, too! Be prepared to listen to all of these groups. That is not to say, of course, that you can or should do everything suggested, but be serious about these efforts and don't simply feign interest. Moreover, when the campaign finally is launched, you will want all the help you can muster. This, then, is the time to begin planting the seeds for future involvement and these seeds should be scattered as widely as feasible.

After this "mission" statement has been fashioned, re-fashioned, and approved by the various constituent groups, save the final approval of the document for the full board of trustees, for the fall-out of their approval should include, at the minimum, an authorization to begin plans for a campaign.

The Institution's Special Strengths

The planning which precedes a campaign may force the institution to address its fundamental problems. In addition, this planning is likely to help you identify what it is that is special about your institution. Few of our institutions are unique in the dictionary sense of that word—being without an equal or one of a kind—but all of them have some special features which, in combination, are likely to make our institution worthy of support. By "special," I don't mean simply those clichés about excellence or close faculty-student relationships.

Rising out of your mission statement can come the basic elements of your campaign. This translation from the general to the specific is likelier to be much easier than your

previous effort. If your mission statement is clear, then those things which you plan, explain, and rationalized.

It is not uncommon for the mission statement to be decided first and then a mission statement is developed to incorporate those goals. This is not necessarily, in my view, for you are likely not to have the best judgments of your institution. If you are not, you may be altering its fundamental goals. Many would agree a number of years ago, in some difficulty because the mission statement was confused.

But back to the elements which you are putting into your campaign. The goal is to have the major needs in a way that will be clear to all. Since the major elements will be clear, they will also want to keep in mind the smaller packages within each.

Once you have the basic mission statement identified, you must have a realistic and very hard-nosed, estimate of the costs. Credibility can be lost if you are not candid as you arrive at a goal. Let's say, of \$2,000,000, only 25 per cent higher. And that budget is after your initial working goal.

Second, there seems always to be a desire to want to get very specific about the needs of the funds. I urge you to be just as candid as you can be about your needs. You do both with a public trust and a private one. You should assume the responsibility for making clear what an investment in the campaign means to those who benefit directly as well as to the resources.

The question "what are you doing for" is raised in every campaign. The initial statement is on that score. The question will be for your campaign. The question is serious concerns. If you hear the reasons behind it and give it a candid answer with it candidly in both oral and written materials.

Writing the Case Statement

Having now proposed and approved the basic mission; having identified the goals; you are ready to write the case statement. This is tough! If you are not to devote a fair amount of time to it, you always to have the case statement appear out appearing too slick or too obvious. It will be written cogently and

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corporate those goals. This is a dangerous procedure, in
my view, for you are likely not to have incorporated the
best judgments of your institution, and at the same time,
you may be altering its fundamental direction. I suspect
many would agree a number of our sister institutions are
in some difficulty because their mission is unclear and
confused.

But back to the elements which are to be incorporated
into your campaign. The goal here is to package your
needs in a way that will be most attractive to donors.
Since the major elements will require sizable sums, you
will also want to keep in mind the desirability of having
smaller packages within each of the larger items.

Once you have the basic elements of your proposed
campaign identified, you must price them. First, be real-
istic and very hard-nosed, especially about construction
costs. Credibility can be lost in a flash, particularly with
your trustees, if you arrive at a total construction estimate,
let's say, of \$2,000,000, only to have your bids come in
25 per cent higher. And that bid is often not received until
after your initial working goal has been established.

Second, there seems always to be a tendency not to
want to get very specific about how you plan to use the
funds. I urge you to be just as detailed, and specific and
candid as you can be about your plans. Operating as we
do both with a public trust and in the public interest, we
should assume the responsibility, willingly, of making
clear what an investment in our institution will mean to
those who benefit directly as well as to those who provide
the resources.

The question "what are you going to use the money
for" is raised in every campaign. The more complete your
initial statement is on that score, the better prepared you
will be for your campaign. The question often hides more
serious concerns. If you hear this objection, look for the
reasons behind it and give consideration to dealing
with it candidly in both oral presentations and written
materials.

Writing the Case Statement

Having now proposed and received approval of your
basic mission; having identified your needs and priced
them; you are ready to write the case statement for the
campaign. This is tough! If you have never tried it, plan
to devote a fair amount of time to it. The problem is
always to have the case appropriately motivational with-
out appearing too slick or too "Madison Avenuish"; that
it be written cogently and forcefully and not full of

academese; that it not be too long, but yet detailed
enough to present the college's significant dimensions:

Surprisingly, in my view the best cases are done by
someone outside the college. Let me hasten to add that it
is a rare person who can come to a campus, catch its
flavor and strengths, and then write a compelling state-
ment. But it *can* be done. If you plan to use someone from
the outside, use a specialist trained to do this particular
job—not your local free-lance writer. It may seem curious
that with all the supposed talent in an academic institu-
tion, we must go beyond its four walls for help of this
nature. However, we are not writing for an academic
journal and few of our associates seem fully qualified for
this important task. Those of you from the larger institu-
tions may have such a person on your staff—indeed, it is a
shame if you don't, but even then it may be well to have
that document reviewed and perhaps even edited by
someone familiar with your institution but not in daily
contact with it.

When Do We Begin?

We should continuously ask ourselves: are we ready
to begin? There are no hard and fast rules by which we
can answer that question, but the constant interaction
which I have suggested you initiate among your con-
stituent groups will eventually lead you to an answer to
that crucial question.

A number of important considerations must also be
made prior to deciding to go ahead with a campaign. I
believe the process I have outlined thus far should not be
foreshortened; to do so is to run grave risks. We must
recognize that the better the planning before a campaign
begins, the better are the chances of the campaign's
success.

Let me enumerate a number of specific steps that should
be taken concurrently with the process described earlier.

What about fund-raising counsel? I must confess that I
come to this conference with a very strong bias in favor of
having counsel. Many of us have had the occasion of
trying to convince the president and the board of trustees
to hire counsel. The most frequently stated reasons are
that they can give an outside, objective analysis on many
problems, that they can help the staff stay on target, etc.
Almost all of these are euphemisms for, as one counsel
put it, "the rusty needle inserted into appropriate an-
atomies on timely occasions."

Counsel has a more subtle and vital role than that,
however. One point which should be made to the presi-
dent is that counsel can be a very effective stimulator of
the trustees, serving as a buffer for the president in that
no-man's-land between his role as both trustee and chief
executive officer. Moreover, few of us in development
posts are really specialists in capital campaigns. More
often than not, we are generalists who know the broad

spectrum of fund-raising activities and only once in every seven-to-ten years do we get involved in an intensive capital campaign. Most institutions will retain auditors, investment managers, planning engineers, and energy consultants to do specialized tasks without a lot of consideration. I believe we should, at the same time, be willing to hire specialists in the fund-raising area.

In these days of trimmed budgets, it is well to get this matter discussed thoroughly and settled at the outset, because not using counsel is costly and, in my opinion, a disservice to the institution.

As a general rule, counsel should get on board as early as possible. It becomes exceedingly difficult for counsel to become effective if it is brought into the campaign after many of the important decisions have been made and the institution itself doesn't receive the full benefits of the association, as a result. I say again that the steps you take before the actual solicitation of funds begins are vitally important to your success; and securing competent counsel is one of the most crucial of those steps.

One more point about counsel: if you have never worked with counsel, don't resist doing so. Counsel is not a threat to you. In the campaigns with which I've been involved, we have always had a professional firm. Not only were they good for the institution, but I learned greatly from all of them. You should have something to say about the choice of counsel and you should feel comfortable with the firm's on-campus representative, but welcome these persons as partners and you will be richly rewarded.

The Campaign Pattern

Another consideration to be made, presumably with the advice of counsel, is the particular pattern of your campaign. Within the rubric of a "capital campaign," there are variations which lend themselves to the special circumstances of your institution. You will need to decide whether to merge your annual giving program with the campaign; that exercise is always interesting and very important. I, for one, think there is no single or easy answer. You will want to decide how extensive your personal solicitation should be, (the cost of raising a dollar at the lower end of the giving range can be quite high, but there may be sound reasons for calling personally on all of your alumni and parents) or, you might decide to concentrate on 100 to 150 of your best prospects for personal solicitation and take other steps to reach your other prospects. Your planning thus should take these matters into account for they will impinge on budget, staffing, and other considerations.

Budget and Staffing

Those matters of budget and staffing should also be concerns in your early planning. At the outset, you will not be able to be very precise about your budget needs

without extensive and detailed planning. Travel, printing, costs of meals at kick-off meetings, a campaign movie or slide show—all of these are not likely to be decided upon finally prior to your decision to launch the campaign. Depending upon the extent of your efforts, they can involve significant sums.

Most intensive three-year capital fund campaigns can be financed for less than 10 per cent of the goal, but the trustees and the president must be aware of those costs and prepared to commit the funds in advance for carrying out your plans.

Our institutions are so varied and our needs differ so widely that I can give no special help or direction on staffing. You might wish to speak with each of your staff members about the benefits of a campaign experience and encourage them to stay on. (Let's face it, many staff members don't like the hours, the travel, and the personal stress that are required by successful capital campaigning.) If you have a staff member who can't work out, better let that person depart before the campaign starts.

Research

I have another strong bias: that is that if you need to do much research on individuals you think are among your top prospects, you are investing that research time in your next campaign.

How many times have you had an alumnus say to you, "Why don't we try to get a gift from Mr. X; he is wealthy and was born in our state." You may research Mr. X all you want, and you can probably develop reams of information about him. The question always is, if the person has no direct association with the institution, is there a realistic way to involve him? And if the answer to that question is yes, and you still need to do more research, forget about him as a viable prospect for this campaign.

Your planning should concern itself, at least in the earliest stages, with honest-to-goodness prospects so that you will have some idea as to reasonable goals.

Obviously, you must conduct research on corporations and foundations. I will not cite sources, but there are numerous places to get that information and most of them are known to you.

In the smaller institutions, I urge those of you who have the primary responsibility for the development function to do as much of this research as you can personally. No researcher can possibly communicate all the information that is in the source material. You can take it home, read it, live with it, think about it, and suitable strategies will evolve for most of your prospects. Points of contact between your trustees and corporate officers and foundation trustees are extremely important, as you know, and these connections will strike you at unlikely moments. You may be in conversation with a trustee when he or

she mentions having a forthcoming gift. If you are defending XYZ Company and John Doe. If you have lived with the company and digested their contents, you will know that John Doe is a trustee of the ABC Foundation. It is well that many of you with large budgets devote some of your time to this. It will serve you well.

As a goal of this pre-campaign study, to be able to identify and qualify potential major leaders, both giving and receiving. Many of those so identified should be viewed during your feasibility study.

The Feasibility Study

Having just tipped my hand on the feasibility study, to say that for almost all campaigns a formal feasibility study is of value is to say that there is always useful information in such a study and that much of the material is secured by the college staff. I have identified a strong racism among the donors expected prior to the study; a donor who's president had so little credit that he spent to overcome this deficit. The study might have been had counsel had been forthright in its report to the president where a little-known donor is a major element of the campaign. The usual results of such a study.

Analyzing Leadership Capacity

Analysis of leadership capacity is a key to fund-raising capacity. Careful analysis of the leadership for the campaign is essential to mount such an effort. Except in unusual instances, I believe that your trustees are campaign chairman. In the absence of a person on your board, one must find a no fund-raising leader available. The person, which, presumably, is closest to the legal responsibility for its operation.

A leadership "budget" is also a key. A particular pattern and then develop it. Finding at least two people for each post. I also recommend setting a goal for every post; it will save much frustration.

Don't assume sophistication in leadership, even if they have had experience. When you ask an experienced person to be a campaign leader, make certain you fully the dimensions of the project.

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she mentions having a forthcoming law suit in which he is defending XYZ Company and that his associate counsel is John Doe. If you have lived with your source materials and digested their contents, you will remember that Mr. Doe is a trustee of the ABC Foundation. Now I realize full well that many of you with large staffs cannot take this time, but I urge those of you beginning in this business to devote some of your time to this part of your education. It will serve you well.

As a goal of this pre-campaign research, you will want to be able to identify and qualify those who will be the major leaders, both giving and organizational leaders. Many of those so identified should be visited and interviewed during your feasibility study.

The Feasibility Study

Having just tipped my hand on that score, let me hasten to say that for almost all campaigns, I believe, a professional feasibility study is of value. My experience indicates that there is always useful information gathered by such a study and that much of the material could not have been secured by the college staff. I have seen studies which identified a strong racism among its alumni that was unexpected prior to the study; another where the institution's president had so little credibility that a year had to be spent to overcome this deficiency (think what the cost might have been had counsel not been willing to be forthright in its report to the president himself); another where a little-known donor identified his interest in a major element of the campaign: And these are not unusual results of such a study.

Analyzing Leadership Capacity

Analysis of leadership capacity is as essential as that of fund-raising capacity. Careful thought must be given to the leadership for the campaign in advance of the decision to mount such an effort. Except in highly unusual circumstances, I believe that your trustees should provide the campaign chairman. In the absence of such a qualified person on your board, one might question why there is no fund-raising leader available from that group of people which, presumably, is closest to the institution and has the legal responsibility for its operations.

A leadership "budget" is also a useful exercise. Assume a particular pattern and then determine if you have trouble finding at least two people for each of the most important posts. I also recommend setting up written criteria for every post; it will save much frustration later.

Don't assume sophistication on the part of your top leaders, even if they have had a fair amount of fund-raising experience. When you ask an experienced trustee to enlist a campaign leader, make certain that the trustee explains fully the dimensions of the post. It is a frequent tactic for

a chairman to recruit a somewhat reluctant volunteer by not outlining all of the position's requirements. Such a tactic comes back to haunt us and our organization suffers accordingly.

At the time you analyze your leadership resources, take the time to discuss with your president what a campaign's implications are for him or her. If the president is eager to see that the money is raised—and most of them are—then he should also understand the vital role played by the president in every capital fund campaign.

Similar sessions should be held with the board chairman, the development committee chairman, and the staff members who will be closely involved. The commitment to begin a campaign should not be taken lightly by anyone and so this step, often overlooked, should be part of the planning process.

About Goal-Setting

A word about goal-setting. I want to propound Reeves' first law: that "an institution's capacity to raise funds never equals its wants and only rarely its *true* needs." I believe this formulation is accurate because it is so difficult, even in these days of financial stringency, to distinguish between wants and needs. But that isn't really my point; rather, our goals should be set, I believe, at levels that can be achieved, for success in meeting goals, particularly today, is so important to morale and to momentum.

Goal-setting is sophisticated business, but so little is said and done about it that many campaign goals are really established in haphazard fashion. Trustees and presidents are frequently inclined to identify what they perceive to be the needs of the institution, tote up their costs, and thus establish the fund-raising goal as that sum. This is a dangerous procedure. It is somewhat a rarity to find that our needs and our capacity to meet those needs are equal. I once worked with a very able trustee who had few equals, in my judgment, as a fund raiser. He really believed that there was almost a mystical ability of prospects to detect true needs from expressed wants and that if an institution did not distinguish between the two, it couldn't raise its goal.

Moreover, the psychological impact of achieving a goal is frequently overlooked. The usual question is: "If our needs total \$15 million and we raise only \$14 million, isn't that still quite an achievement?" Falling short by even that relatively small amount may not affect a few volunteers but for most that spells failure even though a huge amount of money was raised. And, just for a different perspective, wouldn't it be better to establish a \$13 million goal and raise the \$14 million? Volunteers—and donors—like to feel being part of a successful venture. So take pains in considering and setting your goal.

Let me also emphasize that it is well not to get locked into a final and public goal too early. Establish a working

goal which you will test during your solicitation of the top prospects in the first phase of the campaign. Later, with more facts at hand on the capacity and interest of your constituents, you can establish your public goal.

Some Other Considerations

I will complete my remarks with some hints that I hope may prepare you, in a small way, for your next campaign.

First, remember Murphy's law, which states that if something can go wrong, it will. You can almost count, for instance, on your corporate chairman getting involved in a merger that will keep him tied up and virtually inaccessible for three months. There is no way to forecast that, but remember that while every problem cannot be solved, most can be managed. So simply "manage" your way around those temporary setbacks so that your momentum continues and does not falter.

Second, as you assess your gift potential, ask your trustee leadership to make a judgment as to whether the board can and will contribute somewhere between one-fourth to one-third of the goal. You can't be rigid about this percentage but if the trustee potential seems well below 25 per cent proceed with caution. If trustee capacity and willingness to give is above the 33 per cent level, you may want to reconsider your working goal.

Third, when you have identified the elements to be included in your campaign goal, you will want to be able to characterize those priorities as the most urgent needs of the institution. You will also want to maintain a list of

important but deferrable needs as well, but your published priorities should include only the most urgent ones.

Fourth, several months ago, one of the leading professional fund-raising firms issued a special report on the fund-raising climate. In essence, the report said that an institution ought to try to raise funds when the need is urgent—that trying to match the campaign timing to the vagaries of the stock market or the economy is virtually impossible and that these factors should not be decisive in deciding when to undertake a campaign. The report went on to say that it may be necessary to alter strategies slightly, to extend the period of pledge payments, etc., but to delay when the institution's needs are crucial is not a sound judgment.

Fifth, one of the preparations often overlooked is that of ourselves (development directors). I'm not talking about the practical preparation regarding techniques, experience, etc. This doesn't mean that we can't learn as we proceed with the campaign—indeed we do, and each of us can learn something no matter how repetitious the chores. But the preparation I have reference to is that which goes beyond the more practical matters of any campaign.

I firmly believe that the development officer must somehow have a vision beyond the immediate dollar goal—a dream of what his or her institution can achieve as a result of a successful campaign. With such a vision, ennobled by hard work and a significant commitment that will require personal sacrifice, we can be sustained in those difficult days that occasionally afflict all of us during a campaign.

COURTYARD AT WILKES COLLEGE
HONORS DR. A. C. MARTS



A courtyard in the center of academic buildings on the campus of Wilkes College, Wilkes-Barre, Pennsylvania was dedicated in honor of Dr. A. C. Marts, at ceremonies in October.

Given by an anonymous donor, the courtyard contains a large two-ton native stone with a bronze marker which reads: "This courtyard has been named in honor of Arnaud C. Marts, in grateful recognition for his helping to make possible Wilkes College." The dedication took place during weekend ceremonies which included the inauguration of the College's third president since it was founded in 1947, Robert S. Capin.

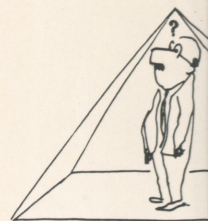
Dr. Marts, co-founder of Marts & Lundy, Inc., served a ten-year term as interim President of Bucknell University in Lewisburg, Pennsylvania, 1935-45. While at Bucknell, he was instrumental in building up Bucknell Junior College in Wilkes-Barre, a two-year institution started in the depression years to assist local students who could not go away to college.

The College grew so rapidly and fulfilled such an urgent need in Wilkes-Barre that it became a four-year college in 1947. Dr. Marts remained on its board of trustees until his retirement a few years before his death.

His widow, Mrs. Anne McCartney Marts, participated in the dedication ceremonies, along with President Capin (left), Attorney Joseph J. Savitz (right), Chairman of the Wilkes College Board of Trustees, and Melvin D. Brewer (second from left), Chairman of the Board of Marts & Lundy, Inc.

Other facilities at the College have also been named in Dr. Marts' honor and a scholarship is awarded each year from an endowment established at the College through gifts of his colleagues at Marts & Lundy.

Pyramid P



Marts & Lundy, Inc. prepared the shape of a pyramid to encommemorating the firm's Fiftieth Anniversary. It was distributed the mementos to the luncheon.

Why the pyramidal shape? So is symbolic of many of the principles made fund-raising a force for progress also because the shape has been recently due to its supposed mythical.

That's a typical travel schedule. Lundy officer whose current university gearing up for a major art museum seeking guidance liberal arts college preparing . . . an independent school work challenge gift.

Our representative is one of senior staff members at Marts & Lundy, Inc. selling service tailored to meet the needs of all kinds of institutions, in all phases of public relations programs.

Counseling can include:

- Training of your own development staff
- Building up your annual gift program

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only the most urgent ones.
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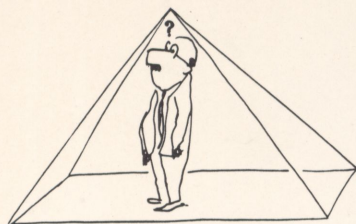
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Pyramid Power



Marts & Lundy, Inc. prepared an acrylic paperweight in the shape of a pyramid to encase the special seal commemorating the firm's Fiftieth Anniversary in 1976-77 and distributed the mementos to guests at its anniversary luncheon.

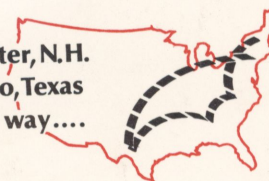
Why the pyramidal shape? Simply because the pyramid is symbolic of many of the principles and ideas that have made fund-raising a force for the good of humanity and also because the shape has been getting a lot of attention recently due to its supposed powers—both factual and mythical.

Shortly after the Marts & Lundy version of the pyramid was distributed, NBC News commentator Edwin Newman wrote an article for THE NEW YORK TIMES Sunday Magazine which confirmed what we had found in our research on the pyramid. Among some of the more interesting claims are that the pyramidal form produces energy, prevents decay, promotes mummification, sharpens razor blades, and does other mysterious things that are not completely explainable.

The shape's applications in fund-raising include the pyramidal form of the campaign organizations, the construction of gift scales, and the importance of having every segment of the program pointing to the right direction and every organization slot carrying its share of the total responsibility.

Due to many requests from those who were unable to attend the anniversary luncheon, we have a limited supply of the paperweights available for any reader of COUNSEL who desires one. To get your personal copy, plus a description of the amazing power of the pyramid, write today to: Pyramid Power, c/o Marts & Lundy, Inc., 521 Fifth Avenue, New York, N.Y. 10017.

from Exeter, N.H.
to San Antonio, Texas
with stops along the way....



That's a typical travel schedule these days for a Marts & Lundy officer whose current clients include an Eastern university gearing up for a major campaign . . . a Southern art museum seeking guidance on expansion plans . . . a liberal arts college preparing to celebrate its centennial . . . an independent school working to meet an eight-figure challenge gift.

Our representative is one of a number of officers and senior staff members at Marts & Lundy who provide counseling service tailored to meet *your* needs and *your* budget. Counseling is a service provided by the firm for all kinds of institutions, in all phases of their fund-raising and public relations programs.

Counseling can include:

- Training of your own development staff
- Building up your annual giving program

- Part-time counseling before, during or after a major campaign for capital gifts
- Initiating a workable deferred gift plan
- Guidance on corporation and foundation support

Of course, full-time campaign direction is still a major part of our business and always will be. Experience in thousands of campaigns has enabled us to provide service that meets your institutional requirements whether they be campaign direction, counseling, surveys and studies, or writing services.

If you think we can help, we'll be glad to meet with your officers or governing board and talk over your fund-raising. No obligation, of course. Write or phone: Marts & Lundy, Inc., 521 Fifth Avenue, New York, N.Y. 10017, (212) 687-1340, or Midwestern Office: Suite 110, 1931 Prairie Square, Schaumburg, Illinois 60195, (312) 397-9107.

Marts & Lundy INC.



Head table at the Fiftieth Anniversary Luncheon of Marts & Lundy, Inc., August, 1976:

Above, l. to r., Rev. William R. Stackhouse, The United Presbyterian Church in the U.S.A., who gave the invocation; Herbert C. Richman, President and Treasurer, Marts & Lundy, Inc.; Paul J. Franz, Jr., Vice President for Development, Lehigh University; Dr. Frederick D. Patterson, Founder and former President, United Negro College Fund, Inc.; Rev. Ralph R. Rott, American Baptist Churches.

Bottom, l. to r., Melvin D. Brewer, Chairman of the Board, Marts & Lundy, Inc., Dr. Nils Y. Wessell, President, Alfred P. Sloan Foundation; S. Prestley Blake, Chairman, Friendly Ice Cream Corporation, civic leader; Mrs. George S. Pillsbury, civic leader; Mrs. H. Irving Pratt, who accepted posthumous award to her husband; and John I. Carlson, Executive Vice President and Secretary, Marts & Lundy, Inc.



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