Internationalizing the Advancement Agenda:

A Multi-Case Study of Advancement Practices at Universities with Very High Research Activity

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Dedication

This work is dedicated to my parents who have always encouraged me to learn new things.

Abstract

Institutions of higher education seek alternative revenue sources due to increasing educational costs and diminished public financing. One potential revenue stream includes philanthropic support from international alumni and donors. This multi-case study investigates the process by which two very high research activity universities, have adapted their institutional advancement strategies to engage international constituents. This study also investigates whether those processes differ by public or private institutional authority.

By employing a conceptual framework based on the accumulation of *Market Knowledge* in for-profit firms, this study extends those concepts into the context of non-profit sphere by providing a foundation for understanding how the internationalization of the advancement agenda aligns with earlier literature on globalization, university internationalization, and institutional advancement.

Market Knowledge is explored as three different knowledge domains defined as *Business Knowledge*, *Institutional Knowledge*, and *Internationalization Knowledge*. Each of these domains contributes meaningfully to total amount of Market Knowledge but Business Knowledge, which includes awareness of alumni names, contact information, and philanthropic history, emerged as the most important in the context of international advancement.

Internationalization Knowledge, which includes the awareness of internal resources and capacity for this agenda emerged as the least important for moving toward further international commitments, but may be the most efficient in times of resource scarcity.

This study also suggests that there are few differences between public and private universities with regard to the actual mechanics of building international relationships, but that public university constituents may find the agenda less defensible, even in times of waning public financing.

These findings provide theoretical context for understanding an important component of the campus internationalization strategy that has been previously hidden and underexplored. Furthermore, it provides guidance to both scholars and practitioners on ways in which international partners can be engaged as lifelong supporters and prospective donors to institutions that increasingly rely on external revenue.

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Chapter One: Introduction to the Study

Background

Over the past several decades, colleges and universities in the United States have experienced significant financial changes. Hearn (2003) stated that the "primary leadership challenge for college presidents today is to maintain high quality and competitive standing in the face of menacing resource constraints" (p. 1).

While resources are more scarce, college costs have escalated. There are many theories to explain why college costs rise. Baumol and Bowen (1965) first proposed the idea that education and the performing arts are labor-intensive activities that do not realize productivity gains from technology or experience opportunities to limit fixed costs. In other words: a professor cannot talk faster, turn out the lights sooner, and save the institution money without impacting educational quality. Bowen (1980) later posited that universities tend to spend everything they take in and therefore strive to increase revenue to maximize social benefits.

Ehrenberg (2000) and Vedder (2004) argued that competitive pressures have also complicated the financial landscape of higher education. For example, the annual rankings of colleges published by *U.S. News and World Report* are partially determined by institutional spending on faculty and instruction. This motivates institutional leaders to boost spending in these areas to compete based on quality, rather than reducing those expenditures to compete on price. Non-academic expenditures have also escalated as colleges compete for students with lavish residence halls, exercise facilities, and dining options. Elliott (2005) stated that "it is thought that academics alone won't woo the young adult of the twenty-first century" (p. 12).

Cost escalation has coincided with increased demand for college degrees. By 2018, 63% of all jobs in the United States will require some post-secondary education, up from 28% in 1973 (Carnevale, Smith, & Strohl, 2010). Despite the increased demand, public financing for higher education has eroded due to increased public sector costs for Medicaid, public works, and corrections, none of which have the ability, like colleges, to diversify revenue streams (Weerts & Ronca, 2012). There is a further perception that degree attainment is a "private good" rather than public good, in which the returns of degree attainment are greater to the individual than to society at large (St. John & Parsons, 2005).

These trends have prompted the shifting of higher education costs from public entities (primarily governments) to students, families, the private sector, and philanthropists (Altbach, Reisberg, & Rumbley, 2010). Johnstone (2005) explained that the "sharing and shifting of these costs among parties is a zero-sum game, in which the lessening of the burden upon...one party…must be compensated by a reduction of underlying costs or by a shift of the burden to another party" (p. 358 in Altbach, Berdahl, & Gumport, 1999). Given the "divergent" challenges of both rising costs and decreasing revenues, institutions have become more entrepreneurial, market-driven, and competitive for financial and human resources (Bok, 2005; Clark, 1998; Kirp, 2004).

In this environment, colleges have sought to increase revenue from existing sources while also developing new revenue streams (Cheslock & Gianneschi, 2008; Hearn, 2003). Slaughter and Leslie (1997, 2001) have documented a trend among both faculty and university leaders engaged in "academic capitalism" in which resource scarcity has motivated competition for private sector funding, licensing deals, technology transfer agreements, and spin-off companies (p. 154).

Another strategy involves maximizing revenue from new markets, including those overseas. In recent years, institutions of higher education (henceforth IHE) have deliberately and strategically included international and intercultural themes in research, teaching, and engagement missions (Childress, 2009). This process is broadly described as *internationalization*. For the purposes of this paper, I employ Knight's (2004) working definition of internationalization:

> the process of integrating an international, intercultural, or global dimension into the purpose, functions and delivery of post-secondary education (p. 8).

While many of these activities are related to academic missions, some internationalization initiatives are intended for income generation or revenue stream diversification (Altbach and Knight, 2007; Knight & de Wit, 1997; Knight, 1999; Stromquist, 2007; Taylor, 2004; Toyoshima, 2007).

According to a 2005 survey from the International Association of Universities, four percent of institutions surveyed (*n*=526) reported that income diversification was the primary motivation for international efforts (Knight, 2006b, p. 49). This number is almost certainly underreported because social pressures, even in anonymous studies, would demote revenue generation relative to more pro-social educational purposes. Nevertheless, this number provides evidence that institutions tacitly consider internationalization as a revenue lever, even if other motivations supersede income generation.

Taylor (2010) argued that “the emergence of internationalization has had a very significant impact on the financial management of many universities…there are rich pickings to be had and universities have not been slow to see the opportunities” (in Maringe & Foskett, 2010, p. 101).

IHE have several methods for diversifying revenue through international activities. The primary source of international revenue comes from tuition. Since international students enrolled in American institutions are ineligible for federal or state aid and are rarely awarded institutional aid, their tuition dollars partially subsidize educational costs for resident students and help offset decreases in funding elsewhere. This provides an attractive incentive for colleges to increase international enrollments, a trend that has been stable for decades.

According to the Institute of International Education (IIE) Open Doors report, the number of international students enrolled in the United States increased 32% over the last decade, from 547,000 students in 2000 to more than 723,000 in 2010. (Institute of International Education, n.d.). Although this represents a generally flat trend as a percentage of total enrollments in the United States, it demonstrates institutional prioritization of overseas revenue and internationalization strategies designed to maximize profit. This trend is especially noteworthy among tuition-dependent institutions or institutions with low academic prestige which must employ discounting strategies to enroll a full class (Cunningham, Wellman, Clinedinst, & Merisotis, 2001).

Charitable support is another mechanism for revenue diversification. Since international students graduate at higher rates than do their domestic peers, they are more likely to become degree-holding alumni who can be tapped for philanthropic support (U.S. Department of Education, 2012, Table 345).[1] Considering the growth in the international student population and the revenue constraints among IHE, there has been increased interest in cultivating voluntary philanthropic support from international alumni.

Hearn (2003) explored the idea of "appeals to donors abroad" as a way to diversify revenue (p. 7). Since his paper was published, fundraising in general, and international fundraising specifically, has become increasingly necessary as public sector funds decline. Fundraising overseas has also become more feasible. Newer communication technologies like voice over Internet Protocol (voIP) telephony and online social networks facilitate faster, cheaper connections with alumni whose educational investments have contributed to economic growth in emerging economies.

References to international fundraising crop up in scholarly literature, (Hearn, 2003; Stromquist, 2007; Taylor, 2004) institutional rhetoric, (University of Chicago, 2009) and professional publications like *The Chronicle of Higher Education*, whose editors have explored international fundraising efforts (Basinger, 1999; Masterson & Thompson, 2010; Nicklin, 1995). The Council for Advancement and Support of Education (CASE)[2] has promoted a global agenda by establishing offices or hosting meetings in Latin America, Europe, and Asia. In 2010 the organization published a

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[1] This inference is based on average four and five year graduation rates from degree-granting non-profit institutions. Graduation rates are less consistent within the for-profit sector and the generalization is not the case for all subgroups in all cohorts.

[2] CASE is the primary professional association for educational fundraising and other advancement professionals.

volume on the topic (McLoughlin & Park). In 2011, the association began hosting conferences specifically focused on international fundraising (Council for Advancement and Support of Education, n.d.).

In this small body of work, there are indicators that international fundraising is increasingly relevant. For example McLoughlin and Park (2010) stated that “international philanthropy and fundraising for higher education is a topic of urgent attention for colleges and universities around the world. And well it should be” (Foreword). This echoes an argument from Masterson and Thompson (2009) who stated, “If an institution has an international constituency, it can’t afford not to attempt to engage them” (A25).

Barriers to the International Advancement Agenda

While there is a general consensus that international fundraising has potential for broadening future revenue streams, there are several known barriers that might prevent institutions from initiating or sustaining the activity. For example, international constituents are less likely to update contact information or have access to local alumni groups thereby increasing the difficulty and costs of soliciting support.

Even with accurate contact information, educational philanthropy is still rare globally. Prospective donors may not understand the rationale for private support or the ways in which a gift will be deployed. Furthermore, soliciting donations requires a nuanced understanding of cultural values pertaining to wealth and philanthropy (Masterson & Thompson, 2009). Even interested donors might find giving difficult or prohibitively expensive due to minimal tax benefits or complex financial transfer regulations (Moore, 2009).

Research Gaps in the Field of Institutional Advancement

Even as international fundraising efforts have emerged as a key strategy for revenue source diversification, institutional decision-makers have little research to conceptualize and guide their efforts.

This is not particularly surprising considering the overall lack of institutional advancement research. There are seminal works regarding the history of philanthropy in higher education (Curti & Nash, 1965; Sears, 1922), numerous single-institution studies investigating donor motivation, and a variety of practical documents for professional fundraisers, yet theoretical approaches to fundraising are sparse (Caboni & Proper, 2007; Cook & Lasher, 1996). Philanthropic Studies is a new discipline which only recently gained a foothold with academic research centers, refereed journals, and specialized graduate programs. Even with an expansion of graduate work, dissertations tend to be practically grounded and are not published in top higher education journals (Caboni & Proper, 2007).

Walton and Gasman (2007) suggested that philanthropy might be understudied because of scholars' reluctance to investigate something that is "complex, value-laden, and burdened by the issues of unequal distribution of power in society" (xxiii). These concerns are even more challenging in a global context because fundraising efforts are likely to transfer money from the Global South to the Global North. This condition could exacerbate income disparities between nations, crowd out philanthropic gifts at home, or reduce gift effectiveness through currency disparities and high transaction costs. These reasons likely contribute to the almost total absence of fundraising from the literature on higher education internationalization. Much of the discourse about income generation focuses on tuition revenue, joint programs branch campuses, technology transfer, and research. Alumni relations is mentioned sporadically, often in the context of building connections to recruit international students.

Fundraising research is also limited by several methodological challenges and data protections. First, understanding donor motivation is difficult because future behaviors cannot be reliably predicted based on current intentions (Ajzen & Fishbein, 1977; Ajzen, 1991; Beck & Ajzen, 1991). Therefore, questions asking current students or recent alumni about future intentions to donate will produce results that are biased toward pro-social norms. Eliminating this bias requires data collection from individuals who have actually contributed, often years after leaving the institution. The intervening years or decades shape the individual in countless ways, making it difficult to isolate or understand the specific effects of the donor's time on campus.

Second, individual-level data are difficult to obtain because non-profit organizations and university advancement offices are bound by federal privacy laws. Third, university advancement teams serve as boundary-spanners who have a compelling financial interest in maintaining a positive institutional image to a variety of publics. Therefore, these professionals have little motivation to discuss institutional challenges or honestly discuss issues that may have negative public relations consequences. Fourth, philanthropic support has only recently become a vital revenue stream for public institutions. As a result, researchers likely provided coverage that was commensurate with its financial importance.[3] For example in Hines and McCarthy's (1985) annotated bibliography of university finance, the terms *fundraising* or *fundraiser* are indexed to three citations, compared to 17 references for *state aid*, *state appropriations* or *state support* (pp. 343-355). While this is by no means confirmatory evidence, it is indicative of the shift in university finance that has occurred over the last two decades. Caboni and Proper (2007) noted that philanthropy received little academic research despite the fact that charitable gifts accounted approximately 10 percent of all institutional expenditures for the 2006 fiscal year. The lack of research is also surprising because large donors heavily favor higher education over other sectors. Recent data shows that 48 percent of publicly-announced gifts greater than $1 million went to institutions of higher education. This is more than six times as many gifts as the next sector (Lilly Family School of Philanthropy, 2013).

Purpose of the Study and Research Questions

The preceding sections have detailed the need for empirical research on emerging practices related to institutional advancement in international contexts. To begin filling this gap, this study explores the process by which institutional leaders develop and sustain an international advancement agenda. In doing to, this study helps scholars and advancement professionals understand the processes, opportunities, and challenges surrounding international advancement. The study also seeks to understand how these challenges and opportunities may differ by institutional control (e.g., public/private institution). Aligned with these purposes, my study poses the following research

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[3] Philanthropy has historically been very important for private institutions dating back to the founding of Harvard in 1636.

questions:

1. How and in what ways do institutional leaders internationalize the advancement agenda?

2. To what extent might differences exist in the internationalization process based on institutional control (e.g. public/private authority)?

Definitions and Terms

Alumni Relations is the process of "encouraging and fostering alumni involvement with their institutions, building long-term relationships with alumni and other constituencies, and collaborating with the advancement team to maximize efforts on behalf of the institution and its alumni" (Council for Advancement and Support of Education, n.d.).

C.A.S.E or CASE refers to the Council for Advancement and Support of Education. It is the primary professional association for professionals working in alumni relations, communications, development, marketing and allied areas. CASE also has a research function dedicated to advancing scholarship on advancement-related topics.

Chief Advancement Officer (CAO) refers to the senior leader at a specific institution responsible for advancement strategy and operations. These can have a variety of titles including Vice President of Development, Vice President of Philanthropy, and Vice President of External Relations. The level of this position also varies by institution. At private institutions it is often a Vice Presidential/Vice Chancellor level position directly reporting to university leadership. At public institutions the individual is often responsible for a foundation or endowment fund specifically intended to fund institutional goals (Croteau & Smith, 2012, p. 16). These individuals may oversee various components of the advancement agenda including alumni relations, marketing, public relations, government relations, development (fundraising), brand management, etc.

Chief Internationalization Officer/Senior International Officer (CIO/SIO) is the primary individual responsible for the campus international agenda.

Globalization is defined as "the growing interdependence of countries resulting from the increasing integration of trade, finance, people, and ideas in one global marketplace" (Soubbotina & Sheram, 2001).

International Alumni /International Partners are defined as any institutional constituents or stakeholders whose primary residence is outside the borders of the institution's home country. While much of the study focuses on institutional alumni who have earned undergraduate or graduate degrees, other stakeholders exist who might provide financial support. Some of these individuals might be research fellows, visiting faculty, international scholars (i.e. Fulbright), individuals receiving health care, or the parents of current students or alumni.

Institutional Advancement is defined as "interpretation and promotion of an institution to its various constituencies including fundraising, internal and external communications, government relations and public relations" (Education.com as cited by Croteau & Smith, 2012, p.17). While each of these functions are relevant and interconnected, this study is largely focused on alumni relations and fundraising.

Institutions of Higher Education (IHE) are any colleges and universities that offer postsecondary or tertiary degrees.

International Advancement is defined as any of the already described institutional advancement activities intended for parties located outside the institution's home country. For the purposes of this study, international advancement is marked by geographic borders and not by citizenship or nationality.

The Research Approach

To address the research questions, I propose a multi-case study design. This qualitative approach is most appropriate for this study because there is evidence of an existing phenomenon (international advancement) yet little understanding about organizational decision-making related to advancement activities in international contexts. Given this disconnect, this study aims to generate meaning and understanding about these processes (Merriam, 2009), derived from an examination of two institutions that have committed to an international advancement agenda.

Significance of the Study

This study contributes to both theory and practice in the field of advancement in several ways. First, it contributes to the scholarly literature by applying theoretical frameworks to understand the process of internationalizing the advancement agenda. Since it is assumed that fundraising occurs after other international activities, and since fundraising requires a specific knowledge of cultural mores and legal frameworks, this study provides new direction for internationalization that goes beyond traditional educational export activities.

Second, this study informs research in the broader context of institutional internationalization which has typically ignored or minimized the importance of institutional advancement. Since relationship-building and fundraising require long-term commitments and relationships, fundraising might be usefully incorporated into measures of internationalization and market commitments abroad. Finally, this study provides descriptive qualitative data describing the strategies and processes that can guide best practices for revenue diversification in times of fiscal constraint.

With projected economic growth in emerging economies and increasing demand for a highly-skilled global workforce, the United States will likely remain a top destination for international students and scholars. This study builds a foundation in the literature to help institutional leaders understand the challenges and opportunities of cultivating relationships and philanthropic support from internationally-located partners.

Chapter Two: Literature Review

In addressing the research questions posed in this study, my review of literature explores international advancement through multiple theoretical perspectives. First, I will describe how globalization has eased the flow of human and economic capital across borders and how governments and organizations have responded through the process of internationalization. Doing so provides context into how colleges and university advancement offices fit into larger global trends. Next, I will summarize theoretical models of internationalization and foreign market entry. In doing so, I describe how those models might represent the institutional advancement agenda in higher education. Finally, I will propose a conceptual framework for guiding my methodology and subsequent analysis. This framework illustrates the way in which one may understand institutional adoption of an international advancement agenda.

Globalization

Definitions and frameworks for globalization vary because the term is an ill-structured, broad, and interconnected series of constructs. The World Bank defined globalization as "the growing interdependence of countries resulting from the increasing integration of trade, finance, people, and ideas in one global marketplace" (Soubbotina & Sheram, 2001, p. 66). Held, McGrew, Goldblatt, & Perraton (1999) defined globalization more broadly:

> a process (or set of processes) which embodies a transformation in the spatial organization of social relations and transactions—assessed in terms of their extensity, intensity, velocity and impact-generating transcontinental or interregional flows and networks of activity, interaction and the exercise of power. (p.68)

Marginson and Van der Wende (2007) utilized a neutral definition that included activities that occur in a global context between two or more nation states or institutions. They argued that "interpretations of globalisation are coloured by different agendas; and its reception is affected by other contemporary tendencies…that intersect with globalisation but cannot be wholly ascribed to it" (p. 8).

It is worth noting that globalization remains a controversial topic. Definitions can carry ideological freight and the term itself can be used pejoratively.[4] Oldenziel (2007) authored a paper with the provocative question "is Globalization a Code Word for Americanization?" She argued that globalization is neither limited to one country nor historically unprecedented. Instead, historians have typically not investigated America in a global context.

Scholars and journalists have attempted to narrow the breadth of describing globalization by constructing it in economic, political, cultural, technical, or ideological terms (McBurnie, 2001; Steger, 2003) or by exploring it through various cultural lenses like sports (Foer, 2010; Klein, 2008) or food (Pilcher, 2012; Wu & Cheung, 2002).

At the time of this writing, there are more than 24,000 globalization-related titles in the Amazon.com catalog. According to Maringe (2010) this diversity of thought can be positive for our overall understanding of globalization, but "the same idea can have totally different connotations…for different people [and] problems arise when the view one has about globalization is privileged entirely by one or a limited number of such

[4] Given the international focus of this paper, some spelling discrepancies may appear. When referring to globalization or internationalization I will utilize the American spelling unless in a direct quotation where it is spelled differently.

conceptualizations." To overcome this limitation Maringe argued that globalization is a "multi-dimensional and complex topic which is best understood from a holistic rather than restricted perspective" (pp. 18-19).

Regardless of its definition or framework, globalization represents a confluence of characteristics in which most organizations and people on Earth are impacted. Critical to its understanding is the acceptance that these technologies, attitudes, and organizational behaviors are irreversible and impossible to stop without enforcing intensively isolationist economic strategies or hardline political force.

Bill Clinton, the first U.S. President of the post-Cold War era, described globalization during a speech given at the Vietnam National University in Hanoi in 2000:

> Globalization is not something we can hold off or turn off. It is the economic equivalent of a force of nature–like wind or water… We can work to maximize its benefits and minimize its risks, but we cannot ignore it–and it is not going away. (Clinton, November 17, 2000, Hanoi)

Globalization of the Higher Education Marketplace

Globalization continues to have unprecedented effects on higher education. Information and communication technology allows for the rapid dissemination of both scientific knowledge (in the form of academic output) and in recent years, curriculum delivery. Faculty and student mobility enables universities to compete globally for human capital, while the Western-style curriculum and English language are becoming increasingly standardized (Altbach, Reisberg, & Rumbley, 2010).

This is not to suggest that colleges and universities are one-directional recipients or passive bystanders in the global age. Scott (2000) explained that it is quite the contrary, particularly among the global research institutions. Universities are indeed actors perpetuating both the breadth and speed of globalization, yet they require adaptations to the global age or risk obsolescence. Scott (2000) also argued that globalization has made the university's traditional roles of "socialisation, creditialisation, professionalisation and institutionalisation…increasingly anachronistic" (p. 7). Without radical changes universities might find themselves as relics of a pre-globalized age.

Globalization has also changed how countries enact higher education policy and develop cross-border agreements. In recent years, cross-border collaborations were largely conducted between individual institutions in the form of faculty or student exchanges, scholarships programs, or inter-university research collaborations. Since the Doha Round of the World Trade Organization negotiations began in 2001, higher education has been classified as a "tradable service" and included in the General Agreement on Trade in Services (GATS) which indicates it "is similar to the trade of telecommunications or financial services" (Bashir, 2007, p. 7). Although the Doha Round has never formally been concluded, partially due to protectionist policies among wealthy countries, the commoditization of learning has caused policy makers and institutional leaders to explore how increased trade in educational services might impact the domestic sector in various countries (de Wit, 2008; Knight, 2006c).

Though the export revenues of the higher education sector cannot be reasonably compared to those generated by the financial services sector, the international market in educational trade is sizeable. Also, definitions for "educational export" vary slightly between countries making direct comparisons difficult. For example, studies in the United Kingdom might include consulting services or products intended for educational use while in the United States, educational exports includes tuition, fees, and related expenses paid by non-U.S citizens enrolled in American institutions (U.S. Department of Commerce, Bureau of Economic Analysis, 2011). Between 1999 and 2005, the top five exporting countries (Australia, New Zealand, Canada, the United Kingdom, and the United States) increased their educational exports collectively by 71% from $16.6 billion to $28.3 billion (Bashir, 2007, Table 5). By 2010, the United States exported more than $21 billion in educational services alone[5] (U.S. Department of Commerce, Bureau of Economic Analysis, 2011).

Logically, this growth in exports is matched with an equally sizeable growth on the balance sheets of educational importers. According to UNESCO data, the largest importers are China, India, South Korea, Japan, Germany, France, Turkey, and Morocco (UNESCO, 2006). Interestingly, some of these countries spend similar amounts (measured as a proportion of GDP) on educational imports as they do on producing those services domestically.

China and India are noteworthy examples. Bashir (2007) estimated that these two countries imported $5 billion and $3.1 billion, respectively, of higher education services in 2004. For China, that sum amounts to 0.26% of total GDP compared to 0.44% of GDP spent on higher education domestically. Indian imports accounted for 0.46% of GDP compared to 0.59% spent on domestic higher education[6] (Bashir, Table 6).

The global supply of tuition payers has provided substantial incentives for

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[5] This figure is in nominal, 2011 dollars, seasonally adjusted by the United States Bureau of Economic Analysis.

[6] These estimates are based on the number of students multiplied by the estimated costs and therefore might be biased. For a completely description of this methodology see Bashir, 2006, Table 6.

colleges and universities to engage in the marketplace of educational trade. In the next section of the paper, I will describe how IHE have responded to globalization through the process of internationalization. I will further explore national level policy initiatives that promote internationalization.

Internationalization of Higher Education

Since globalization has been a significant change in the external environment that is both unstoppable and irreversible, the higher education sector has adapted to remain relevant to "societies, economies, and labour markets" (Van der Wende, 1997, p. 18 in Kalvermark & Van der Wende). This response has been largely conceptualized as *internationalization*.

Definitions for internationalization vary, and the separation of globalization from internationalization is not entirely settled in the literature. One of the primary challenges is synthesizing and analyzing the myriad terms used over the past 40 years into single, neutral, and cohesive definition. Some of the noted terms include: international education, comparative education, multi-cultural education, distance education, or borderless education (Knight, 2006b). For the purposes of this paper, I will employ Knight's (2004) working definition:

> the process of integrating an international, intercultural, or global dimension into the purpose, functions and delivery of post-secondary education (p. 8).

Knight's (2004) work requires considerable discussion because it can be analyzed from multiple levels, each with different, yet related, rationales. Knight and de Wit (1997) first proposed different rationales for internationalization including social, cultural, political, academic, and economic. This model was modified by de Wit in 2002 to reflect the “blurring of rationales across categories” and then again to differentiate between the internationalization rationales that occur in the national policy arena with those that occur at the institutional level (Knight, 2004, p.15).

National Level Internationalization

At the national level, governments employ internationalization strategies to increase human resource capacity, build strategic alliances, increase trade across various sectors (including education), build diplomatic partnerships, bridge social and cultural gaps, and encourage nation building, typically in the forms of technical assistance or development work. Frequently, national or regional policy initiatives work to capture multiple rationales at once (Knight, 2004, p.17).

de Wit (2008) wrote about the global marketplace for international students and suggested that there are both “push and pull factors” that influence which countries are likely to attract students and which countries are likely to send students abroad. Factors that are the push factor in one country often have an equal and opposite pull factor in another. For example, the low availability (supply) of higher education opportunities in one country is a push factor, while the high availability in another is a pull factor. The increased presence of foreign providers is a push factor, while an active recruitment policy is a pull factor.

de Wit explained that political, social, cultural, and economic factors can push or pull students into the global education marketplace. For example, political instability or limited academic freedom can push students to countries with political stability and/or greater academic freedom. Even historical or colonial ties are noted, as students from current or former colonial outposts are often given special privileges with regard to student or work visas. Not coincidentally, the characteristics that define higher education systems in the United Kingdom, the United States, and Germany are established pull factors as demonstrated by positive net inflows of students to these countries.

One recent example of a national level internationalization effort is the "100,000 Strong Initiative" launched by U.S. President Barack Obama in 2009. The policy goal is to send 100,000 Americans to study in China with the intended outcome of "prepar[ing] the next generation of American experts on China who will be charged with managing the growing political, economic, and cultural ties between The United States and China" (U.S. Department of State, 2010). The rationale for this policy is a national-level interest in offsetting the substantial trade imbalance in educational services with China, by providing opportunities for diplomatic partnerships, economic trade, and mutual cultural understanding. The policy, however, does not designate student academic programs nor does it specify participating institutions.

Another recent example of a national-level internationalization policy is the Brazilian government's Science Without Borders (*Ciências sem Fronteiras)* initiative. This program is designed to "promote the consolidation, expansion and internationalization of science and technology, innovation and competitiveness in Brazil through the exchange of graduate students…" (CAPES, n.d.). This policy will eventually allocate 3.16 billion Brazilian *Reais* ($2.02 billion USD) for scholarships to send up to 75,000 students to institutions ranked highly in the *Times Higher Education* World University Rankings (Gardner, 2011).

According to the Organisation for Economic Co-operation and Development, Brazil spent 1.02% of its GDP on Research and Development in 2006, approximately half of what top countries spend. As Brazil's economy continues to grow, particularly in sectors requiring scientific and engineering expertise, its human resource capacity is at risk. Brazil has comparatively low tertiary educational attainment for the region and only 7.8% of those with college degrees are trained in science-related or engineering fields (Organization for Economic Co-operation and Development, 2008, p. 164). *Ciências sem Fronteiras* is the result of a national-level rationale intended to increase Brazil's human resource capacity.

Institutional Level Internationalization

At the institutional level, colleges and universities engaged in various forms of internationalization long before the term was coined. Scott (2006) explained that European universities in the Middle Ages, German universities during the Humboltian era, and schools in Victorian England were "prominent internationalist forerunners, attracting foreign students and professors" (p. 6). More recently, institutions have conceptualized internationalization as a coherent strategy or process and subsequently moved from decentralized, faculty-driven international relationships to strategic, coordinated, and centralized efforts. These strategies are regularly codified in institutional mission statements (Ayoubi & Massoud, 2007; Knight, 1994, 2004, 2006c; Qiang, 2003) and operationalized with internationalization plans (Green, Luu, & Burris, 2008; Childress, 2009). As Taylor (2010) explained, "internationalization has become too important to be left to the keen enthusiastic 'amateur' [and] new forms of organization have emerged" (p.100). One important change has been the addition of centralized Senior International Officers charged with the overall coordination of international strategies (Dessoff, 2009; Taylor, 2010).

With increased fiscal constraints and competition, colleges have utilized international efforts for expedient institutional maximization of both profit and prestige. Institutions further benefitted from the discourse on globalization and market liberalization that portrayed open-markets as either an opportunity or a threat (Taylor, 2010). Initiatives that had traditionally comprised the international portfolio like study abroad, curriculum enrichment, language instruction, and student exchanges were bolstered to "enhance the competitiveness, prestige, and strategic alliances of the college" (Altbach & Knight 2007, p. 293**)**. In a comprehensive survey of universities worldwide, Knight and de Wit (1997) explained that rationales related to "international profile and reputation and income generation" moved higher on the agenda (pp. 18-19).

Knight (2004) explained that the "motivation to undertake internationalization to generate income is a complex issue" because it is unclear whether non-profit institutions are utilizing the revenue for "profit or cost recovery" (p. 27). The degree to which specific international activities are intended for revenue generation is also unclear, and Knight clearly implied that it is an institution-level decision. Stromquist (2007) explored this issue in a detailed case study about organizational mechanisms and relationships necessary for comprehensive internationalization. The study is especially noteworthy because the institution in question (described as Progressive University or PU) is ostensibly among the leaders in the United States for innovation in internationalization efforts, international student recruitment, and cultivation of gifts from international donors.

In describing PU, Stromquist (2007) pointed to a number of efforts intended for revenue generation including: the development of new internationally-focused programs, the recruitment of faculty members who can secure funding from abroad, and most importantly, the recruitment of international students. To these ends campus faculty and administrators maintain contact with foreign schools that produce large numbers of academically-prepared, internationally-mobile graduates, capable of paying the full cost of tuition. This profit-seeking motive has caused PU to focus intensively on "the recruitment of Asian students, at both the undergraduate and graduate levels from China, India, Hong Kong, Taiwan, Japan…" (p. 90). To achieve this goal, PU has opened four "development offices" in Asia and one in Mexico to facilitate international student recruitment and alumni relations. [7]

PU has not been the only institution to increase recruitment efforts overseas. As demonstrated earlier, the number of international students enrolled in the United States has climbed 32% in the last decade, from 547,000 students in 2000 to more than 723,000 in 2010 (Institute for International Education, 2011). Since non-citizens are ineligible for federal or state aid, and since they are rarely awarded institutional aid, international students are often characterized as full-tuition payers. This trend is especially noteworthy among tuition-dependent institutions or institutions with low academic prestige. These

[7] This usage of "development" appears to be a more broad definition of institutional advancement activities focusing on alumni relations, student recruitment, and fundraising. Still, this might also refer to what Weiner and Soria (2011) called "liaison offices" which are essentially international outposts that provide no specific educational services, but exist solely to advance institutional goals in a foreign country.

institutions have seen declining net revenue as increased costs of attendance required commensurate increases in institutional aid. Predictably, colleges and universities have prioritized international student recruitment to generate revenue although it remains unclear whether those same institutions are meaningfully engaging international students on campus or as alumni.

Internationalization as a Process

Despite common motivations for campus internationalization, there is no specific template or model for the process of entering international markets or diversifying existing activities overseas. (Altbach & Knight, 2007; Knight, 1994, 1999, 2004, 2006c; Taylor, 2010; Vaira, 2004). Several education scholars have proposed sequential or stage models to explain how institutions become more internationally committed. Knight (1994) proposed an “internationalization cycle” in which institutions rotate through “six phases at their own pace” (p. 12). Middlehurst and Woodfield (2007) compared internationalization strategies for institutions in the United Kingdom and suggested that activities can be broadly categorized into the “stages” of international development as shown in Table 1.

Table 1. *Stages of Institutional International Strategy Development*

Phase	Type	Description
Phase 1	International activity	Disparate and unconnected activities
Phase 2	International strategy	Co-ordination and beginning of alignment
Phase 3	Internationalisation process	Effort to integrate, achieve leverage and added value

From Middlehurst and Woodfield, 2007

In the first phase, IHE are engaged in various internationalization efforts, but little thought is given to how these efforts might achieve institutional goals or advance the institutional mission. Given the decentralized nature of many IHE, one can easily envision a campus where domestic foreign language learners are not connected with fluent international students or where faculty engage in research or attend meetings overseas without knowledge of foreign alumni groups or prospective donors.

In the second phase, institutional leaders recognize the potential for building these connections and develop a plan or strategy for doing so. Middlehurst and Woodfield (2007) suggest that these strategies vary widely among institutions and are “influenced by both their conception of international and ‘internationalisation’ and their rationale for international activity…” Based on analysis of 31 international plans, Childress (2009) suggested that the plans provide five overall benefits: (a) a roadmap for internationalization, (b) a vehicle to develop buy-in, (c) a mechanism for explaining the meaning and goals of internationalization, (d) a medium for interdisciplinary collaboration, and (e) a tool for fund-raising (p. 289). She concluded that internationalization plans help move institutions from planning to activity. Since these plans serve multiple roles, they may include specific goals or high-level symbolic rhetoric.

In the third phase, institutions build networks and expend resources for implementation of the strategy. Middlehurst and Woodfield explored several mechanisms for this process including *leadership*, *structure*, *systems and processes*, and *relationships/boundaries/questions of integration*.

Although this study benefits from some scholarly work conducted in educational institutions, a more robust body of work exists on the internationalization processes of for-profit companies and firms. While IHE (at least in the non-profit sector) have different missions than for-profit industries, models of the firm are useful because higher education has adopted management practices from the corporate world (Birnbaum, 2000; Bok, 2005; Kirp, 2004; Rhoades & Slaughter, 1997; Slaughter & Leslie, 1997, 2001; Winston, 1999). These practices are particularly prevalent in institutional advancement operations which are often run by strategic, data-driven professionals whose efforts on behalf of the institution are profit-seeking in nature (Dewey, 2006).

Internationalization of the Firm

Much of the literature on the internationalization of the firm comes from two distinctive schools (Andersen, 1993). The first is the Uppsala School (Johanson & Wiedersheim-Paul, 1975; Johanson & Vahlne, 1977, 1990, 2003, 2006, 2009). Grounded in the work of Cyert and March (1963), these models assume that internationalization is a function of accumulated knowledge. The second school, known as the Innovation-Related or I-models (Bilkey & Tesar, 1977; Cavusgil,1980; Czinkota, 1982) which are grounded in the work of Rogers (1962) and suggest that internationalization is a function of organizational or technological innovations.

Both of the schools have produced similar models. For example, both are grounded in behavioral theories of the firm and both interpret internationalization to be a dynamic process in which gains in either knowledge or innovation help perpetuate the speed or depth of future international efforts. Both schools also assume that internationalization is path-dependent, indicating that moving from one stage to the next occurs in a defined sequence.

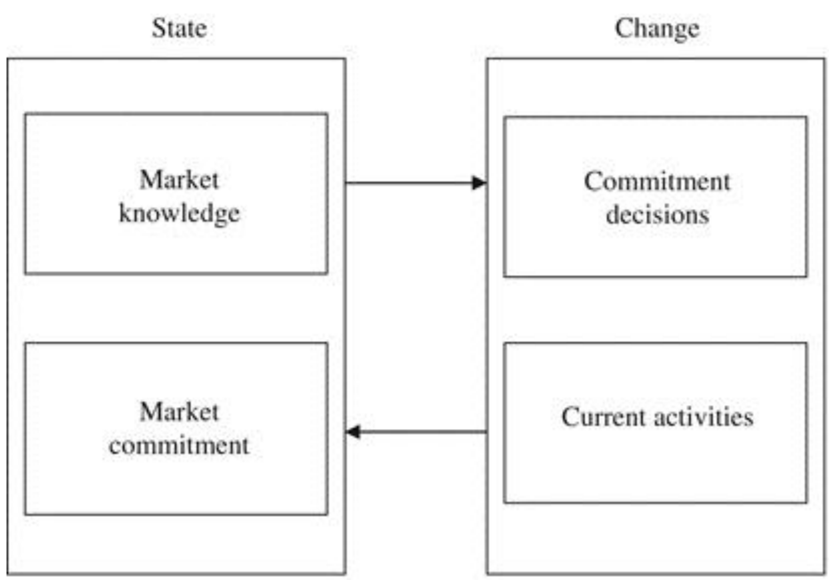
For multiple reasons, this study relies on the Uppsala Model and subsequent theorists from the Uppsala School. First, its conceptualization of internationalization is more broadly defined and therefore more useful in a higher education context. For example, several of the I-models demonstrate a level of disinterest in the first stage, including the outright rejection of international service orders. This suggests that all organizations, at some early point, are not planning to export goods or services. Given the international nature of higher education, it is highly unlikely to find such an isolationist stance, especially with the confluence of globalization and resource constraints faced by IHE. Conversely, the Uppsala model assumes that all organizations are learning how to internationalize, regardless of whether they want to make this shift.

Second, Andersen (1993) argued that the Uppsala model is not specifically bound by firm size, while the innovation models explore the internationalization of small to medium sized firms. Since the sampling frame for this study will focus on large universities, the Uppsala Model provides greater flexibility for understanding decentralized, complex organizations. Third, Johanson and Vahlne specifically lean on the pioneering work of Cyert and March (1963) whose work has been applied in higher education studies (Birnbaum, 1988).

The Uppsala School began with a study of four Swedish firms by Johanson and Wiedersheim-Paul (1975). Their work investigated how firms established agency in foreign markets first with sales representatives and later with production facilities. The authors also state two very important points. First, they assumed that "internationalization is the consequence of a series of incremental decisions" and "the most important obstacles to internationalization are lack of knowledge and resources" (p. 306). This lack of knowledge, combined with the generally risk-averse attitudes of managers, forces firms to begin the internationalization process in places that are closer in "psychic distance" to the home country. The authors defined psychic distance as the sum of "factors preventing the flows of information between firm and market" and cite examples including "differences in language, culture, political systems, level of education, level of industrial development…" (p. 308.)

Johanson and Vahlne (1977, 1990, 2003, 2006, 2009) extended basic ideas from earlier work but developed a dynamic stage-model to demonstrate the pathways by which knowledge is gained and subsequently utilized for future international efforts. Their original model has four steps: *Market Commitment*, *Current Activities*, *Commitment Decisions*, and *Market Knowledge*. Their model is graphically depicted in Figure 1.

Figure 1. *The Uppsala Model of Internationalization*



Johanson & Vahlne, 1977, p. 26

In explaining the components of the model, the authors described market commitment as "the amount of resources committed and the degree of commitment." (p. 27). These resources are represented by financial capital and human resources which increase as "the resources in question are integrated with other parts of the firm and value is derived from these integrated activities" (p. 27). Since the model assumes that organizations are risk averse and profit maximizing, the firm will analyze the effectiveness and profitability of its current activities including business actions taking place internationally. Johanson and Vahlne indicated that Current Activities are the "prime source of experience" despite the time lag between the activity and the result of that activity (p. 29).

Current Activities were the result of an earlier Commitment Decision. The authors defined commitment decisions as "decisions to commit resources to foreign operations." They were careful to note that these decisions are related to available alternatives, which might arise as solutions "in the neighborhood" of current problems and likely to be discovered by those working within the market (p. 29). Despite inconsistencies in how problems and opportunities arise, Commitment Decisions are made by weighing the available Market Knowledge. Market Knowledge was defined as "present and future demand and supply, to competition and to channels of distribution, to payment conditions, and the transferability of money and those things that vary from country to country and from time to time" (Carlson, 1974, as cited by Johanson & Vahlne, 1977 p. 27). Market Knowledge is a key component of the conceptual framework and research questions for this study and will be explored in greater detail in the following section.

Johanson and Vahlne summarized the basic mechanism of the Uppsala Model in this way: “the state of internationalization affects perceived opportunities and risks which in turn influence commitment decisions and current activities” (p.27). In sum, the more high-quality knowledge an organization has about international markets, the more likely it is to decide to commit resources there. Those commitments lead to increased activities within a market, thereby completing a positive feedback loop with more knowledge that is likely of higher-quality. The dynamic model places greater importance on early market entry because the original commitment decision sets the process in motion for gaining Market Knowledge about places that are increasingly more different from home.

Although the Uppsala Model remains influential in the business literature, scholars have pointed out its limits in terms of theoretical assumptions, deterministic process, and the difficulty of empirical testing. For a complete critical analysis see Andersen (1993). Other challenges to the Uppsala Model have emerged as the global landscape has changed in recent years. For example, Oviatt and McDougall (1997, 2004) explained that the Uppsala Model must be updated for a globalized age because new firms (labeled as “international new ventures or INVs) do not demonstrate the risk aversion to internationalization and enter markets without going through the sequential stages proposed by Johanson and Vahlne (1977). Madsen and Servais (1997) explored a similar phenomenon of “born globals” which begin exporting overseas within a few years of initial operations (p. 564). A third critique is that the model predated much of the work on social and business networks and therefore fails to ascribe organizational learning to the strength and diversity of existing business relationships. Later work from the Uppsala

School accommodated this new research and indicated that Market Knowledge was accumulated through borderless networks, rather than country-specific markets (Johanson & Vahlne, 2003).

Despite these limitations, the Uppsala Model provides a useful framework for understanding the necessary elements and basic process required for foreign market entry and organizational internationalization. Since colleges and universities are often decentralized and institutional goals might be fuzzy or poorly defined, it is unlikely that a single “moment of internationalization” will be identifiable. Nevertheless, at the time of this research, there is strong evidence that many IHE in the United States are engaged in some internationalization efforts, and little evidence that these efforts include elements of institutional advancement. Given this gap, one might posit that for many schools, the understanding of various costs and barriers outweigh the potential benefits, at least in the short term. Still, with an international agenda in place, one must also assume institutions are developing knowledge before committing resources to foreign markets for advancement-related purposes. This literature suggests that Market Knowledge is critical for evaluating the cost-benefit equation and may influence decision-making in this area. Therefore, this study primarily focuses on how various organizational stakeholders gain Market Knowledge and how those stakeholders utilize that knowledge for deployment to international advancement operations.

Market Knowledge

Market Knowledge is comprised of a hierarchy of nested factors which include the awareness of external opportunities and the internal resources necessary to capitalize on those opportunities. This concept has been expanded and adapted by various scholars studying the behavior of the firm. In this section, I unpack the broad concept of Market Knowledge to explain how the specific domains employed later in this study should be understood within the greater context of Market Knowledge.

In the context of the Uppsala Model, Johanson and Vahlne (1977) used Carlson's (1974) definition of Market Knowledge as it "relates to present and future demand and supply, to competition and to channels of distribution, to payment conditions, and the transferability of money and those things that vary from country to country and from time to time" (as cited by Johanson & Vahlne, p. 27). They theorized that gains in Market Knowledge contribute directly to Commitment Decisions involving increased expenditures or activities within a particular market. Since firms are assumed to be risk averse (Cyert & March, 1963), commitment decisions are more likely to occur when market uncertainty is minimized through increased knowledge, connections, or relationships within the foreign market including "communication with customers [and] establishment of new service activities…" (p. 29).

Johanson and Vahlne further divided the concept of Market Knowledge into *Objective Knowledge* and *Experiential Knowledge* based on Edith Penrose's landmark work *The Theory of the Growth of the Firm* (1995). Objective Knowledge is transmitted easily between managers and subordinates and can be replicated to new or different markets without significant adaptations. Experiential Knowledge is difficult to reproduce or transmit to others within an organization and must be accumulated through action (Hennessey, 2012).

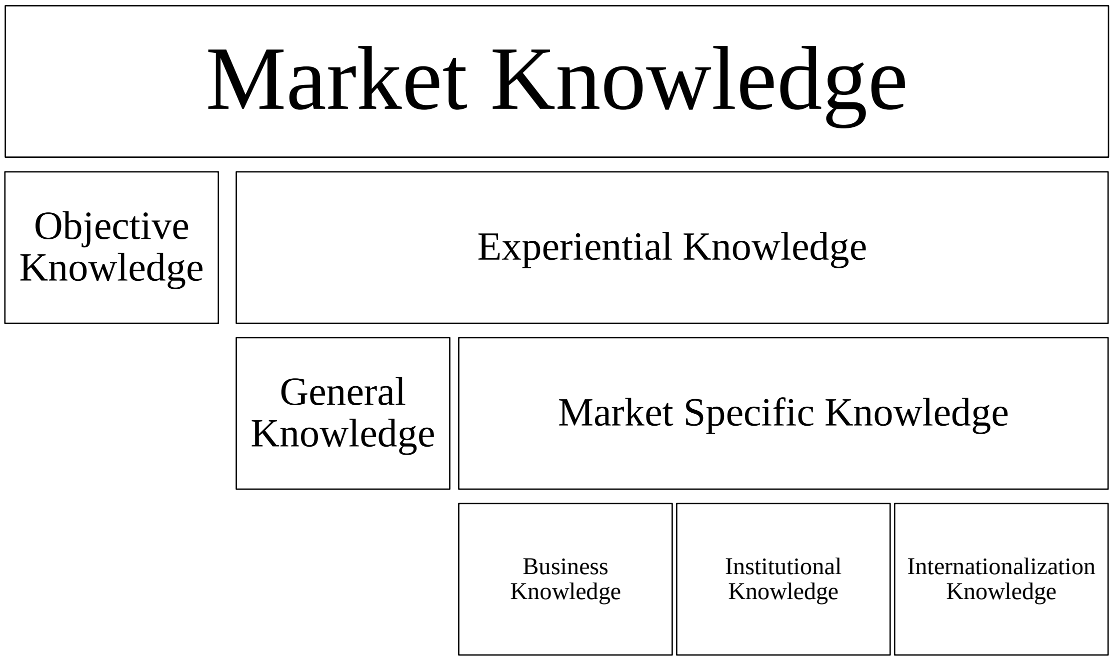
The Uppsala Model assumes that both Objective and Experiential knowledge play a role in organizational success, but Johanson and Vahlne (1977) suggested that Experiential Knowledge is critical for the internationalization process because it enables organizational members to explore or "perceive" market opportunities that exist in foreign markets. Exploring those opportunities builds upon the current base of total knowledge, thereby allowing the firm to make further Market Commitments.

The authors further divided Experiential Knowledge into *General Knowledge* and M*arket Specific Knowledge*. The former is knowledge that is applicable across markets, and the latter includes cultural, economic, and social constructs embedded uniquely in one market (pp. 27-28).

Other scholars have added to our understanding of the Uppsala Model and the impact of Market Knowledge on internationalization (Eriksson, Johanson, Majkgård & Sharma, 1997, 2000; Eriksson, Majkgård, Sharma, 2000). Eriksson et al.'s (1997) study is particularly useful because it expanded upon the idea of Experiential Knowledge. The authors hypothesized that knowledge-deficient firms would experience higher internationalization costs. To test this hypothesis, the researchers surveyed Swedish firms (n=362) that had internationalized operations and utilized structural equation modeling (SEM) to develop variable constructs for three specific types of experiential knowledge: Business Knowledge, Institutional Knowledge, and Internationalization Knowledge. These constructs, were utilized in later papers that tested the effects of variation in these constructs on internationalization (Eriksson, Johanson, et al., 2000) and whether the constructs were sequentially important or "path dependent" (Eriksson, et al., 2000).

A complete diagram of the hierarchy of Market Knowledge for this study can be found in Figure 2.

Figure 2. *The Market Knowledge Umbrella*



Eriksson et al. (2000) defined their variable constructs for market-specific knowledge in the following ways:

1. *Business Knowledge* is the knowledge a firm has of the customer base, competitors, and market conditions in a particular foreign market.

2. *Institutional Knowledge* is knowledge of the government, institutional frameworks, rules, norms, and values in the particular markets.

3. *Internationalization Knowledge* is the firm's knowledge of its capability of engaging in international operations and its resources for doing so. [Internationalization Knowledge] is embedded in the firm's routines and structures (p. 310).

In Eriksson et al.'s (1997) model, two of the variable constructs, Business

Knowledge and Institutional Knowledge, were causally-related to internationalization costs. The third construct, Internationalization Knowledge, was not causally-related but indirectly impacts costs due to embedded information understood by organizational leaders (p. 350).[8]

While the survey items represented terminology used in the private sector, there are obvious non-profit or educational corollaries. For example, the authors' exploration of cooperative agreements and foreign subsidiaries are similar to international memos of understanding (MOU) used to establish research partnerships or study abroad programs. Subsidiaries are comparable to branch campuses, liaison offices, or other foreign market entry strategies employed by IHE.

The empirical relationship between Market Knowledge and internationalization costs provides evidence that the original Uppsala Model (1977) can be instructive for understanding the internationalization process of the firm and, by extension, profit and prestige-seeking organizations like IHE. Johanson and Vahlne updated the Uppsala Model in 2003 by including advances in the business literature related to network theory and relationship management. One relevant update involved changing *Current Activities* to *Learning/Creating/Trust-building*. The change was grounded in the work of Morgan and Hunt (1994) who posited that "trust is a major determinant of commitment" and whose work informs recent literature on non-profit marketing, donor relationships, and fundraising (Arnett, German, & Hunt, 2003; Bennett & Barkensjo, 2005; Burnett, 2002; Helgesen, 2008; MacMillan, Money, Money, & Downing, 2005; Sargeant, 2001a,

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[8] Technically, the Eriksson et al. models utilized a *lack* of knowledge in the various domains to causally predict internationalization unit costs or path dependence.

2001b). The updated model also accommodated lowered international borders wrought by globalization. They authors argued that "…overcoming barriers is becoming less important than internationalizing undertaken to strengthen a firm's position in a network" (p. 1423).

Despite the increasing ease of internationalization and foreign market entry, institutions of higher education have only recently begun the process, particularly with regard to profit-seeking functions. In this context, there are still legitimate barriers to international fundraising including tax laws, money transfer rules, and high solicitation costs. To fully understand these barriers and how institutions might overcome them, it is important to describe the basic process of higher education fundraising. The next section provides background into the higher education fundraising process and how elements of the Uppsala Model can especially useful for understanding how colleges and universities pursue an international fundraising agenda.

A Primer on Fundraising

Higher education fundraising takes place through three primary mechanisms: annual funds, campaigns, and planned giving. Each of these mechanisms involves a different type of fundraising effort. Since solicitation is one of the primary motivations for individual philanthropy (Bekkers & Wiepking, 2011), it is important to explore how IHE cultivate gifts and how those strategies could be applied internationally. As Cook (1996) argued "fundraising is a science and can be observed, measured, and analyzed." (p. 335).

According to Drezner (2011), annual funds are one of the "building blocks" of a fundraising operation because these funds have traditionally brought in unrestricted operational dollars. Annual funds provide periodic opportunities for expanding the pool of prospective donors, while asking existing donors for incrementally larger amounts (p. 6). Annual fund solicitations are typically mass appeals sent to large proportions of existing names in a donor database. These solicitations aim to engage the largest number of potential donors for the lowest possible cost. Sidhu (2010) argued that many annual fund managers exclude international alumni from mass appeals because the costs of solicitation are high and because response rates are low (p. 61 in McLaughlin & Park, 2010). Furthermore, prospect research and international name purchases are more expensive and less likely to contain valuable demographic data for targeting major gift prospects (personal communication, Diane Young, August, 26, 2010; Lindahl & Winship, 1992). [9]

The second fundraising mechanism is the campaign. Campaigns utilize coordinated public relations strategies to encourage major gifts over a specified period of time. In contrast to the unrestricted gifts sought during annual fund drives, campaigns typically indicate the gift's designated purpose. For example, capital campaigns designate gifts for infrastructural development or improvement while "comprehensive campaigns" designate gifts for several institutional priorities like scholarships, infrastructure, or endowment growth (Worth, 2010, as cited in Drezner, p. 7).

In recent years, colleges and universities have set increasingly ambitious campaign goals. In 2012, Harvard University officials suggested that an approximately

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[9] I also suspect that many database systems are poorly equipped to "translate" foreign addresses and contact information.

USD $6 billion campaign would begin sometime in 2013 (Rouse & Worland, 2012).[10] Prior to an official announcement, campaigns exist in a “quiet phase” which allows fundraisers to quietly secure substantial lead gifts that allow the institution to set reasonable, yet ambitious, final targets.[11] Once the official campaign begins, lead gifts are cited as examples of generosity to donors of decreasing financial capacity or involvement which exerts social pressure upon donors motivated by competition or self-image (Bekkers & Wiepking, 2011). Eventually, solicitations are made to all alumni and friends hoping to meet or exceed the publicly-stated goal by the campaign end date.

Henry Rosovsky, a former Dean of the Faculty of Arts and Sciences at Harvard University, provided a candid anecdote about asking for a lead gift. During a meal the prospective donor asked “Are you asking me for five million?” to which Rosovsky replied, “Not quite, sir. My hope is that you will agree to give ten million, so that others would be inspired to give five million” (1991, p. 257).[12]

Unlike annual funds which cultivate smaller gifts from a large number of donors over a short time period, campaigns target maximally large gifts from a very small number of donors. According to Dunlop (2002), eighty percent of campaign gifts tend to come from twenty percent of donors, a rule that is routinely cited by advancement professionals as the 80/20 rule (as cited by Drezner, 2011) even though the balance might be closer to 90/10. These major gifts are often the result of a long cultivation process,

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[10] Stanford University brought in a record $6.2 billion USD in a five-year campaign that ended in 2012.

[11] Harvard University officially announced a $6.5 billion USD campaign on September 22, 2013 with a target end date in 2018. At the time of this writing, this is the largest campaign in the history of higher education.

[12] The donor reportedly suggested that such an ask required c*hutzpah* and then agreed to the gift when Rosovsky was able to correctly spell ‘c*hutzpah’*.

often lasting many years. This approach to fundraising is based on the concept of relationship marketing (Morgan & Hunt, 1994) which assumes that a particular donor's lifetime value (LTV) exceeds the lifetime costs of the gift solicitation (Hennssey, 2012; Sargeant, 2001b).

Predicting a donor's lifetime value is difficult, making it impossible to predict the costs (both real and opportunity) that should be expended to develop a relationship. Therefore, relationship-fundraising requires good intelligence on the potential donor and emphasis on donor retention over a long time horizon. Most importantly, it requires delicate cultivation and maintenance of the relationship. With so much time, energy, and resources invested, errors can be costly.

These costs grow substantially when a donor is overseas due to travel expenses and relationship-building costs involving events, meetings, or dinners. Furthermore, major gift solicitations might be assisted by executive administrators or highly regarded faculty whose time is valuable. Since donors are motivated in some part by prestige and social acceptance, a personal visit by one of these individuals might increase the propensity to give or increase the total gift amount. Naturally, the inclusion of high-level individuals also increases solicitation costs.

The third mechanism is called planned giving or legacy gifts. These take the form of contracts in which the donor gives through a trust or other financial instrument. The funds disburse periodic donations throughout the course of a donor's life and often continue after the donor's death (Drezner, 2011). Due to the sensitive nature of talking about mortality and legacy, the solicitation process is difficult. These challenges are likely exacerbated when discussions cross cultural boundaries. In China, for example, “families will not discuss death and dying for fear of invoking bad luck” (Hsu, O’Connor & Lee, 2009, p. 154). Furthermore, planned gifts in the United States are often motivated by tax incentives and confidence in the legal and regulatory frameworks, which vary by country and over time (Ernst & Young, 2012).

In sum, the process of fundraising requires considerable resources spread over a long time horizon. Since returns on investment are unlikely to materialize in the short term, institutions must evaluate whether to commit resources based on knowledge that is accumulated inside and outside of the organization. In the next section, I discuss how Market Knowledge is related to fundraising and ways in which this knowledge contributes to the internationalization process.

Market Knowledge and International Fundraising

The Uppsala Models (1977, 1990, 2003, 2006, 2009) theorized that internationalization of the firm happens in stages and that developing market-based and experiential knowledge is necessary for an institution to begin, intensify, or diversify international initiatives. Increased understanding of markets helps build lasting commitments which in turn helps develop further knowledge.

In the case of higher education, the Uppsala models suggest that institutions will be engaged in various stages of the internationalization process in different markets. As previously noted, there is evidence of existing international advancement activities, but little is known about the acquisition of Market Knowledge or the types of Market Knowledge required to initiate advancement efforts overseas. Within the larger Uppsala framework, in the next section I apply Eriksson et al.'s (1997) concepts regarding Market Knowledge to educational fundraising literature.

Business knowledge and international advancement.

Knowledge of international students and alumni equates to Eriksson et al.'s (2000) notion of Business Knowledge because it focuses on understanding potential constituents and the competitive environment in a foreign market. While typical export firms must determine demand for their products before finding a customer base, IHE have already established the relationship through teaching, research, or other mission-related connections. Indeed, a more international student body naturally leads to more international alumni that can be engaged for charitable support (Hearn, 2003).

Accumulation of Business Knowledge requires an institutional inventory of the number of alumni or partners in a particular market, their history of gifts and pledges, and their predicted future capacity to donate based on institutional data and prospect research. Some of these data are readily available to institutional decision-makers, but other information, including contact information, is often incomplete. Improving these data sets can be expensive and time consuming. Even more challenging is understanding prospective donors' capacity or inclination to give. Some of this information is imputed based on current market conditions, a key component of Market Knowledge. Xu and Yang (2010), explored GDP growth per capita in China which expanded from 343 Yuan in 1978 to 13,785 Yuan in 2007. The authors posit that "if this upward trend continues as expected, the Chinese people will have more disposable income to pursue their philanthropic goals" (p. 6). Frost (2010) concurred by suggesting that international prospect research should be tied to countries with significant wealth creation, measured by GDP per capita (p. 30).

Even with basic assumptions about the capacity for philanthropic giving, institutions must also understand individual donors' propensities to give. There are a number of theories that explain individual donor motivations for philanthropic support. In a comprehensive literature review, Bekkers and Wiepking (2011) identified eight ideals that motivate philanthropy including "awareness of need, solicitation, costs and benefits, altruism, reputation, psychological benefits, values, and efficacy" (p. 927). Given this wide-ranging and complex topic, it is no surprise that scholars from across the social sciences have investigated donor motivations, albeit outside of higher education contexts (p. 924).

In general, the literature suggests that individual giving decisions are motivated by a complex and interrelated web of economic, social, and psychological factors (Drezner, 2011). In the context of Business Knowledge one must explore the relationship between overall student satisfaction and future inclination to donate. Clotfelter (2003), Monks (2003) found that there is generally a strong relationship between giving and the campus experience which may be explained by social exchange theory (Weerts & Ronca, 2007). Social exchange theory suggests that individuals engage in relationships based on an economically rational calculation that the benefits of the relationship outweigh the costs (Emerson, 1976). In the realm of alumni giving, individuals consider the costs and benefits associated with college in making decisions about whether to give back to their alma mater (Weerts & Ronca, 2007).

This literature on donor motivation suggests that colleges must meaningfully engage international students in both the academic and co-curriculum to generate future philanthropic support. There is a substantial body of work on the student experiences of ethnically diverse populations in the United States. However, international students are a less studied population, particularly with regard to first-year experiences, persistence, and retention (Andrade, 2006). Zhao, Kuh, and Carini (2005) utilized National Survey of Student Engagement (NSSE) data to explore differences in engagement between international students and their American peers. They found that international students, on average, experience greater academic progress than their domestic peers and have more interactions with faculty. The researchers noted that international students have significantly less “relaxing and socializing” (p. 216), an indicator that is not only correlated with academic performance but also with the types of social exchanges that may motivate future philanthropy.

In addition to understanding how international students are engaged on campus, it is important to understand how they are treated prior to enrollment. One concern is that the combination of a positional marketplace, organizational imitation, and strong demand for educational imports from the United States has produced a “gold rush mentality” for international tuition dollars (Sullivan as quoted in McMurtie, 2011). In this competitive environment, institutions have commissioned international admissions agents who charge fees from both students and institutions for assisting with application materials, campus selection, and visa applications. Scholars have only recently begun to examine the practice. Hagedorn and Zhang (2011) reported that Chinese students generally found the price of admissions agents affordable and that "two thirds…would recommend the same agent to a friend" (p. 14).

Yet, recruitment agents remain controversial due to potential conflicts of interest that arise when the agent's financial incentives are disconnected from the student's educational interests. Anecdotal evidence indicates that agents are paid only when a student is admitted. This provides the incentive for agents to "under match" highly qualified students to schools at which they are virtually guaranteed admission. Golden (2011) profiled a student named Leon Lin, who paid an agent $5,000 for assistance applying to the University of Connecticut. When Lin arrived in the United States, he was shuttled to a distant satellite campus with 250 students rather than the highly-ranked flagship in Storrs.

The "gold rush" of international tuition dollars has also led to loose internal controls. While some of the error can be attributed to understaffed admissions offices, schools have incentives to ignore misrepresentation, cheating, or fraud. Data collected by online recruiting service Zinch.com found that Chinese transcripts, letters of recommendation, and other application materials are routinely falsified by agents, students, or their parents (Melcher, 2011). A recent internal audit of Dickinson State University in North Dakota found that many Chinese students were awarded degrees without completing the requirements. Transcripts submitted to the institution were "basic Excel spreadsheets" and some students accidentally sent multiple transcripts without changing the name at the top. Agents in China were specifically cited as "not performing according to their contracts" and were "driven by quantity of students and not quality…"

(North Dakota University System, 2012, p. 19). This notion was at least partially confirmed by a 250% increase in international enrollments at Dickinson State University between 2004 and 2009 (U.S. Department of Education, 2011).

The preceding evidence suggests that admissions processes may complicate students' relationship with the institution, detract from their student experience, and ultimately inhibit students' inclination to make philanthropic gifts later. Furthermore, undergraduate international students rarely qualify for financial aid which Monks (2003) found to be a significant predictor of alumni giving. This presents a noteworthy difference between public and private IHE because private institutions, on average, are more expensive than public institutions. Assuming that financial support enters into the social exchange equation, one might predict that international students have a reduced propensity or capacity to give, even if they have otherwise positive pre-enrollment and on-campus experiences.

Applied to past literature, the development of Business Knowledge in an international fundraising context requires an inventory of the "customer base" existing in a foreign market. This includes demographic and contact information; giving history and future giving capacity; as well as propensity for philanthropy based on institutionally-controlled factors like the student experience before, during, and after enrollment.

Institutional knowledge and international advancement.

Knowledge of the unique legal, historical, and cultural contexts that shape inclination and the ability to donate is analogous to Eriksson et al.'s (2000) description of Institutional Knowledge. Prior to committing resources toward international fundraising, it is important to explore how different cultures think about wealth and philanthropy and whether cultural attitudes might impact giving. Furthermore, it is critical to understand the laws that regulate transfers of money in and out of foreign markets, and whether those laws are applied consistently.

A primary challenge for U.S. fundraisers is that many international alumni come from countries with different philanthropic traditions, particularly those relating to educational support. The United States has a strong culture of charitable giving. Moore (2009) explained that "charitable activities are predominantly American in concept and implementation" because Americans believe that "it is up to individuals rather than the government to ameliorate poverty, malnutrition, and disease and to improve education" and that ideals of self-reliance minimize the passing of wealth from one generation to the next (p. 1). These attitudes lend themselves to ethnocentric or "myopic" thinking in which fundraisers approach non-Americans without an appropriate understanding of different cultural ideas on giving and receiving (Wagner, 2004, p. 8). Masterson and Thompson (2010) found that international fundraising has a variety of advantages but requires an acute understanding of different cultures and their perceptions of philanthropy (p. A25).

Reasons for weak philanthropic cultures vary globally and are representative of the historical, religious, and economic contexts within those regions. Glushko's (2010) research indicated that high taxes in European countries and the belief among citizens that education is the government's responsibility reduces philanthropic intent in Europe. Wells (2004) described how populations in New Zealand frequently give time but might be offended by coercive fundraising campaigns.

In Brazil, corruption scandals among non-profits have led to a nationwide distrust of fundraisers who were derogatorily labeled with the play-on-words, *pilantropia*, which translates roughly to "scumbag."[13] In response, the Brazilian non-profit sector has rebranded the entire enterprise as "private social investment" (personal communication, Andre Degenszajn, June 8, 2011).

Another example of cultural nuances impacting giving is in India, where donors have a strong philanthropic tradition, but are more likely to give to individuals than to formal organizations. According to a Charities Aid Foundation (CAF) report, 63 percent of reported gifts to individuals went to strangers, while 28 percent gifts went to charitable organizations or NGOs (Maple & Harrison, 2012, p. 15). There are a variety of cultural and economic hypotheses for this giving behavior, but evidence suggests that Indians are compelled to help someone in need, even if they have never met, before giving to an established organization.

In addition to cultural traditions of philanthropy, there are also a variety of legal and policy-related factors capable of inhibiting giving. For example, Americans benefit from individual and corporate tax deductions for donating to tax-exempt organizations of a religious, charitable, or educational nature (U.S. Department of Commerce, Internal Revenue Service, Publication 526). A 1998 survey by the U.S. Trust found that 11% of donors gave for tax reasons (Moore, 2009).

Many economists have studied charitable giving and whether it adheres to the

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[13] This personal communication occurred during an exploratory investigation about barriers and opportunities for education philanthropy in Brazil.

rules of basic economic exchanges (Boulding, 1962). Scholars who have accepted that charity does involve exchange (Bittker, 1972; Steinberg, 1990) have debated whether governmental transfer payments crowd out philanthropy, and, if so, whether governments should induce philanthropy through tax incentives (Clotfelter, 1985; Feldstein, 1975; Steinberg, 1990; Taussig, 1967). The general "crowding out" hypothesis is that donors will reduce philanthropic gifts in direct proportion to the amount of money allocated to public goods by the government. Several of the studies have shown only a partial crowding out, meaning that a $1 increase in government spending is not completely matched by a $1 decrease in philanthropy. As a result, Steinberg (1990) has concluded that charitable giving is "price inelastic" meaning that charitable contributions would not change if the cost of making them were to increase through diminished or eliminated tax incentives. Feldstein (1975) cautioned against generalized policy implications by suggesting that there is still some debate, and elasticity may change over time (p. 66). The indirect benefits of private support for public goods can be viewed as charity or altruism, a notion that provides a counterpoint to the ultra-rational economic models which would otherwise predict high numbers of free-riders (Abrams & Schitz, 1978). These economic benefits are noted only as a result of existing tax laws and therefore might not be generalizable to international populations.

Based on the body of economic research, the motivations for philanthropy are not clear-cut and fall somewhere between a completely rational willingness to pay only what generates the largest marginal benefit and the purely altruistic "warm glow" ideal that people donate simply because it makes them feel good. Andreoni (1990) described this motivation as “impure altruism.” In Andreoni’s model, he developed an “altruism coefficient” which measures the degree to which a particular donor is willing to substitute a decrease in governmental transfer payments with voluntary support. The ability to evaluate various degrees of willingness to donate demonstrates that those with more altruistic leanings are more likely to “bundle” gifts to maximize the “warm glow” (p. 468). Andreoni (1990) also found that when donating to privately-funded public goods, impurely altruistic motivations can have the effect of increasing the total supply, which can also be quantified as a pro-social benefit.

The econometric “presence” of altruism, even if it is impure, bodes well for IHE. After all, a purely rational economic actor would demonstrate little motivation to give. Nevertheless, if motivation were increased through governmental tax subsidies, this would present a considerable challenge for international fundraising because only alumni living in the United States (or Mexico, Canada, or Israel, which have reciprocal tax agreements) would qualify for the benefit. Of course, a variety of other countries have tax benefits for citizen donors, and several American institutions have found ways to legally establish themselves as tax-exempt or non-profit organizations overseas.

Another legal challenge that inhibits giving by international alumni arises from money laundering regulations passed in the wake of the terrorist attacks on September 11, 2001. These rules, included in the USA PATRIOT Act require substantial staffing and paperwork burdens to process donations from overseas. These safeguards are required even for small donations, making it possible for the administrative costs to exceed the donation amount (International Center for Not-for-Profit-Law, 2010).

Institutional Knowledge also relates to understanding the cultural motivations for philanthropy and wealth transfer (Eriksson et al., 2000). A limitation of the literature on philanthropy is that many empirical studies of donor motivation focus on homogeneous populations. Drezner (2011) posited that previous definitions of philanthropy "have been associated with a relatively small number of white families and individuals [mostly men] who enjoyed access to education, owned major businesses, held leadership positions in government, dominated professions, and inherited wealth" (p. 27).

Clotfelter (2003) demonstrated how donor patterns at selective private colleges differed for three cohorts of students entering in 1951, 1976, and 1989. He found significant declines in both the percentage of donors and the amounts given over time. These results might be attributed to the increased diversity of the college-going population. And while he specifically warns against over generalizing the cohort donation effects, his study provides some evidence that gift solicitation requires an understanding of philanthropic motivations from diverse perspectives. Others have investigated similar patterns in diverse populations, which provides some context for understanding ways in which philanthropic intent may differ in relation to various national cultures.

For example, Gasman (2002) posited that African Americans are an "untapped resource" and might not be solicited for gifts despite a historical tradition of giving to various organizations for "uplifting their race" (p. 284). Gasman also explained that among African Americans, "trust is particularly important when making monetary contributions" and that highly-respected members of the community are useful for gift solicitation (p. 287).

Ramos (1999) described charitable giving patterns among Latino Americans, whose participation in formal philanthropy is limited. There are several hypotheses for low Latino alumni giving rates including lack of cultivation, high levels of community college enrollment, feelings of marginalization on college campuses, or income disparities. (Gonzalez, 2003). Others have suggested that Latino philanthropy is underestimated because data excludes remittances to family or friends abroad. Latinos are also likely to hail from countries known for paternalistic, liberal governments which tax heavily but provide a variety of services including health care and education. And while the economic literature is not entirely settled on whether government transfer payments for public goods crowd out philanthropic giving, a long history of governmental support makes it difficult to instill a culture of private philanthropy (Glushko, 2010; Ramos, 1999).

According to the Institute for International Education Open Doors report, more than 63% of all international students currently enrolled in the United States come from Asia. In the United States, scholars have investigated Asian-American donor motivations. Chao (1999) indicated that Asian Americans are “motivated by a strong ethic of duty” rather than being enticed by tax breaks or other incentives. The author also noted that Asian Americans tend to give to institutions or organizations that provided a direct benefit to a friend or family member (in Drezner, p. 38).

Tsunoda (2011) explored how Chinese American donors differed from previous studies that explored donor patterns among all Asian populations. His case studies provided compelling data which highlight unique cultural attitudes among Chinese

Americans. For example, Chinese Americans have a deep respect for education and believe that gratitude toward colleges and universities provides a considerable incentive to give. Tsunoda (2011) concluded that "overall, Chinese American giving tends to be based on personal connections; both private and personal are accompanied by a strong desire to volunteer their personal time" (pp. 42-43). Most significantly, Tsunoda's study intended to "reveal the voices of Chinese American donors" so fundraisers could understand their giving patterns and incorporate Chinese Americans into future campaigns (Tsunoda, 2011, p. 7-8). Although it would be inaccurate to directly apply research on ethnic groups in the U.S. to their broader international communities, current research serves as a useful guidepost for future inquiry.

Finally, it is important to note that the Asian continent and subcontinent are home to many different ethnic groups and cultures and should not be viewed as a homogenous group. Nevertheless, the number of students enrolling from China (including Hong Kong and Macau) make it a logical starting point for fundraising efforts. China is also a natural choice given its considerable economic growth. Still, philanthropy is an unfamiliar concept that has only begun to catch on in mainland China. Estes (1998) conducted an exploratory study which showed a burgeoning civil sector in China. According to a 2010, *Time Magazine* article (Amid China's Economic Boom, Philanthropy Lags), donations increased from \$1.5 billion in 2006 to more than \$7.5 billion in 2009, a significant increase, but still negligible relative to China's \$9 trillion (adjusted 2011 dollars in PPP) economy. The lack of Chinese philanthropy might be a function of weak governmental systems, lack of tax incentives, or perceived corruption in the third sector (Jiang, 2010).

In sum the accumulation of Institutional Knowledge involves an understanding of the cultural, economic, and legal factors that determine a donor's propensity and ability to give. Unlike Business Knowledge which is comparable to an inventory of existing prospects, Institutional Knowledge involves factors that are largely beyond institutional control. As such it is unlikely these factors will impact IHE differentially based on institutional control.

Internationalization knowledge and international advancement.

Knowledge of the organizational capacity and resources available for international initiatives relates to Eriksson et al.'s (2000) concept of Internationalization Knowledge. This concept can generally be seen as an inventory of campus internationalization in academic programs, institutional culture, and strategic priorities. Again, Internationalization Knowledge can be understood in the broader domain of Market Knowledge, which focuses on opportunities in overseas markets and the resources required to expand internationally or evaluate potential alternatives (Johanson & Vahlne, p. 27).

Measuring internationalization among IHE is challenging due to decentralized organizational structures and unclear or poorly defined goals and because internationalization has a variety of "definitions, approaches, and rationales" (Knight, 1994, 2004). As a result, internationalization can be a widespread, institutionalized phenomenon or a set of initiatives localized to specific campus units or even individual faculty members.

There is some evidence that centralization of the international agenda differs based on institutional control. Green et al. (2008) collected data on campus internationalization and found that 62 percent of public institution respondents had some office to "oversee internationalization programs and activities" compared to 23 percent of private universities. Of those with offices, 36 percent of publics indicated it was a "single office" compared to 11 percent of private institutions (Green et al., Data Appendix G). This suggests that public IHE have attempted to centralize internationalization efforts to a greater degree than private IHE.

Van der Wende (1999) showed that decentralization can be beneficial when it comes to internationalization efforts. She explained when "large numbers of people are involved with the programme or unit…the international dimension and practice can also be spread around and adopted elsewhere in the institution" (p. 5). Van der Wende, however, noted that if diffusion fails to occur, the unit may become isolated and potentially impede innovative internationalization goals.

Definitions also play a role because internationalization can be viewed as two separate "streams" in which some of the efforts occur on campus in the context of intercultural or international education, while others occur overseas in the context of international recruitment, branch campuses, or study abroad (Knight, 2006).

Others have explored measures of campus internationalization. For example, Ellingboe (1998) argued that internationalization can be measured using five components: college leadership, faculty international involvement, study abroad availability, integration of international students and scholars into campus life, and international co-curricular units (p. 205). While these elements are largely programmatic, Bartell (2003) argued that the degree of internationalization is found in the institutional culture and this assumes "shared assumptions and understandings…identified through stories, special language, and norms that emerge from individual and organizational behavior" (p.54). Given the high costs and long time horizon of major gift fundraising, it seems unlikely that institutions would engage in international fundraising for the sole purpose of signaling institutional commitment, but it remains possible that alumni events or other advancement activities might be symbols of the international agenda.

Green et al. (2008) produced a census of campus internationalization through a survey distributed in 2001 and again in 2006. In the survey, institutional leaders were asked about four factors related to current campus internationalization: institutional support; academic requirements, programs, and extra-curricular activities; faculty policies and opportunities; and international students. Within each of these factors, institutions provided data including the presence of a senior international officer (SIO), global themes in the mission statement, written internationalization plans, undergraduate course options, foreign language requirements for admission or graduation, external funding for international initiatives, international requirements for faculty tenure or promotion, etc. (ix).

Despite the attempt to capture all international activities, several functions were excluded or ignored on the survey. For example, the study did not acknowledge the community engagement component of the research university's mission. For example, the University of Wisconsin-Madison pioneered the Wisconsin Idea, the notion that university research and expertise can be leveraged for the social and economic improvement of state citizens. Today, the Wisconsin Idea is discussed in a global context:

> In keeping with the Wisconsin Idea—that education should influence and improve people's lives beyond the university classroom—the Sino-U.S. Dairy Research Center provides the growing Chinese dairy industry with expertise from Wisconsin dairy industry leaders. (Babcock Institute, 2010, UW-Madison Extend The Wisconsin Idea to China)

Green et al.'s (2008) internationalization study also ignores foreign branch campuses or other foreign educational outposts; presidential and other executive-level travel; and advancement functions like alumni relations, corporate and foundation relations, fundraising, or government relations. The authors concluded that internationalization progress between the 2001 and 2006 survey administrations has been limited or "uneven" and that "many institutions do not see internationalization as integral to their identity or strategy." They further suggested that there is a "gap between institutional rhetoric as espoused in mission statements…and reality" (p. xv). These findings are likely intensified when including a larger number of internationalization indicators.

In sum, Internationalization Knowledge is any mechanism that represents current internationalization efforts, strategy, or priorities on the home campus. Since this knowledge is perceived differently by different stakeholders, and efforts are widely diffused throughout the institution, there are challenges in understanding the full range of Internationalization Knowledge.

Summary

In a globalized higher education marketplace, IHE are caught between increased demands for their services and diminishing support from public entities. In response, institutional leaders have sought to maximize revenue from internationally-mobile students. Many institutions have reaped short-term gains from international tuition revenue, but few appear engaged in long-term cultivation of philanthropic gifts from abroad.

Institutions that are engaged in institutional advancement overseas may do so with the assumption that the benefits of gift solicitation will outweigh the costs. This assumption is presumed to be the result of knowledge accumulation within the organization, a process that is supported by theoretical models of the internationalization process of the firm (Johanson & Vahlne, 1977; Eriksson et al., 1997, 2000; Eriksson, Johanson et al., 2000) and by extant literature on higher education philanthropy. This literature informs the development of a conceptual framework to better understand internationalization of the advancement agenda. In the next chapter, I will present this framework and describe how it guides data collection and analysis in this study.

Chapter Three: Research Methods

The purpose of this study is to explore the process by which university leaders build and sustain international advancement initiatives and whether those processes differ by institutional control. The following chapter includes a conceptual framework that guides the case and participant selection, data collection, and interpretation for this study.

Research Questions

1. How and in what ways do institutional leaders internationalize the advancement agenda?

2. To what extent might differences exist in the internationalization process based on institutional control (e.g. public/private authority)?

Research Design

To answer these questions, I employ a multi-case study design to understand how two universities (public and private) came to adopt and execute an international advancement agenda. A multi-case study is most appropriate since I seek to understand the complex process in which leaders move forward with international advancement efforts. To this author's knowledge, no such analysis to date has been conducted to understand this process.

Several scholars have attempted to define the case study. Merriam defined a case study as (2009) as an "in-depth description and analysis of a bounded system" (p. 40), while Simons (2009) defined it as "an in-depth exploration from multiple perspectives of the complexity and uniqueness of a particular project, policy, institution, programme, or system in a 'real life' context. It is research-based, inclusive of different methods and evidence-led" (p. 21).

Stake (1995) provided another perspective in that case studies are the best mechanism for “disciplined, qualitative inquiry” for capturing the “particularity and complexity” of a single case (xi-xii). Yin (1994) described case studies as a research methodology appropriate for answering “how and why” research questions when the investigator has “little control over events and, when the focus is on a contemporary phenomenon in some real life context” (p.1).

Each of these criteria is exemplified in this study because there is an awareness of a real-life phenomenon which has already occurred and is therefore not susceptible to researcher interference or control. Constructing meaning about this phenomenon requires an “exploration of multiple data sources within a bounded system which will help illuminate the various and often competing perspectives existing within a particular organization” (Creswell, 2007, p. 73).

In this study, the multi-case method will explore international advancement initiatives in two institutional contexts that vary by institutional control. These contexts provide perspectives to better understand the process of international advancement practices and decision-making among institutional stakeholders.

Case Selection

The research questions focus on understanding international advancement agendas in U.S. IHE. To identify appropriate contexts to study this phenomenon, I primarily focused on four-year, universities with very high research activity in the United States. There are multiple reasons for selecting this population parameter. First, there is limited information about international fundraising efforts, but existing literature stems from large comprehensive research universities with broad agendas both domestically and overseas. Second, comprehensive research universities in the United States are more likely to have prestigious international brands that attract students from different parts of the globe and contribute to professional and financial success upon their return home. Third, these institutions have comparatively large student bodies and alumni bases, increasing the likelihood of advancement efforts. All of these reasons provided a rationale to focus on this sector.

From this subset I selected two cases that have demonstrated a commitment to international advancement. In addition to selecting institutions that engaged in advancement efforts overseas, I selected cases that were likely to contain a high density of high-quality information pertaining the phenomenon of interest. Patton (1990), referred to these cases as "information rich" (p. 169). Stake explained that the purpose of case studies is not to generalize to a larger population. Instead, he argues the "first obligation is to understand this one case" and that the "first criterion should be to maximize what we can learn" (p. 5).

To select the most appropriate cases for analysis, I examined reports and documents providing evidence about institutions that have been engaged in international fundraising or have demonstrated interest in this activity. These documents included a survey about international fundraising that included a non-random sample of self-selecting institutions (*n*=51), a participant roster from a professional conference about international fundraising, and evidence of advancement staff with titles designating international responsibilities.

Second, I examined institutions that have a demonstrated commitment toward internationalization using a combination of the internationalization rankings developed by Horn, Hendel, and Fry (2007) and membership in the Association of International Education Administrators (AIEA). Since this organization invites only executive-level administrators into membership, it was assumed that institutions with strong commitments overseas were listed in the membership directory.

Third, I excluded several institutions that I considered outliers with regard to financial assets or prestige. While this decision was made arbitrarily, I sought to exclude institutions that have so much accumulative advantage that their activities may defy future attempts at generalizability.

Fourth, I excluded the University of Minnesota, due to both graduate school affiliation and full-time employment. I hoped to mitigate potential biases while also buffering potential conflicts of interest either real or imagined.[14] Finally, all else being equal, I sought two institutions in close geographic proximity. This helped control for potential geographic, demographic, or political impacts of the local higher education system, while providing a convenient and pragmatic consolidation of research activities. McDonnell, Jones, and Read (2000) argued that methodological decisions can be the result of logistical considerations, which was important in the present case.

Based on this strategy, I identified five potential institutions, clustered in two groups that fit the criteria. Group 1 consisted of two institutions, and Group 2 included three. Since I had no methodological rationale for choosing one group over the other, I

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[14] It is worth noting that the University of Minnesota has a variety of innovative international programs and that individuals involved with those programs have provided considerable guidance in the development and conceptualization of this study.

contacted relevant individuals at all five institutions to gauge interest in cooperation. Institutional leaders in Group 1 were amenable to the research, and therefore, those schools were selected since they would likely yield the most “information rich” cases to support my study (Patton, 1990, p. 169).

Selection of Hilltop University and River Valley University

From this criteria, I selected two institutions with the pseudonyms of Hilltop University and River Valley University. Hilltop is a private, not-for-profit, doctoral university located in the Midwestern United States. It is ranked among the top 50 universities in the world and easily attracts undergraduate and graduate students from around the world. Furthermore, the institution has a comprehensive and integrated global agenda, despite few institution-wide mechanisms to promote international initiatives.

River Valley University, (known by its alumni as RVU) is a public, not-for-profit, doctoral, very high research activity university. It is the flagship campus in a multi-campus state system located in the Midwestern United States. It is ranked among the top 100 universities in the world and has recently increased international enrollments among both undergraduate and graduate students. RVU has a comprehensive internationalization plan and is attempting to centralize international efforts despite a number of units and research centers on campus that have some international agenda. A more comprehensive description of each case can be found in chapter four.

Conceptual Framework Informing Data Collection and Analysis

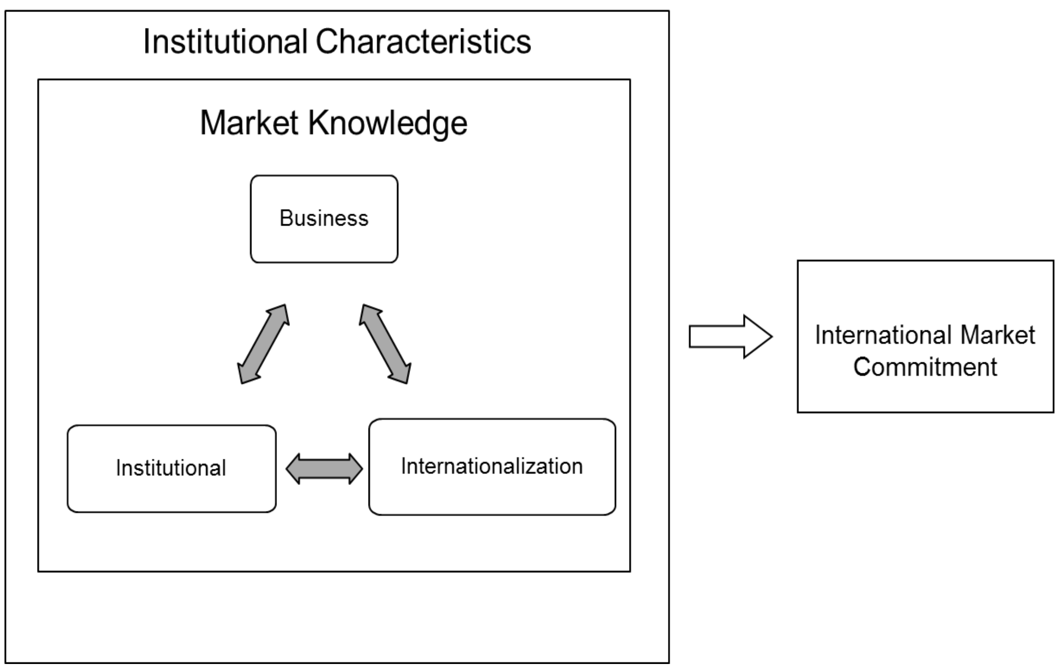
From my review of the literature, I constructed a conceptual framework to understand the internationalization of the fundraising agenda at Hilltop and River Valley University. As Merriam (2009) suggests, the purpose of scholarly literature and conceptual frameworks in qualitative research studies is to provide broad perspectives on the subject and bring perspective to the inquiry and data interpretation. The conceptual framework that guided data collection and analysis in this study is based on Eriksson et al.'s (1997) exploration of the impact of Market Knowledge on the cost of internationalization and Johanson and Vahlne's (1977) Uppsala Model of the internationalization of the firm.

As discussed in chapter two, Johanson and Vahlne's theory posits that foreign market entry occurs incrementally and requires specific knowledge prior to commitment. The more knowledge gained about specific markets, the more likely the organization will be to commit resources abroad. Eriksson et al. (1997, 2000) and Eriksson, Johanson et al. (2000) explored the concept of Market Knowledge in greater detail by describing different types of Market Knowledge that might contribute to internationalization efforts and reduce costs over time. In their conceptual framework, Market Knowledge is broken into three different domains: Business Knowledge, Institutional Knowledge, and Internationalization Knowledge.

Due to the complex organizational structure of IHE, and the small number of institutions engaged in international advancement efforts, neither the directional relationships posited by Johanson and Vahlne (1977) nor the causal effects found by

Eriksson et al. (2000) will be tested in this study. Instead, I have employed a theoretical framework which supports the notion that the complex interplay of the three different knowledge domains (e.g. institutional, business, and internationalization) help institutional decision makers understand the risks and opportunities of international advancement initiatives. I will use a qualitative research design to make sense of this process and determine whether the conceptual framework proposed below aids my interpretation of cases in the study or whether it needs further updates or investigation. A visual diagram can be found below in Figure 3**.**

Figure 3. *Proposed Conceptual Framework for International Advancement Market Commitments*



Market Knowledge

I conceptualize Market Knowledge using Eriksson et al.'s (1997) three knowledge domains: Business Knowledge, Institutional Knowledge, and Internationalization Knowledge. Those domains are defined below and provide perspectives on institutional decision-making related to international advancement. Since there is no defined order to the accumulation of different types of knowledge, the conceptual framework depicted in Figure 3 shows a multi-directional triad in which the accumulation of multiple forms of Market Knowledge is necessary for international advancement activities, but the specific order or levels are not specified.

As depicted in Figure 3, the framework suggests that decisions are based, in some part, on Business Knowledge. Business Knowledge is defined as "the knowledge a firm has of the customer base, competitors, and market conditions in a particular foreign market" (Eriksson et al., 2000, p.310). In the context of institutional advancement in higher education, this domain includes knowledge relating to current students, alumni, and parents from that market; the number and amount of gifts or pledges received from the market; the activities of alumni associations; and a general understanding of the experience of students from that market.

Market commitments are also based on Institutional Knowledge. Institutional Knowledge is defined as knowledge of the "government and the institutional frameworks, rules, norms and values in the particular markets" (p. 310). In the context of institutional advancement in higher education this domain includes awareness or understanding of tax laws or other incentives; cultural differences regarding wealth transfer, philanthropy, and solicitation; money transfer and banking regulations and the application of those regulations; legal or risk management issues; understanding of foreign languages; and an awareness of that country's social or third sector needs.

Market commitment is also based on Internationalization Knowledge. Internationalization Knowledge is defined as the "firm's knowledge of its capability of engaging in international operations and its resources for doing so" (p. 310). In the context of institutional advancement in higher education, this domain involves a broad understanding of the depth and breadth of international initiatives and the capacity for expansion of those initiatives within the institution.

Some measures of internationalization might include the existence of a senior internationalization officer; branch campuses or other foreign educational outposts (FEO); inclusion of global themes into mission statements; international programs or study abroad requirements; and presidential trips abroad or governing board support. Internationalization knowledge also includes information pertaining to the costs of internationalization like prospect research, potential returns on investment, and opportunity costs incurred by cultivating gifts internationally rather than domestically.

Institutional Characteristics

While it is theoretically possible for any institution to accumulate Institutional, Business, or Internationalization knowledge, there are *Institutional Characteristics* that remain generally constant, if not completely static, over time. These characteristics are closely related to Internationalization Knowledge because they would be tacitly "embedded in the firm's routines and structure" (Eriksson, et al., 2000 , p. 310) and generally understood to be part of the institution's overall capacity for internationalization. Nevertheless, Institutional Characteristics influence every action or organizational behavior, whereas Internationalization Knowledge relates specifically to the organizational components intended for operations overseas. This study will investigate institutional control (public or private) but also seeks to understand whether other static institutional factors may either promote or hinder efforts at an expanded international advancement agenda.

Institutional Control is related to Market Knowledge for multiple reasons because public institutions must consider the political ramifications of commitment decisions. For example, public institutions like River Valley University might explain that fundraising is related to declining state expenditures. This may put institutions in an awkward position because "[legislatures] might get the impression that we can make up for the cuts through philanthropy, and that could make us vulnerable to further cuts" (Callan as cited by Foderaro, 2011; also see Cheslock and Gianneschi, 2008; Hovey, 1999). Also, public institutions might face scrutiny regarding travel expenses incurred overseas. Bekkers (2006) found that perceptions of fundraising and overhead costs are tied to organizational efficacy and can impact donor motivation. Therefore, one might find that public institutions like RVU may experience greater scrutiny around taxpayer funds that appear to be misdirected.

International Market Commitments

International M*arket* C*ommitments* is the final concept and is defined as any increasing commitment, financial or otherwise, for the explicit purpose of building, sustaining, or expanding international advancement initiatives in a foreign market.

In the conceptual framework, it is assumed that the different types of Market

Knowledge interact to help decision-makers understand the potential risks and opportunities of the international advancement agenda. The framework also assumes that International Market Commitments help develop future Market Knowledge which expedites future market decisions or decreases the costs of those efforts (Eriksson et al., 1997, 2000; Eriksson, Johanson et al., 2000; Johanson & Vahlne, 1977). The research questions explore the role of market experience in carrying out international advancement efforts.

Data Collection

The preceding conceptual framework guided my data collection and analytic procedures (Merriam, 2009). The primary data from this study were collected from in-depth, semi-structured interviews. Interviews were preferred because the information was disbursed among a large number of participants in different locales. Also, interviews were necessary because the decision-making processes occurred in the past and could not be observed directly. Data were also collected from available public documents which were utilized to attempt data triangulation. Yin (2009) describes the importance of multiple sources of data when constructing case studies because it helps with "corroborating the same fact or phenomenon" (p. 116).

Since the context and background of the institutional advancement agenda was likely fragmented among a few key participants, and because those participants had little incentive to discuss their operations, the interview sample size was small. Therefore, I employed semi-structured interviews for greater flexibility. Barriball and While (1994) argued that semi-structured interviews are beneficial for the "exploration of the perceptions and opinions of respondents” and for their flexibility which allows further investigation of a compelling topic (p. 330). By not structuring each interview in exactly the same way, I was able to engage certain respondents with more in-depth questions pertaining to their own contextual knowledge (Merriam, 2009, p. 89).

Even though the semi-structured interviews compromise some ability to validate data across cases, the trade-off was necessary because this is an emerging field with few participants and distributed knowledge between and within institutions. Furthermore, it is assumes that institutions cultivate international gifts for generally similar reasons (revenue maximization) thereby allowing the research to focus on questions relating to the conceptual framework surrounding knowledge acquisition.

The interview protocol (see Appendix A) included a series of open-ended questions to evaluate the types of accumulated Market Knowledge required to initiate, sustain, or expand an international advancement effort.

Specific participants were selected using a network sampling strategy. This is a purposeful sampling method that targets key participants who are then asked to identify others who may have information relating to the topic. Merriam (2009) suggested this is “perhaps the most common form of purposeful sampling” (p. 79) likely because it enables the identification of unexpected individuals who might otherwise be hidden from view.

For this study, I first initiated contact with the Chief Advancement Officer or similarly-titled senior fundraising professionals and then contacted others in the advancement operation with titular responsibility for international constituents. (See

Appendices C-H). To protect individual privacy, I promised to withhold the names of referring individuals although as the study progressed, it became clear that some participants were aware of the interviews through internal networking among colleagues.

Since qualitative research is intended to understand patterns and context, there is not a specific sample size requirement. Marshall (1996) suggested that “an appropriate sample size for a qualitative study is one that adequately answers the research question…the number becomes obvious as new categories, themes or explanations stop emerging from the data” (p. 523). For each case, I interviewed participants until the number of data-rich individuals was exhausted or until data saturation was achieved. This resulted in nine participants from RVU and six from Hilltop, for a total of 15 participants. Among participants, ten were male (66%) and five were female (33%). Data saturation was reached when one participant would re-iterate statements or concepts that were previously described by another participant. Participant saturation was also evident when the network sampling strategy continually produced redudant contacts from multiple respondents. This was especially true for River Valley University, whose program was expanding but involved a very limited number of people . A listing of participants is found in Table 2.

Table 2. *Interview Participants and Responsibilities*

Institution	Participant ID	Role	Level
Hilltop	25222	International Advancement	Associate
Hilltop	74252	Institutional Advancement	Executive
Hilltop	78050	Analyst	Senior
Hilltop	41513	Institutional Advancement	Director
Hilltop	43389	Professor	Department Chair
Hilltop	65571	Dean	Dean
Hilltop	19242	Alumni Relations	Director
Hilltop	26676	Alumni Relations	Executive
Hilltop	41652	Institutional Advancement	Director
River Valley	66847	Dean	Dean
River Valley	32391	Collegiate Alumni Relations	Director
River Valley	17466	Institutional Advancement	Executive
River Valley	98129	Institutional Advancement	Director
River Valley	82873	Institutional Advancement	Director
River Valley	34475	Collegiate Institutional Advancement	Director

All interviews were conducted over the telephone from Minneapolis, Minnesota between June 13th and September 19th, 2013. Participants consented to both the interview and to having the conversation recorded. During the interview process, additional data were requested including documents, annual reports, communications, minutes, meeting notes, press releases, interview clips, news reports or digital accounts of the events relating to an increased commitment to the international advancement agenda. Received information was then scanned and placed into secure online storage for later analysis.

Immediately following each interview, I recorded initial thoughts and reactions in an analytic journal, and made notes regarding follow-up questions and network sampling contacts. The digital recordings were sent to a third-party transcription service and then stored securely.

Data Analysis

Transcribed interview data was anonymized and institutional names were replaced with pseudonyms. Interview durations and corpus sizes are found in Table 3.

Table 3. *Interview Durations and Corpus Sizes for Participant Interview Data*

School	Participant ID	Duration (min:sec)	Transcription Length (words)	Total Analyzed Corpus (words)	Transcription Data Loss [a]
Hilltop	25222	73:40	8,311	6,323	24%
Hilltop	74252	67:23	7,551	5,433	28%
Hilltop	78050	59:15	4,354	3,170	27%
Hilltop	41513	61:36	7,810	6,289	19%
Hilltop	43389	50:04	6,135	4,441	28%
Hilltop	65571	46:07	4,870	4,007	18%
Hilltop	19242	68:21	7,845	5,757	27%
Hilltop	26676	72:35	10,200	8,295	19%
Hilltop	41652	67:46	7,637	5,283	31%
RVU	66847	46:42	5,066	3,877	23%
RVU	32391	65:50	7,601	6,055	20%
RVU	17466	53:55	5,802	3,542	39%
RVU	98129	59:11	7,405	5,034	32%
RVU	82873	46:42	5,811	4,465	23%
RVU	34475	69:09	7,067	5,486	22%
Total		**908:16**	**103,465**	**77,457**	**25%**

a. Transcription data loss represents the percentage of the total corpus that was not analyzed. These were usually side conversations about the study including network sample recommendations, data requests, and informed consent scripts.

Each transcript was individually saved and loaded into the Qualitative Data Analysis package developed for the R statistical language and computing environment (R Development Core Team, 2011). RQDA is a "free qualitative analysis software application"[15] that enables qualitative researchers to develop codes, coding categories, and memos connected to qualitative data (Huang, 2010).

Since this study is grounded in a constructivist paradigm, the computer-assisted

[15] Huang actually notes that RQDA is "free as freedom". He developed the software as an open-source alternative to commercial products like Atlas.ti and Nvivo, which are widely utilized in qualitative research across academic disciplines.

qualitative data analysis software (CAQDAS) was primarily a tool for organizing, indexing, and searching textual data. Weitzman and Miles (1995) suggested that this is a good use for qualitative data analysis software because it can "support…intellectual efforts, making it easier…to think coherently about the meaning of your data" (p. 330). Wickham and Woods (2005) further suggest that computer-assisted qualitative data software promotes transparency because it "allows a reader to examine all of the research methods undertaken by the researcher, from the construction of the research's literature review to its conclusions and recommendations" (p. 699).

Other social scientists from a variety of disciplines have employed RQDA for qualitative studies including Lamprinakis (2012) who wrote a case study investigating organizational innovation in a Finnish agri-business; Burns and Bossaller (2012) who developed a phenomenological inquiry into academic reference librarianship; Jassogne, Van Asten, Wanyama, and Baret (2013) who studied perceptions of intercropping among Ugandan coffee farmers; and Huang (2010), who investigated housing activism in Shanghai.

In the higher education literature, numerous scholars have also utilized software to develop key themes and interpret qualitative data using commercial CAQDAS programs like Nvivo. Some examples include: McWhorter, Delello, Roberts, Raisor, and Fowler (2013) who explored "the meaning that student participants placed on ePortfolios within the higher education classroom" (p. 259); Gilbert and Dabbagh (2005), who wrote a case study on meaningful discourse in online education; Douglas, McClelland, and Davies (2008), who proposed a "conceptual model of student satisfaction" using qualitative survey responses (p. 19); and Hemmi, Bayne, and Land (2009), who conducted a "visual ethnography" of three different higher education courses (p. 19).

Thus, this study follows the precedent set by these authors as it leverages the use of qualitative software to aid the interpretation of findings while also acknowledging the qualitative researcher's role and participation in constructing meaning about the phenomenon of interest (Creswell, 2007; Guba & Lincoln, 1989, 2004; Johnson & Onwuegbuzie,; 2004; Merriam, 2009; Yin, 2003, 2009).

Analytic Strategy

There are various traditions among qualitative researchers with regard to data analysis strategies. For a summary of this debate see (Patton, 1999; Sandelowski, 1986). For this study, I leaned heavily on the constructivist tradition and interpreted my findings based on my personal position as the researcher, while simultaneously attempting to produce work that was internally reliable and trustworthy, so it might provide a foundation for future studies on international advancement.

Creswell (2007) posited that "data analysis in qualitative research consists of preparing and organizing the data…then reducing the data into themes through a process of coding." Creswell acknowledges that "there will be some variations in this approach" (p. 148), quoting Miles and Huberman (1994) who argued that data analysis is "custom built, revised, and choreographed" (as quoted in Creswell, p. 150).

Acknowledging this flexibility, my strategy was to first familiarize myself with the data by reading the transcripts multiple times and writing analytic memos for initial construction of the narrative (Bazeley, 2007 as cited in McWhorter et al., p. 260). Next, I divided transcripts into segments, as recommended by Lincoln and Guba (1985). Each of these text segments was serialized and numbered for organization.

Next, as suggested by Gilbert and Dabbagh (2005) and Hemmi, Bayne, and Land (2009), I developed a code book with both theory-driven codes from the conceptual framework, and data-driven codes from the institutional contexts and interview data. Additionally, I included a variety of codes to assist with interpretation and organization. Examples included: institutional background/history, discussions of time or process, and discussions of international or domestic locations. Another code was added to highlight particularly illustrative or rich quotations that might be included verbatim in the study. This strategy helped align the research data with the knowledge domains proposed in the conceptual framework and allowed me to interpret the meaning of Market Knowledge as it relates to international fundraising in the two examined cases. A complete listing of the codes and quantitative uses of the codes can be found in Appendix B.

To further establish researcher trustworthiness and transparency, and to overcome some research limitations of this study, I adapted a strategy adapted from Miles and Huberman (1994) in which two different researchers code data independently and then compare the amount of agreement. Given the fairly small corpus of data, I randomly selected a percentage of the text segments from each case for coding and distributed that to a colleague who is an experienced qualitative researcher.

I then calculated inter-rater reliability for the total sample as well as for each element of the conceptual framework. Sparsely utilized codes or indexing codes (i.e. time, international location) were eliminated from the calculation. The initial round of inter-rater reliability resulted in a Cohen's Kappa (κ) of 0.53 (z=9.83, p <0.001) which Viera and Garrett (2005) consider "moderate agreement" (p. 362). After discussing the code book further and adding specificity to the concepts, a second round of coding occurred with a different set of randomly selected transcribed interview segments. The second iteration resulted in a Cohen's Kappa (κ) of 0.57 (z=9.24, p <0.001). This level was still within the range of "moderate agreement" but was determined to be satisfactory due to the small number of codes, the use of the more conservative Kappa estimation, and the extremely high likelihood that our agreement was based on understanding the data rather than random chance (Ubersax, 1987).

Establishing inter-coder reliability is a well-established procedure among qualitative researchers (Appleton, 1995; Burla et al., 2008; Fleiss, Levin, & Paik, 1981; Hruschka et al., 2004; Kurasaki, 2000; Landis & Koch, 1977; Lombard, 2004; Lombard, Snyder-Duch, & Bracken, 2002, 2004; Miles & Huberman, 1994; Viera & Garrett, 2005) and is recommended as a standard mechanism to "measure the reliability of coders as instruments to identify and mark themes in a text" (Ryan, 1999 as cited in Kurasaki, 2000, p. 179). Creswell (2013) notes that "in qualitative research, reliability often refers to the stability of responses to multiple coders of data sets" but prefers to utilize the term "intercoder agreement" to differentiate the procedure from the underpinnings of the positivist paradigm (p. 253).

Finally, this corpus of coded data was reviewed and interpreted as a cohesive, textually-rich narrative comprised largely of interview responses and discussed through the lens of the proposed conceptual framework.

Case Reporting Strategy

To maximize transparency and researcher trustworthiness, results were reported with minimal interpretation and abundant use of direct quotations from the study participants. Whenever possible, the overall narrative was discussed chronologically to explore linkages and the process-orientation of the international advancement agenda.

For clarity, some interview segments were truncated, often by eliminating repeated phrases or conversational filler. This often included removing text like “I think” or “I believe” which made individual opinions or speculation read more authoritatively than was perhaps intended by the participant. Furthermore, I utilized ellipses to signal a conversational discontinuity and clarified unknown pronouns or subjects within brackets. Even with these minor modifications, all quotations should be considered illustrative pieces of the larger narrative regarding international advancement at the institution in question. Again, these procedures are consistent with past research suggesting ways to create reliable case studies (see McWhorter, 2013, Gilbert, & Dabbagh, 2005).

Due to privacy considerations, both institutions were given pseudonyms, as discussed earlier in this chapter. Participants are identified by either unique random identifiers or by generalized job titles. Furthermore, identifiable quantitative data points (e.g enrollments, endowment sizes) have been rounded and discussed in broad terms. A listing of interview participants can be found in Table 3.

Given the time constraints of research participants, interviews were limited to one hour or less. With limited time, descriptions of cultural attitudes or national traditions were discussed in broad and potentially oversimplified terms. Indeed, many of the respondents were quick to assert that the world cannot be divided into “United States” and “international. ” The author acknowledges that almost by definition, some of the following descriptions may be viewed as cultural stereotypes. Nevertheless, the appearances of generalizations are based on the experiences of professionals who have spent considerable time abroad and whose jobs depend on engaging diverse audiences.

Establishing Reliability and Validity

Establishing reliability and validity in qualitative research differs from quantitative research because the research paradigm is not based on generalizability or replicability, but instead on the transparency and trustworthiness of the researcher (Lincoln & Guba, 1985). In this study, I attempted multiple strategies to provide transparency and establish credibility among external readers and future scholars:

- Triangulation of data using multiple data sources
- Establishing acceptable intercoder-reliability on random data samples
- Discussing conceptual interpretations and codebook with an external researcher
- Codebooks relating to proposed conceptual framework
- Data collection until participant saturation
- Rich, thick, descriptions using robust quotations directly from the data
- Hiring of an external transcription service
- “Staying close” to the verbatim transcripts
- Exclusion of institutions with potential for conflicts of interest
- Positioned as a researcher outside of the advancement profession

Consent and Confidentiality

Acquiring informed consent and protecting confidential data are critical for maintaining ethical standards, while also helping to encourage honest and in-depth responses from participants. Prior to data collection, the entire protocol was submitted to The University of Minnesota Institutional Review Board (IRB). This proposal does not require medical experimentation on human subjects and participation and holds little risk for participants. Given these conditions, the protocol was submitted for exemption from full IRB approval (See Appendices C-H).

All data was kept confidential and no explicitly identifying information was provided in the final write-up or to other participants during data collection.

To further protect identities, I maintained a separate crosswalk file of real and anonymous identifiers which were used throughout the coding and writing process. Interview data was promptly transcribed from digital audio files to text transcripts which were stripped of identifying information including, but not limited to: names, specific geographic locations, unique identifiers, and institution-specific titles. Paper files were scanned into digital formats and shredded. All digital data and scanned documents were stored in the University of Minnesota Google Drive which ensures backup, data encryption, and cloud access. According to the University of Minnesota Office of Information Technology, this is an appropriate use for Google Drive since the data belongs to me and because Google deletes data permanently upon request. (Office of Information Technology, Acceptable Use and Data Security). The identifying crosswalk file was kept securely on a separate, password-protected drive. All data from this study will be destroyed within one year of my dissertation defense and final committee approval of edits. Copies of various communications can be found in appendices at the end of this document.

Limitations

This study has several limitations. First, the sample size makes it impossible to generalize whether the two cases might be representative of other similar institutions in the United States. Because this is a foundational study built upon little previous knowledge and because presumably few institutions are meaningfully engaged in international advancement, it is unlikely that a more robust sample size would be available even if it was part of the design. Because qualitative research designs are intended to highlight the quality of the data, this study aims to present richness and depth of understanding of each case.

A second limitation of this study is that the selected institutions and, by extension, participating individuals, have a vested interest in telling their story in a particular way. It is therefore probable that these participants described their institutional activities in ways that promoted institutional effectiveness or downplayed failures and missteps. For likely these same reasons, they may have been unwilling or unable to share internal documentation or data which would have allowed for more comprehensive data triangulation. Instead, the researcher relied on public documents, which provided context and verification of institutional motivations but ostensibly revealed little that conflicted with public perceptions.

A third limitation is that Hilltop and River Valley were ultimately selected based on willingness to participate, which not only introduced bias into the results but may also convey a sense that they are emblematic of similar institutions in their sector. Furthermore, the need to protect participant confidentiality required general descriptions rather than specific data points or identifiable characteristics. This was a critical trade-off which encouraged transparency and protected participants, but it also limited discussion of distinctive institutional characteristics which diluted some compelling texture and nuance. While I believe that these two institutions are generally useful representations of very high research activity public and private universities, there were some details that would have provided additional richness and depth to the case studies given fewer privacy protections.

Chapter Four: Case by Case Results

Introduction

According to Creswell et al. (2007), case study research involves "making a detailed description of the case and its setting" (p. 163). In the following chapter, I present narratives of two universities that are each attempting to expand international advancement efforts. Guided by the constructivist role described by Stake (1995), I present the cases with extensive use of the participants' own words so that interpretations can be understood from "the people most knowledgeable about the case" (p. 102). Each of these universities is uniquely situated within their own historical and economic contexts which shaped participant interpretations and my subsequent understanding of this phenomenon.

Hilltop University

Background.

Hilltop University is a private, not-for-profit, doctoral university. The Carnegie Foundation for the Advancement of Teaching classified it as having "very high research activity" (U.S. Department of Education, 2013). Its main campus is situated in a medium-sized, urban location in the Midwestern United States. For the Fall 2012 term, Hilltop enrolled more than 10,000 total students, divided about evenly between undergraduate and graduate students. It is ranked among the top 50 universities in the world in *U.S. News and World Report*, *The Times Higher Education World University Rankings*, and *The QS World University Rankings*.

Due to its highly ranked academic programs and robust research agenda, Hilltop has an internationally-recognized reputation and strong demand from both undergraduate and graduate students. For the Fall 2013 academic term, Hilltop admitted fewer than a third of its undergraduate applicants, and those who enrolled had average SAT scores above the 90th percentile for all test takers. International students comprise more than fifteen percent of undergraduates, despite a cost-of-attendance exceeding $50,000 USD and no financial aid to offset costs.

Among graduate students, international students comprise approximately half of the population. These students arrive from many countries around the world, but a large portion enroll from Asia. Approximately 20 percent of all international students come from China or India. Hilltop's alumni database includes approximately 100,000 former students with contact information. About 20 percent are internationally-located, including American expatriates. It is noteworthy that Koreans comprise a larger portion of the alumni database than do mainland Chinese, a fact that encouraged early relationships in Korea, predating the recent increase of students from mainland China.

Beyond student enrollments, Hilltop has committed to being a truly integrated global university with a large footprint. This has occurred somewhat organically and with few centralized internationalization efforts or an official senior international officer (SIO). Multiple participants agreed that the university was decentralized overall and that many international initiatives are the result of entrepreneurial deans, faculty members, and a well-liked institutional president who has traveled extensively and largely supported international efforts campus-wide. Hilltop has more than ten international locations where students can earn an official Hilltop degree without setting foot on the

American campus. Most of these locations involve partnerships with existing colleges and universities in-country, but one, in the Middle East, is an official global outpost for Hilltop.

Like all institutions in a competitive and positional marketplace, Hilltop's financial position is relative to peers both real and aspirational. With an endowment of more than $800 million, it is well within the top ten percent of all institutions by endowment size in the United States. Despite this substantial sum, the university has a comparatively small endowment for its self-identified peer group. This comparative resource constraint has encouraged institutional innovation, entrepreneurialism, and focused efforts in specific areas. One participant suggested that Hilltop was a very strong university that "punches well above its weight" (65571).

Historical context of international advancement.

Hilltop has a fairly mature international advancement agenda which started approximately two decades ago. Professionals there were quick to point out peer institutions that have been made deeper inroads overseas, but generally acknowledged relatively early adaptation. A senior advancement professional at Hilltop explained how the institution began its advancement strategy:

> Our international advancement work started as long as 20 years ago in a somewhat ad hoc fashion. In the beginning, much of our advancement focus was on corporate partnerships and were mostly in Japan. They were very much…bottom-up relationships pursued by faculty. (74252)

These relationships were "nurtured" through a series of high-level strategic trips initiated by the corporate relations side of the advancement operation. The trips included the vice president for development, the president of the university, the director for corporate relations and, if necessary, a dean or faculty member.

When an economic recession impacted Japanese markets in the early 1990s, companies there reduced research and development budgets and slashed corporate education programs that funded students for training overseas. According to a senior advancement professional, Hilltop's corporate relations strategy suffered from poor timing and competitive forces:

> By the time we got into the game doing international corporate work, monies that had been there were no longer there. We never saw a great deal of additional support come from the efforts that involved the central development office. The faculty continue[d] their research relationships, but we didn't see any large gifts. (74252)

Prospect research and alumni contact.

In response, the central development office moved away from a corporate strategy and started building its international alumni network. This was a logical direction because international enrollments had increased and those alumni often return to their home countries after graduation:

> If you have a large international student enrollment you can infer that you're going to have a fairly large international alumni population because a lot of the students end up going back to their home country, oftentimes within a decade... We really didn't know who we had…because these alumni were not very good about...updating their addresses [or] providing a current email address. We still wouldn't know had we not had someone on the ground who started with the few people we did know and work the network really aggressively. (74252)

In 2003, Hilltop hired a new international gifts officer. He previously worked in the "machine" of a highly-resourced peer institution where he gained "a wealth of experience at a very high level about how [international advancement] is done and done properly". (41513). He described Hilltop's state of international advancement at the time of his hiring:

> I had interviewed at Hilltop and they said they were interested in doing more aggressive international fundraising. They weren't being too successful because they didn't build a strategy and there was no consistency, so they wanted to actually build a program around it. I was, again, at the right age and I had the right level of experience. I think they were looking for someone who had the energy and the entrepreneurial spirit. (41513)

The first project was compiling a database of prospects in India, where Hilltop had many graduates but did not have complete or accurate contact information. According to this participant, he was given a list of a “dozen” names and “pages and pages of lost alumni” which he checked against articles on the Internet and *India Today* magazine. After two months he had painstakingly constructed a list of about six Hilltop alumni, one of whom was very highly placed.

Using this list, he proposed an initial trip to India for the purposes of meeting with alumni and expanding the network. Because this individual had previous experience working in India, he understood that networking there required time and flexibility. Therefore, he proposed a trip with few parameters or limitations on the schedule and arranged meetings informally with alumni. While perhaps an atypical and risky venture, he described how his supervisor was convinced due to high levels of support for the agenda:

> The president had bought into the strategy, the VP in Advancement had bought into the strategy, my direct supervisor had bought into it, and the Board of Trustees had bought into it. It was completely supported at all levels of the university. (41513)

Several participants indicated that this trip and others to mainland China, Japan, Korea, and Taiwan were very successful.[16] For example, one international advancement professional at Hilltop said:

> He [41513] would go and he would meet alumni and asked them who they knew, who they worked with and began to network that way, so one contact led to numerous others. (25222)

Another participant also described the success of this particular officer:

> He [41513] did an excellent job of reaching out and meeting with individuals and befriending them. The trips that he planned were very productive because he had such an understanding of the countries where he traveled and no fear of travel or of doing his job. He kept in touch and he was so genuine with [alumni] and… adaptive to their cultures. (78050)

Beyond the accolades from his colleagues, his own description of these trips illustrated the organic nature of networking, as well as the value added by having an understanding of the particular country:

> The first people that I was able to get a hold of were more of the academics. They knew who the other Hilltop grads were. I went go to Bangalore, the first city, and they would tell me, "So and so is a Hilltop grad..." I went in to India for 20 days with maybe a half a dozen confirmed appointments and I think I saw something like 80 to 100 alumni because they all knew each other.
>
> I knew a bit of the culture, a bit of the language. They were very happy and then they said, "Oh, you need to go talk to [name redacted] he and his two brothers and two cousins all graduated from Hilltop and they're in Bangalore. Let me give him a call."
>
> Then I would come for dinner that night and not only were his two brothers and two cousins there, but eight other friends of his from Hilltop. I'd have a dinner with 15 alumni who were all very well-placed business and community leaders. (41413)

During that dinner, he explained that his next stop was Mumbai, and the group provided contact information for additional alumni in Bangalore and other Indian cities.

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[16] Participants in this study typically described mainland China, Taiwan, Hong Kong, and Macau as separate entities. Quotations to this effect should be interpreted as the pragmatic interpretation of advancement activities and not as any commentary on political or economic disputes.

Through this type of informal networking, he quickly developed a successful pattern which continued for several years:

> I was able to network this to a very high level and within about a year we had three alumni chapters and had expanded to over 1,000 people. Within two years, I had a one-on-one with the Hilltop president, and the Prime Minister of India. We later found out, during this whole time period, that several major multinational companies in India were being run by Hilltop alums. (41513)

As a result of successful initial efforts, Hilltop advancement professionals adapted the strategy for other countries and began to build formal alumni networks in Singapore, China, and Korea. Annual fund gifts increased and within three years Hilltop received at least one pledge for a seven-figure gift from overseas.

When the institution saw some returns on its international advancement efforts, it moved more deliberately into a major gifts strategy and often included the university president on trips. These major gift solicitations require detailed information about a prospective donor's background and predicted capacity to give. This data was provided by a research analyst[17] at Hilltop who described the type of information provided prior to trips:

> I did background dossiers on individual alumni or leaders that the president was going to be meeting with. [This included] professional and personal background material…[the] history of the individual's career. Then I would do a background on the company. If they were the founder of a company, I would do probably a good deal on the company and point toward what the connectivity might be between the university, the individual, and his or her company. I used the major data bases like LexisNexis and searched the various strata within those databases to find background articles or profiles. (78050)

This also required analysis to help the president and the advancement team tailor

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[17] This participant was opposed to the term "prospect research" or the notion of being a "prospect researcher". Nevertheless, this study still employs that terminology given its wide use in among advancement professionals and in the advancement literature.

the gift solicitation to a prospect's individualized interests:

> I would discuss who the individual would be connected with, who were already involved with Hilltop at some level. My purpose was to make the strongest case for the university to ask the individual to consider contributing… financially or through gifts in kind or through time involvement with Hilltop. (78050)

While this type of data might be readily available for domestically-located alumni, there are many challenges to finding and validating information for international constituents:

> Often in China or some of the Asian countries, people will have a name known by the family alone [and] also an Anglicized name. You might find literally hundreds of people by that name in Hong Kong or in Taiwan or mainland China… within a particular city, and within a very small area within the city… Just trying to verify that you have the right individual so that you are not leading to some kind of embarrassment for the president or vice president of the university. (78050)

This type of research was especially difficult in the era prior to Internet social networks like Facebook and LinkedIn. According to the same respondent:

> it became so much more easy to identify individuals connected with the university through social media. But in 1995 you would almost hold your breath when the president went out the door… because you didn't have that possibility of absolutely verifying. (78050)

According to this participant, a mismatch only happened once, despite diligent and careful research:

> I had identified someone here who had a very, very unusual name. I just thought it was such an unusual name and so I found background information and produced a briefing. What I had done inadvertently was I took background on two different individuals and produced one briefing. It was a terrible embarrassment. It was a lesson I never forgot. (78050)

Although this incident appears to have been a frustrating, but generally benign mishap, incomplete research would have risked exposing the president or the institution to undesirable donors or to accepting money earned illegitimately or unethically. Of course, these situations were rare exceptions:

> For the most part, the alumni were just so extraordinarily successful and very grateful for the education that they had received and [were] very willing to help new students and to give back in some sense. (78050)

But in a "maybe in one or two cases" this individual sent confidential memos in recommending that the relationship not be pursued further. For privacy, the specifics were not divulged to the researcher.

Growth in the advancement staff.

With the growing network of potential donors and initial fundraising success, Hilltop needed more staff to support and manage the relationships. In 2005, the aforementioned gift officer was promoted to a director-level position responsible for international development. For several years he had a diverse portfolio that included meetings with government and corporate officials in addition to alumni.

Around 2008, Hilltop hired a full-time professional responsible for the growing number of internationally-located alumni. Prior to the creation of this position, international alumni were assigned to the individual who was also responsible for engaging alumni from the local area directly surrounding Hilltop's campus. Predictably, this person dedicated little time to international efforts.

Additionally, Hilltop hired more gift officers with international portfolios, but staffing changes and turnover led the central advancement office to assign international responsibilities to existing members of the team, including country-specific development officers responsible for Korea and Hong Kong respectively. According to one alumni relations professional:

> Almost everybody [in the central advancement office] carries some form [of international work] and has some stake. So, for instance, our corporate relations person is heavily involved with corporations outside the United States, and many of them have our alumni contacts. So, it's just a very broad area at the university. Our university is very global. (19242)

Another respondent confirmed that the international advancement work has become more integrated into everyone’s job:

> The trend at the moment is decentralizing international work and spreading it out within their normal major gift staff. I think that's sort of the direction we're going into. So I have domestic prospects and I have international, and we have a number of people that have that structure now. (41652)

This approach appears to be successful given Hilltop’s seemingly flat and generally integrated central advancement team:

> We don't distinguish as much as some other schools between development and alumni relations. The university advancement division at Hilltop is pretty comprehensive and integrated. We have advancement marketing, major relations, public relations, publications, alumni relations, development corporate relations, and so on. It's all inclusive, and we work very closely with each other. (19242)

This arrangement is also beneficial because it promotes relationship consistency which is likely more important for international audiences that it is for domestic ones. One participant explained:

> It's really helpful to have an introduction when you go to East Asia, and I was really glad the first time, I went with Hilltop’s international alumni relations staff who already knew these folks. Later on, I provided introductions for a person who is now covering East Asia. (41652)

Beyond the blending of domestic and international portfolios within a particular advancement function (i.e., development, alumni relations), Hilltop has also broken down the barriers between the various responsibilities. This can minimize travel or exploit operational efficiencies, but it also speaks to the differences between American audiences, who are more accustomed to the ongoing contact between with one's alma mater, and international audiences, for whom the various relationships are less well understood:

> Our alumni relations people now are helping out with the fundraising, too. So we combined alumni relations and annual giving here. I don't know if that's a unique model, but when I go [abroad] the distinction doesn't really matter. You know, we've come 10,000 miles and people just assume we're working for the university.
>
> If you get visited by the president of the university in the US, you probably assume he's going to ask you for money. But abroad, I just think people think we're ambassadors to the university. They don't get visited all that often, and so I might have to play more than one hand. (41652)

Another respondent described how traditional divisions within an advancement office can be counter-productive with non-American cultures:

> In many cultures, you have to earn the trust, you have to build a relationship. It takes a while, and it's a methodical process.
>
> When we have the "tag-team" approach, you have the alumni relations person who is building the relationship…and then you have your development colleague jump in to make an ask…that can be counter-productive at times, because [the donors] say, "Okay, well, I know this person, who is this person now who suddenly came in to ask me [for] money? Where is the other guy, who I thought was my friend? (19242)

The international agenda at Hilltop.

The international advancement efforts at Hilltop have shown signs of success. One measure of their progress is that $17 million of a recently completed $1 billion capital campaign came from overseas. While some of this success at international fundraising can be attributed to highly-skilled, entrepreneurial advancement professionals and a flexible, effective organization, Hilltop's longstanding commitments to campus internationalization and global outreach also played a role.

Multiple participants pointed to the global reach of Hilltop. For example one participant described the campus and its leadership this way:

> Some of our programs are very international. So almost all of the schools are also traveling internationally and interacting with people from all over the world. The whole culture of the university is extremely global. Our leaders and their commitment to the international cause has helped us tremendously. And that is probably the biggest driving force for us to do more (19242).

Another participant, who serves as the chair of an academic department described Hilltop's rich global culture:

> Hilltop has embarked on becoming a truly global university. Many universities are essentially geographically isolated entities…individual faculty members have collaborations and interactions with other institutions. But the core university, the degree granting, the degree offering entity is more or less geographically isolated.
>
> Hilltop has moved aggressively beyond that, and the best example of that is that you can earn a Hilltop degree, without necessarily being on Hilltop's American campus. I think, this allows us to be truly present globally and gives us a deeper interactions in the places where we now operate than simply a sort of collaborative relationship with a different university offering a different degree. (43389)

The department chair described a variety of Hilltop's international programs around the globe. For example, in China, Hilltop is collaborating with another institution to build a new technology college where students will eventually earn degrees from both the Chinese institution and Hilltop simultaneously. Another program was supported and funded by the government of a country in the Global South with very few resources and no comparable institutions of higher education. The program educates masters students who can develop infrastructure and development projects. A similar program in Asia began when a government sought to build a world-class school and research center in their country. To begin, they contacted an in-country expert, who happened to be a

Hilltop alumnus. According to a collegiate dean:

> He [the international partner] chose to reach back out to Hilltop, because he was an alumnus and because we have one of the world's best programs. [The center] turned out to be a combination of having alumni network combined with our own brand equity in that space. That relationship, grew to the point where we could actually establish trust with key bureaucrats in government, which then led to the establishment of the research center. (65571)

Each of these international research and education partnerships encourages faculty to sustain personal alumni networks. The participant described earlier explained the virtuous cycle of international efforts, particularly at the faculty or departmental levels:

> Many of our faculty are internationally recognized, so they have their own networks. They teach students and then retain their connections when they go out into the rest of the world.
>
> The Asia research center, for instance, requires faculty to go to Asia and spend time there. When [faculty] do that, there is an opportunity to meet with alumni who are working in the companies that we are interacting with via the research centers. (65571)

Presidential leadership.

Hilltop's international agenda has moved forward due to strong presidential support. Beyond this leader's willingness to prioritize the agenda and provide resources for international advancement, the president committed substantial time to travel and sustain relationships overseas. This is particularly important in countries where hierarchical titles and prestige matter, and where progress on this agenda relies on in-person contact with high-level individuals. Indeed, nearly every participant praised the president's work and leadership, including this individual, whose response was representative:

> If the president of Hilltop was asked to participate, for instance, in a forum, in a conference, in China or wherever, whatever it was he was asked to do he was willing to do it.
>
> I always saw willingness there to be open to the world and to embrace all of the countries that the alumni have traveled from to come to the United States and Hilltop University. I think that made this effort so much more successful because he led symposia in other countries…for instance a couple of years [ago] he led a symposium that focused on how countries are having to deal with climate change and how India, in particular, would have to deal with it.
>
> In the process of his agreeing to do this, we were able to identify so many alumni who were involved in environmental concerns in India that we wouldn't probably have otherwise discovered. They were consulted and asked to participate as panelists and so forth. If the president hadn't been willing to go that extra mile and if he hadn't been willing to say, "Sure, absolutely I can do that for you," that outreach wouldn't have happened. I think Hilltop has been successful because of the leadership of the president, and his willingness to go the extra mile. (78050)

Coordinating international advancement efforts.

Even as the campus expanded its international programs and built relationships with alumni, parents, and corporations overseas, few efforts were made to centralize or coordinate these activities. According to respondents, this was typical of Hilltop's decentralized structure, individualized faculty culture, and incentives that reward entrepreneurialism. For example, a participant lamented the lack of a Senior International Officer (SIO) at Hilltop:

> It's been difficult to transition to a more thoughtful strategic international strategy for the university. We don't have a centralized international office here. Our international activity runs up eventually through the provost's office, but there is no one, aside from the provost, who's really watching what's going on across the board internationally with research and academic programs. (74252)

This participant explained that individual faculty members are skeptical of centralized advancement efforts:

> Faculty often times don't want to reveal their networks because they're afraid of what [advancement] is going to do with them. They say, "If I give you these names and you're going to go out and start asking these people for money and they're going to be upset." That's the thought process (74252).

A collegiate dean argued that faculty are not resistant to working with the central advancement office, but that the value must be more clearly established:

> I'm happy to make the time to meet with alumni…if that alumni relationship is going to yield something that's relevant to either a class that I'm teaching or to research that I'm doing. But if it just generally relationship building on behalf of the organization, the incentives are not as clearly defined. (65571)

This sentiment was echoed by a development professional who indicating how responsive faculty can be when there is some professional connection or financial incentive:

> Some of [the faculty] have seen direct benefit. We try to build them into our alumni programming to have them go present to a group, and in doing that we're able to offer them some additional money. So that has really helped to get some people on board. It's not like we have a lot of money. Paying for half of somebody's international airline ticket usually helps a lot. (74252)

Faculty culture also plays a role because professors are less likely to notify someone in the central advancement office before traveling, and there are few mechanisms to encourage or enforce this behavior. According to an academic dean:

> It's just not part of the culture of the organization to let the advancement…know that I'm going to be in Delhi or I'm going to be in São Paulo… and therefore, advancement is not contacting alumni in that region to have a dinner with you. If they could make that happen, I think that would be valuable because alumni get the opportunity to talk and meet with faculty. This is more discipline and processes on our side and a little bit of the culture or the organization having to be transformed for that to happen. (65571)

Although both sides expressed potential benefits to aligning faculty travel, a department chair described how faculty in his department have mixed feelings about getting involved with advancement-related activities:

> On one extreme, there are faculty who believe that support of alums is very important to the health and well-being of the university. And if I'm overseas, or even if I'm in the United States, it's not a bad thing to help with that alumni relations activity.
>
> The other extreme is, I'm a faculty member at this university. My job is to be an academic, to do my research, to do my teaching. It's somebody else's job to see to it that the resources are available to this university to function.
>
> And then there's everything in between, where I'll do it if it's really going to benefit the department, but if it's only going to benefit the university as a whole, that's so amorphous, I don't even know why I would waste my time. (43389)

One noted benefit is that the advancement office can act as an agent on behalf of the institution, which ultimately helps faculty by protecting their relationships:

> You want to kind of keep a separation between the academic side and the support gift-giving side because it's easier for that person to say "no" to the development officer. But they're still an alum of our department and you still want them to have a good feeling about the department, and be able to engage with the department and show up to alumni meetings and feel good. (43389)

Talent development and retention.

One challenge faced by Hilltop is finding, developing, and retaining talented advancement staff who are adept at building relationships and also navigating different cultural situations. A senior development professional indicated that finding this rare combination of skills is difficult:

> One of our biggest challenges has been staffing the international advancement area. We have been in search for about a year. Finding people who have this background is exceptionally difficult.

> We've had hundreds of applicants and there are a lot of people who have done major gift or leadership principal gift fundraising …but they don't have any experience doing this kind of work internationally.
>
> Finding that person who has a strong track record in fundraising in general, who has done this work in an international setting, ideally in countries in Asia...because there are so few institutions of higher education who have programs that are more mature. There aren't many people that have that kind of depth of experience. (74252)

Retaining staff is also important because the international relationships are often based on a personal connection. For example, American alumni might already understand that the relationship is with one’s alma mater, and that turnover among the fundraising staff will not diminish interest in various forms of engagement. However, international alumni may have a closer tie to a specific individual, and that person’s departure might impact future relations. The gift officer, who initially started the program in India, described how he was always clear with international constituents, particularly when the conversation got closer toward making a gift:

> I would always say this not about your relationship with [me]. This is about your relationship to Hilltop, so, if at some point I'm no longer here, I want to make sure the lines of communication are there and that we can answer your questions and you can give back or engage in other ways. It does not always have to be financial. (41513)

Despite these efforts, when he left, his replacement was less successful at continuing existing relationships. One respondent diplomatically explained that the new person, “didn’t work out” while another implied that a difference in personality offended international partners:

> [His replacement] had the opposite approach to his job and didn't seem to have an interest. I would say that [person’s] tenure did a lot of damage to the program. (78050)

International advancement in different cultural contexts.

Despite the internal challenges described above, Hilltop advancement staff were quick to point to the bigger challenges associated with transposing American ideals of institutional engagement and fundraising into cultures which have different philanthropic traditions or little expectation of ongoing participation with educational institutions. Developing competency across so many cultural, linguistic, legal, and economic frameworks has not been easy, nor has it been monolithic. In fact, several respondents bristled at the bifurcation of the world into two populations. One individual told me the following:

> I'm hesitant to answer because it puts the U.S. in one context and the rest of the world in the other context…I mean you [have to] look at what's different in each culture and each location. The way you approach the South Asian community, the Middle Eastern community, the Eastern Asian community, the South American community. They all have their own forms of philanthropy. There is not one culture that is more philanthropic than another and for someone to say otherwise is ignorance. (41513)

With all of the different cultural, economic, educational, and legal differences in the world, Hilltop advancement staff have built their program to operate as culturally-competently as possible. Still, they have improvised when necessary and tried to learn when cultural mistakes were made. Indeed one senior advancement professional said the following, right before we ended our conversation: “There is nothing magic. We learn as we go by the seats of our pants sometimes.” (74252)

Developing a ‘culture of alma mater’.

Among the first cultural challenges was building a sense of connection to Hilltop and helping international alumni understand the value of an ongoing relationship with the institution. To help with this process, Hilltop implemented a loyalty program around 2005 that requires four specific items: an annual gift of any size, attendance at any event, maintaining updated contact information, and demonstrating some school spirit. The first three are tracked by the advancement team, and the fourth is self-reported based on small actions like following the institution on Twitter or having a bumper sticker on one's car.

Despite low international participation, this program has helped non-U.S. audiences because it provides a clear framework for demonstrating institutional connections and by building a culture of engagement and philanthropy for all alumni.

According to one participant:

> [To] bring [fundraising] up in a place where people either haven't heard of university fundraising, or even charitable gift solicitation, or where it's not appropriate or part of the polite fabric of public interaction. The way you do that is to talk about the fact that your relationship with Hilltop is lifelong and it's multifaceted. It's about your identity as a member of this global, lifelong community. You'll only be a student for a few years, but you'll be an alum forever. (26676)

The program also contradicts the notion that all relationships with one's alma mater are relegated to fundraising. One participant noted that Americans tend to think "cynically" about these interactions or believe that all alumni functions are "schmoozing" or related to college sports (26676). By presenting international audiences with a more substantial understanding of the "culture of alma mater" they can develop a relationship with their alma mater on individualized terms. One respondent explained:

> There are all these kinds of approaches to try to establish relationships outside of giving, where the person becomes connected and embedded in the life of the university.
>
> We do have a more intentional approach involving our non-U.S. prospects and supporters that involves trying to find roles for them to play at the institution that

> honor their level of achievement personally and professionally. An example would a high-placed person…as a trustee, [or] a leadership role at the institution, or maybe put on an advisory council for one of our academic colleges or departments. Maybe we need an honorary committee for celebratory event to mark the founding of this particular research institute. Or maybe we have a partnership in the country, an academic partnership, and we can bring them in as a VIP locally to show them that we have this global reach and that we are established in their own backyard. (26676)

For prospective students, current students, and younger alumni, Hilltop attempts to build the affinity that students feel for the institution. A participant argued that international students in particular can develop a tremendous emotional connection to their alma mater if that institution nurtures that student early on:

> International students, when they come here, they have left their home, their country, their music, their culture, relatives, friends, food, you name it, everything. And they are in a totally different situation, even if they are coming from a former British colony and English was the common language…there's still a very vast cultural, societal, practical difference that they come across.
>
> Along with that, they have come to a place where there is nobody else. So they get emotionally attached to that place…their new home away from home. So that really becomes a very special place for most international students.
>
> But as we understand the holistic engagement…with your alma mater, they probably do not understand that. So what we have started doing at Hilltop is… at the very beginning to inject that notion, that culture, that understanding, before they even come to our campus.
>
> We connect prospective students with their alumni for [admissions] interviews, then we hold international welcome receptions…where they interact with parents and students and alumni…They all build a community. So when they come here, they have already seen many examples of this connection, this community. (19242)

Several participants noted that a school’s competitiveness (measured by admissions selectivity) and ranking also help build institutional affinity, while also serving the purpose of entry into an elite or exclusive social group:

> If your institution is very selective, and if getting admission into…and graduating from that institution itself is a huge accomplishment, then the affinity is much deeper and stronger. (19242)

This person also implied that international students may not hold the same affinity for the institution if gaining admission is based on the ability to pay, rather than academic merit:

> But if it's a non-competitive school, and they're just after these students just to raise dollars and funds, then that's a different story. (19242)

Cultural differences relating to philanthropy.

A second cultural challenge was understanding how to pivot from an broad sense of institutional engagement to a more specific financial role, particularly for major gift prospects. This required Hilltop to understand different cultural notions of philanthropy and methods for soliciting potential donors without alienating or offending them.

One common theme was understanding the difference between American-style individualism and the collectivism that is prevalent in East Asian cultures. According to one respondent, more than 70 percent of the global population lives in collective societies (19242). Since Hilltop has an actively engaged alumni group in Korea, it was the source of several examples:

> On my fifth trip [to Korea], we were soliciting people and we weren't getting responses. Several alumni told me that the culture is more collective, and people want to do something as a group. So finally the president asked them to raise money as a group, for a room in a new building. They agreed to do this. And so it's a way of sort of combining a collective mentality with U.S. style fundraising. (41652)

This collectivism extends from the initial ask through the entire stewardship of the gift. For example, gifts for capital projects are often named for the corporation or the individual who made the gift. In this case, the Hilltop advancement staff and Korean alumni agreed to name the room for the group:

> No one person's going to put their name on this room. We're just going to call it the Korean Alumni Room. It's a collective gift. Even though individuals will be giving their money, it's going to be a collective name. Our sense that it's better in a culture where people don't want to stand out. (41652)

In addition to collectivism, East Asian cultures tend to be more hierarchical than Western ones. In these cultures, it is disrespectful for members who are lower in the hierarchy to overshadow more senior members, even if they are wealthier or more philanthropic. According to one respondent:

> Individuals [in Korea] often wait for leadership to make that initial gift and they would not make a gift that would be larger than somebody that they would perceive to be more senior to them due to age or rank or position. (25222)

Based on these experiences, Hilltop has learned to solicit collective gifts where everyone gives equally, or to discuss the initial gift with the most senior individual in the group. This is contrary to strategies used in the United States because 80 percent of the gifts typically come from 20 percent of the donors, and the wealthiest lead donors are publicly promoted to instill competition and peer pressure. One participant described the difference in the following way:

> Here in the U.S. if somebody has a tremendous amount of money, you wouldn't ask them for less money because they're younger. (41652)

Communication and expectations also present challenges when discussed across culture and language. For example, Americans are more likely to be direct and provide a clear answer with regard to a financial gift. This has not been found in several of the places where Hilltop has made international gift solicitations. One respondent described his interactions in Korea in the following way:

> [If someone] in the US usually solicits somebody, and they don't want to do it, they'll just say "no." But that kind of directness is not considered desirable in East Asian cultures. Having the kind of direct exchange that you might have in America is harder… I've gotten a lot of "yesses" that actually mean "no" so then, you have to figure out nuance. (41652)

Another participant responded with a similar description of other Asian countries in which Hilltop is engaged:

> I would say particularly with the Chinese culture, and to some extent the Japanese culture…it has been challenging trying to read signals correctly. Where somebody is saying they don't want to say “no” because they feel like it's impolite, so they're saying “yes” but it doesn't really mean “yes” and trying to discern when yes means yes or when yes means no. It's these subtle cultural things that I think is really hard. It's hard for us as Westerners to pick up on it. (74252).

This participant described a specific situation with a Chinese donor who made a large commitment during a recent campaign. This donor had not made any payments and had become difficult to contact. In response she asked an alumni relations staff member (who is from China) to “just check in, see what's going on, and see if you can get a better read for us." The rest of the story is illustrative and worth quoting at length:

> I think that our staff member was able to read signals and ask the right kinds of questions in a way that we hadn't been able to even though this donor had worked with multiple staff members and our president and a dean.
>
> She didn't really feel like she wanted to make the commitment for the large gift, but because we had asked her for it she didn't feel like she could say no. It was a very strange thing where she had actually signed this gift agreement for an endowed fund that was to be created out of a portion of these funds. It was so interesting to me because if you had a donor here in the United States and you were talking to them about a large commitment that they didn't want to make they'd make it clear to you that they didn't want to make that commitment.
>
> She felt like because the president was asking her for this gift that she was not empowered to refuse him (74252).

Due to the size of the gift, and the importance of understanding the large alumni base in China, this case was clearly a learning experience for Hilltop. The senior advancement professional who described the story explained:

> It really pointed out to me that the power of culture in all of these conversations. If [the gift officer] had been more attuned to how this donor was feeling and what they were saying I think that we might never have gotten into that situation... We need to do some greater cultural training of our staff members to pick up on these things a little better. (74252)

Ultimately the advancement staff decided to back away from the gift. The senior advancement professional who relayed the story described the importance of the long-term relationship, particularly in China, where Hilltop is just starting to make philanthropic inroads:

> We don't want to exert an amount of pressure that could be damaging to the rest of the relationship because the relationship is about more than just the dollar. It's often about having a network in the country. It's about using the prestige of an alum to help us build our brand image in country. It's a really delicate balance…but I think that we'll be far more cautious. (74252)

Hilltop has also found that the terminology and metrics that are associated with American-style fundraising, may not be applicable abroad. Even the nature of a "gift" may take on a broader meaning in different cultures. In Korea, where Hilltop has an active alumni group, it is common to invite associates to social functions like weddings. In instances requiring a gift, the individuals in the alumni group may contribute collectively for a wedding present, or the senior member may simply buy a present on behalf of the entire group. According to one respondent, this gift *from* Hilltop alumni, might be seen in the same way as a gift *to* Hilltop even though the institution has no way of tracking this exchange or measuring its benefit to the university. This presents a problem when those individuals are approached for gifts in the Western philanthropic sense:

> Some of these folks have said, “you know, I spend a lot of money on Hilltop”…but it’s not even stuff we track. So some of these people feel they're contributing a lot. And we don't have a mechanism for recognizing that. So there's a slight disconnect there. (41652)

Aligning institutional and donor goals.

Although the challenges of building connections between international alumni and the alma mater are potentially great, the mechanism for major gift fundraising is essentially the same regardless of the geographic location. Indeed, the most basic job of any fundraiser (including faculty and deans who solicit gifts) is listening to donor interests, so gifts can be aligned with institutional goals. According to one respondent:

> The fundraising happens most successfully if you listen to what it is the person cares about and what matters to them. Then you come back and you look at the institution and you say, "Where is there a match for those interests that they would find compelling and relevant?” If you can match up your interest with my needs, we're in business because we're both getting something out of my effort to have you support us financially at a higher level. That's the same whether you're in Bali or Brooklyn. (26676)

Nevertheless, Hilltop fundraisers have learned that the culture of philanthropy or the economic conditions in a particular country can play a part in aligning donor and institutional interests. This has been especially true in India, where Hilltop’s advancement agenda is currently most actively engaged, due to the large number of wealthy or influential alumni. One respondent explained how wealthy and philanthropic Indians can be conflicted by giving money to an overseas institution when there are pressing needs in their own country:

> In India there is a tradition of philanthropy that is very strong. It’s more of an informal tradition and people who have any kind of ability are responsible for those around them starting with their family, or their extended family, or their village if they have a little bit more, and larger community if they have one, so I think there is a real sense of responsibility for Indians to support those around them. (25222)

Another respondent described a similar tension in India:

> We've received several multi-million dollar gifts from individuals in India and Singapore…the biggest complication is often is the donor feels very torn between making a gift to our institution versus supporting something in their home country where there are such great social needs. Some of our largest donors from India do support family foundations and they also were supporting development efforts within India like rural development, irrigation, and drinking water systems, and women’s entrepreneurship. (74252)

In response, the advancement team has encouraged gifts that deepen institutional ties to India, or directly benefit Indians. The institution also broadly promotes its intensive, global research agenda to help prospective donors understand the long-term impact of the work being done on campus:

> [We] talk about how the people who are educated at our institution or the research that is undertaken at our institution can have a direct impact on some of the larger social issues in your country. We're not putting food in someone's mouth, but we're doing these things that could help to improve the quality of life overall by producing these future leaders by doing these research that has an impact. (74252).

Legal and tax issues.

Even as Hilltop has learned to adapt their advancement strategy to the local cultures, it faces additional challenges relating to international tax laws, philanthropic tax vehicles, and financial transfer regulations. A senior advancement professional described how these issues were a far greater “impediment” than are the cultural issues (74252).

The first impediment is helping the donor maximize any potential tax advantages, or minimize tax liabilities in their home countries. For foreign donors to enjoy tax benefits, Hilltop must register as a non-profit entity elsewhere. According to participants from Hilltop, this is a difficult and expensive process because foreign governments typically require that institutions have a physical presence and because the rules and regulations vary by country.

When this is financially or logistically impossible, the donor may take on a significant tax liability for allowing their money to leave the country. While some participants agreed that a wealthy individual who really wants to make a gift will find a way, others indicated that it can be an insurmountable challenge. For example, Japan has very strict tax laws which have stymied major gift efforts there:

> Potential donors that we have pledged but have not been able to move forward because of the Japanese tax laws. [Donors] would take that very, very heavy tax liability so it would be almost like they would have to pay twice… for the major gifts, principled gifts, that's really impacted gifts coming out of Japan. We're really stuck there. (25222)

The second problem involves the actual movement of money out of a country and into the accounts at Hilltop. Since many of the donors have international interests, participants at Hilltop inquire whether a gift might be transferred through American financial entities. According to one respondent:

> We had one donor, for example, whose family live in London. Much of their financial interests are in India. They have a subsidiary company here in the US, and for the pledges they have made as a family payments come through the US subsidiary company and we count that as individual gifts for that family. It's a gift that would have not happened if it were not for that relationship. (74252)

Since Hilltop does have established campuses and partnerships in many countries, those can also serve as conduits for gifts back to the United States. In other places, like Hong Kong, Hilltop has been in conversations to develop a fund which can receive gifts from alumni. This would provide a vehicle to channel the money back to the United States or to spend for various programs locally.

Managing this is complex and requires both human and financial resources to ensure compliance and manage risk. Hilltop has a finance group to look into these issues and has utilized the university's legal team to build knowledge around global taxation and remittance regulations. The advancement staff is also finishing a strategic plan that includes an "information bank" of regulations in the countries where they solicit major gifts. (19242)

Conclusion.

Although Hilltop has experienced considerable success to date, its international advancement agenda faces continued challenges: resource constraints, staff turnover, and the complicated regulatory environment. Nevertheless, respondents seemed optimistic about a shift toward greater coordination between the central advancement team and the academic departments, as well as the dispersion of the international portfolio among more of the advancement staff. One respondent summarized their progress to this point:

> We have been taking a lot of pride and doing a lot with limited resources. But we have come to a point where we realize that we have to look at more funding, more resources to stay competitive and to keep the trajectory that we have been maintaining for a while.
>
> We really don't have a very central strategic process, but we are working on a strategic plan for international advancement as we speak. To give you an idea, we have now 22 locations outside the United States where our organized communities are located. So even with these three, four, five people that we have who directly work with international, it seems like it's not enough. (19242)

As the international agenda becomes part of everyone's job, it raises the question of whether international advancement requires a specialized skill set, or whether it has become a baseline requirement for boundary-spanning professionals in a globalized education marketplace. The responses from Hilltop are mixed. For example, it is telling that several of their international advancement team (including the newly-hired alumni relations professional who discovered the hesitancy from the donor in China) were, at one point, international students themselves.

Several participants believe that it does, indeed, require a specialized skill set, and praised those with the cultural competencies, while others basically suggested that international relationships are not that different, and that at the end of the day, it is about building and sustaining relationships among an ever-diversifying group of alumni and partners.

There is little dispute, however, about the need to build and sustain the international agenda for the future of Hilltop, and according to one professor, for all global universities:

> It is difficult for me to imagine universities that are not engaged with their alums, and indeed engaged with their programs around the world, in the future, being successful.
>
> I'm sure it will take various forms at various universities…but the notion of the geographically isolated university, where the world comes to that university, to that location, doesn't seem to me to be a sustainable model going into the future. (43389)

River Valley University

Background.

The second case for analysis is River Valley University, which is affectionately known by its alumna as RVU. It is a public, not-for-profit, four-year university classified as having "very high research activity" by the Carnegie Foundation (U.S. Department of Education, 2013). Even though RVU is a multi-campus system with regional campuses spread throughout the state, this study focuses exclusively on the flagship campus located in a medium-sized, urban location in the Midwestern United States. All subsequent references to RVU are describing the flagship campus.

For the Fall 2012 term, River Valley enrolled more than 25,000 students, with undergraduates representing approximately 65 percent of the total student body. It is ranked among the top 100 universities in the world in *U.S. News and World Report*, *The Times Higher Education World University Rankings*, and *The QS World University*

Rankings.

In recent years, RVU has increased the number of international students on campus. This is particularly true among undergraduates, whose number more than doubled between 1995 and 2012. These students pay more than $40,000 for the total cost of attendance per year, and like most institutions in the United States, RVU does not offer institutional aid to international undergraduates. Graduate students, however, are eligible for the same fellowships and assistantships as domestic students, but do not qualify for the federal grants or loans available to U.S. citizens.

RVU’s financial position is complicated. On the one hand, it receives a comparatively small percentage of its operating budget from state appropriations, but on the other hand, has an endowment of more than $1 billion, placing it among an elite group of both public and private universities. This combination puts RVU in the precarious position faced by many American public universities: serving the public good with limited resources while constantly seeking revenue from external sources. This financial situation is exacerbated by the institution’s public mission which demands careful stewardship and largely transparent financial transactions. Based on its endowment alone, RVU can (and often is) seen as a well-resourced institution, but respondents in this study regularly cited the limited availability of institutional resources and the ongoing need to do more with less, or to simply do less overall with regard to internationalizing the advancement agenda.

The international agenda at RVU.

River Valley signals a robust campus internationalization agenda by including global themes in campus messaging and by embedding international components into the research, teaching, and engagement missions of the university. The RVU website prominently features global initiatives which are generally built around expanding the global reach of River Valley, developing globally-competent student citizens, and aligning global themes with existing institutional missions.

RVU has no formal international office and no senior international officer (SIO), but campus-wide efforts are loosely confederated through an interdisciplinary academic center which promotes research and teaching across the dozens of area, language, and cultural studies programs on campus. This center also includes the administrative functions for outgoing study abroad participants, incoming international students and scholars, as well as two staff dedicated to advancement-related initiatives.

RVU boasts more than 100 international partnerships, study abroad locations, and memos of understanding. Of that total, approximately five are joint degree programs or foreign outposts, although none appear to be official “branch campuses”. RVU also staffs a liaison office in mainland China that is intended to build partnerships and maximize efficiencies in the country where approximately half of all international students call home. India, Korea, and Taiwan also comprise substantial proportions of the international student body. One respondent described RVU’s commitment to internationalization:

> It’s absolutely a priority that is seen in a number of ways. From the university’s research agenda…to the typical kind of study abroad programs and international programs and partnerships.

> They're also cognizant and attentive to promoting cross-cultural competence among our students so that they are prepared to function in a world that's vastly more global than it ever has been before. You see this whole concept of globalization and internationalization permeating the academics, what we're teaching our students and the environment that we're trying to create for them. (34475)

Aside from the direct information provided by study participants, it is somewhat difficult to comprehend the depth and breadth of RVU's internationalization agenda and how that agenda is understood by various internal and external units. One respondent indicated that both the president and the provost travel regularly and have made internationalization a priority, but also indicated that as a public institution, there is a notable tension between serving local constituents and broadening institutional missions to include the world at large:

> I would imagine lot of universities… walk a fine line between staying true to their roots as a regional institution while also being able to have that international presence that's so important for a large research university. (34475)

The strategic internationalization plan.

Although much of the international agenda was the result of faculty initiatives or longstanding research partnerships, there was not a unified strategic internationalization plan until 2009, when a new provost convened a meeting of faculty and deans to propose areas for improvement.

The plan provided an overview of an institution with many international outlets and attempted alignment of core institutional missions to the realities of globalization. It also highlighted several challenges including a lack of focus and minimal coordination among units. Finally, the report described how internationalization provides opportunities for revenue stream diversification but that potentially fruitful opportunities were missed due to unclear communication channels or misalignment with strategic goals.

The strategic plan recommended multiple internationalization initiatives such as increased international student enrollment, additional career networking opportunities, and fundraising. The plan further indicated that these efforts might be advanced with the assistance of RVU's pool of more than 6,000 international alumni, a majority of whom were located in Asia. In order to leverage these connections, RVU needed to re-establish contact with these individuals.

Aside from these general guidelines, the strategic plan, like many in higher education, was generally symbolic and promoted a broad agenda, without putting forth specific quantitative goals, budgets, or deadlines. One respondent described how the strategic plan from the provost "elevated" the international advancement agenda and created positions dedicated to this work but, importantly, lacked financial support:

> A very modest amount of resources were allocated to [international advancement], so this person who got this role was already working full time, and I think they allocated funding to hire an assistant. We're not talking about a whole host of resources for [prospect] research. (34475)

As a result of senior-level prioritization and an "overarching" goal to improve contact with international alumni, River Valley dedicated two staff members to enhance international alumni relations. According to an individual responsible for this work:

> There was a plan and there was senior leadership buy-in, and so they decided to create a position which became me. I was in charge of implementing this new strategic plan. We [tried to] focus and see if we can build volunteer networks and have a communication strategy, engage people, get good connections, figure out the capacity. (98129)

Prioritizing internationalization goals.

The newly-tasked advancement professionals began by identifying the pool of potential alumni and developing strategies for engagement. This proved difficult because verifiable data was scarce, and often incomplete. A primary issue was that the geographic concentrations of alumni and partners put several institutional goals in direct conflict. While the data pointed to Asia in general, and China in particular (including Hong Kong and Taiwan), aligning the initiatives required somewhat more nuance:

> China… was complicated because we had [alumni in] Taiwan, mainland China, and Hong Kong. Most of our alumni were in Taiwan because they came to graduate to professional schools in the 1980s, whereas increasingly more of the [secondary school] graduates are applying from mainland China. [And] Hong Kong has our wealthiest alumni just by the nature being a financial center. (98129)

Ultimately, the institution prioritized the goal of increasing international undergraduate enrollments.

> RVU decided to…increase the number of undergraduate students who are here. [Our provost] believes that that is a good thing for our student body to be exposed to students from all over the world. (17466)

Based on this direction, the centralized advancement strategy focused primarily on alumni relations efforts in mainland China. According to one participant, these efforts were key to sustaining a pipeline of international students but also to building the long-term infrastructure for the expected increase in RVU alumni returning to mainland China upon graduation:

> [China] is not necessarily the country where we have right now the most alumni. It's where we are seeing the greatest growth in new students. I think part of the rationale is we have some alumni but we were seeing such a huge increase in students from China that there was a natural strategy involved there [that is intended] to help keep those prospective students coming from that country.

> [These initiatives are] for the people who are already there and the people who are going to be going there when they finish their degrees in the next couple of years. I think that's one of the reasons why China emerged as the country of interest for this slowly evolving centralized international alumni effort. (34475)

This participant confirmed the notion that international student recruitment was a primary motivation for the centrally-driven international advancement agenda, but also suggested that other advancement efforts were planned:

> China was proving to be a strategic priority…in terms of enrollment. We were seeing quite an increase in students from China. I think that's what drove this decision to focus on alumni relations in that area and international fundraising being a component of it (34475).

Identifying international alumni.

Availability of international alumni contact information was a barrier in developing the program at RVU. The institution had not systematically collected contact information upon graduation and only a fraction of international alumni had email addresses on file. Even if RVU had contact information, there were systemic administrative practices or technical problems that limited effective international operations. For example**,** advancement professionals learned that computer systems were not set up appropriately to capture international addresses. Therefore data entry teams input addresses which were often student apartments near RVU. According to one participant, the issue was eventually "solved, but not really fixed" apparently by convincing senior administrators to produce digital, rather than printed materials and then sending those materials electronically (98129). According to one participant:

> We always had the rule [that] unless [alumni] had a mailing address, you were considered lost. We learned in Asia that an email address is enough…so we changed the rule. (17466)

Another participant provided more context for the switch from postal to electronic mail:

> We were sending things internationally by U.S. Post, which never got to people Or we were trying to [defend the cost] of sending it via FedEx or DHL... It's really was kind of like retrofitting. Every single department here said, "Okay, [know] how we have to get the information out" but it weren't really set up for that. (98129)

Expanding the alumni network.

Once the central advancement team built an appropriate infrastructure for contacting alumni, they set out to find and engage as many alumni as possible with the intention of building more international alumni clubs, first in mainland China and then in other countries. This proved to be a significant challenge that took six months of prospect development and research:

> Doing the research in China is difficult. The names that [Chinese] alumni used here may be Chinese or it may be some Anglicized or Americanized name. The data system has the traditional Chinese name so that is a challenge. (17466)

To further build alumni networks, advancement staff utilized various social media platforms and in-country volunteers. LinkedIn proved especially useful because there was seemingly little overlap between the existing advancement database and the contacts established online. They also turned to the Chinese platform *Sina Weibo (*微博)[18] which has significant market share in China, largely due to governmental blocks on several American social networks.

[18] *Sina Weibo*, often just called *Weibo* is a Chinese micro-blogging site similar to Twitter. Like Twitter, businesses or celebrities can protect their brands from imposters by demonstrating that they are official representatives.

Once alumni were identified, they were encouraged to update contact information and join online groups with other alumni. When the online communities were sufficiently large and engaged, RVU formed official alumni groups. Occasionally, the advancement staff learned about structured international alumni groups that had operated without university knowledge for years. One participant described a group in Korea:

> They have formal nomination processes, regular meetings, and they've never really been affiliated with the university. They've done this all on their own. They had a database of around 350 alumni, that I'm cross-checking with who we think was in that country. (82873)

With improved contact information, RVU invited alumni to official events in their local area. These events have proven popular among internationally located alumni and even provide networking and contact opportunities for non-alumni who show up as guests. These events have helped RVU understand the nature of international alumni and helped offset the notion that alumni events are typically happy hours or athletic event watch parties:

> All the young alumni tell us that they will do anything to network, to look for jobs, to meet other people. In response…we're having some co-networking nights with another university's alumni in Shanghai. Otherwise you're going to get the same 10 or 15 alumni that want to come to the happy hours. This is the way to get more people integrated and maybe being more people out… I think those are turning into the more collaborative social events. (82873)

By the end of 2014, RVU will have six international alumni clubs, mostly in Asia. After that, the central advancement team will assess whether other opportunities like fundraising might be feasible. The individual responsible for these efforts echoed the concerns of several participants, that moving too quickly toward fundraising might irreparably harm the relationship:

> I think the biggest thing that we need to do, is show that we're not just showing up to take their money, that we really are trying to re-engage them with the university. If the third time you hear from us we say, "[Do] want to give us money?" [They won't] think that we're really trying to internationalize our campus and our mission. (82873)

Instead or rushing toward financial resources, RVU wants alumni serving as mentors, arranging internships, and guiding company site visits for study abroad participants. One participant suggested that once alumni re-connect with their alma mater, then fundraising conversations will naturally follow. Even though this approach is somewhat more conservative, participants indicated that fundraising will occur when the institution feels as though it will not offend its constituents:

> The intent, with every advancement office or every university, is [to secure] funding at some point. I'm sure that's going to be a discussion and it needs to be a discussion. Until we can correctly identify the majority of our alumni and where they live, we can't just start asking them for money without completely turning them off to the university. (82873)

Context for international fundraising.

River Valley's international advancement agenda is quite new to the institution. This was largely because the university, until recently, drew most of its undergraduates from the local region. As River Valley made gains in academic prestige over the last two decades, it evolved into a nationally, then internationally recognized institution. During that time, efforts were made to engage alumni who were increasingly dispersed across the United States.

This time period coincided with an increase in international programs, enrollments, and graduates. Now that RVU has effectively engaged its domestic audiences, the institution is making greater strides to connect with the international constituents as well. A senior advancement professional described how it was important for the university to prioritize domestic constituents first:

> [Previously] we weren't very good domestically at fundraising. We had to make sure we were raising money in Los Angeles and San Francisco and Florida and Boston before we start flying across oceans. The first step was to really throw the rope on domestic fundraising program and we are there. (17466)

This individual also suggested that the success of domestic initiatives paved the way for a broader advancement agenda overseas, but the efforts are still very new:

> We are really early or relatively new in this serious way of fundraising internationally. We've got multiple academic relationships internationally. We have a very strong international center…but I don't think we've done a good job raising money internationally and we are only starting to…really address it. (17466)

Collegiate advancement efforts.

In addition to the top-down, centralized efforts initiated after the provost's strategic plan, several academic colleges have also developed and executed international advancement strategies. RVU, like many large public universities, is highly decentralized. Individual colleges and research centers have the autonomy and incentives to prioritize collegiate, rather than institution-wide advancement goals. One participant, who is involved with alumni relations in one of RVU's academic colleges, described international advancement efforts as "fragmented" largely due to the diversity of missions between collegiate units:

> What you might see in terms of an international fundraising approach in one school may be vastly different from what you'd see from another. For example, one school that has a very high percentage of international alumni may feel that it is worth their time and resources to pursue that, whereas another school that has fewer [resources] or [a] lower percentage of international alumni may feel that the time and effort is not justified. (34475)

The colleges that see the potential benefit have begun tapping internal constituents for information about internationally-located alumni. One participant described how collegiate faculty contacts were used to build an alumni database:

> …you try to find one person, and say "Who else do you know?" It's a really old-fashioned way of doing things…just scouring our faculty and asking, "Who we can get in touch with?" It's really quite fascinating the amount of information that people have kept in their own Outlook contacts…that you slowly start to uncover. (34475)

One professional school with a high percentage of international alumni started its international advancement initiatives around 2009 when the dean prioritized relationships with alumni, of whom "more than 4,000" were located outside the United States (32391). The collegiate dean described how resource constraints and changes in government funding necessitated the move toward seeking new revenue streams:

> It's been a high priority because I look at our profile of alumni, [and] we need to know whether we can get support from our international alumni given that they've made up a reasonably sized proportion of our pool. As we go forward in an era where there's going to be less government support for us since we're a public institution, we need to be able to generate as much support from as many places as possible. (66847)

This college had somewhat better data on its alumni because it offers several programs outside of the United States. At these locations there are full-time staff in-country and also the appropriate systems to capture recent alumni addresses. Furthermore, professional school alumni may be more likely to utilize alumni relationships for job searches or placement, thereby increasing their connections to both the institution and other alumni.

Collegiate fundraising.

Like the central alumni relations effort at River Valley, individual colleges have only recently become successful at engaging domestic alumni for fundraising purposes. According to an alumni relations professional this was a strategic effort requiring significant travel over a short period of time:

> I started doing alumni programs all across the United States. The intention was partnering with our development colleagues. I looked at my job as going out and trying to have prospects that would be researched and then assigned to a development officer. (32391)

When this strategy proved successful, this participant inquired about a similar strategy overseas:

> I [asked] my dean, “have you ever thought about doing much internationally?” We have two international graduate programs, one is located in South America and another in Europe. Those were the only areas that we had any kind of network going. (32391)

To test the potential opportunities abroad, this enterprising professional hosted an alumni event in Hong Kong while en route to a personal vacation in Malaysia:

> Out of pure coincidence, my family and I travel back to Malaysia almost every year. On one of my trips to Malaysia, I stopped in Hong Kong and hosted an alumni event [where] four major gift prospects came out of it.
>
> In the course of conversations, [The alumni] started telling me about all these other colleagues of theirs that were classmates that had done really well [as] presidents and CEOs of companies. (32391).

After the success of the of Hong Kong event, collegiate leaders decided to expand international advancement efforts and made a financial commitment to host more alumni events overseas. To begin, they identified 14 countries believed to have a “critical mass” of 60 alumni or more. Then this participant hosted events in these countries. According the alumni relations professional who planned the events:

> I went to all of them which I called an exploratory mission just to kind of touch base and see who we had there. [Of those countries], we felt that seven were

> important to bring the dean over and so then I coordinated the dean's visit. (32391)

These events were designed to engage alumni, build relationships, and collect contact information, with no intention of soliciting financial support. The dean of the college explained the strategy in the following way:

> We just want to engage alumni and then…our international alumni can help us in a variety of ways outside of the development [fundraising] context. People can help us recruit new students. They can help us identify internship and job opportunities for people. And they can provide advice to us. (66847)

This approach was based on advice received from other universities with international advancement experience:

> We took this approach by talking with international development officers in a variety of major US universities, that had some success. Each of them indicated that they wished that they had built stronger relationships before they had started asking for money. They felt that that would have made it easier for them to get up the curve more quickly. (66847)

Despite the dean's reluctance to ask for gifts, he wanted to lay the groundwork for future development efforts in regions with large numbers of wealthy or highly-placed alumni. Unfortunately, this task was challenging given the lack of available data on family wealth overseas. He described the difficulties of researching individual financial capacity from prospective donors overseas:

> The biggest issue is that the normal systems that we have here for providing information on someone's capacity don't tend to provide much insight. The research is way behind and that becomes a challenge, in terms of trying to assess if someone might be willing to provide support…
>
> So, you're going somewhat blind because of the lack of information. I think that if you look in Asia, it's particularly difficult because the family institutions have had money in institutions associated with the governments [and] they don't provide the information that you need with regard to individuals. (66847)

Given resource and staffing limitations, an alumni relations professional took on the task of prospect research. His strategy involved using Google and other Internet resources prior to visits and then meeting with potential donors to gauge their financial capacity or interest in philanthropy. Occasionally he arranged formal interviews for biographical profiles in the RVU alumni magazine, which conveniently provided opportunities to ask more sensitive questions:

> So I consider myself as the main prospect researcher for international [alumni] and the best way to do it is to meet with them individually. So I've gone and every single one of the countries that the dean has gone to, and met with everyone that I could meet with to screen them. When you are meeting with them, you can ask them the questions and get an answer.
>
> Here is the strategy I use: I will reach out to an alumnus(a) based on their title and the minimal amount of research possible with Google. We identify someone that looks like they have the capacity to be a major gift donor. I will reach out to them and request and individual meeting outside of the alumni event we're hosting in their town. I would say "I would like to interview you to feature you in an upcoming publication or alumni newsletter." They love that because you go in there and sometimes I will get a freelance photographer from that country to take photos of the meeting and professional shots of them. I interview them and then turn over the information to our professional writers [who] write up a really nice summary of their career. So that answers what they've done. (32391)

Cultivating international funds.

Multiple respondents noted that RVU is large, decentralized, and has a fragmented strategy for international advancement which has focused largely on relationships with alumni. Although this strategy is intended for later fundraising efforts, there are scant examples of these activities to this point.

Participants were quick to note that RVU does get money from overseas, but that there is a "blurred line" between what is generated from strategic fundraising efforts and what is generated by existing partnerships or through international governments or foundations. For instance, the Saudi Arabian government provides funding for students to take 18 months of English language classes prior to enrollment at RVU. Money for that program is transferred directly from the Saudi government to RVU's English language program. This transfer is officially counted as "international fundraising" (98129).

Individual gifts from abroad come from a variety of sources, none of which are the result of a major gift strategy. For example, money has come from small, unsolicited annual fund gifts, or through dozens of nationality-specific funds supporting initiatives relating to the donor country. A group of Irish donors pool money for a scholarship which funds student travel to Ireland. Another gift came from the Korean alumni group, who collected approximately $300K for a capital project on campus. These funds, which are donor-advised and collected through in-country volunteer leaders, present some challenges since money may not always be spent if there is little student demand to travel to that country.

Although the donors giving to these funds are typically in the advancement database, they are not currently considered as major gift prospects. One participant indicated that this was a deliberate tactical decision intended to maximize efficiencies during a more than $1 billion capital campaign that ended very shortly after data collection for this project:

> We had enough people that we felt we could work to get to our [campaign] goal, so we decided not to take on something new right now. The campaign is officially coming to an end…so we're going to look at [international fundraising] next. We just don't really feel like the time is right because we don't really have a major gift strategy for international gifts. (98129)

This individual did indicate that several international partners (it was not specified whether they were technically alumni) gave gifts exceeding $25,000, but that “they really haven't been cultivated by us” (98129).

The transition to fundraising.

These funds have given RVU a sample of the potential resources that exist overseas, and it appears as though various collegiate units at RVU are pivoting toward a more robust international fundraising strategy. For example, an executive advancement professional suggested that they have explored how other universities have built their programs and have sent several of their staff to conferences focused on the topic. Notably, this individual described early efforts to build a parent program where currently enrolled students’ parents are asked for support. This was reported to be especially important in the Asian context:

> One thing we know and what we've seen is the parents of students are more likely to give while their students are here…so it is important that you engage those parents immediately. If you do that, you've got a shot at getting support. (17466)

At the collegiate level, there is also some movement toward soliciting major gifts. One professional school has received “some [international] gifts under $10,000” and is currently planning a fundraising-specific trip to Indonesia where they have engaged seven major gift prospects with whom the dean has met on previous trips. In addition, this college has implemented programs to advance major gift fundraising from international donors:

> We have developed an international distinguished alumni award…that is completely development related. We are finding the people with the biggest wealth capacity and honoring them in their own countries and hosting an event in their recognition. [Then] we are going to follow-up in future years with an ask. (32391)

The college has also asked alumni to sponsor student tuition using family or corporate funds. Prior to the Asian financial crisis in the 1990’s, it was fairly common for large Japanese and Korean companies to pay for student tuition and then guarantee a job upon graduation. A respondent explained that students who benefitted from these sponsorships are now leaders of large companies that can sponsor a new generation of students:

> The majority of the alumni came to the United States in the 70s and 80s and early 90s and they were sponsored. They understand it. They wouldn't have been able to come if they weren't sponsored. We have been very successful at having alumni do that. (32391)

According to this individual, the donor or donor’s company is billed directly for the tuition which precludes it from being counted as a gift in the “traditional sense through institutional advancement.” (32391). Nevertheless, this is considered a very successful initiative:

> It costs more than $50,000 per year for our graduate degree at RVU [and] in the dean's opinion, it's a huge deal when we are getting upwards of 8 to 12 [students] this year completely sponsored from our alumni connections internationally… (32391)

Cultural differences and philanthropy.

Although River Valley is still building its international advancement programs, the individuals responsible for this agenda have considerable experience with international constituents and are aware of the cultural barriers of relating to philanthropy.

This study has already discussed multiple reasons for RVU’s patient approach to international fundraising, but individuals at RVU also expressed some opposition to approaching international alumni in ways that are culturally offensive or ways that fail to acknowledge the diversity of perspectives regarding philanthropy and wealth transfer across the world. One respondent explained:

> I hate generalizations of [defining] what philanthropy means in [other] cultures. We define philanthropy the way we see it in the U.S., the way we've experienced. But we [at River Valley] don't want to impose that view on other cultures. (34475)

Explaining educational philanthropy.

One of the primary cultural barriers to international fundraising is explaining why American educational institutions need outside funding in the first place. One participant described the challenge of recruiting tuition-paying students:

> We have alumni in Europe [and] many of them went to undergraduate schools where everything was government-sponsored and supported. For them, the idea that you would give money to a university is strange. This affects us and universities generally just in terms of getting people to pay tuition when there are alternative programs that effectively are free. (66847)

To overcome this barrier, this participant believed that the institution must slowly and deliberately engage constituents by recruiting students and demonstrating a continued, long-term interest.

Even in cultures where fees are more common, the process of gift solicitation can be misunderstood:

> In the United States, people understand that when you come to visit them and you have development in your title that you are going to ask for money. [Internationally], they think you are coming because you are wanting to reconnect with your alumni because we hadn't been there in decades. (32391)

Of course, this perception can vary. Another participant felt that international alumni, particularly those with wealth or international connections, understand that a visit from an advancement professional (alumni, development etc.) will eventually lead to a gift solicitation:

> Many of them have children that travel to the United States to go to school and as soon as they enroll in a school there, the schools are reaching out to them for money so they understand it to some degree. Especially if they go to private high school.
>
> Every once in awhile you get that person that just has no clue whatsoever but for the most part…they travel the world, they know…especially the ones that are in the top 3% or 4% of earners in their countries. They are asked for money all the time. (32391)

Exploring cultural differences relating to philanthropy.

In some ways, RVU has benefitted from its recent entry into international advancement because it has learned from peer institutions. RVU has also built opportunities to ask current international students and alumni about the best culturally-adapted strategies for approaching philanthropy. One respondent described how these meetings have worked:

> We have a lot of students from India who come from fairly wealthy families. We provide an Indian dinner and we'll talk about “What does development mean to you?” [In these conversations] we’ve really learned that in India, because of the caste system, there is a commitment by the upper echelon of wage earners or net worth earners to provide support to those in their country that are at a lower level.
>
> We basically walked out of the meeting saying the best way to get money out of our alumni in India is to keep the money in India. (32391)

Another participant described how one particularly philanthropic Indian family was disinclined to give to an American university based on the comparative impact of a gift given to a local Indian charity rather than a highly-resourced American university:

> This donor loves the school and is grateful for the opportunity to get the education received. But there is no comparison between giving at home and giving abroad. You have to respect that. [It’s] very genuine and I know personally [the donor] is

committed to trying to improve the quality of life in [India]. (34475)

Conversations with individuals in other countries have yielded different results:

> We'll talk to students from other countries and it is a completely different scenario. It's more about prestige and putting their name on a building as opposed to helping…[or] being more humanistic. (32391)

These types of conversations can be difficult, they are necessary to avoid making incorrect assumptions:

> I just got back from Thailand…where I had dinner with a…top prospect and his family. I just came right out and [explained] that the next level is asking for gifts and asked “What would you suggest to me?” I [took] three pages of notes that had been totally different than what I learned about from Indonesia. (32391)

This participant described the best strategy for asking Thai individuals:

> In Thai culture you don't ask for money until you really have developed that close relationship with them. It would offend them but they will never say no, they will give you a small amount but it will still offend. (32391).

To avoid offending prospective Thai donors, one must develop a close friendship which takes time and may require blurring the lines between the personal and professional. For example, this participant described how important it was to be a friend with Thai alumni on Facebook, even though he is not friends with alumni from any other country:

> I'm a person who tends to keep Facebook for my friends and family, not work. In Thailand, that's their social media of choice. They don't really like LinkedIn. I [am friends] with seven people from Thailand who are alumni. They are basically like a part of my family now. I don't do it for any other country but that's what they use to interact. (32391)

Even with dedicated attempts to avoid cultural missteps, RVU has learned about various cultural challenges through experience. For example one of the advancement professionals in the central administration described the difficulty of mapping the social hierarchy among Korean alumni:

> We have great relations with a lot of people in Korea and a lot of alumni, but we didn't really know the hierarchy of who is really considered more senior. That has been a problem because even with volunteer leadership we have to be sensitive to who should be asked…We have made mistakes there. (98129)

Because of an expectation of meetings with similarly prestigious peers, RVU also had trouble matching the correct institutional representative to make the ask. In one case "a very senior person" who had donated $30,000, met with an academic dean, when the commensurate individual on RVU's side would have likely been the provost or chancellor. According to one participant, the meeting was awkward and Korean alumni later reported being "insulted".

This misalignment presents a problem for American IHE interested in international advancement because it reduces fundraising efficiency and minimizes the ability for senior-level administrators to convince the largest donors to give. After all, a $30,000 gift is substantial, but well short of the $50,000 that RVU typically considers a major gift. While those benchmarks are relative and not necessarily permanent, the senior-most university officials asking for gifts at this level puts the institution in a quandary:

> [Donors] want to have the discussion on an equal level, but we don't feel like it's worth the time [for] of our highest level to meet with you while we're still discussing it. (98129)

Further complicating matters, prospective donors from Korea may not even agree to a meeting or phone call without personally knowing the individuals representing RVU and the reason for the discussion. Obviously this makes sense for busy individuals with little time, but it also stymies the university's ability to make contact or introduce new advancement professionals into the relationship, especially if those individuals are newer or have less prestige in the organization. According to one participant:

> We really trip on ourselves because we [at RVU] are very egalitarian. We have people just do certain jobs, and if that's your job then you can do it. But even to get meetings, you really need to be introduced by somebody else because they're relationship based…They kind of need to know why you're meeting with them and what the expectations are. We've had some people directly ask [donors] for money on a business call and that has not worked well. (98129)

Institutional knowledge and business culture.

RVU, like any institution engaged in international work, has also learned to adapt to different business cultures and ways of participating in business meetings. This knowledge is not directly related to philanthropy but is necessary to interact appropriately in different situations while traveling. For example, two participants provided anecdotes about cultural differences with timing and punctuality.

In one situation, a prospect in Jakarta, Indonesia insisted on introducing the development officer to the company's CEO who was also an RVU alumnus. This forced the officer into a choice between offending the CEO and arriving late for a pre-scheduled meeting with another prospect. He chose the latter and arrived more than an hour late which was perceived as rude.

This was contrasted with an anecdote from Brazil, where a team of RVU advancement staff, faculty, and leadership traveled to engage in a "university-wide agenda". This trip involved the founding of a new alumni association chapter, meetings with governmental officials, and the establishment of new inter-university relationships. There were no direct philanthropic asks, but the delegation went to numerous meetings which, in Brazil, can be informal conversational affairs that start late and require socializing prior to business. According to one participant:

> We cut one [meeting] short and I think we burned some bridges by doing that. We were really far behind [schedule] and because these meetings go on forever and ever and ever [with] so much coffee and cheese bread. [19] (98129)

Talent development and retention.

Another challenge is that international advancement requires a rare combination of fundraising success and comfort working in international environments. It is not surprising that senior officials at River Valley commented on the difficulty of finding talented staff.

> There are not a lot of development officers who have done this kind of travel and this kind of experience. Do you have the language skills? Do you have the fundraising skills? Are you comfortable in a place where they don't speak your language? (17466)

An individual at RVU also suggested that training individuals can be a fairly risky proposition. After all, there are few low-risk opportunities to learn these skills and mistakes can harm relationships that were time-consuming or expensive to establish.

Furthermore, as peer institutions grow their international student enrollments and subsequent alumni pools, they too will recognize the potentially untapped revenue stream existing internationally. Therefore, one can predict that growth or institutional imitation will only increase demand for qualified talent. One participant noted that other institutions have made employment overtures towards them, including some schools that were well-known, and others that this person had “never even heard of.”

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[19] *Pão de queijo*

Legal and tax issues.

Advancement professionals at River Valley University, many of whom have solicited support from Americans, are well-apprised of the importance of tax incentives for philanthropy. Since these incentives are found less frequently internationally and countries rarely reward gifts sent overseas, there are significant financial barriers to international advancement efforts. One participant described the challenge:

> If I'm from [the United States] and I give a gift of a million dollars, I get a nice tax reduction. If I am a resident of India and I give the U.S. a million dollars, what's in it for me? Nothing. Nothing other than the joy of giving, but for people who are motivated by the tax rate or whatever their particular countries may offer, that could be an obstacle. (34475)

RVU has learned from other institutions, mostly elite, private IHE, about tax vehicles or foundations that enable international donors to reap local tax benefits while ensuring that the gift ends up on university balance sheets. Establishing these accounts or gaining legitimate legal status requires time and legal resources, which RVU has been tentative to commit given the newness of their program and absence of large international gifts. It would also involve setting up and administering these funds as centralized, top-down initiatives, which is contrary to current efforts stemming from decentralized, collegiate efforts:

> The university has to embrace the international development from the institutional perspective. It's got to be done by the university where they set up a 'friends of RVU' account to be established in London to get money out of the UK or in Hong Kong. (32391)

Without international non-profit recognition or "friends of" accounts, RVU has resorted to improvising solutions on a case-by-case or country-by-country basis. For example, in Korea, RVU alumni have set up an account that functions like an American-style university foundation. This allows Koreans to give to a fund and allows RVU to apply to that fund for matching grants.

Although this is a workable solution, it requires additional bureaucratic and accounting headaches. In other situations, RVU has found domestically-located interlocutors who can receive a small gift from someone overseas, and then write a check to RVU. These strategies are stopgap efforts for small gifts but will not suffice when a substantial international gift is committed:

> RVU would rather react than be proactive on it. We need someone to step forward and say I want to give you a million dollars to the university. Then we'll [say] 'let's figure this out.' (32391)

Risk management.

Resource constraints and a decentralized institutional culture certainly play a role in RVU's conservative approach to international fundraising, but several participants also noted that moving too quickly exposes the institution to legal and public relations risks:

> We've taken a very conservative kind of approach on this. We don't want to do anything that is going to either jeopardize contributions that any of our alumni might make or would cast any sort of bad reputation on either the university or the alumni. We want to do everything in the way that's totally above board. Even if it takes longer, our commitment is to do it that way. (66847)

There are numerous examples of donations or pledges to American IHE that are first seen as a financial windfall, only to become a liability later. One participant in this study cited an American university that named a college for a donor who was later charged with corruption in India:

> To paraphrase my boss: There is no such thing as virgin money. All money can be traced to some nefarious doings, but I think that can sometimes be a bigger risk when you can't validate as much information about the individual as you might be able to do here. (34475)

Public perception.

Avoiding negative public relations is especially important considering River Valley's public control and continued need to derive funding from the state. RVU, like most other public universities in the United States, has seen dramatic reductions in state support as a percentage of total revenue. In fact, one might argue that the attention to international student recruitment is a direct result of diminished state support because international students receive no financial aid and enable the institution to maximize per-student tuition revenue.

While this seems like rational behavior for institutional leaders interested in maintaining financial solvency, conveying this message to in-state, taxpaying citizens remains difficult. In particular, there is a perception that enrolling more RVU students from China was at the expense of matriculating U.S. students. Furthermore, RVU has to demonstrate that it is a good steward of the scant public dollars that are allocated. Of course, this results in tighter budgets for everything, including advancement initiatives:

> If there's a lack of state support, it means that while we do have to raise more money, there's less money available to raise money. So our challenge is basically to live within to necessary budget, at the same time that we're trying to engage people on a global scale. (66847)

International advancement and resources.

It is evident that RVU's international advancement initiatives at both the institutional and the collegiate levels are functioning with few resources. This impacts the institution's agenda in several ways.

First, the resource constraint pushes advancement staff toward low-cost, creative opportunities for alumni engagement. For example, limited travel budgets have promoted use of digital communications strategies and networking via social media platforms:

> Again, part of the international fundraising is looking at the resources that you have available on your budget. After all…I can travel to [Washington] D.C. for under $1,000 and see 20 alums or I can fly to India for $8,000 and maybe see four people. Because of this…I use Skype quite a bit and anything else that's possible.[20] (34475)

Second, resource limitations have promoted inter-departmental collaboration and limited coordination of international travel. Several respondents described traveling on behalf of another college or participating in international events for another unit. For example, a collegiate alumni relations representative schedules alumni events to coincide with student recruitment fairs so he can assist at admissions events and invite prospective students to network with successful alumni.

Third, there is a general sense that international advancement efforts are experimental until they demonstrate a worthwhile return on investment. Of course, few organizations would survive ineffective resource allocations, but several respondents at RVU intimated that there is either resistance or ambivalence regarding international advancement efforts until they are financially self-sustaining. For example, one respondent described the implicit trial period and evaluation of current international advancement efforts:

> We're in basically a sort of five-year type of approach in order to see what kind of support we can generate and then we can reassess things. We have to able to justify the expenditures we make in order to leverage our resources. We're trying to determine right now what viable capacity is going to be and what kind of support we'll get. (66847)

[20] Skype is a popular application that allows free international phone calls and web conferencing over the Internet.

This perception helps illustrate why RVU has focused on international alumni as a conduit to more international students and the short-term, sustainable tuition revenue stream they represent. One participant described the connection between alumni relations and tuition.

> I want to come back again to the notion that, if alumni can provide you with students, …who are paying tuition, that's also a support for the university. (66847)

The pressure to produce short-term gains has made advancement staff somewhat risk-averse to the long-term potential for individual-level major gift fundraising. RVU's long-term strategy is that initial connections will preface tangible financial support later. The risk aversion is based on the notion that the institution's current knowledge and resources preclude the detailed prospect research or the expensive travel required to move major gift prospects toward a commitment.

Conversely, some respondents suggested that RVU's conservatism regarding individual fundraising causes missed opportunities, that would help institutional leaders commit more resources to the agenda. One participant explained that RVU lacks institution-wide enthusiasm for this work because it is yet to receive a highly-publicized, large international gift:

> It will probably take some major gift from international alums to get people's attention…Other schools here in the U.S. have been successful in getting major gifts from alums. My guess about what it will take to elevate [international advancement] is people say[ing], "We can get a $25 million gift just like school A-B-C did." (34475)

That statement was contrasted with the intentions of another participant who described how smaller gifts will help the institution develop the skills to eventually solicit larger gifts over a longer time horizon:

> I’m much more interested in building a stream of gifts that would be on the smaller side. I’m not looking for a $25, $50, or $100 million gift right now. I think that those are rare and extreme and they’re wonderful. The key is [whether] you can get gifts that are more in the six, seven-figure range on a consistent basis. That gives you an ability to get a better sense of how the whole process can work for a broader group of people. (66847)

While advancement professionals at RVU have been very cautious about making the transition toward individual-level fundraising, the institution has found opportunities to cultivate financial support from international audiences. These piecemeal initiatives, although generally small, have prepared RVU for larger programs in the future.

Conclusion.

Based on data collected from River Valley University, one might conclude that as a whole, the central advancement office has not put forth a long-term, sustainable strategy for engaging internationally-located alumni. Nevertheless, there have been initiatives within research centers and academic units which have moved this agenda forward and positioned the institution for future philanthropic opportunities from international donors.

While the primary barriers to international fundraising are well understood by any institution that is seriously engaged in this work, River Valley has additional barriers in the form of its public-service mission, declining state support, and resource constraints that motivate short-term gains over long-term strategies. Paradoxically, one of RVU’s biggest constraints is that it has not yet received a commitment for an international major gift. One participant argued that the institution in general, and the collegiate units in particular, are moving in this direction and that demonstrated success will undoubtedly prioritize this agenda:

> What we need is that one big gift and it will open the flood gates to having the university finally put some resources into what it takes to strategically get funds out of…other countries We are at the cusp, we are so close.
>
> I think we have the potential but we are just not there yet. That's what it really comes down to. Right now, we are more to learn what we can and try to learn what other schools are doing. At some point, something is going to happen. (32391)

Until new money catalyzes new initiatives, a different participant remained skeptical that the agenda was worth the investment:

> My personal experience suggests that time and energy and resources involved in securing major gifts from an international audience potentially outweighs the gifts that you're going to get. That's my sense so far (34475).

This individual went on to argue that beyond the calculus of costs and benefits, international fundraising has become another competitive space for institutions of higher education, and that some institutions are going to commit to this agenda without thinking through the cultural and economic ramifications of institutional engagement in a global society:

> What concerns me is an attitude that I've seen from some schools that's, "Everybody else is doing this. We've got to jump on the bandwagon." I got concerned about jumping on the bandwagon without thinking about approaching these individuals with respect for their culture and their values rather than just trying to impose ours because they should give. (34475)

Chapter 5: Cross-Case Analysis

Introduction

The previous chapter presented two case studies of American universities that have begun internationalizing their institutional advancement agendas. Participant responses suggest that Hilltop University and River Valley University have committed to the agenda in different ways and have experienced different levels of success. Still both institutions recognize the need to develop relationships with internationally-located partners who might provide human or financial resources. Critically, there was no indication that the combination of internationalization and advancement was motivated for reasons aside from those that are already understood for the individual agendas. In other words: profit- and prestige-seeking institutional behavior was regularly noted, and no other plausible rationale surfaced.

While the most basic motivations for this agenda are identical, there are similarities and differences between the strategies of the two institutions and between the perceptions of their success. This chapter compares broad themes that were noted by participants in this study and provide context around whether these comparisons might influence the depth, breadth, or effectiveness of an institutional strategy to engage international alumni or donors.

Institutional Control

A primary difference between Hilltop and River Valley is their institutional control. The former is a private university which receives little to no state or local support. This requires Hilltop to secure all of its revenue from other sources including voluntary philanthropic support. Like most private universities in the United States, Hilltop's history of philanthropy dates back to founding gifts that endowed the school more than a century ago. Institutional advancement is deeply imbedded in institutional identity because its very existence was predicated on support from generous donors.

While one could argue that not receiving state support puts Hilltop at a disadvantage overall, their private control has required significant investments in the advancement infrastructure which have given the university a long history of success in alumni relations and fundraising. These well-established operations were scaled and adapted for international audiences.

River Valley, like many public universities, relied heavily on public funding until the 1980s when state legislatures drastically reduced appropriations as a percentage of overall support. When state support stagnated, RVU did not have the institutional capacity, knowledge, or resources to quickly replace state funds with private or corporate gifts. A participant from River Valley described how public universities were slow to build advancement agendas:

> In public schools, we've only come to this more recently. In the past, if you go back 20 years ago, the government was providing a lot more of the resources that were going to higher education, so we didn't have to stress it. (66847)

By the time River Valley (and public IHE in general) recognized the need to expand alumni support, the institution struggled to connect with its large alumni base and find the necessary resources to engage them:

> We're ... starting from a spot where we were flat-footed and behind and that's going make it hard to catch up [to private universities]. (66847)

Even more daunting was building a culture among alumni that both encouraged a continued relationship with one's alma mater and provided a rationale for philanthropic support. A participant at River Valley described how the university had not illustrated the need for private support and subsequently had a difficult time encouraging alumni and partners to give:

> I think that part of it is just that private schools have, for a longer period of time, done a good job of articulating to their students and alumni the importance of providing support. It's basically [explaining that] you're able to get this education because of the resources the people are providing. (66847)

This participant argued that the River Valley is getting better at making this argument and there is no reason why private institutions like Hilltop should have advantages over public university counterparts:

> I think that it's probably as much acculturation as anything else. I think that over time, it will become clear that top public universities and the ones that spent a lot of effort building the right culture among students will perform in the same way that the private schools do. (66847)

Institutional control also plays a major role in how the institutions engage with the public at large. While participants at Hilltop stressed the importance of local and statewide ties, the school's private control gives institutional leaders more leeway to prioritize strategically-important constituents without threatening public support. Conversely, as a public institution that receives a considerable (although ever-decreasing) proportion of its revenue from the state, River Valley is beholden to the public agenda. In practice, this requires that River Valley provide preferential tuition rate to in-state residents and adhere to applicable state sunshine laws. While there are no legislative mandates requiring a certain proportion of in-state students, respondents in this study suggested that there is an implicit covenant to taxpayers who understand that increasing non-resident and international enrollments make it more difficult for state residents to gain admission to the flagship campus described in this study. Since RVU's board of trustees includes some politically appointed representatives, institutional leaders must consider an ever-changing political climate and resist activities that give the appearance of impropriety or waste.

This difference in institutional control provides additional context for River Valley's later entry into international advancement and its caution about moving too quickly with the agenda. One respondent at RVU indicated that the university "can be scrutinized much more because our records are public" but suggested that open records were a minor barrier compared to messaging about expanding the institution's geographic aspirations beyond state boundaries.

Due to RVU's stated interest in increasing international undergraduate enrollments, these messages are particularly important. One respondent explained that domestic taxpayers have perceived the international student recruitment efforts as negatively impacting the chances that their own children will gain admission:

> I have heard alumni express concerns about the international focus, and I've had people say to me, "You're letting in all these students from China. Does that mean you're not letting in as many U.S. students?" (34475)

This participant further related how River Valley must be careful about how it delivers messages about international gifts:

> Schools love to brag about the big gifts, but again, trying to be thoughtful about how that's perceived by the individuals that have had a longer track record of supporting the institution… your current donors and your taxpayers for the public schools. (34475)

This statement supports the idea that traditional public university constituents might find announcements of large international gifts distasteful or their solicitation inefficient. Although no respondents specifically connected philanthropy to state appropriations, one can imagine a situation in which fundraising success perpetuates the notion among legislators that universities can tap into external revenue streams unavailable to other public services, making them targets for further funding reductions.

Organizational Decentralization

Another emergent theme among participants in both cases was decentralized or "fragmented" organizational structures at their respective institutions. This arrangement has promoted what one participant at Hilltop described as:

> A strong dean model, where the dean is empowered to go out and be entrepreneurial and establish programs or engage in activities. (65571)

As a result, both institutions demonstrated examples of innovative, bottom-up internationalization strategies tailored to specific collegiate goals or areas of expertise. Although this was generally perceived as an advantage academically, it provided some challenges when each institution's central administration attempted coordination of advancement-related activities.

Considering the comments suggesting similarity in organizational decentralization, there were noteworthy differences in how participants at Hilltop and River Valley described the coordination and information-sharing between units. Participants at Hilltop were more likely to describe a culture of "collaboration" or "interdisciplinarity" while individuals from River Valley described an overall "need for coordination" and a sense that the agenda was "fragmented". This sentiment was also noted in the RVU provost's internationalization plan which conveyed a need for greater coordination and led to the creation of a position intended as a "point person" responsible for coordinating travel between disparate units.

Even with slightly different language describing the degree of institutional decentralization, participants from both institutions acknowledged that coordination between units brought overall benefits to the international advancement agenda. For example, one respondent from Hilltop insisted that centralizing contact information helped streamline alumni data collection and buffered against the compartmentalization of the alumni pool into countless faculty Rolodexes.

Encouraging further collaboration can be difficult, especially with faculty who are largely independent and focused on their research and teaching. An academic dean at Hilltop suggested that individual faculty must see the benefits of alumni relations or fundraising for their own work, but given the right incentives, are largely willing to collaborate with fundraising efforts, even if those efforts are guided by the central advancement team.

Participants at RVU suggested that in the absence of total collaboration, informal networks and coordination have enabled internationally-focused campus partners to pitch in with travel responsibilities when schedules conflict or efficiencies are realized. While these synergies have been helpful, participants from River Valley acknowledged that the newness of its international advancement efforts has contributed to isolated initiatives. They hope the long-term strategy will be more cohesive and centrally-supported over time. Centralization will become increasingly necessary as advancement-related initiatives require endorsement from executive leadership. For instance, the applications for “friends of” charitable accounts in the United Kingdom or official not-for-profit designation must come from the central university and cannot be established by an academic college or other unit.

In the very early development of this study, it was suggested that public universities and private universities might have different capacities to engage in international fundraising based on their capacities for centralizing advancement operations. For these two cases, there is some support for the idea that private institutions are better at fundraising overall and that centralized efforts might be key to expanding these initiatives. Nevertheless, it is difficult to see the differences based on organizational structure alone. Indeed, both institutions have decentralized, complex structures with a variety of competing goals. Also both cases have dedicated, entrepreneurial, boundary-spanners who see the benefit in coordination and collaboration. Ultimately, both Hilltop and River Valley are large, complex, research universities where the international advancement agenda is competing with countless other institutional priorities:

> When you are dealing with the university, most universities, you will have little fiefdoms, the various departments. You have the department heads, you have the deans and everybody has an agenda. (78050)

University Athletics

Hilltop and River Valley both have athletic teams and both are members of the National Collegiate Athletic Association (NCAA), but their commitments to athletics are quite different. Hilltop competes in Division III and does not offer athletic scholarships while River Valley competes in a powerful football conference at the Division I level.

Over the course of data collection it became apparent that athletics plays a meaningful role in building school affinity among alumni at RVU. Indeed, respondents there often discussed sporting events as the common thread that drove alumni relations activities:

> Internationally you're going to be lucky if the university is able to have direct contact with you once a year. Whereas domestically, depending on football schedules, basketball schedules…there could be three or four opportunities to engage. (82873)

When asked about whether international students and alumni are interested in the athletics teams, one participant suggested that at first, the school spirit and institutional branding is strange, but that international students often become fans and continue to support the teams after graduation:

> A lot of [international] students that come to graduate school at RVU did their undergraduate degrees in their home countries. They are kind of taken back by the school spirit and the way that students rally around the sports teams and that people are wearing the logos of the university everywhere you go. For a lot of them, it is their first time ever experiencing that…but I can't tell you how many alumni follow our basketball team and our football team all over the world on the Internet. (32391)

Despite this level of fan interest, it was unclear whether the convening power of sporting events or watch parties benefitted international audiences. As one respondent at RVU noted: “obviously we are not going to Beijing with our basketball team” (17466).

The enthusiasm for athletics at RVU was not evident at Hilltop, where only one respondent mentioned that the institution had sports teams at all. This is not to suggest that the institution does not care or that its teams are not competitive. Instead it suggests that the spectacle of athletics in general, and football in particular, are lesser priorities, and cannot be easily leveraged as a convening opportunity to engage broad groups of alumni or other university partners.

Presidential Support

Presidential leadership is a well-known factor in fundraising success and both cases in this study confirmed that executive-level leadership is even more important when soliciting philanthropic support overseas. At Hilltop, the president was almost universally heralded for his dedication to the international agenda and for his willingness to travel overseas, including one year in which he made six development-related, international trips.

At River Valley, there was little discussion of the president with regard to the international advancement agenda. One participant (who is also an alumnus) indicated that the president of RVU was treated “like a rock star because he's moved the university in every single ranking. He's transformed the campus. Everybody wants to get to see him.” (82873). This statement is almost certainly hyperbolic, but it is easy to believe that this president, who has presided over the institution for considerably longer than the average university leader, has made a lasting impact on RVU overall.

Under his leadership, RVU’s reputation changed from that of a highly-regarded regional public university to a nationally-recognized research juggernaut. As discussed in chapter four, River Valley’s transformation occurred largely within domestic boundaries, suggesting that the international agenda was not a top presidential priority. Several respondents indicated that RVU’s president traveled abroad occasionally, but was unable to commit to the sustained international visits necessary to develop an alumni base or build relationships with major gift prospects.

Since neither president was a study participant, it is impossible to discuss why one president clearly prioritized the international advancement agenda while the other did not. Other participants did, however, provide some clues regarding presidential motivations. For example, individuals indicated that the trips, in order to be worthwhile, often require ten to fourteen days away from campus. This amount of time may seem acceptable or go unnoticed at either institution, but one must assume that RVU's public control makes it more difficult for the president to be away from local partners, state legislators, and media availability.

Resources must also play a part because several respondents suggested that an institution must spend money to make money. This truism is clearly established in the advancement world and is the basis for one of the most utilized measures for fundraising efficiency: the cost per dollar raised. Still, the gross cost or net benefit of any advancement trip might obscure the *type* of spending necessary to woo high-level, internationally-located donors. While no one participant stated it explicitly, there were numerous references to the luxuries of international trips, particularly ones including the institutional president. For example, one advancement professional described an interaction with a donor in the following way:

> I was with a donor in Hong Kong at the Hong Kong Jockey Club and he was very excited that our President was going to come to Hong Kong. He was going to roll out the red carpet. (41513)

According to the participant describing the interaction[21], the donor went on to describe how another university sends its president to see him, and how the donor deflects the president's gift solicitations:

> He [the other president] comes every two years and he always asks for a million dollars. All I need to do is take him out for a big dinner, spend some money on him and then I don't hear from him for another two years, but he still calls me. (41513)

The research participant was illustrating a larger point about how institutions misuse their presidents when soliciting international gifts, but the anecdote also pointed out that presidential trips enjoy gracious hospitality and might be perceived as "vacations" for presidents who are not strategically utilized. Other participants referred to private jets (a gift-in-kind from a prospective donor) and five-star hotels. In each case, these expenses are not only defensible, but almost certainly necessary to convey both institutional prestige and commitment to international advancement.[22] Still, one can understand how these trips, even if financed by private funds, appear unseemly for a public university leader whose campus has experienced reductions in public funding, financial retrenchment, and tuition increases. This problem is less obvious for Hilltop's leader who must spend more to signal an appropriate level of institutional success and who is also shielded from applicable sunshine laws relating to financial transparency.

Human Resources

In addition to support from the top of the institutional hierarchy, respondents in both cases described the importance of qualified advancement professionals throughout

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[21] This anecdote was described by a study participant, but the donor was not interviewed for the study.

[22] Currency exchange rates may distort the perceived costs of travel abroad.

the organization. These highly-sought individuals were well-rounded boundary-spanners, capable of representing numerous institutional functions in a culturally-competent fashion. There were also individuals in both cases who demonstrated entrepreneurialism, creativity, and a willingness seize emerging opportunities.

These characteristics emerged among front-line fundraisers as well as administrative and support staff. Examples of the former include the intrepid advancement professional at Hilltop whose loosely scheduled visits to India catalyzed their program or River Valley's collegiate advancement professional who utilized alumni magazine interviews to estimate financial capacity. Examples of the latter include the researcher at Hilltop whose background dossiers helped shape presidential gift solicitations or the team at River Valley who adapted the digital communication strategy for Chinese social networks.

In each case, the scarcity of qualified professionals was noted explicitly by senior-level individuals whose job searches yielded countless applications yet few with the right mix of skills. This demand was also implied by respondents in both cases who had either taken their current position after leaving a different university or had received inquiries about working on similar initiatives elsewhere.

Location, Location, Location

When respondents were asked about institutional characteristics that impacted the advancement agenda, a theme emerged suggesting that the home campus locations were a barrier.

Location was a seemingly larger issue at River Valley, where the international advancement agenda is heavily focused on international student recruitment. One respondent indicated that prospective international students are generally unfamiliar with the university and the city in which it is located:

> I'll be standing at the [student recruitment] table in Seoul [Korea] and I'll say River Valley University and they ask where it is located. No one knows. They can't tell the difference between Buffalo or whatever. They don't know where it is. (32391)

Location also impacts advancement-related activities, although to a lesser extent because alumni have presumably attended courses on the American campus and are familiar with the location. At Hilltop, one respondent indicated that the location limited the ability of the university to attract experienced advancement professionals and administrators:

> Hilltop's administration is largely filled with regional people. We have a world-class university [but the] administration [has] little experience beyond the state. That is a huge hindrance. (41513)

Beyond name recognition, the institutional locations in smaller cities present logistical challenges to the overall advancement agenda. For example, there are fewer international flights leaving from the local airports. One respondent compared River Valley to a peer institution on the West Coast:

> When you look at [Coastal University], it's easy to be the gateway to Asia there. I think their location makes it easier to work. They have a great international alumni program, but they're also strategically located. (32391)

Finally, the location in a small Midwestern city limits the general traffic of alumni or international partners who are "passing through" major American cities on other business:

> The fact that we are not a major city like LA or New York...a lot of people travel

> in the United States on business but our city is not necessarily one of the places they come to. So geographically I think that is a hindrance. (32391)

Differences in Perception of International Agenda

Perhaps the most compelling comparisons between the cases were the perceptions of the overall institutional commitment to the internationalization agenda. Unlike other themes that were tied to static characteristics like institutional control or to largely unchangeable cultural elements like support for intercollegiate athletics, the international agenda was understood to be a malleable work in progress with possibilities for growth or retrenchment depending on institutional leadership, stakeholders attitudes, or resources.

At Hilltop, multiple participants described a deep culture of internationalization and a robust global agenda. One professor suggested the institution was a "globally networked university" because the university has multiple international campuses where students can earn Hilltop University degree:

> Because we offer Hilltop degrees outside of the main historical campus, that serves to focus your attention [and] ensure[s] that you are engaged with those programs and those students. That really holds your feet to the fire. Because at the end of the day, your degree is your credential.
>
> Your degree is your valuable product. Offering the degree means that you really are forced into ensuring that you are doing in that program, or in that campus, everything that you would expect to do with your students and in your program at your main campus. (43389)

One way Hilltop aligns its campuses is by charging the same tuition rate regardless of location. This strategy is a "guiding principle" that protects the institutional brand and ensures that the degrees are valued similarly throughout the world. Another example of Hilltop's embedded global strategy is that campus partners have changed their nomenclature when describing the specific campus locations:

> You can't be talking to students who are Hilltop students at this other location and say, "Next week, I'm going back to Hilltop." You have to be careful. You have to say, "I'm going back to the city campus." But even in terms of your mindset, you have to realize that you're still at Hilltop even when you're in another location (43389).

Participants at Hilltop also described how the university's international agenda also serves the global community through public engagement. For instance, Hilltop's president convened and chaired a meeting in India to discuss the impact of climate change on emerging economies and to explore how India would have to work toward a solution. Another example was Hilltop's founding of a campus that will train information and communication technology leaders in a region where economic growth is stunted by the global digital divide.

In both examples there were legitimate institutional interests and financial opportunities to ensure that the projects were high-quality and sustainable. Nevertheless, the perception of these activities among participants spoke to the sense that Hilltop was taking advantage of innovative opportunities to expand Hilltop's long-term global reach, name recognition, and institutional prestige.

Participants at River Valley described an institution that has achieved a tremendous breadth of international research and teaching on its main campus in the United States. RVU supports research centers, language, global policy, cultural and area studies programs that are linked together through various campus units. Analysis of public documents demonstrates that River Valley regularly attracts global policy leaders and that the size and scope of its international opportunities places it among a small group of American research universities. According to an advancement professional:

> The international center is one of only a few in the United States…in it there are more than a dozen units including ones focusing on Latin America, Eastern Europe and others. Professors are focused on different regions and RVU offer[s] certificates in all of these areas. (82873)

This participant also described how there has been increased participation in and more options for study, work, and internships abroad:

> The international education offerings at River Valley go up every single year and the demand for that, especially in China and India, has just gone through the roof. I think RVU is doing a good job at making those types of opportunities available. There's definitely a focus now on looking outside of the US… both in terms of our student body and in terms of what we can offer the students here on campus. (82873)

This comment, and others like it, illustrate RVU's goal to offer domestic students a robust set of international opportunities while also attracting a substantial number of non-resident students and scholars from abroad. Naturally these opportunities require partnerships, and RVU has been intentional about asking alumni for assistance. For example, one executive advancement professional indicated the interest in connections with international alumni:

> We need alumni whether they are international or domestic, we need them to help us with career programming. We need them to help us find internships for our students. We need them to help us find jobs for our students. We need them to help us to advise our students about how to land those internships and those jobs so we want them to offer them. We need our alumni to help us recruit students that come to the university. (17466)

As discussed in chapter four, the recency of this agenda and the limited resources available to carry it out have encouraged RVU to develop short-term, low-risk strategies. As a result, there was little discussion about how the scope of the international agenda might promote bidirectional, mutually-beneficial international arrangements and more discussion about capitalizing on immediate resource opportunities.

In sum, the international agenda at Hilltop is perceived to be more institutionalized than it is at River Valley. There are myriad explanations for Hilltop's seemingly more engrained sense of internationalization, and discerning these exact factors is beyond the scope of this study. Still, my analysis suggests that the two institutions view internationalization differently. Hilltop views the agenda as a way to propagate knowledge and service to the global community, and River Valley attempts to aggregate global knowledge and service to benefit its stakeholders on its American campus.

Rankings

Considering all of the institutional differences between Hilltop and River Valley, the comparisons are inexact. After all, Hilltop has years of accumulative advantage in prestige, which is tracked globally using a various institutional rankings. University rankings can be a highly-charged topic because they assume that educational quality is quantifiable and rely on subjective weighting of various indicators. Still, humans appear to love rankings, and respondents from both cases argued that their international alumni pay close attention. A respondent at Hilltop described how alumni perceive the value of their degrees:

> The whole line of perceived prestige [based on] rankings, is really big with our international alumni. It's important to the future of the institution, but it's also important to the value of your degree because the stronger we are, the better ranked we become which means your degree is even more valuable than it was when you first received it. (74252)

Another respondent from River Valley explained that international alumni can be upset by negative changes in the rankings:

> It's mostly about rankings or just where the school is viewed. The alumni call [us] out on it right away, "When I went there we were ranked [higher], explain it to me." They'll go right up to the dean, "What are you going to do fix it?" At one of my previous jobs we got emails every single day [asking] why we dropped in the rankings, primarily from international alumni. (82873)

Rankings play a role in alumni satisfaction and their related interest in supporting the university financially. Therefore, upward movement in the rankings is a major concern for those charged with international advancement:

> When I meet with the [collegiate] dean he says "We need help with getting our students internships. This is what is going to make us go up in the rankings. Once we go up in the rankings, the money will follow." (32391)

The rankings and other external perceptions of each university also influence the likelihood that either institution will be considered for the types of opportunities that make up the broader international agenda. For example, when governmental, non-governmental, and private agencies want to establish a new relationship, they might first turn to the rankings to find an American (or other Western) university that specializes in the building whatever capacity might be needed. Hilltop provided several examples of global partnerships that were realized through existing networks or by invitation from governmental or non-governmental bodies.

When a government in Asia wanted to found a new technology research center, it sought out experts and selected a dean who happened to be a Hilltop alumnus. That individual then "reached back" to Hilltop and acted as a connection between the Asian country's government and Hilltop's administration. Foreign governments might also utilize the rankings to select top programs for expanding knowledge of technical capacity in their country. A participant at Hilltop suggested that the rankings guided the choices in a Middle Eastern nation attempting to attract foreign branch campuses:

> As part of [the country's] international campus strategy, they were bringing in the best of breed universities into the region and in the areas they wanted represented. We're very highly ranked…and have tremendous brand equity in those disciplines. (65571)

Also, institutional rankings drive up student demand and subsequent applications for admission. According to one participant at Hilltop:

> Just to distinguish what Hilltop is with other schools, and again not to be egocentric about our university, but just to give you factual information. We received more than 50,000 applications from around the world for almost 3,000 undergraduate seats. The university rejected [dozens] of perfect SAT's, hundreds of valedictorians, and thousands with perfect GPAs. So that tells you that we are not running after people, saying "Hey come to Hilltop." Instead, we have a challenge here how to select best out of the best pool that we have knocking on our doors. (19242)

This statement illustrates the impact of rankings and prestige because the higher quality an institution is perceived the be, the more capable it is of waiting for individuals, donors, international partners, and prospective students to "knock" on its door. In these two cases, Hilltop is internationally perceived as being ahead of RVU, even if actually educational quality is comparable. This enables Hilltop to move beyond the student recruitment efforts that are central to RVU's international advancement agenda and to focus resources on engaging international donors or building longer-term partnerships abroad.

Resource Constraints

Despite the apparent differences in prestige discussed above, both Hilltop and River Valley compete in the same positional global marketplace for the same, theoretically-limited, resources. Even though the specific alumni pools are mutually exclusive and non-competitive, the financial resources, and human networks they represent are. Simply put: it is unlikely that a Hilltop alumna is also a River Valley alumna, but her total capacity for giving, or her connections to prospective students are limited, and therefore promote competitive behaviors.

Given these conditions, it is not surprising that participants from both institutions recognized that resources must be invested to compete for returns from the international advancement agenda. Given the vast number of institutional goals, many of which are vague or poorly defined, it is not surprising that individuals connected to the international advancement believed that not enough resources were committed to the agenda in which they participated.

Indeed, resource scarcity was the theme that most commonly emerged as a barrier to the success of current efforts or expansion of future ones.[23] Even though Hilltop and RVU have different levels of control (e.g. public/private), historical relationships with external constituents, levels of presidential support, amounts of total resources, and perceptions of prestige abroad, respondents throughout the organization chart at both universities lamented inadequate levels of resources available to do the work well.

This theme speaks to the level of competition among colleges and universities in a positional marketplace which rewards improvements in quality far more than decreases in pricing. This finding illuminates the high costs and unknown returns of a robust international advancement agenda that may demonstrate why so few institutions are

[23] The responses were so pervasive, that I began asking about the biggest institutional barrier *besides* limited resources

seriously invested in this work.

Conclusion

In comparing and contrasting both cases, it is somewhat evident that most, if not all, of the external barriers to international fundraising apply universally. After all, Japanese tax laws, Korean attitudes regarding philanthropy, or Indonesian traffic jams would apply to any institution interested in international advancement. Overcoming these barriers must be learned either through experience within the market, from the inter-institutional diffusion that occurs at conferences, or when professionals switch jobs.

The differences between these cases appear largely tied to static Institutional Characteristics and overall support for the agenda in committed resources, executive prioritization, or accumulative advantage gained through experience or prestige.

In the next chapter, I will align the findings discussed in chapters four and five to knowledge domains discussed in the conceptual framework guiding this study. By analyzing these findings at a conceptual level, I am able to interpret ways in which existing theories regarding the internationalization of the firm and different types of Market Knowledge apply to the internationalization of advancement agendas in the two cases selected for this study.

Chapter 6: Summary and Discussion

Introduction

Despite numerous academic studies investigating internationalization at IHE, there has been little research to understand how institutions broaden their agendas for the purposes of cultivating alumni support or soliciting philanthropic gifts from internationally-located partners. The key research questions guiding this study include, 1) How and in what ways do institutional leaders internationalize the advancement agenda? 2) To what extent might differences exist in the internationalization process based on institutional control (e.g. public/private authority)?

To address these questions, two unique case studies were constructed using participant interview data and public document analysis. A cross-case analysis was also constructed using common themes of importance to both institutions. In this chapter, I summarize the findings of this study and discuss how these findings might inform theory and practice related to international advancement at U.S. colleges and universities.

Interpreting Findings with the Conceptual Framework

This qualitative multi-case study provides a foundation for understanding how internationalization of the advancement agenda aligns with earlier literature on globalization, university internationalization, and institutional advancement. In particular, I relied on the Uppsala Model of internationalization (Johanson & Wiedersheim-Paul, 1975; Johanson & Vahlne, 1977) and subsequent theorists from the “Uppsala School” to develop a conceptual framework, research questions, interview protocol, and analytic strategy. In the following sections I interpret my findings through the lens of the Uppsala

School, discussing ways in which the proposed conceptual framework represents internationalization of the advancement agenda and ways in which the model requires greater nuance or further investigation.

To summarize, the main tenets of the Uppsala Model are Market Knowledge, Commitment Decisions, Market Commitment, and Current Activities. The model assumes that organizations gain Market Knowledge which leads to gradually increasing commitments to foreign markets. These commitments increase the number of activities within a market, thereby increasing the amount of Market Knowledge and perpetuating further commitments. This study focused largely on one component of the Uppsala Model, Market Knowledge, which Eriksson et al. (1997) divided into three domains: Business Knowledge, Institutional Knowledge, and Internationalization Knowledge.

These domains were adapted to the context of institutional advancement in higher education and, along with what I defined as static Institutional Characteristics, formed the proposed conceptual framework found in chapter three. Over the course of data collection and analysis, findings expanded my understanding of the framework.

Business Knowledge

The first finding was that Business Knowledge is the most critical, of the three knowledge domains required for institutions to commit to this agenda.[24] In this study, Business Knowledge was found to be an awareness of alumni names, contact information, and interest in engagement. This finding was consistent with the work of Eriksson et al., (1997) who found a statistically significant relationship between a lack of

[24] *Business knowledge* is defined as "the knowledge a firm has of the customer base, competitors, and market conditions in a particular foreign market" (Eriksson et al., 2000, p.310).

Business Knowledge and high internationalization costs. This relationship can be explained by the advantage that accrues to organizations that have invested resources in developing client relationships and therefore have international partners for “facilitating exchange.” According to Erickson et al., (1997) firms that lack Business Knowledge must go through the “costly” process of gaining knowledge of “specific foreign clients” (pp. 343-344).

Even though the current study found that developing Business Knowledge for purposes of international advancement raised internationalization costs, it is nuanced from the proposed framework. because the meaning of “specific foreign client” differs between an IHE and for-profit firms. IHE require more specific Business Knowledge to communicate with foreign constituents and subsequently commit resources to this agenda. In other words, finding a specific, unique individual with an existing affinity for a particular IHE, is more difficult and expensive than finding a potential group of clients, any of whom might support a firm.

Unlike for-profit firms which rely on market efficiencies to match their services with customer demand, IHE engage in an inefficient matching process that excludes students without the academic credentials required for admission or the ability to pay the substantial fees (since no financial aid is offered). Similarly, the clients (in this context, prospective students seeking a university) exclude institutions based on their own preferences. This matching generates affinity between the student and IHE that differs from relationships existing between for-profit firms and their customers.

As multiple participants noted, that affinity tends to grow over time, particularly if the student has a positive experience on campus or if the value of the student's degree (measured by intuitional rankings) increases. This connection can deepen over decades, effectively enhancing the relationship's value to both parties. In this way, Business Knowledge becomes critical to the international advancement agenda because it becomes substantially more expensive to build a new relationship than it is to maintain an existing one (MacMillan et al., 2005; Morgan & Hunt, 1994).

Developing Business Knowledge of alumni and donors requires time, resources and intangible assets like creativity, determination, or even luck. Indeed, numerous participants from this study described the challenges involved with acquisition of alumni data, initially in the form of names and contact information, and later as full dossiers of corporate and philanthropic activity. No two prospective donors are the same and there are substantial costs and risks in getting the information wrong. This level of detail and specificity is incomparable to the for-profit conceptualization, even in an era of "big data" or micro-targeting. As such the "specific foreign clients" that Eriksson et al.'s firms must find are unlikely to be as costly or labor-intensive as those of IHE. Business Knowledge is therefore even more critical than proposed in the original theoretical framework.

In addition to finding that Business Knowledge is the most important knowledge domain, I also found it to be chronologically pre-eminent relative to the other knowledge domains. Respondents described the accumulation of Business Knowledge as a prerequisite for future market commitments. This finding was consistent with Eriksson et al.'s (2000) research investigating whether the internationalization process was "path dependent" which they defined as "behaviour by firms that is contingent upon and a function of its past international experience" (308).

This finding was further supported by Johanson and Vahlne (2003) who elaborated on Eriksson, Johanson, et al.'s (1997, 2000) and Eriksson et al.'s (2000) definition of Business Knowledge by including existing, yet potentially hidden networks. The authors argued that, "the only way of learning about such network structures is to start interacting with one or several of the network actors and…provoke them into disclosing how strong and connected their relationships are. This means that foreign country market networks cannot be comprehended by outsiders, even if [the outsiders] are aware that the networks exist" (p. 96). This type of networking was noted in both cases of the current study, as alumni were asked to reveal information about other alumni, prospective students, or other potentially useful contacts.

This finding that Business Knowledge was prioritized chronologically expands the conceptual framework in new ways, challenging the original supposition that the three knowledge domains are of equal importance and that their order was either not relevant or impossible to detect. While this is a narrow point that involves debating "chicken and egg" causality or directionality, the responses from this study were interpreted to suggest that Business Knowledge provided the foundation for the rest of the international advancement enterprise, and that building a database of international alumni contacts was an appropriate and necessary first step for adopting this agenda.

This makes intuitive sense in marketing, fundraising, human resource recruitment, or other process in which a large pool of potential candidates are converted to new stages of engagement or investment. These strategies (often visualized using a funnel) assume that only a small proportion of the primary group will remain engaged until a meaningful transaction occurs. Given this context, it is critical to have a sufficiently large group as early as possible.

In sum, Business Knowledge is a necessary component for the entire international advancement agenda. It should therefore be given greater importance and sequential pre-eminence in the conceptual framework and in future research.

Institutional Knowledge

Another finding was that Institutional Knowledge is less important overall for committing to this agenda because it is easier to acquire than the Business Knowledge and can be attained through multiple channels and at different times.[25]

In the context of institutional advancement in higher education, this domain includes awareness or understanding of tax laws or other incentives; cultural differences regarding wealth transfer, philanthropy, and solicitation; money transfer and banking regulations and the application of those regulations, legal or risk management issues; understanding of foreign languages; and an awareness of that country's social or third-sector needs.

The finding that Institutional Knowledge was less important than Business Knowledge reshapes one's understanding of the original conceptual framework since past literature suggests that Institutional Knowledge would be equally difficult and expensive to acquire as the other knowledge domains. Previous research also posited that

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[25] *Institutional Knowledge* is defined as knowledge of the "government and the institutional frameworks, rules, norms and values in the particular markets" (Eriksson et al, 2000 p. 310).

Institutional Knowledge would have to be obtained with experience in the market (Eriksson et al., 1997; Johanson & Wiedersheim-Paul, 1975; Johanson & Vahlne, 1977; Kogut & Singh, 1988).

Instead, this study found that compared to for-profit firms, IHE develop Institutional Knowledge easily because advancement professionals can draw expertise from numerous sources both inside and outside of the actual market. This study found examples from Hilltop and River Valley in which Institutional Knowledge was accumulated through professional conferences, internal expertise, outside consultants, and even from the very partners the institution had already engaged. While it can be difficult to find knowledge in large and decentralized universities, their main “product” is expertise in a wide variety of subjects. In contrast, it is hard to imagine many global businesses, no matter how large, having entire departments staffed with experts in area studies, languages, cultures, economics, or law.

These sources provided knowledge about navigating cultural, social, economic, and legal barriers to appropriate stakeholders within IHE. Examples of these interactions were noted across both cases in this study: the “friending” of Thai donors on Facebook, the respectful, face-saving withdrawal of a “yes/no” pledge from China, the patience to sit through long, informal, cheese bread-fueled meetings in Brazil, the awareness that gifts originating India should benefit development efforts in India. In each of these situations, the advancement professionals found that *awareness* of cultural factors could either assist or hinder future donor relations and that familiarity with market-specific customs helped lower barriers to the mutual benefit of institutions and partners.

While this awareness is supported in the literature on the internationalization of the firm, it highlights distinctions between alumni and for-profit customers. Like any other Market Knowledge, firms benefit from market forces that bring businesses and customers together. This allows for the value of the relationship to be distributed somewhat evenly between both parties, thereby reducing the risk that a cultural barrier or social misstep will terminate the transaction.

Alumni, conversely, have generally already accrued many of the benefits from the relationship in the forms of the economic gains and societal prestige of institutional association (Weerts & Ronca, 2007). Therefore, they must be presented with a rationale to continue the relationship as volunteers or donors. This places an additional burden on IHE to develop Institutional Knowledge and to engage volunteers in culturally-specific ways.

This study also found that the most difficult Institutional Knowledge to acquire relates to money transfer regulations or tax structures within foreign markets. Unlike the cultural components of Institutional Knowledge that might cause offense or discomfort, the laws and regulations within a country are seemingly more fluid, more complicated, and more difficult to circumvent. As a result, they present a significant barrier to this agenda. Indeed, there is no rationale for spending resources to cultivate a major gift if the donor is singularly focused on a non-existent tax incentive or the money cannot easily or legally be transferred to institutional accounts. Given the substantial body of literature demonstrating that tax incentives motivate philanthropic donations (Andreoni, 1990; Clotfelter, 1985, 2003; Feldstein, 1975; Steinberg, 1990; Taussig, 1967), the inability to leverage tax benefits in international markets could become an insurmountable barrier.

Nevertheless, participants from both institutions acknowledged that donors who really want to give will find ways to do so. This applied to donors who opted to give even though there was no direct financial benefit, as well as donors who utilized business holdings or American partnerships to facilitate the financial transaction. Conversely, there are donors who might not give regardless of the benefits, yet openly cite money transfer regulations or tax penalties as their reasons for declining. Obviously there is no way to know whether these statements were true or a simply convenient opportunity to gracefully say “no.” This illustrates the necessity of acquiring comprehensive Institutional Knowledge across all potential markets and maximizing student recruitment, partnerships, or alumni volunteerism where financial transactions are prohibitively difficult.

In sum, Institutional Knowledge was found to be extremely important for the success of an international advancement agenda, but it was less important than initially discussed. This discrepancy can be explained by the fact that the institutions in this study have long histories of international experience and abundant internal expertise. A second possibility is that international donors might be less sensitive to cultural differences because of their time spent at American institutions or because of subsequent career paths in a global society. Participants in this study indicated that prospective international donors might have cultural differences regarding wealth and philanthropy, but they are unlikely to be naïve to gift solicitation or American-style university fundraising. Although they noted a few instances in which prospective donors were unaware that the sustained alumni relationship might eventually lead to a philanthropic solicitation, these situations were apparently rare. Instead, international alumni and partners were described as leaders in government and industry whose financial holdings or public stature made them frequent fundraising prospects.

A final possibility is that the inclusivity of the concept Institutional Knowledge confounds comparatively easily-acquired cultural sensibilities with highly complex legal and financial frameworks. After all, for-profit firms and non-profit IHE will both have to experience informal Brazilian meetings or learn to navigate a hierarchical Korean group whether they are looking to establish an international joint venture or solicit gifts for a new scholarship. Otherwise, the effectiveness of Institutional Knowledge likely diverges based on the specific legal frameworks existing within each market. For-profits might find an environment that welcomes foreign investment, while non-profits might find an environment with limited third-sector options, few tax incentives for gifts, and bureaucratic challenges for establishing non-profit status. As such, there are elements of Institutional Knowledge which provide less useful comparisons between for profit and non-profit sectors.

In sum, Institutional Knowledge development is critical for institutions of higher education interested in committing to an international advancement agenda. Since institutional partners have already accrued much of the benefit from their institutional affiliation, they have a very low cost for terminating the relationship permanently. Therefore, it is necessary to understand the philanthropic and business cultures within a market and to adapt the institutional advancement agenda appropriately. Even though this appears to be a substantial barrier, IHE have tremendous expertise from which to draw and therefore, Institutional Knowledge can be gained through multiple channels and at different times. As such, it is easier, and presumably less expensive, to cultivate Institutional Knowledge than Business Knowledge.

Internationalization Knowledge

This study found that Internationalization Knowledge, which includes the institution's knowledge of its current and future capacity for international activities, is the least important of the three knowledge domains required for committing to an international advancement agenda. However, its accumulation can reduce internationalization costs and provide shortcuts for developing knowledge in other domains.[26]

This finding is supported by the work of Eriksson et al. (1997), who found no evidence of a relationship between a "lack of Internationalization Knowledge" and the perceived costs of internationalization. This finding assumes that "it is not possible to articulate the need for Market Knowledge without knowing the specific resources of the firm" (p. 350). While this makes intuitive sense in any business environment, it is nuanced from the proposed conceptual framework because it was originally assumed that the high costs of international advancement would require some cost-sharing, and that various units would be more likely to cooperate, despite individualized goals and budgets.

Instead, IHE have entrepreneurial units that tend to build Internationalization

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[26] *Internationalization Knowledge* is defined as the "firm's knowledge of its capability of engaging in international operations and its resources for doing so" (Ericksson, et al., 2000, p. 310).

Knowledge locally and have few incentives to share across organizational boundaries. Two respondents in this study demonstrated that international advancement activities can occur with only a very limited amount of Internationalization Knowledge: the advancement professional from Hilltop who researched a list of Indian alumni and then built a larger network through face-to-face interaction, and the collegiate advancement professional at River Valley who hosted dozens of international alumni events to pilot potential markets for future engagement.

Of course, neither participant said that these activities happened in total isolation, yet each implied that he had effectuated international advancement strategies with little more than a list of alumni names (Business Knowledge), and some finely-tuned cross-cultural competence (Institutional Knowledge). Given the decentralization at each of these institutions, and the highly individualized goals of particular units within those institutions, neither of these two participants required knowledge of the institution's broader capacity or resources related to the international advancement agenda beyond the awareness that their specific commitments were approved and funded.

This is a noteworthy difference from the Uppsala Model which was developed based on tightly-coupled firms using top-down, hierarchical management strategies. As such, it was assumed that the leaders had knowledge of international activities across the entire organization. Perhaps most evident was Eriksson et al.'s (1997) data collection strategy which involved sending questionnaires "addressed to the presidents of these companies who were deemed most likely to be involved in the internationalization decision process of their firms" (p. 346). This strategy would be more challenging in loosely-coupled organizations like IHE. Indeed, this study required finding a few key stakeholders across a variety of units at both Hillside and River Valley.

This is not to suggest that decentralization is necessarily problematic. Van der Wende (1999) argued that a decentralized international agenda may be beneficial as long as the various practices can be "spread around and adopted elsewhere in the institution" (p.5). Since each participant in this study was obviously aware of her own work, and recommended others through network sampling, it was unclear whether this diffusion was happening at either Hilltop or River Valley. A more robust sample size in future work might shed light on the speed and depth of Internationalization Knowledge diffusion.

Still, the qualitative interviews revealed attempts to develop Internationalization Knowledge by sharing data, coordinating travel, and eliminating redundancies. River Valley, in particular, demonstrated that Internationalization Knowledge accumulation was an appropriate strategy in the absence of additional resources to expand the agenda. RVU has gained a better awareness of international initiatives existing across campus and has moved, however slowly, toward the elimination of inefficiencies like the four delegations that went to China over a four month period. Respondents indicated that these gains were successes.

There are multiple reasons why Internationalization Knowledge might be preferable in times of resource scarcity. First, Internationalization Knowledge provides efficient shortcuts to other knowledge domains. One noteworthy example was Hilltop's discovery that a Chinese donor felt obligated to make a gift even though she did not really want to. Alumni relations professionals resolved this awkward situation after a Chinese colleague discussed the gift with the donor and “translated” the issue for the largely American-born advancement team. To be clear, there was no indication that the professional was hired because of his Chinese heritage, but the anecdote illustrates how IHE can develop knowledge in overlapping domains by tapping internal expertise, assuming there is sufficient diffusion across units to know that the expertise exists in the first place.

A second explanation for the development of Internationalization Knowledge in times of resource scarcity is precisely because this knowledge domain is the least effective for committing resources to foreign markets. By discussing international advancement in symbolic rhetoric, institutions can limit the financial outlays or public relations risks discussed earlier in this paper. For example, a task force or study group designed to align university-wide international advancement efforts will publicly signal an interest in this agenda, while also delaying the necessary resource commitments required to see appropriate returns. In this way, the agenda remains somewhat “hidden” behind the mission-related internationalization functions that signal the commitment to globally-focused research, teaching, and public engagement (Childress 2009, Knight, 1994).

This implies that IHE, especially publics with higher levels of risk aversion, are internationalizing their campuses on multiple fronts. One front involves the incorporation of international concepts into the traditional university missions while the other front attempts to cultivate resources from a geographically diffuse external environment. This study suggests that these fronts are not the result of a specific institutional strategy, but are instead the result of organizational decentralization and a culture that favors entrepreneurial behavior in response to low-risk, high-value opportunities.

A third finding relating to Internationalization Knowledge was that this domain includes awareness of the absence and limitations of resources or expertise. This was noted at River Valley where the institution does not have capacity within their own university counsel's office to fully investigate international non-profit status or establishment of "friends of" foundations abroad. Rather than attempting to accumulate knowledge internally, they hired an external firm to expedite this work and minimize risks. Because leaders need only look at what competitors are doing, any institution in a positional marketplace aware of resources it does not have. Numerous participants cited examples of competitors' strategies, demonstrating that awareness of deficiencies also contributed to Internationalization Knowledge.

In sum, Internationalization Knowledge is helpful for increasing foreign market commitments because it reveals existing resources, provides efficient shortcuts to other Market Knowledge within the institution, and enables collaboration or cost sharing. Since this knowledge already exists within the institution, it is the least expensive to acquire, assuming permeable boundaries and appropriate incentives for collaboration. As such, it might be prioritized over other knowledge domains in times of resource scarcity. Nevertheless, the diverse goals that exist within IHE, along with the lack of incentives to streamline efforts, reinforces an entrepreneurial culture which limits the aggregation and dissemination of Internationalization Knowledge, thereby reducing its overall utility.

Institutional Characteristics

The conceptual framework for this study utilized knowledge domains that were adapted from research on the internationalization process of the firm. While these domains were generally helpful for framing and interpreting this study, they were less useful for answering a key research question regarding potential differences between international advancement based on public or private authority. Therefore, I added Institutional Characteristics to the conceptual framework to account for knowledge that is deeply understood by everyone across the IHE, and is nearly impossible to change regardless of leadership agendas or budgetary cycles.

This study found that River Valley, as a public university, has a lower risk tolerance for any agenda that is perceived to divert time or resources away from local or regional constituents, whose support remains critical in times of declining public support. This finding aligns with the work Cyert and March (1963) who suggested that organizations are inherently risk averse and mitigate that risk through incremental decision-making based on the best, albeit limited, information available.

Cyert and March's work provided the basis for the Uppsala Model and subsequent scholarship from that school (Eriksson, Johanson et al., 1997, 2000; Eriksson et al., 2000; Johanson & Wiedersheim-Paul, 1975; Johanson & Vahlne, 1977, 1990, 2003, 2006, 2009;) by suggesting that firms will gradually increase resources for international markets through a process of organizational learning. As such, Eriksson et al.'s perception of Market Knowledge, which informed the conceptual framework for this study, was viewed as an informal "measure" for risk aversion.

In this study, I interpreted the difference in the speed and depth of the international agendas at Hilltop and River Valley as reflections of their institutional risk tolerance, which diverged further relative to Market Knowledge accumulation. This exacerbates the gap between the international capabilities of private institutions over public ones and perpetuates a self-sustaining feedback loop.

For example, participants at River Valley perceived the institution as having less overall freedom to pursue the agenda because it would divert support from in-state constituents including the taxpaying parents of prospective students, local alumni, and state legislators. Instead of expensive, long-term fundraising initiatives, RVU sought international alumni who would connect the institution to shorter-term, lower-return tuition revenue paid by international students.[27]

While there was no specific legislative directive either encouraging or limiting international advancement initiatives, participants from RVU intimated that the already dwindling amount of state financial support might be reduced if legislators believed that substantial funding was being diverted overseas. Since RVU is bound by applicable sunshine laws, it is more responsive to potential public relations threats stemming from the high costs and perceived luxury of international travel. As such it is was more risk-averse to the agenda than a private institution like Hilltop, that can defend private expenditures, luxurious travel, and the “spend money to make money” explanation.

Beyond the element of risk tolerance, differences by institutional authority can largely be attributed accumulative advantage gained by Hilltop’s earlier international

[27] In general, instructional and support costs per student are more than the total amount of tuition and fees. So while fully-paying international students help subsidize the costs for other students, there are few programs that can consider their tuition revenue as “profit”.

initiatives. Because private universities were typically founded by private gifts, [28] they have developed experience in soliciting resources from the external environment, and in explaining why private philanthropy is necessary to maintain quality. Otherwise, there was little difference in *how* the private university (Hilltop) and the public university (River Valley) in this study, engaged international audiences or accumulated Market Knowledge for increasing international advancement activities.

Another finding was that campus location emerged as an important element in the international advancement agenda. Even though foreign university outposts and low-cost educational technology make the "home" campus location appear less important than ever, alumni relations and fundraising rely on personal relationships and face-to-face communications. Furthermore, advancement strategies leverage emotional ties to the location which were described as a powerful "home away from home" for many international students. Indeed, one participant described the popularity of donor gifts that feature imagery of campus buildings.

This is nuanced from the literature on for-profit firms. While these firms clearly utilize personal interactions to conduct business, they are more likely to establish foreign subsidiaries for distribution or even relocate to reduce costs with transportation efficiencies.[29] Johanson and Wiedersheim-Paul (1975) described these expansions as a normal progression through the "establishment chain" and later studies from the Uppsala

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[28] There are some examples of institutions that have changed authority from public to private or from private to public. For the purposes of this paper, there is a broad assumption that private IHE have a long historical context for soliciting private philanthropy, despite some possible exceptions.

[29] There are obvious exceptions, particularly among firms reliant on a local commodity or product which is unavailable elsewhere.

School (Eriksson, Johanson, et al., 1997, 2000, Eriksson et al., 2000) found similar stages of internationalization among exporting and service-industry firms.

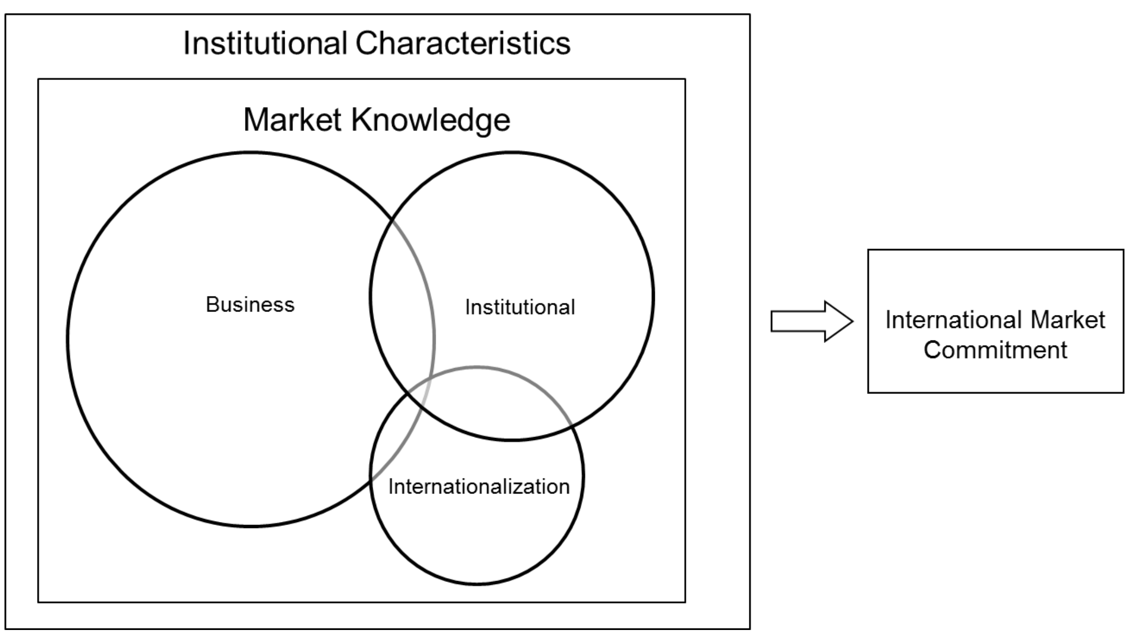
Since both Hilltop and River Valley are unable to move from their moderate-sized Midwestern cities they are at a competitive disadvantage because respondents described difficulties explaining their locations to constituents whose knowledge of American geography might be limited to only the largest or most recognizable cities. This phenomenon was especially prevalent at RVU, where the agenda focused more on recruiting international students who had never been to campus. Furthermore, the logistics of international travel are more difficult and expensive when connecting through smaller airports. And while neither institution is located in a distant backwater, they cannot compete with the number of outgoing flights or the routine international business that brings constituents to larger coastal cities.

In sum, static Institutional Characteristics that are embedded in the university, and presumably known universally, impact how different types of Business Knowledge are interpreted throughout the organization. Due to the noted differences in risk aversion between the public and private IHE in this study, and the importance of Market Knowledge accumulation in overcoming risk aversion, institutional control was found to be the most important institutional characteristic in this study. Given the proposed theoretical framework and the limited time available for participant interviews, only a few Institutional Characteristics were investigated specifically or emerged during interviews. These findings illustrate how characteristics that are unique to IHE might inform both theoretical developments and practical implications for successful internationalization of advancement strategies.

Revisions to Conceptual Framework

The proposed conceptual framework for this study (Figure 3) suggested that IHE must develop a baseline level of Market Knowledge before committing resources specifically for international advancement activities abroad. In this framework, the concept of Market Knowledge was comprised of three different knowledge domains: Business Knowledge, Institutional Knowledge, and Internationalization Knowledge which were assumed to be separate entities contributing both equally and simultaneously. In many ways, the proposed framework for this study was a useful and appropriate interpretation of previous literature in this area. In other ways, however, the results and interpretations from this study were nuanced from the literature, often due to the unique mission and market orientation of American colleges and universities. To account for this nuance, a revised version of the conceptual framework can be found in Figure 4.

Figure 4. *Revised Conceptual Framework for International Advancement Market Commitments*



The model depicted in Figure 4 reshapes the conceptual framework guiding this study in important ways. In doing so, it adds new knowledge of the process of internationalizing advancement agendas within U.S. colleges and universities. First, the knowledge domains are no longer viewed as independent or mutually exclusive. Instead, they are viewed as overlapping and interactive. This change to the framework became clear while calculating intercoder-reliability for the textual interview responses. During this process, randomly sampled responses were coded to align with the proposed knowledge domains which resulted in substantial cross-coding. Subsequent discussions about determining mutual exclusivity depending on the context of the knowledge, and the interpretation of the response relative to conceptualizations of the Market Knowledge domains, revealed that they were often difficult to distinguish.

Imagine, for instance, an institution's advancement database that was recently upgraded to handle international names, addresses, or non-English character sets. This might be viewed as Internationalization Knowledge because it is part of the institutional capacity to engage in the advancement agenda and also represents invested resources. Likewise, the database can be thought of as Business Knowledge because it literally contains all of the awareness of individuals existing in foreign markets and without it, advancement communications will cease. Finally, it can be thought of as Institutional Knowledge because whomever designed and implemented the system knew that foreign postal services and appropriate cultural protocol are important for alumni engagement.

Ultimately it was determined that Market Knowledge can be partially distributed among several knowledge domains and that interpretations might vary depending on one's perspective within the organization. This was found to be especially true while interpreting an institution's human resources. For instance, a highly-skilled prospect researcher is undoubtedly part of an institution's capacity to engage in this agenda and awareness of this individual can be interpreted as Internationalization Knowledge. However, the actual results of this individual's work (i.e. alumni names, addresses, philanthropic histories) fall squarely under the definition of Business Knowledge. Rather than debating whether one individual is exclusively *contributing to* or exclusively *part of* the Market Knowledge, the findings from my study suggest that interactions and overlap provide a more useful framework for understanding this process.

The second update was to change the relative size and position of each knowledge domain to more accurately represent their overall importance in motivating international commitments. In the context of this study, nearly every participant explained that there would be little interest in international advancement were it not for knowledge of international alumni with capacity and inclination to provide time, connections, or financial resources in support of the university.

This was interpreted to mean that Business Knowledge was not only the most important overall, but that it is accumulated prior to other types of Market Knowledge. As discussed in the previous section, there is considerable overlap between domains, and therefore it is difficult to interpret how an institution might develop "pure" Market Knowledge. Nevertheless, this study suggests that IHE that can systematically collect data in a standardized format and make those data centrally available, are at a significant advantage. Barring that level of coordination, Business Knowledge and subsequent success with international advancement accrues to the institutional sub-units with the ingenuity to find international alumni or other "highly placed" partners.

The third revision to the framework was resizing the knowledge domains based on the findings from this study. Institutional Knowledge was found to be less important than Business Knowledge because it can be learned through multiple channels both inside and outside of the specific market. Also, Institutional Knowledge accumulation involving cultural attitudes about philanthropy and business etiquette were found to be less complicated and expensive than originally thought. Finally, Internationalization Knowledge was reduced in size to represent the finding that it was the least important knowledge domain overall. Because IHE are loosely-coupled, decentralized organizations and because alumni and prospective donors are likely to express affinity for a specific unit, there are few incentives for data- or cost-sharing. As such, individualized units, each with their own specific amounts of Business and Institutional Knowledge can operate independently from one another, and require little awareness about the institution's broader capacity to engage in the agenda. When advancement professionals or other institutional leaders attempt to build Internationalization Knowledge, there can be noteworthy benefits as redundancies are eliminated and costs reduced. Nevertheless, the international advancement agenda within a large and decoupled organization requires very little Internationalization Knowledge to commit resources beyond the awareness that one's particular initiatives are funded and operational.

To summarize, the conceptual framework anchoring this study utilized previous literature on the internationalization of the firm to guide data collection and to interpret responses. Since this was a foundational study and previous theoretical literature was scant, the proposed framework was useful and appropriate. Nevertheless, the qualitative data that was collected from advancement professionals and the interpretation of that data suggest that my proposed updated framework will extend and align this work for future scholars and practitioners.

Implications for Theory

The preceding sections of this chapter illustrate how this study extends and expands the framework for understanding the knowledge-accumulation internationalization models, like the Uppsala Model, in the context of non-profits. In the following sections, I will elaborate on several implications for development of theory in the domain of international advancement.

First, this study presents researchers with comparisons between the internationalization process of the firm and the internationalization of the advancement agenda in IHE. This is noteworthy because institutional advancement is among the most profit-driven and “business-like” of any university function. As such, it can be more readily viewed through the theoretical lens of for-profit firms. While several key differences between these organization types emerged, this study aims to provide a theoretical bridge between the robust literature on the internationalization of the firm, and the ways in which IHE engage constituents overseas.

A second implication for theory is that this study provides context for a frequently overlooked component of the internationalization agenda. Although alumni relations and fundraising surface occasionally in the internationalization literature, research is often focused on the inclusion of global themes into the existing curriculum or the trade in educational services through research or study abroad. These themes are obviously critical for understanding the commitment that universities have to their global agendas, but the exclusion of advancement-related activities ignores an important function that can augment resources and develop pathways toward a broader international agenda overall. This study provides some foundation for theoretical work on “hidden” elements of the international agenda that are necessary for cultivating resources for additional international work or engaging international partners for other institutional priorities. By highlighting this element of the internationalization agenda in higher education, future research can and should include this otherwise understudied area.

Third, this study attempted to provide a basic foundation for exploring attitudes regarding alumni relations, philanthropy, and voluntary support among international populations. Although this study provides only small anecdotal examples from the perspectives of practitioners, it helps synthesize the challenges that exist from both sides of the donor equation that might be meaningfully applied to theoretical studies on non-profits, NGOs, IHE, or other third sector entities. To date, this has not been thoroughly explored in the field of higher education.

Overall, this study provides a foundation for future inquiry regarding the intersection of the internationalization and advancement agendas. This work is increasingly necessary as the confluence of economic growth, educational capacity deficiencies, and a shift toward privatization turn philanthropy into a necessary revenue stream for IHE and other non-profit organizations. Understanding the mechanisms by which these organizations can cultivate resources from the global external environment will only improve institutional and societal outcomes as they expand farther beyond national borders.

Implications for Practice

This study has several implications for future practice. Since all of the participants were connected to the international advancement agenda, they understood the difficult and expensive process involved with engaging internationally-located alumni and partners.

The first implication for practice is that institutions must decide whether international alumni really are a differentiated audience who require dedicated advancement professionals, or whether they can be subsumed into hybrid domestic-international portfolios. Regardless of whether advancement professionals existed in the central administration office or within an institutional sub-unit, there was some debate among participants about whether international advancement is just a geographically distant version of domestic advancement.

The findings from the study suggest that domestic-international hybrid portfolios are preferable because senior-level participants noted the rarity of, and demand for, advancement professionals with international experience. Giving every alumni relations, annual giving, and major gifts officer at least some international constituents can help build the pipeline of experienced individuals while also diversifying the risk that one individual might irreparably harm a potentially fruitful relationship. As this agenda becomes broader and more integrated, institutions should signal that international alumni and donors are part of a global community, rather than a separate population. This strategy has the added benefit of minimizing the perception that international travel is a luxurious reward reserved for the senior-most individuals. Naturally, this requires some balance, particularly in hierarchical societies where entry-level titles or junior-level staff might offend prospective donors.

A second implication for practice was that the biggest barrier to successful international fundraising involved the establishment of not-for-profit tax vehicles and methods of financial transfer. Both cases in this study experienced some difficulty actually getting money to their campuses and indicated that legal frameworks should be investigated early. Of course, these efforts are expensive, time-consuming, and likely involve difficult bureaucratic entanglements. Nevertheless, establishment of useful international financial vehicles will convey an institutional commitment to the country or region and provide a perfect opportunity to ask for international alumni expertise, volunteer time, or gifts in-kind. Even if the resources are not fully deployed to begin fundraising abroad, this study suggests that it is better to have an unused fund awaiting a gift, instead of the other way around.

A third implication for practice is that under committed or underfunded operations may be a greater detriment to relationships than doing nothing at all. This study included two cases, one which had the resources and presidential support to travel frequently and engage often, and another which had a less consistent record.[30] According

[30] It is worth noting that both institutions exist in a positional marketplace. So while Hilltop appears to be wealthy enough to do whatever it wants, participants there frequently suggested that their resources were inadequate. In the words of a former colleague from an Ivy League institution, “Everyone has their Joneses.”

to participants at both institutions, the frequency of engagement is paramount to sustaining international relationships. Infrequent or uneven support for this agenda is noted by international constituents who may grow tired of annual presidential trips when large gifts are solicited. Obviously this is an expensive agenda, but this study suggests that institutions should commit to multiple contacts per year, to ensure consistency and sustain relationships with alumni and donors.

In order to secure the appropriate resources and external support, it is important for institutional leaders to evaluate the international advancement agenda in their own unique institutional context. This study investigated several of the Institutional Characteristics which influenced how the institutions in this study opted to commit resources to this agenda. Institutional control was found to be important, not so much in the mechanics and process of building international relationships, but in how those costs and activities are perceived by longstanding supporters including taxpayers, local alumni, and legislators.

Due to these perceptions, it is advisable for public institutions in particular to act with caution and scan the environment for potential public relations risks. One does not need to look far to find public universities defending their operations overseas. Even if the institution can demonstrate a clear return-on-investment, or non-public funding sources, leaders might find the potential benefits of a robust international advancement agenda, under the present conditions, are outweighed by the risks. One potential solution involves soliciting gifts in-kind which allow donors to pay for in-country travel and provides them the opportunity to showcase their country and their networks.

A fourth implication for practitioners is that peer institutions should be viewed as potential partners because the exclusivity of alumni membership effectively removes inter-organizational competition, enabling low-risk cost-sharing. River Valley's alumni are unlikely to also be Hilltop alumni, yet both institutions may benefit by traveling or hosting events together.

For example, one respondent from River Valley explained that international happy hour alumni events quickly grew stale because the same participants turned up every time. On occasion, some RVU alumni brought guests who enjoyed the business networking opportunity even without an institutional affiliation. These events precipitated co-sponsored events with another IHE, which attracted more alumni from both institutions and freed resources for additional engagements within that market. Since RVU is not in competition with the other IHE over potential alumni relationships, the event was beneficial for all participants.

A final implication is that the intersections that exist within the different knowledge domains should be leveraged for maximum efficiency. Specifically, IHE should seek individuals and resources that help accumulate several forms of Market Knowledge at once, especially in times of financial retrenchment. This finding was noted with regard to Internationalization Knowledge which might be readily and cheaply available on one's own campus. Existing academic units specializing in cultures, area studies, or languages should be contacted to develop Institutional Knowledge, or individuals fluent in other languages might be hired as researchers, alumni relations professionals, or gift officers.

Implications for Future Research

This study is among the first to explore how and in what ways U.S. colleges and universities engage in advancement activities overseas. As a foundational study, it provides a framework for future research which will become increasingly necessary as IHE face continued pressures of increasing costs and reduced public support. While the qualitative descriptions included in this study should help inform future research, little is known about the breadth and prevalence of international advancement activities and therefore larger scale quantitative surveys should be deployed.

One avenue for future research is to create a standardized quantitative census of institutional data points including the number of international donors, their countries of origin, the total amount of money raised, the cost per dollar raised, and the percentage of total dollars coming from overseas. While there have been initial attempts to capture this data, it is important to compile a robust data set for comparative purposes and a greater understanding of capital flows from other countries into American higher education. This type of census could drive strategic decision-making by establishing benchmarks and framing costs.

At present, it is not widely known how the cost-per-dollar-raised in China is relative to Korea or California. The lack of comprehensive data leads institutions to make assumptions about costs and benefits or to engage in the agenda to imitate institutional peers. Furthermore, if data collection occurred periodically, it would help establish longitudinal performance indicators as well as helping explore broad macroeconomic trends within specific countries of interest.

A similar line of research might utilize the qualitative findings from this study to develop a survey instrument for measuring the accumulation of Market Knowledge or to measure institutional capacity for engaging in this agenda. This type of instrument might be used to replicate or adapt studies from internationalization scholars (i.e. Uppsala School or Innovation-related models) and help determine whether statistical relationships exist between Market Knowledge and international fundraising success.

Future studies should also investigate propensity to give among international alumni. As discussed in chapter two, there is a substantial body of research testing how on-campus experiences impact a student’s future propensity to give. In the context of international alumni, these factors might include admissions recruitment practices, selectivity, rankings, visa processing, campus engagement, dining hall options, athletic participation, language participation, and academic success. Future experimental or quasi-experimental studies in this area will greatly benefit researchers and practitioners.

Since colleges and universities are just now adapting their agendas for international audiences, there will be some lag before the full donor lifecycle becomes relevant. Nevertheless, future qualitative studies might focus on the later stages of donor engagement including international gift stewardship, the cultural challenges of discussing planned giving, and appropriate honors for major donors who may, or may not, want recognition in the ways that are well established for domestic donors.

Future research would also benefit from investigating the international advancement agenda through other frameworks beyond the Uppsala Models of the internationalization of the firm. A few of these possibilities include the Innovation-

Related Models, (Andersen, 1993; Bilkey & Tesar, 1977, Cavusgil, 1980), resource-based theories (Andersen & Kheam, 1998), market competition theories (Nordström, 1991; Pedersen & Petersen, 1998) or university culture (Bartell, 2003; Cameron & Freeman, 1985; Tierney, 1988).

Conducting studies such as these would help extend knowledge on several critical issues including educational costs, revenue stream diversification, philanthropy among poorly understood populations, and the long-term engagement of international students. By investigating these issues, advancement leaders will be better prepared to understand how and why international alumni consider philanthropy. This research may also illuminate culturally-sensitive means of optimizing the advancement agenda.

In a broader sense, further research in this area might uncover previously unrealized perceptions of the international student experience. Indeed, if one assumes that voluntary support is predicated on positive campus experiences while enrolled, or accrued benefits after graduation, then institutional leaders would benefit from understand what factors contribute to international student engagement and how those factors might be improved to be more inclusive, receptive, or responsive to the needs of an ever-growing population on American college campuses.

The significance of this study is that it provides theoretical context for understanding an important component of the campus internationalization strategy that has been previously hidden and underexplored. For reasons discussed in the introduction, advancement research is surprisingly rare given philanthropy’s growing importance in sustaining the quality of American higher education. Although there are myriad explanations for this deficiency, any contributions to the knowledge base are useful. In particular, this study helps explain how the advancement agenda can be expanded to engage international alumni and donors, and whether public and private universities should commit to this agenda in similar ways. Assuming Hilltop University and River Valley University are contextually useful, this study provides guidance to both scholars and practitioners on ways in which international students, whose number continue to grow on American campuses, can be engaged as lifelong supporters and prospective donors to institutions that increasingly rely on external revenue.

Conclusion

Hilltop University and River Valley University are, by all measures, highly-prestigious, comprehensive research universities. Both institutions have existed for more than a century during which time they created, preserved, and perpetuated knowledge both locally and globally. Even with embedded histories of international activities, both schools noted the forces of globalization decades ago, and sought to capitalize on the opportunities and mitigate the risks brought about by global interconnectedness.

The resulting international agenda is a multi-faceted, complex, and largely decentralized series of activities that extend the institution's footprint well beyond national borders. Many of these activities are designed to incorporate global themes into the research, teaching, and public engagement missions. Other activities, however, are intended to promote the institutional brand, build relationships with external audiences, or cultivate resources from the external environment.

In conclusion, the data from this study suggests that the institutions' global missions overlap with their advancement agendas in a way that is strategically leveraged through knowledge of available resources existing at home and overseas. Institutions like Hilltop and River Valley, are developing this knowledge base in their own institutional contexts, so they can successfully adapt existing alumni relations, marketing, communications, and fundraising strategies to engage internationally-located partners and constituents.

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APPENDIX A: Interview Protocol

OPENING QUESTIONS:

“Please tell me about the decision to start fundraising internationally.”

“Who initiated the idea?” What were the key drivers of committing to it?

“When did you first begin fundraising internationally?”

“In which market did you first begin fundraising and why?

Conceptual Framework

<u>Business Knowledge</u>

Describe how you chose the specific market?

How long has your institution been involved with Market X?

Describe the process of prospect research in Market X?

<u>Institutional Knowledge</u>

Describe the cultural challenges of fundraising in market X?

Tell me about the legal or logistical challenges of fundraising in market X? What roles exist to minimize risk or ensure compliance?

<u>Internationalization Knowledge</u>

Tell me about your institution’s degree of internationalization?

What is the capacity of your institution to take on this agenda? (offices, programs, etc.)

In your perspective, tell me how you believe the international agenda is pursued relative to other priorities?

<u>*Institutional Characteristics*</u>

In your estimation, are there characteristics specific to your institution that made this decision happen?

<u>*Open Ended*</u>

Is there anything else that you believe would be beneficial for me to understand how your institution made a commitment to fundraise internationally?

Network Sampling Question

Could you recommend others individuals who could help inform this study?

Additional Data

Are there documents, communications, reports or records that might shed light on this decision-making process?

APPENDIX B: Code Book and Examples

Code	Definition	Example
Business Knowledge	Business Knowledge is defined as "the knowledge a firm has of the customer base, competitors, and market conditions in a particular foreign market" (Eriksson et al., 2000, p.310). In the context of institutional advancement in higher education, this domain includes knowledge relating to current students, alumni, and parents from that market; the number and amount of gifts or pledges received from the market; the activities of alumni associations; and a general understanding of the student experience of students from that market. This code excludes references to cultural, economic, social, or legal frameworks within a market which should all be considered institutional knowledge	When you hold more events and you have relationships developed, and then you communicate with these individuals, you come across some indicators, anecdotal personal communication where your alumni indicate that they are interested in giving, or they are interested in helping raising funds and things like that. So those are some of the things that really help us figure out which is a more feasible market. (19242)
Challenges	Code for instances when the participant discusses a challenge or barrier in the process of establishing an international advancement agenda	The biggest challenge is that the university has to embrace the international development from the institutional perspective. They are scratching the surface but they haven't taken the time to set up the accounts that need to be established in London to get money out of the UK or in Hong Kong. (32391)
Domestic Location	Coding flag for any mention of locations within the United States	I think that makes for a challenge that we don't have in Philadelphia or Denver or New York where we can get Hilltop in front of people easily, regularly and cost effectively in a way that you can't internationally (26676)

History or Context	Discussions of context or history that might inform interpretations of how the international advancement agenda might be adopted	For us it might be a little bit easier because our institution was founded by philanthropy. Those stories help us to discuss the impact. A lot of what we talk about [with our history] resonates really well with our international alumni [because] the value of your degree and giving back to the institution is really important (74252)
Institutional Characteristics	Static institutional characteristics including location, historical context, control, legislative issues etc. These help explain the university's culture or identify at the highest level. Understood to be something that will never change. Establishment of new programs or colleges, would not move these institutions from their location or make them centralized when they have long histories of being decentralized. Budgetary, enrollment, or other cyclical process are considered dynamic and not included.	Our city has this kind of [energy] and that I think a lot of people miss it. Everywhere I go [internationally], people want to come back. They say "some day I'm bringing my family and I want to come back and visit and see the River and see the town again and go to a game." (32391)
Institutional Control	Coding flag for any mention of the institution's public or private authority.	I think that part of it is just that private schools have, for a longer period of time, done a good job of articulating to their students and alumni the importance of providing support. It's basically that you're able to get this great education because of the resources the people are providing. (66847)

Institutional Knowledge	Institutional Knowledge is defined as knowledge of the "government and the institutional frameworks, rules, norms and values in the particular markets" (p. 310). In the context institutional advancement in higher education, this domain includes awareness or understanding of tax laws or other incentives, cultural differences regarding wealth transfer, philanthropy, and solicitation, money transfer and banking regulations and the application of those regulations, legal or risk management issues, understanding of foreign languages, and an awareness of that country's social or third sector needs.	India, for instance [has] over 1.2 billion in population. As I understand, more than 500 million Indians have no power, and other sets of societal issues and problems. I would say is that many Indian alumni, they believe that there are some real and present needs within India. So they do give, but they would rather give to their local cause, rather than giving to Hilltop. (19242)
Interesting Quote	Any particularly compelling quotation that should be included verbatim.	It's become a kind of a joke, with the cartoon, the famous cartoon from the *New Yorker* of the guy on the desert island. He's being approached by a guy in a suit with a briefcase in a rowboat who's yelling out, "I'm from your alumni association." Like no matter where you live they'll find you. It's a kind of a cynical perception, which is the only thing the university wants to do is ask for money. (26676)
International Location	Coding flag for any mention of locations outside of the United States	What I would like to see is our materials, whether it is web based or printed, really be focused on China, really be focused on Japan, really be focused on Brazil, really be focused on Germany. Right now, just because you are in Germany, that doesn't mean you are going to want to read about what is going on in Tokyo.

International Market Commitments	The commitment of new or expansion of existing resources for the purpose of international advancement. This should be concrete rather than symbolic, so a proposal or a task force seem like ways of actually avoiding commitment decisions but the allocation of funds, hiring of a new person etc. seem plausible. Commitments to travel are included.	We actually hired people to do international fundraising and what we've decided to do is to first concentrate on China and start to build that up. We also have some strong ties in Brazil. Because of those strong ties, we have also focused on fundraising in Brazil. (17466)
Internationalization Knowledge	Internationalization Knowledge is defined as the "firm's knowledge of its capability of engaging in international operations and its resources for doing so" (p. 310). In the context institutional advancement in higher education, this domain involves a broad understanding of the depth and breadth of international initiatives and the capacity for expansion of those initiatives within the institution. Some measures of internationalization might including the existence of a senior internationalization officer, branch campuses or other foreign educational outposts (FEO); inclusion of global themes into mission statements; international programs or study abroad requirements; presidential trips abroad or governing board support. Internationalization knowledge also includes information pertaining to the costs of internationalization like prospect research, potential returns on investment, and opportunity costs incurred by cultivating gifts internationally rather than domestically.	So our general counsel's office...at least a couple of colleagues there...at least one that I know for sure, has more knowledge and information than most people on the campus about [international tax] laws. (19242)

Opportunities	Organizational code for instances when the participant discusses an opportunity to overcome a challenge or barrier to the adoption of the international advancement agenda	I think increasingly alumni relations at large universities everywhere is that professional networking, career support, business resources, lifelong learning, those are the things that the institution is uniquely positioned to deliver to people that they can't get either as effectively or as easily from some other source...We have an opportunity to just fill a role that they didn't even know could exist by a university. (26676)
Time	Organizational code for anything relating to time scales past or present.	Our focus on doing anything with any regularity in China has been in the last seven years. (82873)

APPENDIX C: Invitation to Participate

DATE

PROSPECTIVE PARTICIPANT
TITLE
UNIT
UNIVERSITY
BUILDING ADDRESS
POSTAL ADDRESS
CITY, STATE, ZIP

Dear [PARTICIPANT]

My name is Brad Weiner and I am a PhD candidate in the College of Education at the University of Minnesota. I am collecting data for my dissertation which focuses on institutional advancement in international contexts. Your name was referred to me as someone with relevant expertise in this area.

It is my hope that this research will inform both educational researchers and advancement professionals about the challenges and opportunities of fundraising overseas. Considering River Valley University's internationally-recognized brand and global alumni network, I would like to investigate your institution as one of the two cases for my dissertation.

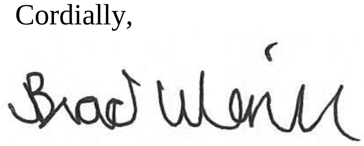
I am writing to ask for your assistance by participating in a one-hour telephone conversation about this topic.

This conversation will be for **research purposes only** and published results will not identify you or your institutional affiliation. To provide you some background and context about the study, I have attached a research brief which explains the methodology and the ways I will ensure the confidentiality of your responses.

Please contact me at bradweiner@umn.edu or (###) ###-#### to arrange an interview. If you have questions about the study or want more information, I am happy to explain the project in greater detail.

Thank you in advance for your consideration.

Cordially,



Brad Weiner
PhD Candidate
University of Minnesota

Enclosure:

APPENDIX D: Confirmation Letter

DATE

PROSPECTIVE PARTICIPANT
TITLE
UNIT
UNIVERSITY
BUILDING ADDRESS
POSTAL ADDRESS
CITY, STATE, ZIP

Dear [PARTICIPANT]

Thank you for your assistance with my dissertation research. I know you are busy and I appreciate your contribution to this project.

As a reminder, we are scheduled for a telephone conversation on:

DAY, MONTH DATE, YEAR at X.00pm TIME ZONE

This conversation will be for **research purposes only** and published results will not identify you or your institutional affiliation.

To provide you some background and context about the study, I have attached a research brief which explains the methodology and the ways I will ensure the confidentiality of your responses.

Additionally, I appreciate your recommendation of other participants even if they are no longer affiliated with your institution. An ideal case study would represent perspectives from different organizational levels and with a range of responsibilities for the conception, strategy, or implementation of your international fundraising operation. A general, yet in exhaustive list is enclosed.

Thank you again for your time.

Cordially,

Brad Weiner
PhD Candidate
University of Minnesota

Enclosures: (2)

APPENDIX E: Potential Participants

Below is a potential, yet in exhaustive list of participants who may have relevant knowledge regarding your international advancement strategy. Please refer anyone who you believe might advance this research. Your name will not be revealed to future participants and all data will be held securely and destroyed upon project completion.

Email:
bradweiner@umn.edu

Executive Leadership
- Board Member
- President
- University General Counsel
- VP for Advancement
- Finance/Budget

Academic Affairs
- Provost
- Collegiate Dean
- Faculty with Int'l Collaboration

Institutional Advancement
- Development
- Alumni Relations

APPENDIX F: Research Brief

My Research

Thank you for your interest in contributing to my doctoral research.

Over the coming months, I will be collecting data for my PhD dissertation that is tentatively titled "Internationalizing the Advancement Agenda". I genuinely appreciate your assistance with this endeavor.

Below is a very brief summary of the project which should help you understand the background, research question, and methodology. I have also given a brief description of the interview process and how the data will be utilized.

Background

Colleges and universities have traditionally been internationally-focused organizations. While international activities have historically centered on the research, teaching, and engagement missions, in recent years the international agenda has expanded into advancement functions including marketing, branding, alumni relations, and development.

Unfortunately, little research has investigated international advancement. As more institutions seek to cultivate support from internationally-located alumni or partners, it will become increasingly important to understand both the challenges and opportunities inherent in fundraising abroad. This project will provide a necessary foundation for improving current strategies, developing best practices, and initiating further research.

Research Questions

How and in what ways do institutional leaders internationalize the advancement agenda?

To what extent might differences exist in the internationalization process based on institutional control (e.g. public/private authority)?

Methodology

To answer this question, I will conduct a multi-case study design and hope to include your institution as one case. Using data from participant interviews, documents, correspondence, media or other sources, I hope to construct a complete understanding of your institution's process for building and sustaining an international fundraising initiative.

Published Results

To advance knowledge in research and practice, the results from my dissertation will be submitted for presentation to a meeting of the Council for Advancement and Support of Education (CASE) and for publication in a peer-reviewed journal.

Privacy and Confidentiality

To promote honest, thoughtful responses, all data will be kept confidential. The final dissertation will exclude identifiable information including, but not limited to: names, professional or academic titles, location-specific information, or identifiable anecdotes or historical perspectives.

Numerical figures will be presented as inclusive ranges (i.e. more than 10,000 students) and positional descriptions will be generalized (i.e. "Advancement Professional"). All documentation including audio recordings, transcripts, personal communications and documents will be stored securely during the study, and will be destroyed upon project completion.

If you recommend other individuals for participation, I will not reveal the source of the reference unless you give specific permission to do so. Furthermore, I will not reveal your responses or opinions to other participants.

This entire project is for **research purposes only.** The protocol was submitted to the University of Minnesota Institutional Review Board (IRB) and subsequently exempted from review due to minimal participant risk and analysis of aggregated, non-identifiable data.

Like any research study, your participation is voluntary. You can stop an interview or remove your responses from consideration at any time. Should you choose to participate, you will receive a letter reiterating the confidentiality agreement and providing contact information for questions or concerns.

Your Participation

You can help by participating in any or all of the following ways:

Interview

Answer questions about this topic during a telephone interview. Your perceptions and insights will be important for understanding the barriers and challenges to international fundraising, the process by which your institution began fundraising overseas, and the results of those efforts.

Documentation

Provide documents, communications or other materials that might illuminate decision-making, strategy, resource commitment, evaluation, public relations or other components of the institution's international fundraising efforts.

Recommendations

Recommend individuals with knowledge of the international advancement agenda at your institution. These references may include stakeholders at any level or within any unit, even if they are no longer affiliated.

Moving Forward

To schedule an interview, provide materials, or recommend another individual, please contact Brad Weiner at:

(###) ###-####
or
bradweiner@umn.edu

Your prompt reply is greatly appreciated. I hope to complete interviews and data collection by **October 1, 2013**.

Thank You

This project would not be possible without your assistance. Thank you for taking the time to advance this research and for helping me complete my dissertation.

APPENDIX G: Verbal Consent Script

Hello. Thank you for speaking with me today. My name is Brad Weiner and I am PhD Candidate at The University of Minnesota. I am collecting data for my dissertation research which focuses on institutional advancement in international environments. It is my hope that this research will inform both educational researchers and campus leaders about the challenges and opportunities of fundraising overseas.

Before we begin, please allow me to read the following statement.

Do I have your permission to record this part of the conversation?
[IF YES TURN ON TAPE RECORDER]
[IF NO, DO NOT TURN ON TAPE RECORDER]

Today you will be involved with a educational research study. If you choose to participate, I will conduct an individual interview which should take approximately 45 minutes. Your participation is voluntary. You may stop at any time.

All responses will be used for research purposes only. Your name, title, institution and other identifying information will not be listed. If I choose to quote you directly, I will use a description which will not identify you. There are minimal risks associated with this interview.

With your permission, this interview will be audio taped. The tapes, along other documentation you provide, will be digitally encrypted, securely stored, and destroyed upon project completion.

Only me, my faculty advisor, and dissertation committee, will have access to the data.

I have sent a copy of this information and relevant contact information via email.

If you have questions for me, I can answer them now.

If you agree to have the remainder of this conversation recorded, please say “yes” into the tape recorder.
[IF YES KEEP RECORDER ON]
[IF NO, TURN RECORDER OFF]

If you agree to participate in this interview, please say "yes" into the tape recorder.
[IF YES KEEP RECORDER ON]
[IF NO, TURN RECORDER OFF]

Thank you.

APPENDIX H: Information Sheet

If you have any questions about me or my research you may contact me at:

Brad Weiner, PhD Candidate/Graduate Student
(###) ###-#### (cell)
bradweiner@umn.edu

My faculty advisor, Dr. David Weerts, can be contacted at:

Dr. David Weerts, PhD
University of Minnesota
College of Education and Human Development
330 Wulling Hall
86 Pleasant Street, S.E
Minneapolis, MN 55455
(###) ###-####
*****@umn.edu

If you have questions about your rights as a research subject or want to speak to someone other than the researcher, please contact

University of Minnesota Research Subjects' Advocate Line
D528 Mayo
420 Delaware Street, S.E.
Minneapolis, MN 55455.
(612) 625-1650 .

Thank you again for your time and assistance with this project.