TRANSFORMING COMMUNITY COLLEGES THROUGH PHILANTHROPY: A
STRATEGIC FRAMEWORK FOR INSTITUTIONALLY RELATED FOUNDATIONS

by

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ABSTRACT

Viewed by policymakers and the public alike as a centerpiece of economic recovery efforts, and as a means to achieve broad-based long-term social equity goals, community colleges have ascended in recent decades. As a result, community colleges are being asked to do more than ever — serve more students, respond to varied local economic and workforce demands — all while a greater emphasis is placed on improving completion rates. These expanded expectations follow a steady trend of public disinvestment in higher education. Community colleges have increasingly turned to philanthropy to ensure growing demands do not erode affordability. Ironically, increasing reliance on advancement offices have largely lacked a proportionate investment in new resources, with only modest growth in staffing and budgets, especially when compared to four-year colleges and universities.

Without substantial forthcoming investment in precious institutional resources, community college foundations must instead become more focused, intentional and efficient to meet growing expectations. This study examines the history of community college fundraising in order to contextualize the cultural shift needed for philanthropy to assume a greater institutional role. Change and management models are considered to understand the factors that affect how organizations adapt and grow over time.

This product dissertation provides a toolkit for advancement practitioners to use to increase efficiency and organize multiple competing demands and roles. This guide balances the internal needs of running a foundation with the overall goal of advancing the mission of the college. The purpose of this Guide is to provide a roadmap for community college leaders to

elevate the role of foundations beyond fundraising alone to become change agents within the

institution.

KEY WORDS: community college foundations, philanthropy, fund-raising, funding
relationships

DEDICATION

This accomplishment belongs more to my wife Sheila than it does to me. But for her enduring love and support, I would be hopelessly lost. For the countless hours I spent locked away huddled over a computer while under her watchful eye the pitter patter of little feet crisscrossed the floor just outside my door, I am forever indebted. This study is dedicated to her and our four beautiful children: Jude (8), Will (5), Luke (4), and Clare (2). I hope my occasional absence was a small price to pay to instill within them a lifelong love of learning. I did this, as I do everything, for them.

I also dedicate this dissertation to my parents, William and Lorna Myers, who insisted college was not optional. Their unwavering support removed barriers for me that most first-generation college students never overcome. Their unconditional love and enduring influence are the foundation on which everything in my life is built.

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I am privileged to have had two deeply personal, meaningful, and impactful careers in my life — both in service to the public. I owe a profound debt of gratitude to the legendary U.S. Senator Carl Levin who gave me my first real job after college, and to the towering statesman, the longest serving congressman in our nation's history, U.S. Congressman John D. Dingell. Mr. Dingell was the crucible through which I was forged and emerged stronger than I ever thought possible. Every shred of professional success I enjoy is a result of the wisdom and experience I gained from this giant and the relationships he enabled me to earn.

Finally, I want to thank the tremendously terrific Cohort Three. I joined this group of interdisciplinary experts just a few months into a career change that presented far more challenges than I had anticipated. I learned more from them than they will ever know. I saw in them a reverence for the history of community colleges, clarity of purpose that emanates from our collective mission, and in them the spirit of our movement's future. I know community colleges across the country are far better with these dedicated professionals within our ranks.

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CHAPTER ONE: INTRODUCTION

Community college foundations provide direct financial support in the form of capital campaigns for facilities, student scholarships, funding for specific projects or activities, cultural program support, as well as funding for many other various college priorities (Babitz, 2003; Klingaman, 2012). In addition to financial support, foundations also generate indirect support through volunteer opportunities and special events that engage community members and alumni.

Not long ago, the philanthropic community treated community colleges much like a local municipality. As a tax-dependent entity, few donors saw the need, and community colleges largely failed to present the opportunity to give financial support to support the community college mission (Babitz, 2003; Grover, 2009). To the extent community colleges did fundraise, they did so in small, inefficient means such as auctions, events, or bake sales (Summers, 2006). Today, community college foundations are a well-regarded hyper-local giving opportunity. Many donors, including growing rolls of alumni, philanthropists, corporations, and other charitable organizations, now prioritize community colleges through their foundations as primary philanthropic partners.

The modern community college has evolved into the centerpiece of rebuilding and growth strategies on both the national and local level (Boggs, 2010; Chen, 2018; Travis, 1995), and foundations can serve as an effective conduit for donors who want to make a meaningful impact in their community (Brunen, 2012). Straightforward philanthropic options like scholarships, which will always remain a valuable and attractive giving option, are no longer the

only areas donors wish to support. Corporate and civic leaders across the country now look to community colleges to address complex economic, workforce, social, and cultural needs in the communities they reside, and these leaders view community college foundations as a primary means to solve these problems (Jones, 2010).

As community college foundations assume a more prominent space in the eyes of the philanthropic community, their continued growth depends upon the resources allocated to their operations and the influence they have within the parent institution to foster new systems and programs (Klingaman, 2012). Further, elevating the role of the foundation "as the institution's nucleus for research, long-range planning and goal assessment…provides maximum use of information and effort toward achieving institutional purposes" (Young, 1980, pp. 25–26). Keener, Carrier and Meaders (2002) assert, "community college resource development efforts will yield increasing external funding for the continued transformation of community colleges nationwide" (p. 20).

A Rigid Community College Culture

For over a century, community colleges have endured and thrived during a constant and necessary evolution while confronting new challenges, both internal and external. This persistent transformation reflects the central virtue of community colleges: far from an aloof, abstract, and inaccessible ivory tower of higher learning, community colleges are inextricably grounded as an extension of the community itself (Cohen & Brawer, 2008; Klingaman, 2012). Embedded into the fabric of the communities from which they were created, community colleges reflect the values of their community, catering to its needs and serving its specific demographics.

According to Bass, community colleges

serve their communities and promote economic growth and prosperity by providing remedial education, continuing education, and workforce training tailored to the needs of local industries. In addition to these core missions, community colleges have increasingly forged partnerships with local businesses, nonprofits, and government agencies that foster community ties and contribute to economic development and college revenue. (2003, pp. 17-18)

Some attribute the origins of community colleges, known in their formative years as junior colleges, to a national movement conceived by turn of the century university luminaries such as William Rainey Harper, Henry Tappan, William Mitchell, David Starr Jordan, and others (Cohen & Brawer, 2008). This narrative suggests that junior colleges were initially intended to free up universities to concentrate on higher levels of scholarship. Pedersen (2000) challenges this conventional notion, contending that junior colleges are a local response to community needs and originated, not as an effort by universities to offload freshmen and sophomore students, but rather as an extension of secondary school expansion into offering higher learning opportunities. This distinction is important as it firmly places service to the community and the imperative to adapt to local needs at the very inception of the movement (Nevarez & Wood, 2010). As a result, responsiveness to community needs remains one of the most sacrosanct pillars of the community college mission, with only student success and open access as more important (Jones, 2010), and arguably the latter existing to achieve the former.

Despite the need to constantly transform to meet the demands of an ever-changing environment, community colleges have long faced a strong and entrenched institutional culture that can often present a powerful countervailing force to the imperative to adapt (Ameijde et al., 2009). Faculty and staff can view fundraising as inconsistent with the values of the institution and view development staff with skepticism (Kozobarich, 2000). Summers (2006) identified several cultural and leadership deficiencies that act as obstacles to community colleges raising

money as effectively as their university counterparts, including lack of administrative and governance leadership, inadequate staffing levels, and a "stale, change-averse culture" (para. 6).

THE NEED FOR FOUNDATIONS

Traditionally, community colleges generated all of their operational and capital funding from student tuition and fees, local property taxes, and state tax revenues (Cohen & Brawer, 2008) in the form of discretionary annual budget appropriations. A funding structure that Klingaman (2012) observes "seems to have been on auto-pilot for nearly half a century" (p. 10). Disruption to this three-legged funding model over the past several decades caused by a decline in public financial support (Bass, 2003) — and more recently further complicated by the increasing cost of meeting growing community needs and broader national expectations related to issues such as completion and access (Travis, 1995) — spurred community college leaders to pursue alternative funding sources (Akin, 2005).

A study by Kenton, Schuh, Huba, and Shelley (2004) concluded that community college budgeting is consistent with resource dependency theory "where funding from one sources is low (e.g., local appropriations), community colleges look to other sources to sustain their revenue stream within the context of their mission and philosophy" (Kenton et al., 2004, p. 10). To augment the traditional funding model, many community colleges established legally distinct, institutionally-related non-profit organizations under Section 501 c(3) of the Internal Revenue Code to solicit private tax-deductible charitable contributions to benefit their affiliated college (Schuyler, 1997). To remain sensitive to affordability as a core precept — rather than limit mission, decrease quality, transfer the entire financial burden of austere budgets to students, or a combination thereof (Kenton et al., 2004), these dedicated private non-profit foundations directly

support the community college mission by effectively shifting some of the cost previously borne by society to the generosity of personal and corporate philanthropy (Ryan, 2003).

UNREALIZED POTENTIAL

As early as 1980, Young (1980) called for resource development to assume a role of high priority and visibility in the community college beyond exclusively fundraising to optimize "the innate potentials of the institution, its personnel, and its clientele" (p. 25). Later that decade, Bender and Daniel (1986) predicted, "The college of the year 1990 will find resource development central to every facet of institutional development and operation (as cited in Conrad, Davis, Duffy, & Whitehead, 1986, p. 35). Nearly four decades later, many community college foundations have yet to realize this level of impact.

A report by The Century Foundation (2013) affirmed the important role community colleges play with regard to American social mobility, but the report concluded that community colleges are not equipped for the challenge and "are in great danger of becoming indelibly separate and unequal institutions in the higher education landscape" (p. 10).

Given that community colleges enroll nearly half of all American college students (National Student Clearinghouse Research Center, 2015), but garner only two percent of gifts given to education (Giving USA, 2018), community college foundations are simply not living up to their potential to adequately support community college efforts to close the gap in higher education.

COMMUNITY COLLEGE FOUNDATION STRUCTURE

The organization, activities, size, and scope of foundations vary from institution to institution. According to Bass (2003), "(c)ollege and university foundations are essentially

idiosyncratic, reflecting the peculiarities of individual institutional cultures, state and system contexts, and financial and political circumstances" (p. 15). While community college structures tend to respond to their unique environment, most community college foundations share common features. Community college foundations universally reflect an unwavering connection and responsiveness to the mission, priorities, and needs of their affiliated college. One common characteristic community college foundations share is the unique role they play. Unlike any other department or division within the college, foundations straddle both academic and community functions to bridge internal and external needs; "with one foot in the academic realm and one in the surrounding community, advancement professionals promote the mission of the institution" (Kozobarich, 2000, p. 25).

STRUCTURE AND GOVERNANCE

Foundations are most commonly legally and organizationally distinct entities from the institutions they are affiliated with, a structure that affords some liability protection to both the college and foundation, and this arrangement enables the foundation to operate outside of statutory limits placed on the college's board and staff (Cohen & Brawer, 2008).

Brumbach and Villadsen (2002) articulate four organizational structures for resource development operations at community colleges:

- Line Model: development functions as an equal partner with branches of college administration

- Centralized Model: development function reports to vice president for advancement who reports to the president

- Staff Model: development director serves as an assistant to the president

- Decentralized Model: public relations, alumni, contract and grants, fund raising, legislative relations dispersed with several supervisors. (p. 82)

Robison (as cited in Jenkins & Glass, 1999) described five types of organizational

structures in the development of community college foundations:

1. Holding corporations, or passive foundations, whose sole purpose is to receive or manage assets.

2. "Old boy" systems with a social head and several friends that solicit funds but operate the foundation as a personal charity.

3. Actual operating foundations, acting as separate legal entities from the college, managing financial transactions not allowed for public schools.

4. Single purpose foundations, which solicit, disburse, and manage funds for a single cause, such as a library or scholarship fund.

5. Comprehensive mature foundations that include the preceding features and characteristically have ongoing capital campaigns of several years' duration. (p. 608)

Staffing

According to one study, the average size of a community college foundation is 4.9 FTE,

with over a third employing less than 3.0 FTE (Paradise, 2015, p. 18). A more recent study

compared the number of development officers by institution type (see Table 1) and found similar

results (Bakerman, 2017). The vast majority of community colleges now employ at least one

professional staff person with clerical support dedicated to development (Keener et al., 2002).

Table 1: Average number of development officers employed by the foundation, by institution type

	2011	2012	2013	2014	2015
Community Colleges	2.5	2.4	2.7	2.5	4.0
Master's	7.8	7.1	6.1	5.4	7.4
Research/doctoral	24.9	34.4	39.8	41.0	49.1

Adapted from "2015 Institutionally Related Foundations Data Book Survey: A Five-Year Review of Results," by P. Bakerman, 2017, Council for Advancement and Support of Education, p. 8

Funding

Unlike other types of stand-alone non-profits, community college foundations primarily receive operational funding from the college's budget rather than through donor contributions and fees on gifts and/or investments, and college employees typically staff college foundations as opposed to foundations having their own budget and staff members (Klingaman, 2012). Funding, and consequently staffing, dedicated to development is highly dependent on the size of the institution and geographic category (Keener et al., 2002). Paradise (2015) found that nearly three-quarters of community college foundations that responded to a survey reported generating more private funds than total expenses (p. 11).

IMPACT OF THE GREAT RECESSION

The Great Recession exacerbated an already stressed revenue mix for community colleges and higher education in general. According to Greer and Klein (2010), the higher education funding model "is severely and irreparably broken and needs to be changed. Without a new model, public higher education will fail its principal purpose of providing broad college opportunity" (n.p.). A study by the Center on Budget and Policy Priorities (Mitchell et al., 2017) details the extent decreases in state funding affected higher educational nationally following the Great Recession. According to the study, 44 percent of states provided less per student funding in 2017 than in 2008 to colleges, resulting in an average decline of 16 percent per student.

Many community colleges also experienced a loss in revenues from an erosion of local property tax revenues due to falling housing prices during the Great Recession. As property values increase, some institutions will see those revenues return; however, in many states any recovery from these revenue declines remains hampered by state imposed statutory limits that cap property tax growth year-over-year to the rate of inflation (Dadayan, 2012).

Yet, despite the bleak systemic outlook, there is cause for some optimism. Enterprising community colleges may hold the key to reengineering the national economy by training an incumbent workforce skilled for emergent industries, and "foundations can play a vital role in facilitating (the) institutional evolution" (Bass, 2003, p. 15) needed to meet this national imperative.

DISRUPTING TRADITION AND INSTITUTIONAL BARRIERS

Milliron, de los Santos, and Browning (2004) argue that fundraising constitutes an epochal movement presently sweeping community colleges. The authors predict that fundraising "has clear implications for how we teach, reach, and lead and will likely lead to heated dialogues about our mission and vision in the communities we serve" (p. 82). Arnett (2014) argues that disruptive innovation in higher education enables education reformers to circumvent entrenched interests and challenge the status quo from outside the incumbent system. Foundations and fundraising offer the potential to act as a disruptive force and spur internal inertia to transform community colleges to meet the most pressing needs of its students and community. By connecting colleges more deeply to their community than ever before (Conrad et al., 1986), philanthropy provides not only the means for innovation through additional resources, but it also nurtures collaborative relationships and adds new perspectives from important stakeholders.

While adaptation through more entrepreneurial means potentially risks creating a schism with more traditional elements of the college, stagnation through inaction or fragmentation by action are not the only two options. Grubb, Badway, Bell, Bragg, and Russman (1997) suggest the strongest future for the comprehensive community college requires a coherent and flexible institution that creates a symbiotic integration between the traditional and entrepreneurial aspects of the college. Young (1980) argues the development arm of the college should become an

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integral part of institutional management rather than relegating it to fundraising and grantsmanship alone: "Ignoring this view of an institution's development office cripples the development potential of the institution and underutilizes resources already available" (p. 25).

DIAGNOSING THE ORGANIZATIONAL LIFECYCLE: A FRAMEWORK FOR CHANGE

Organizations progress through developmental stages over time, and substantial work in the literature is dedicated to identifying predictable patterns across organizations that can help explain and guide future decisions (Quinn & Cameron, 1983). Understanding the stage an organization is in relative to its lifecycle can offer clues to challenges ahead and direct growth strategies. Cameron (1983) argues an appreciation of organizational lifecycle theory presents the most likely method to cope and effectively manage the conditions of decline evident in higher education. Further, the tendency in higher education to focus on efficiency and conservatism, while understandable, will only exacerbate the problem; instead, empirical evidence from organizational theory suggests leaders must embrace flexibility, innovation, and proactivity to adapt and thrive (p. 376).

The Adizes ten-stage Organizational Lifecycle is one method to diagnose an organization's progression through stages of development and help leaders identify and pre-empt challenges at each stage. The ten stages are (a) courtship; (b) infancy; (c) go-go; (d) adolescence; (e) prime; (f) the fall; (g) aristocracy; (h) recrimination; (i) bureaucracy; and (j) death (*Adizes Institute*, n.d.). According to the model, an organization's lifecycle is defined by the interrelationship between flexibility and control, and prime represents the ideal state for an organization and exists when flexibility and control are in balance ("Adizes Institute," n.d.). Each stage in the Adizes model presents different challenges — including pitfalls during each

growth stage that lead to decline — and the ability to diagnose and address these challenges directly impacts the success of the organization (Quinn & Cameron, 1983).

The organizational lifecycle of community colleges and their foundations are intimately entwined. It can be argued that foundations are, in fact, an entrepreneurial result of community colleges' progression through their organizational lifecycle. While each might affect the other, both have distinct lifecycles. Recognizing where the two cycles parallel and where they diverge are important distinctions that can assist with planning, especially since this dichotomy can add significant complexity to the planning process if not addressed.

STATEMENT OF THE PROBLEM

Community college foundations are complex organizations, often understaffed, under-resourced and time-poor with multiple competing responsibilities that go beyond just "asking for money." Small staffs struggle to balance a multitude of responsibilities. These include, but are not limited to, running ongoing fundraising activities such as annual fund, major gifts, small and large capital campaigns; planned giving; event planning; managing the donor relationship cycle for new and existing donors, including identification, cultivation, and stewardship; marketing, including maintaining a robust online and print presence as well as social media; gift processing and financial compliance; board and committee meetings, relations, and development; and in some models also leading institutional advancement activities such as grants and alumni offices. Given that foundation staff are typically college employees, a significant portion of their time is also dedicated to college-related business that often has little to do with fundraising.

Keeping ahead of all these duties while remaining innovative and motivated is difficult. Foundations rarely develop meaningful plans needed to strategically prioritize activities, align resources, spur innovation, and guide the organization and its volunteers. Moreover, often plans

can lack operational intervals with deadlines and defined metrics that translate into action and completion of goals.

Beyond the administrative and task-oriented challenges facing development offices, institutional cultural rigidity and competition for finite financial resources impede the growth potential of foundations.

Lacking a Culture of Philanthropy

The relatively recent adoption of philanthropy by community colleges further complicates the need to embrace foundations within the overarching institutional culture. Community colleges have a deep sense of tradition, and many community college foundations arose within just the past few decades. This can lead many college stakeholders to relegate foundations to a lower auxiliary priority — a reaction reinforced by a separate legal status from the institution, despite that, in practice, this distinction represents more of a technicality than a differentiation in structure. While difficult to deny the benefit that additional resources bring, in times of fiscal austerity, tribal and regressive perspectives can cause tensions to arise between the traditional core academic, student support, and business functions of the college and areas that can be perceived as being beneficial but not essential, such as advancement.

Competition for Institutional Resources

Unlike other charitable models, institutionally related community college foundations receive much or all their operational funding from the institution. This institutionally supported model offers significant benefits, not least of which is year-over-year financial stability;

however, this model can limit the financial and staffing resources dedicated to fundraising operations.

All community colleges face budget scarcity, and community college foundations find themselves in a peculiar situation having to argue for additional personnel or funding for initiatives against a plethora of other academic priorities. This situation is further complicated by a pervasive view that philanthropy is an inferior line item compared to other more traditional or "front-line" academically related budget items. It is nearly universally accepted now that governing boards expect community college presidents to have a demonstrated fundraising track record (Brunen, 2012), and further that they dedicate substantial time to resource development; however, there is only so much that a president can do to imbue the mission and culture of an institution with something new.

Securing a Place in Higher Education Philanthropy

While universities have embraced fundraising for centuries, community colleges only relatively recently have turned to donors to augment the financial picture. Without a broad consensus that permeates organically throughout the institution and the larger movement of the value and importance of philanthropy to the mission and future of community colleges, foundations will not only have difficulty securing the necessary resources to grow, but the very act of fundraising will remain systemically constrained.

Institutional Governing Boards

Elected or appointed governing boards often do not fully comprehend the complexities of community college operation or finances, let alone the role fundraising plays. Many foundations have trustees from the governing board who serve as representatives on the foundation board. These trustees limit their role as solely an intermediary excused from the fundraising

expectations of other foundation board members (Grover, 2009). This perception illustrates a common challenge with governing boards — the attitude that fundraising is an ancillary activity and not a core function of the college.

Disengaged Foundation Boards

Foundation boards play a critical fiduciary and oversight function. Board members are often important donors who also serve to connect the mission of the college with other potential donors. Far too often, however, foundation boards fail to actively engage in the fundraising cycle. This reticence is often blamed on a fear of "making an ask," but a complete lack of engagement in fundraising by many boards suggests there are additional considerations.

President as Fundraiser-in-Chief

The president enjoys a singular role in fundraising, yet many presidents come to the position with little experience in resource development. This lack of preparation manifests three supremely important challenges. First, the modern president is expected to personally deliver on increasing philanthropy. A president uncomfortable with fundraising will have difficulty constantly and consistently nurturing relationships with donors that lead to major gifts. Second, without a deep understanding of the role of fundraising, it becomes nearly impossible to create institutional priorities that inspire giving and lead an internal environment where fundraising has a meaningful role. Finally, the president has a unique platform to deliver a vision that creates excitement among external donors in the community. A president ill-equipped to fundraise cannot convey the important role the foundation plays in achieving the mission of the college.

Community college foundation staff face countless competing demands. This Guide grew out of the need to organize these many demands within a framework that prioritizes competing tasks and enables foundation staff to make strategic decisions that maximizes existing resources. While this Guide relies heavily on strategic planning, it is not simply a strategic planning tool. It also pushes foundations to think beyond traditional metrics of "funds raised, and donors engaged" to focus instead on "change intended for impact." This Guide is based on two assumptions: (1) growth can be achieved despite limited or inadequate resources by increasing operational efficiency, and (2) this growth will build the case for an elevated role and enable foundations to advocate for additional investment.

This study is predicated on a simple conceptual model (see Figure 1). The efficiency that the Guide seeks to enable, however, is not enough to address the many challenges facing community colleges and their foundations. While merely a requisite step, it represents the centerpiece linking vision and impact. The model is grounded in a coherent and understood vision — the heroic purpose for which the foundation exists — that drives everyone with a shared purpose and belief in why the foundation exists (Sinek, 2009).

Figure 1: Resource Efficiency Model

Purposeful Resource
Allocation

Vision   Inputs   Greater Efficiency   Outputs   Impact

Increased Resources
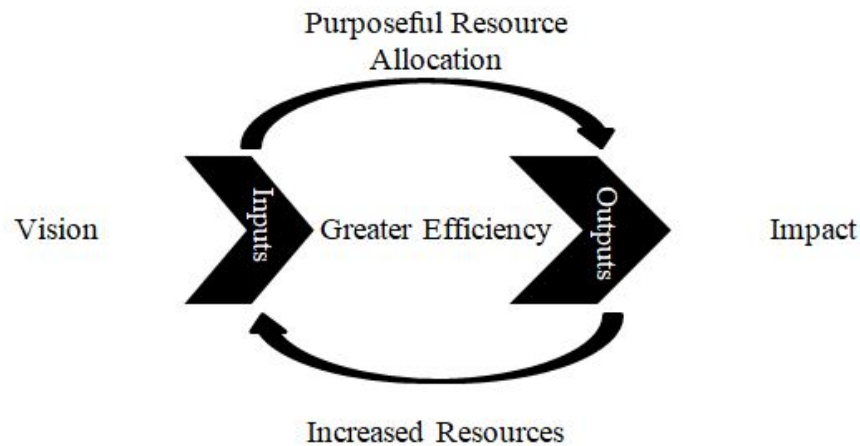
This conceptual model illustrates the underlying process in which this study is grounded. Vision drives the investment that is needed to produce outputs required for impact. Efficiency of resources connects the pieces of the model together.

Once clarity of purpose is established, the focus of people, programs, and resources can be narrowed. The vision determines the inputs (resources) that are needed. Through efficiency, resources are directed with purpose, producing outputs (programs) that actualize impact. Stewardship of resources and producing high impact results justify greater institutional investment, which restarts the cycle. In summary, an organization driven by purpose, with sufficient resources used to effect that purpose, is ideally situated to produce outputs that generate meaningful impact, thus justifying increased resources.

RESEARCH QUESTIONS

This Guide establishes a process for foundation and community college leaders to follow; however, there is no one-size-fits-all planning model. Each organization, and the group and individuals that comprise it, is unique and requires unique solutions. Rather, this study analyzes

established planning and change management principles and puts forward a framework to operationalize the myriad of plans that frequently guide a community college foundation. This iterative framework aligns organizational goals, ongoing metrics, events and project dates, and planning cycles across these many plans in order to streamline operations. Fundamentally though, a central purpose of the Guide leads community college and foundation leaders to consider and answer three questions:

1. Why does the foundation exist? For what purpose?

2. What role should the foundation play to achieve the college's mission?

3. How can and should the foundation and college change to advance that purpose?

PRODUCT GOALS

The Guide advances three interrelated goals:

1. Serve as a tool to increase organizational and operational efficiency to maximize the effectiveness of existing resources dedicated to philanthropic activities.

2. Foster an environment and establish a process to elevate the role of foundations as agents of change within the institution.

3. Build the case for increased staff and resources and establish a framework to articulate and leverage additional investments by establishing the importance of institutionally related community college foundations to the future of the community college.

While these three goals are distinct, they are highly complementary. Moreover, the first goal is necessary to lead into the second, and the third goal depends on the first two.

DEFINITION OF TERMS

The following terms are present throughout this guide. These definitions provide a concise description of how these terms are used and the context in which they are intended.

Board of Directors – The governing board of the legally independent community college foundation. The board has fiduciary responsibility over the foundation.

Board of Trustees – The governing board of the community college.

Change Agent – An actor or entity that inspires people, upends conventional structures, or alters systems through a novel approach to bring about positive change.

Moves Management – The relationship process of guiding a donor through the stages of giving. A fundraising professional never manages the donor, but rather the process through which the donor discovers the impact they can have through the vision of the organization.

Strategic Issue – A long-term (3-5 year) fundamental policy question or challenge that impacts the ability of the organization to effectively execute its mission and vision (Bryson, 2011).

Strategic Planning – a "deliberative, disciplined, approach to producing fundamental decisions and actions that shape and guide what an organization (or other entity) is, what it does, and why" (Bryson, 2011, p. Loc. 750)

ORGANIZATION OF THIS GUIDE

Following this opening chapter, the Guide is organized in the following chapters:

- Chapter Two: Review of literature and research related to the history of community college foundations, the theory and practice of non-profit strategic planning, a review of theoretical frameworks for organizational renewal and change, and an analysis of the current and future role of community college foundations articulated in the literature.

- Chapter Three: Overview of the issues and processes related to implementing a strategic renewal framework, including an overview to the organization of the Guide's major sections and methods for elevating the role of community college foundations within the institution and beyond.

- Chapter Four: Components of an organizational toolkit to guide the work of the board

- Chapter Five: Components of an implementation toolkit to guide the work of staff in the implementation of the strategic plan

- Chapter Six: Conclusion and implications for the future

CHAPTER TWO: LITERATURE REVIEW

Through effective planning, community college foundations can understand their environment, anticipate changing internal and external forces, and be intentional about their purpose and the use of resources needed to execute their mission and vision. According to Drucker (2000), "You can't manage change. You can only try to stay ahead of it" (p. 78). To achieve a meaningful result requires a substantial time commitment that cannot be expedited or rushed by skipping steps (Kotter, 1995). Countless studies and models exist to help explain conditions for change and how to affect it.

The purpose of this Guide is to provide a roadmap for community college leaders to elevate the role of foundations beyond fundraising alone and become change agents within the institution. Consequently, this chapter begins by examining the history of foundations in order to contextualize their current role. Factors contributing to the rise of community college foundations are explored and comparisons to university philanthropy are established to serve as a benchmark.

This chapter explores change management models as well as theoretical constructs that describe how organizations — specifically in the nonprofit sector — adapt over time to either grow and renew or stagnate and decline.

The chapter concludes with a review of the literature dedicated to nonprofit strategic planning as a tool for greater efficiency. For this Guide, strategic planning and change

management principles will be used to achieve organizational renewal as a means to elevate the role of foundations within the community college.

Much like the spirited debate over where and when the first community college was established, there is similar uncertainty in the literature regarding when and which community college established the first foundation. Some scholars trace the beginning of community college philanthropy to possibly as early as 1922 at Long Beach City College (Schuyler, 1997), while others suggest the first annual giving programs date back to 1906, with the first fully developed foundation following several decades later at Highlands Community College in 1962 (Angel & Gares, 1989; Duffy, 1980). What is clear is that philanthropy did not proliferate at the same speed or breadth across the nation as community colleges themselves.

The few foundations established in the first half of the 1900s were set up for scholarships and capital campaigns (Schuyler, 1997). Not until the latter half of the century did community college foundations begin to spread in significant numbers: "Declines in federal and state support, along with the realization that increases in tuition and student fees can only be raised so far, has emphasized the importance of fund raising" (Jenkins & Glass, 1999, p. 595). Angel and Gares (1989) observe that the 1970s and 1980s "was a bull market for community college foundations" (p. 9). The authors' survey showed 82 percent of public and private community colleges had foundations by 1987, with many already realizing considerable returns, though the authors argue that many of these foundations were passive rather than active, set up only to receive funds rather than solicit gifts (p. 8).

Milliron, de los Santos, and Browning (2004) synthesize the concurrent evolution of community colleges and fundraising over time by adapting Toffler's third wave concept of

economic and societal transitions. The first wave was characterized by comprehensive integration and focused on the combination of transfer and vocational education: "Fundraising in this context tended to be dominated by strategies to maximize public support through federal, state, and local funding streams — what many in higher education finance call 'hard money'" (p. 84). The second wave consisted of entrepreneurial expansion by meeting the needs of business and industry through, most prominently, workforce development efforts. This second wave brought greater complexity to community college fundraising and extended it well beyond hard and soft (grants) money, "including a host of entrepreneurial activities to further support the college, diversify the revenue streams, and increase the visibility of the institution" (p. 89). The third wave, institutional advancement, is built upon the integration of the comprehensive community college and entrepreneurial expansion of the first two waves. The authors conclude by arguing an embrace of fundraising broadly is required for community colleges to reach their full potential.

EDUCATION: FROM PUBLIC TO PRIVATE GOOD

For much of their existence, community colleges were on the front lines of a democratization of American postsecondary education (Jurgens, 2010); and while this continues to be true, "open access in the traditional sense of nonselective, low-cost enrollment has been eroded by the stratification of educational opportunity and by declining college affordability" (Dowd, 2003, p. 92). The latter cause was, in part, precipitated by a decrease in financing for education at the federal, state, and local level, which followed a broad decades-long shift in the public's perception of a college education from a public good shared by society to a private good that predominantly benefits the individual. Pasquerella (2016) supports this notion saying, the "ideal of higher education as a public good — once inextricably linked to the American Dream

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— has been all but abandoned in favor of the college degree as a private commodity" (para, 1). With a concurrent rise in both cost, and consequently student debt, this commoditization of higher education without intervention will inevitably lead to college becoming a luxury enjoyed only by the wealthy (*Bridging the Higher Education Divide. Strengthening Community Colleges and Restoring the America Dream*, 2013).

This trend in perception and funding from public to private has important implications for higher education and ultimately contributed to the rise of community college foundations. Pisciotta (1984) argues higher education is by definition a private good based on the lack of generally understood characteristics that define public goods, namely an absence of non-exclusive benefits and lacking dependence on government. Marginson (2011) suggests higher education is both a public and private commodity in varying degrees depending on the funding configuration that results from society's predominant philosophical view on the subject. Further, Marginson concludes that removal of a "common public purpose" (p. 413) from higher education threatens its very survival. This applies particularly to community colleges given the inherent common purpose in their central mission to serve the community. Bass (2003) distinguishes community colleges as "fundamentally 'places of public purpose'" (p. 18) from higher education in general due to their commitment to open admissions, low tuition, and variety of services provided to the community.

This political and philosophical shift shaped government policy affecting community colleges on a fundamental level. Bock and Sullins (1987) attribute a decline in public support to Reagan-era policies embracing limited government and a belief that students as the main beneficiary should bear a greater burden of the cost. Levin (2001) found during the 1990s that federal and state government "directed and coerced" (p. 247) community colleges with policies

that "clearly favored the interests of business, industry, and capital… (while) attention to issues of equity, access, and an informed citizenry — issues that could be held up as critical to the community college movement — was marginal" (p. 249). Support for community colleges also softened on the local community level. Some municipal taxing units have gone so far as to reconsider the ad valorem property tax exemption of higher education, which was once considered an inviolable local commitment to educational institutions (Burns, 1995).

Declining public support has consequently affected affordability, leading to an increase in student borrowing — a trend that has disproportionately affected community colleges. While community colleges still boast the smallest proportion of student borrowers at 36 percent in 2012, that share is also the largest increase among institutions of higher learning, up 14 percent since 2000, compared to a three percent increase at for-profit institutions (Commission on the Future of Undergraduate Education, 2016, p. 28).

As a result of political and cultural changes in how higher education is perceived, community colleges have experienced a fundamental shift in their funding model, leading some to conclude community colleges are now "publicly assisted colleges instead of publicly supported colleges because of (the) shrinking fixed allocations from state and local sources" (Milliron et al., 2004, p. 90). Anticipating this trend — or perhaps in reaction to it — community colleges created private foundations. Seemingly, leaders believed that replacing lost public funds with private philanthropy offered a better alternative than shifting the full burden of lost revenue directly to the students. Notwithstanding the semantics between "assisted" and "supported" funding, dissonance between the modern funding reality verses lagging perceptions of public investment in community colleges hinders community college philanthropy at a fundamental level. While this trend is changing slowly, public perception continues to distinguish community

colleges from other educational charitable options due to an outmoded view that community colleges receive all the funding needed from public sources (Grover, 2009).

Early community college leaders avoided fundraising for fear that the sizeable public support they received would be proportionally reduced by the gains made through philanthropy (Akin, 2005). In this current era of sustained declining public support, there is now little debate that private fundraising benefits community colleges (Babitz, 2003). Community college foundations and resource development "is an entrepreneurial operation that melds public and private resources, knowledge of college needs and operations, effective solution development, and a visionary approach to creating preferred futures for a many-faceted institution" (Brumbach & Villadsen, 2002, p. 85).

Existing Research

There is little consensus about the extent and purpose of fundraising in a detailed context beyond a generic belief that additional funds provide positive benefits to community college budgets due to a general dearth of research in the literature (Carter & Duggan, 2011; Goodman, 2015; Jackson & Glass, 2000; Jenkins & Glass, 1999). It is telling Cohen and Brawer's (2008) seminal and comprehensive work on the American Community College dedicates less than one page to community college foundations.

Mission-Driven

According to Jones (2010), "Community colleges need private funds to sustain their mission of providing convenient, affordable higher education to students and economic vitality to communities" (p. 4). Conversely, Dickeson (2010) cautions against a historical trend in

American higher education to direct the community college mission toward available resources: "The more successful the campus is at generating such tightly restricted gifts, the more likely that programs, expectations, and mission will proliferate" (Dickeson, 2010, p. 19). Brumbach and Villadsen (2002) concede that mission creep can exist; however, the authors note the importance of balancing the institution's mission with the imperative to flexibly interpret it saying, "(w)hile the clear focus on mission is essential, there must be allowances for serendipitous opportunities" (p. 82).

Importance of Private Funding

According to Klingaman (2012), "private funding transforms institutions of higher learning, inside and out. Private gifts do not replace public funding, nor do they reduce or significantly discount tuition. Instead, they provide the means to strive for excellence in an era of declining public support" (p. 15). Brumbach and Villadsen (2002) argue that external funding "can make the difference between a good college and an excellent one" (p. 81). Foundations also build connections with the community in ways the college is ill-equipped to achieve; as Bass (2003) noted, "As private nonprofit organizations operating independently of state bureaucracies and political systems, foundations can partner with local businesses and community organizations on an equal footing" (p. 24).

UNIVERSITY FUNDRAISING AS A BENCHMARK FOR COMMUNITY COLLEGES

Education is a popular beneficiary of philanthropy in the United States. According to Giving USA (2018), donations to education accounted for 14 percent of all charitable giving in the United States in 2017 totaling $58.90 billion, up 6.2 percent (4.0 adjusted for inflation) and second only to religion; however, community colleges received a relatively small amount of

those gifts, garnering only "an average of $149 per full-time equivalent student, compared with $39,323 at private research universities" (Kahlenberg, 2015). This despite the fact that 46 percent of all undergraduates had been enrolled at a two-year institution, including students who transferred from community colleges (National Student Clearinghouse Research Center, 2015), with the number of students currently enrolled community college representing 38 percent of all undergraduates (NCES, 2015).

Trailing University Philanthropy

Despite a rather late adoption of philanthropy into the funding mix compared to four-year colleges and universities, community colleges have come to rely increasingly on donations to fund capital projects, scholarships, and even in some cases defraying college operational expenses (Jenkins & Glass, 1999). The advent of community college philanthropy has produced enormous financial benefit, with individual foundations generating millions of dollars for their institutions. These foundations continue to garner greater importance as they encourage growth and innovation within the college while also keeping tuition affordable for students.

Unlike foundations at private colleges and universities, however, community college development offices typically receive minimal resources and employ modest staffing levels of generalists, as opposed to specialists often found in the larger development operations (Akin, 2005; Bass, 2003; Klingaman, 2012). According to Summers (2006), the data on community college fundraising "show beyond doubt that most two-year colleges have not made the investments in fund raising that four-year institutions made decades ago" (para. 4).

Alumni

Considering the number, typical wealth capacity, and structures needed to identify and develop, alumni donors are often relegated to a lower priority with community colleges than they

are with four-year colleges and universities (Keener et al., 2002). As a result, "alumni seldom become community college donors" (Carter & Duggan, 2011, p. 70).

Jackson and Glass (2000) suggest the differences are so stark that community colleges should avoid the university model for alumni altogether and instead focus on developing new and creative approaches distinct for two-year institutions; however, the authors conclude the development potential from alumni is worth continued study and thought. A more recent study found that community college alumni giving characteristics nearly mirror that of four-year and university alumni, suggesting much can be learned from those institutions (Skari, 2011). As the ranks of community college alumni grow, and alumni relations programs improve, cultivation of alumni donors may improve and should be a long-term goal of most development operations (Jones, 2010).

Staffing Comparison

A study of institutionally related foundations by the Council for Advancement and Support of Education (CASE) found growth in foundation staff across all institution types, but "the largest progression toward a more robust foundation staff comes from community college foundations" (Bakerman, 2017, p. 6). Still, Bakerman (2017) found the average number of community college development staff rose from 2.5 in 2011 to 4.0 in 2015; by comparison, over the same period, research/doctoral universities expanded their development staff from 24.9 to 49.1 (P. 8). These large development staffs enable four-year institutions to dedicate professional staff to single area specialties — such as alumni affairs, the annual fund, planned giving, corporate and foundation relations, communications and specialized program areas — where one or two staff members are responsible for all these functions (Bass, 2003, p. 20).

Viewed from a different perspective, Miami Dade College is the largest community college in the nation with over 90,000 credit students (*Highlights and Facts - Miami Dade College Website*, n.d.). The Miami Dade College Foundation lists 16 staff on its website (*Our Team | MDC Foundation*, n.d.). By comparison, the University of Michigan enrolled a total of 46,002 students in Fall 2017 (*University of Michigan College Portrait*, n.d.). University of Michigan Development employs approximately 450 people who work in development, with approximately 140 within the Office of University Development (*About U-M Development - University of Michigan Website*, n.d.). The comparison and representativeness of these two institutions is debatable; however, the disparity is striking, nonetheless.

Budget Comparison

This investment belies the growing importance that these foundations play in achieving the mission of the modern community college (Keener et al., 2002), and although community colleges have not focused on fundraising to the extent of four-year colleges, data suggests this might be changing (Carter & Duggan, 2011). A study by Justice and Scott (2012) found that the mean operating budget for community college foundations was $521,256 (p. 55), an over two-fold increase from a study by Carrier (2002) a decade earlier, which found the average operating budget was $232,479 (p. 62). Bakerman (2017) found similar median total expenses, with community colleges rising from $477,254 in 2011 to $748,495 in 2015, up 56.8 percent (p. 8). While encouraging, this growth trailed all combined foundations in the study (66.5 percent), and research/doctoral universities (69.5 percent).

Further, a study by Jones (2010) identified a positive relationship between a community college foundation's operating budget and its ability to raise revenue, and Justice and Scott (2012) found that this increased investment appears to be producing results. Citing a 2017 report

by Giving USA, CASE reported that giving to community colleges rose at a faster rate in 2016 than any other segment of education (Council for Advancement and Support of Education, 2017).

PUBLIC OPINION

Shifting perceptions about higher education may also offer community colleges the opportunity to garner a greater percentage of higher education's philanthropic dollars. A 2017 survey by the Pew Research Center (Doherty et al., 2017) found over 58 percent of Republicans and Republican-leaning independents believe colleges and universities have a negative impact on the direction of the country, a decline of 21 percent in just two years (pp. 2-3). Democrats' opinion of higher education improved slightly to 72 percent approval (p. 3), but at a much slower rate than Republicans' decline over the same period.

A study by Civis Analytics (2017) drew more positive conclusions about the overall perception of colleges and universities. According to the survey, 86 percent of Americans feel higher education enhances job prospects, 89 percent think high school students should pursue an education after graduation, and the study contradicted the Pew survey by concluding "partisanship isn't a major differentiator of optimism about higher education in general" (p. 2).

Unlike the Pew study, Civis Analytics explored satisfaction based on institutional type. Partisanship did affect perceptions of four-year institutions, with 60 percent of Democrats satisfied compared to 49 percent of Republicans; however, 64 percent of both Democrats and Republicans supported community colleges (Lederman, 2017). Cost and students graduating with poor job prospects were the two highest responses given for dissatisfaction. More importantly for community colleges, 63 percent of survey participants were generally satisfied with community colleges compared to 52 percent for four-year colleges (p. 2).

Convention and practice have limited the impact of community college foundations. Teahen, Guy, and Byl (2012) describe community college fundraising as episodic and reactive. According to the authors, "By pattern of practice we've helped to define community colleges as masters of 'making do with less' with the mindset that we vision and plan only to the extent that public resources will provide" (p. 2). Klingaman (2012) alternatively characterizes fundraising as "a do-or-die proposition, meaning you only do it when necessary" (p. 11). Like other small nonprofits, scattershot fundraising from a handful of donors typifies a patchwork of donations, as opposed to bigger nonprofits that tend to be highly focused and diversified (Kim et al., 2018); however, there are notable examples where community colleges have effectively integrated philanthropy into the long- and short-term planning of the institution to achieve impressive results (Traylor et al., 2006).

Strategic planning has long been used in business, and more recently in the nonprofit sector, as a management function to clarify the purpose of an organization and guide the use of its resources. While Ameijde, Nelsom, Billsberry, and Meurs (2009) observe "Higher Education institutions seem to struggle in dealing with the tensions between traditional collegial notions of leadership and the introduction of management principles derived from the private sector" (p. 777), strategic planning has become a mainstay in higher education institutions; though, the conflict noted by the authors can ultimately hinder the process and effectiveness of strategic planning. Alternatively, if done properly, the early engagement of internal stakeholders can help build greater support for foundations (Babitz, 2003). Angel and Gares (1989) contend, "foundations of two-year colleges can raise significant amounts of additional revenue when there is proper planning and determined execution under effective leadership" (p. 13). Despite this, not

all community college foundations articulate explicit plans. According to Bass (2003), "(w)hile such comprehensive planning and reformation is not generally seen as an advancement function, those institutions that have most successfully adapted to changed environments have fully integrated advancement and planning" (p. 24).

Allison and Kaye (2015) suggest, "(s)trategic planning helps organizations achieve two critical outcomes: clear *decisions* about purpose and strategy and *commitment* to those decisions. It is a process designed to support leaders in being intentional rather that reactive" (p. 1). Bryson (2011) defines strategic planning as "a deliberative, disciplined approach to producing fundamental decisions and actions that shape and guide what an organization (or other entity) is, what it does, and why" (Loc. 744).

Strategic planning is not without its limitations, and it should not be considered a panacea, nor is it ever an effective replacement for a clearly articulated vision and a well-understood purpose (Shushok & Sinek, 2017). Fundamentally, strategic planning is a process to facilitate strategic thinking, and often the process is far more valuable than the product it creates (Kenny, 2016). In the end, the valuable activities are "*strategic thinking, acting, and learning*" (Bryson, 2011, Loc. 630). Strategic planning not only helps organizations determine what to do, but when done appropriately it helps organizations discern what programs and activities are not worth time and resources (Allison & Kaye, 2015). Tasler (2014) argues that thinking strategically should not be confused with productivity, as productivity is "strategically agnostic."

According to Schaan (2015), "strategy is not about how to achieve operational excellence or enhancing the marketing plan. It is what dictates how everything within an organization is put in motion by defining what you want to achieve" (para. 8). This process can neither be done in a vacuum, nor is it isolated only to fundraising activities. The benefits of strategic planning are

undermined if the results are not completely integrated into to the organization's way of life (Reid, 1989) — both as those results relate to the college and the activities of the foundation.

CHANGE THEORY AND THE THEORETICAL FRAMEWORK FOR CHANGE

According to Schein (1984), "organizations exist in a parent culture, and much of what we find in them is derivative from the assumptions of the parent culture" (p. 12). While this comment specifically pertained to the interrelationship between organizations and the society in which they are situated, the concept is equally applicable to the cultural relationship between community colleges and their foundations. Change to a foundation without the validation and commensurate change within the parent institution will be neither sustainable nor impactful. Moreover, organizational cultural awareness assists with identifying what changes will be easy and which changes will confront resistance (Schein, 1984). Therefore, an understanding of change models and organizational theory are essential to guide any change effort in this context.

There are many change models available, and the relative strengths, weaknesses, and applicability of each model are debated in detail in the literature. The intent of this study is not to weigh in on that debate, nor is it to exhaustively examine the literature related to change management theory. Rather, a selection of noteworthy models is summarized to suggest the options available and the general utility of change theory as it relates to repositioning the community college foundation for successful short- and long-term planning.

Lewin's Change as Three Steps

Lewin is generally regarded as an early pioneer in change management theory, and although the relevance of Lewin's "change as three steps" model to modern complex organizations, attribution, and the simplicity/elegance are debated, the early and sustained impact

of this model on change management theory is not (Cummings et al., 2016). The three steps attributed to Lewin's model are summarized as, (1) freeze barriers through communication by identifying the impediments to change and building consensus for the need for change, (2) move through engagement in a participative process, and (3) refreeze changes by working with people in the organization to test the new system (Levasseur, 2001). This method has been successfully used to transform educational administration (Schriner et al., 2010).

Kotter's Eight Steps to Change

Kotter's (1995) model can be summarized as having eight steps: (a) establish a sense of urgency; (b) form a powerful, guiding coalition; (c) create a vision and strategy; (d) communicate the vision; (e) empower action by removing barriers; (f) generate short-term wins; (g) consolidate gains; and (h) anchor in the culture. The Eight Steps model is criticized for its lack of grounding in empirical literature and the linear order of change suggested in the model; however, the ease of the model and its undeniable popularity make it an frequent starting point for leaders implementing change (Appelbaum et al., 2012).

Roger's Technology Adoption Curve

Unlike the prescriptive and linear nature of both Lewin and Kotter, Roger's Technology Curve utilizes a normal distribution to illustrate the rate of a new product's adoption in a population based on the theory of diffusion of innovation (Rogers, 1976). Rogers' (2010) model attempts to accelerate the rate new ideas are communicated, spread, and ultimately accepted by groups differentiated by (a) innovators; (b) early adopters; (c) early majority; (d) late majority; and (e) laggards. By understanding the characteristics of each group, according to the model, leaders can prioritize audiences and speed up change based upon the predictable adoption of new ideas in each subsection of the larger group.

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Kubler-Ross Five Stage Model

Like Rogers, the Kubler-Ross Five Stage model was originally developed to explain a phenomenon separate from organizational change, in this case, the grieving process. Kubler-Ross (1969) articulated the five stages of grief as (a) denial and isolation, (b) anger, (c) bargaining, (d) depression, and (e) acceptance. Kearny and Hyle (2003) studied the reactions of educational employees and found the grief model highly applicable throughout the entire change process.

Prosci's ADKAR model

ADKAR suggests a sequential natural order for change, and all elements, according to the model, must be present for change to occur. The five objectives of Prosci's ADKAR model are (a) *Awareness* of the need for change, (b) *Desire* to support and participate in the change, (c) *Knowledge* of how to change, (d) *Ability* to implement required skills and behaviors, and (e) *Reinforcement* to sustain the change (Hiatt, 2006a). ADKAR differentiates itself from models like Kotter's Eight Steps by focusing, not on collective behavior in organizational change, but rather, change at the individual level made in the behavior of each person in the organization (Hiatt, 2006b).

SUMMARY

Higher education presents a particularly change averse environment (Cameron, 1983), and institutions must appropriately calibrate change efforts to avoid tensions peculiar to Higher Education's traditional distributed leadership practice (Ameijde et al., 2009). Moreover, the interdependence between foundations and the college adds an extra layer of complexity to any substantive change effort. Transforming the role of the foundation requires change within both the college and the foundation.

Ultimately, any planning effort will confront numerous unanticipated variables, and a basic understanding of the organizational change process vis-à-vis one or more theoretical frameworks can assist leaders dealing with affective reactions from stakeholders (Armenakis & Bedeian, 1999). While many of the change models were originally developed for the business sector — or in the case of Rogers (1976) and Kubler-Ross (1969) weren't even originally intended for organizational change — change management models are now used in a broad spectrum of organizational sectors.

Varkey and Antonio (2010) assert that the "(a)doption of change management practices increases the odds of success because focus is placed on the people in the organization who make things happen" (p. 272). Further, Armenakis and Bedeian (1999) conclude, "(s)uccessfully implementing change inevitably requires encouraging individuals to enact new behaviors so that desired changes are achieved" (p. 204). The optimal model, combination of models, or a loose synthesis of change management techniques selected will vary by environment, rate and degree of desired change, incumbent barriers present in the organization, and leadership preference.

Community colleges are idiosyncratic institutions led by passionate, dedicated, well-informed, and independent-minded stakeholders. A common consequence is that decisions are often made within the context of a patchwork of disparate individuals pursuing different or isolated approaches to a generic common goal, rather than a cohesive vision essential to creating systemic change. Rogers and Kubler-Ross may provide the most useful approach as both models focus on the characteristics of the stakeholders rather than the more process-oriented approach of other models. This is particularly useful as emotional attachment to the status quo or parochial differences can often pose a daunting challenge is community colleges.

CONCLUSION

  This chapter reviewed the literature related to the history and current state of community college foundations. A comparison to university fundraising in the literature clearly illustrated that community colleges lag far behind four-year institutions. Strategic planning principles, organizational culture, and change management theory were discussed as a means to effect a change in how foundations are perceived and treated within the community college culture. The remaining chapters will articulate a process using these principles to guide leaders to efficiently direct and optimize resources to advance the mission and transform the role foundations and philanthropy play in community colleges.

CHAPTER THREE: PLANNING FOR TRANSFORMATION

INTRODUCTION

The preceding chapters are designed to illustrate the continuing evolution regarding the funding and regulatory structure of community colleges. Current thinking suggests that the issue of financing community colleges is going through more rapid transition, with private donor investment becoming more important and, in the minds of most, an unrealized area for potential future growth.

The preliminary planning steps for this Guide are based on a synthesis of strategic planning and non-profit management principles developed by Allison & Kaye (2015), Bryson (2011), and Bryson & Alston (2011) and applied to a community college foundation context through a heavy reliance on the work of Klingaman (2012). The Guide is not, however, simply a summary of the authors' recommendations to achieve traditional planning outcomes. Rather, the Guide directly combines a strategic planning framework with change management principles to the specific context of community college foundations to develop tools that both guide operations and assist foundation leaders with effecting change.

The integrated and iterative process articulated in this chapter offers one possible planning methodology customized for the community college foundation. The outcomes from planning will populate a toolkit intended to operationalize the plan and position the foundation for greater impact as locus of change within the community college — a role almost universally embraced by the scant literature dedicated to the subject and yet infrequently realized on the practitioner level.

This process used to develop the Guide elements follows three phases:

1. Phase 1: Assessment and Preplanning

2. Phase 2: Strategic Plan Development

3. Phase 3: Operationalization

The purpose of this initial phase is to assess the readiness of the foundation and college to undertake a substantial planning effort, define the scope and depth of change needed, and gather the information required to initiate the planning process. While input and participation from stakeholders is essential in Phase II, this phase is concerned with undergirding the process with a deliberate philosophical structure. Therefore, this step is almost exclusively undertaken by the staff member charged with marshaling the planning for the foundation, typically the executive director or chief development officer.

Organizational Lifecycle

Understanding the lifecycle stage of the organization provides insight into the structural strengths of the organization, can help anticipate upcoming challenges, and illustrates a path to achieve organizational peak or excellence. The Adizes Lifecycle provides a model to assess and guide organizations through their natural lifecycle (see Figure 2). The ten stages defined by the Adizes Corporate Lifecycle include (a) courtship; (b) infancy; (c) go-go; (d) adolescence; (e) prime; (f) the fall; (g) aristocracy; (h) recrimination; (i) bureaucracy; and (j) death.

Diagnosing where the foundation is in its lifecycle can provide important insight that can direct the planning process. For example, following the Adizes model, a community college foundation in the Aristocracy phase may have built up sizeable endowments, but rather than

continuing to grow and innovate, it becomes consumed with managing the current programs and

existing wealth.

Figure 2: The Adizes Corporate Lifecycle

The Fall

Prime

Aristocracy

Premature

Adolescence — Divorce — Aging

Recrimination

Unfulfilled

Entrepreneur

Go-Go — Founder Or Family Trap

Bureaucracy

Infancy — Infant Mortality

Courtship — Affair

Death
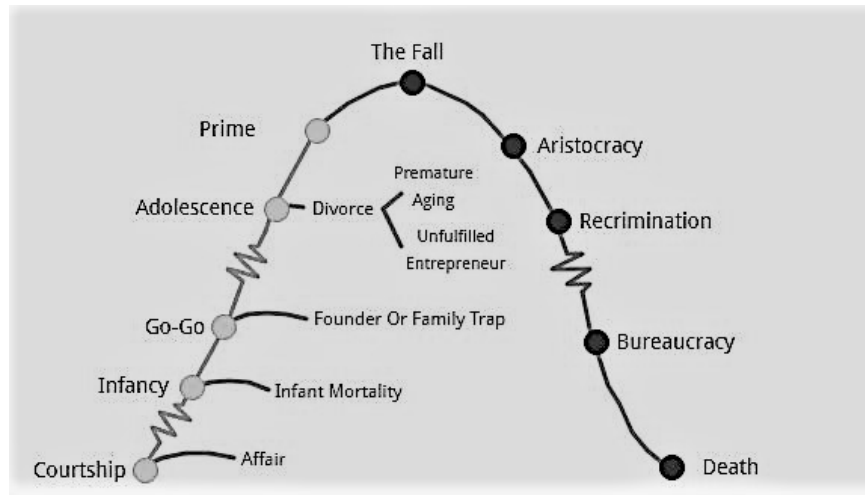
Source: Adizes, I.K., (n.d.), retrieved from http://adizes.com/lifecycle/

Conversely, the challenges in the Adolescent phase, while no less daunting, present a

very different landscape. A foundation may find original board members retiring and ardent

donors who supported the foundation from its inception may begin to pass on — a situation that

many foundations are beginning to confront as a large proportion enter a second or third decade

of operation. While the foundation's reputation may be well established from the Infancy stage,

it confronts in Adolescence a critical time of transition in staff, governing board, and donor base

that not only threatens the foundation's reputation but its very identity.

The same analysis can be applied to the college itself to provide additional guidance and

expose potential barriers. While the foundation does not likely possess the singular authority to

change the state of the college's lifecycle, it may be able to positively influence its transition

along the lifecycle curve. Further, since the foundation is an organization dedicated solely to

supporting the mission and vision of its host institution, understanding the college's lifecycle

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stage may help inform the change process as college stakeholders are brought into the process. For example, a recognition that a foundation suffers from the "founder or family trap" presents an opportunity to engage everyone in the institution. An invitation to internal staff to confront this challenge may instill a sense of ownership that may not be present in the earlier stages of the foundation.

Change Framework

With a basic understanding of the lifecycle stage of both the college and the foundation, a general roadmap for change can begin to take shape. The results of a lifecycle stage assessment will provide guidance for how to move the organization closer to "prime." If the lifecycle assessment identifies the current organizational stage, the change framework leads the strategic planning effort to a desired future state.

A fundamental premise of this study is that organizational change — change that is cooperatively led by the college and the foundation to address the strategic issues facing the college — must be a core precept of any foundation plan: "Productive change is the hallmark of the most effective resource development efforts in the community's college" (Brumbach & Villadsen, 2002, p. 78). To reach their fullest potential, foundations must not become complacent as simply fundraisers. The expectation to effect change should explicitly permeate throughout the governance, management, plans, and actions of the organization.

Many small nonprofits that provide services can directly and unilaterally change the programs or services they offer through a structured strategic planning effort. Although college foundations are legally independent from the college, they typically do not control or deliver the programs or services they support. Instead, college foundations rely on faculty to develop and deliver new programs, financial aid to award scholarships, admissions to recruit new students,

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and various academic and student services offices to improve retention, to name only a few of the programs and services.

This highly complex, dynamic, and decentralized delivery structure for programs and services adds a significant additional dimension to planning. Unlike typical nonprofits that can focus on changing internal structures to better deliver new and existing services or programs, community college foundations must work within the larger institutional culture from which it has little line authority to influence. Forethought into change models and early integration of change management theory into the planning model will ease adoption of the plan and deeply focus elements of the strategic plan on mission-driven activities. More importantly, engagement of stakeholders is essential not only to increase chances for success for implementing the desired change, but also in an effort to enlist dedicated and passionate college staff as "soldiers" to the cause to assist directly with fundraising.

How change theory is integrated and what theory or theories will guide the plan is highly individualistic and differs for each organization. For example, a planner may use Kotter's Eight Steps to guide the overall plan, Roger's Technology Curve to identify and analyze specific institutional audiences, and Kubler-Ross's Five Stage model to guide engagement strategies of those audiences. Choosing the model requires only a general understanding of the environment for change, the change manager's preference, and an affirmed commitment to continually apply the principles of the model throughout the planning process.

The mechanics of change management need not be evident in the foreground of the planning process. Rather, change theory guides the executive director — potentially in consultation with the foundation's chair and college's president — through the entire strategic planning process. These tools should focus efforts on when, where, whom, and to what degree

different stakeholders need engagement. Change is an iterative process, and change management constructs help the planner navigate the process while constantly maintaining a focus on the ultimate change outcome that is desired.

Picture of Change

Early in the process, the executive director and chairman of the foundation, along with the college president, must articulate a vision for how the foundation will manifest itself into a change agent. Clearly understanding the transformation desired, even if in broad strokes, will be important as the executive leadership lays the groundwork for stakeholder participation. To maximize the relevance of data gathered, and leverage the planning process to propel change, stakeholders will need to conceptually understand how elevating the role of the foundation can help the institution evolve to meet the strategic issues it faces.

Mission Re-Development

Mission documents are the bedrock for every action, program, or initiative of the community college foundation. As such, the final essential step in pre-planning is for foundation staff and top board leadership to review the mission documents of the organization. Some foundations regularly conduct this assessment, but many others operate with the same mission, vision, and values for decades.

The formal process to review, rewrite, and ratify mission documents is an important early step in the strategic planning process with which inclusivity is central; however, in pre-planning, a small group of foundation leadership reviews the mission documents with specific objectives in mind. The purpose of reviewing the mission documents prior to strategic planning is to identify any glaring inconsistencies between the current mission, current initiatives, and possible desired future initiatives that the leadership considers promising. The foundation executive team

responsible for much of the research, data synthesis, and writing should consist of top foundation staff, foundation chairman, college president, and possibly also include the college cabinet, foundation executive committee if one exists, and any foundation board members with skills and experience particularly suited for strategic planning.

The mission documents serve as a litmus test for the activities of the foundation. If incongruities exist, the leadership must decide whether it is because the mission is too narrow or if the activities have grown too far afield from the central purpose of the organization. This step is not about ultimately making these changes, however. The leadership is simply looking at this stage for issues, concerns, and growth areas to frame the mission, vision, values discussion during an inclusive and collaborative strategic planning process.

Finally, the last stage of the pre-planning phase is to determine if the mission statements are consistent with a platform for change. Foundations whose missions traditionally focused solely on raising money will require a concerted effort to build consensus for how it can transition into an institutional change agent. To be clear, it's essential in pre-planning — and indeed throughout the entire process — to explicitly not supplant, or appear to supplant, the formal leadership structure of the college or act as shadow leadership team. Rather, foundations most typically become a locus of change by (1) offering a conduit to discuss needed changes untethered from more rigid discussions, such as a byproduct of the budget process; (2) providing assistance for issues outside the college's direct control, such as non-academic expenses that impede students success; (3) introducing perspectives from the outside by connecting with other stakeholders and potential partners; (4) leveraging the foundation's distinct legal status, for example, by offering employee incentives not bound by contractual compensation; and (5) of course, by providing financial resources.

Whatever the multiple directions and roles the foundation takes, ultimately success requires transparent consensus building. This consensus building will need to occur early and be led by the college president and the foundation's chief executive; however, the effort will span the entire planning process, will require engagement of all major stakeholders and will likely be the most challenging aspect encountered throughout the entire process. Leaders will need to simultaneously challenge conventional wisdom related to the role of the foundation that is deeply entrenched in institutional culture, while also sharing a vision for the future that inspires stakeholders to want a hand in the transformation effort.

PHASE II: STRATEGIC PLAN DEVELOPMENT

Strategic planning enables capacity building, long-term goal development, and a process for facilitating a mutually beneficial environment for change. According to Allison and Kaye (2015),

> Strategic planning builds capacity in three ways: First, a clear direction supports the intentional use of resources, making the best use of capacity. Second, strategic planning often calls for investment in various dimensions of an organization's capacity, such as program evaluation, financial management, personnel training, or capital improvements. Finally, and just as important, strategic planning actually improves nonprofit functioning. It does this by strengthening communication, building confidence in shared values, and employing the entire organizational system to make the most important decisions, building greater investment and buy-in from all concerned. (pp. 21-22)

Jenkins and Glass (1999) state:

> (P)lanning must be made with long-term goals in mind. Planning, relative to the foundation, involves predetermining a path and having a clearly defined mission if a foundation is to achieve maximum potential. Planning also includes setting goals and objectives that those associated with the college understand, and strategies to accomplish them. Change requires some degree of learning and unlearning. The foundation staff in these fund-raising programs must be familiar with, and acceptable to, the many cultures within the community that support the foundation. (p. 609)

Relationship between the College and Foundation Strategic Plan

While the foundation's strategic plan must augment the college's strategic plan, it is unlikely that the foundation will build its strategic plan exclusively from the college's plan. The foundation plan may also include organizational and structural priorities that will likely not be addressed in the college's plan, potentially including how it fundraises, board relations, and other details specifically relating to fundraising.

The foundation's strategic plan should not be so closely tied to the college's strategic plan that the two plans are dependent upon each other. Rather, the foundation's strategic plan should accommodate the college's current priorities in a broad sense. For example, the college may be completing a significant building renovation. Rather than a goal that is directed at the specific building renovation, the foundation may alternatively articulate a goal to ensure the college has up-to-date facilities. This way, the goal can persist past the current list of projects.

Two-Track Planning

There is a degree of dissonance inherently present in any substantive planning effort for community college foundations that complicates the process of strategic development. On the one hand, the foundation's independent board is responsible for charting the strategic future of the organization. On the other, college employees are often responsible for program design and implementation that ultimately makes the work of the foundation meaningful.

Causes of dissonance include foundation board members who tend to be highly dedicated to the cause and motivated to grow the foundation, yet are limited in their knowledge of the college's culture, internal processes, and capacity. Conversely, college staff as a whole are often dissociated from the foundation and committed to the status quo, yet highly knowledgeable about

the specific needs of the college and students and the culture within which instruction, programs, and services are delivered.

Bridging the knowledge and vision of these two essential constituencies is one of the most important and difficult tasks, not only in strategic planning, but in everything that follows the planning process as well. Hence, an essential element throughout planning is concurrent and meaningful engagement of both groups, successfully synthesizing the input gathered through the process, and providing a persistent feedback loop that explains why input was incorporated or excluded. What may result is a far more meaningful and rich vision for the future and compelling case for support that combines the passion and expertise of both external and internal perspectives.

Validating Mission, Vision, and Values Statements

Validating or redrafting mission, vision, and values statements is an essential early step as every subsequent step in the planning process and everything the organization does flows from those statements. The mission defines the organization's purpose, the vision describes the image of the future the organization wants to create, and the values are the principles, concepts, and beliefs that guide and shape the organization (Allison & Kaye, 2015, p. 77). Mission statements are critical to planning and implementation as the statements "translate into objectives toward which all management activity is directed and by which results of the organization's activities are assessed" (Heath & Palenchar, 2009, p. 33).

Developing the Board

The foundation's board is vested with the primary responsibility for creating the organization's mission, vision, and values statements. During the pre-planning stages, the board's executive team and staff leadership conducted a preliminary assessment of the

foundation's existing mission documents to identify any issues, concerns, or growth areas. The results from that informal assessment help to frame a broader discussion with the full board. At this stage, the board collectively affirms the existing mission documents, refines the statements, or drafts entirely new documents. This can be done at minimal cost with existing staff, or consultants can assist in facilitating this step.

At this early stage, perfection is not the goal; rather, the board should develop working drafts that articulate a direction that is meaningful to board members and staff to test among stakeholder groups. It is critical at this early stage to infuse the planning process with a spirit of collaboration that bridges the diverse interests of the various stakeholders and persists long after the planning has concluded: "The most important outcome of strategic planning is not the document but the actual decisions made with shared understanding and commitment of board and staff" (Allison & Kaye, 2015, p. 59). Running board members through exercises intended to foster reflection and elicit thoughtful input at a single board retreat or over the course of several meetings can produce desired results (see Appendix A for an example).

Once a consensus is forged and statements are drafted, the executive team should review the drafts to determine if any changes or refinements should be made before submitting to other stakeholders for additional input and confirmation. If substantive amendments are made by the executive team, the full board should be kept apprised of the content changes and the rationale.

Confirming College Staff-level Mission

Early engagement of the campus community is important:

Colleges are social organizations with their own rules. Despite all the rhetoric about satisfying student and community needs, the procedures maintained in community colleges tend toward protecting staff's rights, satisfaction, and welfare (Cohen & Brawer, 2008, p. 115).

Emphasizing the value of input from the college staff and relating the work of the foundation to their welfare and satisfaction up front can not only improve the chances for engagement, but it increases the likelihood that internal staff embrace the vision and become champions for the mission.

It is unnecessary to duplicate the extent of the process used by the board to develop draft mission documents. Creating competing drafts can cause unnecessary conflict and add complexity when developing a final cohesive product. Instead, the role of the college staff in this step is to confirm the relevance of the draft mission documents developed by the board, suggest constructive changes, and provide an opportunity for the foundation staff to clarify any elements of concern.

Preexisting internal communication channels are usually sufficient to build stakeholder engagement and glean an appropriate level of input. Most community colleges have some version of an institutional governance model consisting of shared governance councils, faculty senate, governance committees, or a combination thereof. Bringing the draft mission documents through those channels provides an opportunity for input that is situated within the norms of the institution, which can improve chances for participation and ultimate acceptance of the final product.

Drafting the Mission Documents

Once sufficient input is gathered from the foundation board and internal college staff, the foundation's executive team must analyze and synthesize the input to develop a final draft of the mission documents. This does not mean that the executive team must ensure every concept is incorporated into the final product. Rather, the team should balance and prioritize the essential elements of the foundation with the needs of the institution and the vision for change that the

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leadership seeks to create. This likely means making difficult choices about what input to incorporate and what ideas or needs to omit. The executive team should, however, thoughtfully consider all input received and carefully record the reasoning for its final decisions in the event contentious issues arise later.

The mission documents should remain in draft form through strategic plan development to allow for incorporation of any strategic issues that may arise during the planning process.

Completing Environmental Scanning

The next step in the planning process is to identify the environmental trends and forces that the foundation's strategic plan must respond (Allison & Kaye, 2015, p. 13). This analysis includes the external forces impacting the college (i.e., funding, policy, community workforce needs, etc.), internal college forces (i.e., staff qualifications, cost of tuition, new program development, perception of the foundation, etc.), external forces affecting the foundation (i.e., regulatory charitable tax changes, other local philanthropic choices, economic conditions, market fluctuations, etc.), and internal foundation forces (i.e., staffing levels and qualifications, board participation, resources, etc.).

According to Brumbach and Villadsen (2002), "College goals always should drive the pursuit of external funding" (p. 80); therefore, clearly understanding the relationship between the college's goals and the foundation's capability to bring external funding to bear to accomplish those goals are a central pillar of the entire strategic planning process.

Conducting a SWOT Analysis

One method to assess the internal and external environment is through a Strengths, Weakness, Opportunities, and Threats analysis (SWOT). Like the process to draft the mission statements, the board and college staff should be engaged concurrently. A survey tool is an

effective means to administer the SWOT analysis. The board survey tool will primarily focus on identifying the SWOT facing the foundation and strategic issues in philanthropy (see Appendix A for an example), where the college staff survey will focus primarily on concerns facing the college (see Appendix B for an example).

Framing Change

The environmental scan should not be confined to passive data collection alone. In addition to gathering input for the strategic plan, it is essential to continue actively applying change management principles during the environmental analysis. Elevating the foundation's place in the institution as a change agent will require the executive director of the foundation, with the support of the president, to lead stakeholders to think differently about the strategic issues facing the college and the foundation's role and capacity to address those issues. This is done by challenging stakeholders participating in the SWOT to think critically and push beyond responses that are connected to old perceptions of the foundation's role.

Without preparative intervention by the staff administering the data collection, stakeholders are likely to provide responses predicated on the current transactional form of the foundation. For example, the question, "what should the foundation's picture of success be?" might be met with responses such as "more scholarships," or "raise more money." These are common responses to be expected, and yet they do not illuminate the deeper systemic issues facing the college.

Instead, surveys or interviews will require a concerted effort to preface data collection instruments with instructions that frame how the foundation as a change agent would operate. This can be accomplished by defining previously understood outcomes — such as scholarships or dollars raised — as means or tactics to achieve a higher institutional purpose. A foundation

acting as a change agent adopts goals that address the strategic issues facing the institution on a deeper level than simply with a myopic focus on resource generation — issues such as enrollment trends, personnel issues, regulatory changes, etc. Shaped, influenced, and embraced by a broad spectrum, concrete and inclusive planning identifies a consensus vision of the future and ushers it into reality.

Synthesizing Data

Kearns (as cited in Allison & Kaye, 2015) warns against conducting a SWOT analysis through superficial list-generating exercises; rather, analyzing the data systematically "requires nonlinear iterative thinking, which assumes that goals and strategies emerge from the juxtaposition of opportunities and threats in the external environment and strengths and weaknesses in the internal environment" (p. 67). This preliminary thinking is principally done at the executive level of the foundation, and requires thoughtful prioritization of the strengths, weaknesses, and threats that emerged from the college staff's input with the opportunities afforded through the foundation (see Table 2).

Table 2: SWOT Analysis Grid

	Opportunities	Threats
Strengths	Invest	Defend
Weaknesses	Decide	Divest/Damage Control

Adapted from "Strategic Planning for Nonprofit Organizations: A Practical Guide for Dynamic Times," by M. Allison and J. Kaye, 2015, p. 67

For example, a strength of the college may be the quality of tenured faculty on staff, but a corresponding threat may be the college's inability to recruit or retain new high-quality faculty due to an uncompetitive pay structure (i.e., due to a two-tier compensation system or regulatory benefits reform that affects only new hires). Similarly, the college's inability to change its pay

structure to address the problem would represent a Weakness, but an Opportunity is that the foundation is untethered from the contractual or structural compensation restrictions that may restrict the college from responding effectively or easily. Hence, a goal to address this critical issue might be to ensure the future instructional quality of the college by financially rewarding accomplished new faculty, and a related strategy could be to establish an endowed faculty chair program that provides an annual stipend to reward, recruit, and retain promising young faculty.

Synthesizing Strengths and Weakness to Opportunities and Threats will lead into the next phase: Drafting the plan. The executive director should continue to monitor and structure the planning process with the change framework in mind. This awareness will help identify areas of possible resistance and afford the opportunity to educate stakeholders as the planning process unfolds.

Drafting the Plan

At this stage, a final draft of mission documents and a synthesis of the foundation and college environmental strengths, weaknesses, opportunities, and threats are complete. Writing an effective plan will require balancing the input received from all stakeholders into a cohesive document that is ultimately understood and accepted by the foundation's stakeholder groups.

A central theme of this Guide is the need to clearly articulate foundation priorities and efficiently dedicate resources to operationalize and track progress toward the adopted goals; therefore, condensing priorities into a concise final list of three to five goals is ideal. The tools developed in this guide are expressly intended to help foundation staff deal with the unwieldy laundry list of menial administrative tasks and exhaustive inventory of programs that typifies the day-to-day reactive routine for many foundations without strategic direction.

Preliminary goal development

The first step in writing the plan requires the executive leadership, guided by the foundation's draft mission documents, to decipher the strategic issues that emerge from the SWOT analysis and begin grouping and summarizing the input received. The findings from this summary will shape the board's discussion for development of the plan's overarching goals.

Depending on the clarity of the information received, consistency across stakeholder groups, and its congruency with the foundation's vision for change, the executive leadership may produce several goals to be rank ordered or simply summarize the strategic issues that emerge from the SWOT and turn to the board to collectively select and develop the plan's goals. In either case, the executive leadership may need to seek clarification for any issues or areas of inconsistency that emerge in the data from certain stakeholder groups before engaging the board. While the bulk of the data will emerge from SWOT analysis, the executive leadership — especially the president — may identify and add strategic issues that did not come from the SWOT analysis.

Board-level Goal Development

The method and extent of the board's participation at this stage is a judgment call made by the executive director and the board chair. The board may convene a weekend retreat to write goals or review a summary of the SWOT at a regular board meeting and confirm goals drafted by the executive leadership. Whatever the means, the objective is to secure board support for the most meaningful three to five goals to propel the foundation forward through planning and ultimately action.

Confirming Goals

Like mission development, it is unnecessary to create a competing set of goals with additional stakeholders by duplicating the process used with the board. Since the goals will frame the remaining planning stages, however, it is important to seek input from the other college and foundation stakeholders before the goals are formalized.

For college staff, preexisting internal communication channels can again be used to gather input about the draft goals. It may be advisable to preface the confirmation of the board's goals with a summary of the process used and a brief report on the findings of the SWOT to justify and explain how previous input from staff was used to drive goal development.

To finalize the goals, executive leadership will need to review any critiques provided by stakeholders during confirmation to determine if changes should be made to the goals. This is an iterative process, so several rounds of drafts and targeted confirmation discussions may be required before a final draft is complete. While complete consensus among the various stakeholders may not be possible, this collaborative process should not sacrifice prospects for broad-based support in exchange for expediency.

Creating a Concise and Focused Plan

The form of the final strategic plan should concisely focus the content of the foundation's priorities. An unwieldy and overly detailed plan will not be absorbed by board members, runs across purposes of prioritizing resource dedication, and complicates implementation for typically small staffs. Allison and Kaye (2015) recommend strategic plans "stay tight on ends and loose on means" (p. 19), which is to say the plan should create a strong commitment to the purpose of the foundation but provide the flexibility to creatively adapt methods to best achieve the goals established in the plan (p. 18).

A powerful and effective representation of the strategic plan containing the goals and strategies of the foundation can be communicated in a page or less. While the strategic plan has many tactical and operational components that will guide the work of staff and committees, this level of detail can change. Therefore, comprehension of the plan for the purposes of describing the direction of the organization, guiding resource allocation, and judging progress toward outcomes are best served with a condensed view of the overall plan with the details left to the staff during implementation.

Developing Strategy

Strategy can take many forms and lead to many different outcomes. In the process described in this chapter, strategy is intended to broadly encompass the program portfolio, systems, and actions that accomplish the foundation's goals. Strategies are action-oriented but stop short of specifying granular tactics in order to retain the flexibility necessary for implementation. Strategies for transformational foundations extend beyond stretch fundraising targets. In keeping with a core differentiation articulated in this Guide, fundraising metrics (i.e., increase annual fund revenues by 10 percent) are tactical means and should not be confused with providing strategic direction. Strategy development in this context is concerned with articulating how to achieve the desired change and not the dollars needed to fund it.

Developing Internal Strategy

Strategy development within the foundation is best accomplished in small working groups. Most foundations have committees dedicated to the areas focus of their work. Some examples of committees include scholarship, major donor, annual fund, legacy, special events, finance, grant (internal to the college), and executive committees. These committees, if active, offer an ideal place to apply the new goals to develop strategies. If one or more of the

committees are inactive, strategy development offers an opportunity to reinvigorate the committee with important work to advance the mission of the foundation. If the foundation lacks committees associated with stated goals, or if one of the goals is to restructure the organization's governance, small ad hoc groups may be convened by the board chair to discuss strategies.

Strategic development first begins with a program assessment to gauge the effectiveness and fitness of existing programs under the committee's purview with the new mission and goals of the foundation. The committee should determine if each program is consistent with the new mission and goals, if the new goals justify program expansion with additional resources, or if the program should be eliminated to free up time and resources for other priorities.

The committee review also extends to assessing each goal through the committee's lens. The committee should then draft strategies for goals related to the committee's program area.

Developing External Strategy

The foundation's goals will influence the external groups that should be consulted during strategic development. For example, the goal of supporting emerging industries in the community would require input from the faculty and divisions with programs connected to emerging industries to determine strategies.

Final Strategy Development

As with the earlier stages, the foundation's executive leadership will ultimately review the recommendations from internal and external stakeholders to develop draft strategies. This analysis may include a review of the expected timeline for the plan. Some strategies may need to be phased in, while others may need to be prioritized to meet time sensitive or urgent strategic issues. Typically, strategic plans span three to five years. Strategies with longer time frames may

need to be reworked as long-term goals, separated into phases or recorded and set aside for consideration in future strategic plans.

Final Confirmation of the Plan

The same channels that were used in plan development can serve to confirm the details of the plan with stakeholders. This is the final opportunity to gather feedback and build support for the plan's conclusions prior to adoption. Confirmation includes a review of the mission documents, goals and strategies of the foundation.

Consulting additional stakeholders may add an extra dimension to confirmation, including providing enthusiasm for a refined new direction. Some additional audiences include donors, students, trustees, civic leaders and area employers. Confirmation with these audiences becomes even more important if their advice was incorporated earlier in the process.

Metrics

A transactional foundation's strategic plan may focus on how to raise more dollars or reach more donors and treat those goals as ends to pursue. A transformative foundation focused on becoming a change agent treats fundraising methods as a means to achieve the goals and strategies developed to address strategic issues facing the college. Therefore, fundraising metrics to assess the impact of the foundation and progress toward stated goals should not be the primary measures used judge the success of the foundation. Fundraising metrics are appropriate at a tactical level, but more direct measurements of impact should constitute the main determinant of success.

Adoption

The final formal stage of the strategic plan is adoption. At the very least, any changes to the mission documents will require formal ratification. Depending on the norms and foundation bylaws, the strategic plan may also require formal adoption and the institution's governing board may have a formal role in addition to the foundation board. Either through a formal ratification process or informally through presentations, key constituencies such as trustees, cabinet, foundation board, and staff deserve the opportunity to understand the elements incorporated into the final plan.

Collaborative engagement throughout the process by providing multiple opportunities to shape the priorities of the foundation will ideally create a high level of enthusiasm for the work of the foundation across all of the foundation's constituencies. Moreover, stakeholders who are committed to the final product may find a place for their expertise and extend support to achieve the goals of the plan. This support, whether it comes from an energized board member or a college staff member who fundamentally understands the powerful role the foundation can play, is an essential complement to the professional staff of the foundation.

Role of Existing Programs within a New Strategic Environment

Not every pre-existing program, service, event, or activity under the purview of the foundation will be strategically congruent with the new strategic plan. Nor is it necessary to retroactively force every program or fund supported by the foundation to adapt into elements of the strategic plan; however, anything supported by the foundation should be consistent with the foundation's overall purpose conveyed in the mission documents.

Similarly, foundations should not necessarily seek to end programs that do not fit the strategic priorities developed. Programs that are not strategic priorities, yet nonetheless are on

mission, can continue so long as they do not constitute an undue drain on foundation resources or otherwise distract the foundation from achieving its stated goals. College constituencies that directly benefit from these established initiatives may even be willing to assume operational responsibility from the foundation if provided minimal support and training to continue raising funds to support beloved legacy programs.

PHASE III: OPERATIONALIZATION

The final phase in planning for transformation is operationalization of the plan. Heretofore, this chapter has broadly discussed one path to strategic plan development for community college foundations, although many alternatives and variations exist that can similarly accomplish goal development and prioritization. Irrespective of the path taken for strategic development and the specific form the plan takes, a central purpose of this Guide is to address the need to integrate foundation goals and strategies into the routine of foundation board and staff members as they carry out their duties. The tools developed to operationalize the plan by tracking the resources, activities, and progress of the foundation represents the core element, or product, of this Guide.

The stakeholder's role in the foundation determines the type of information and level of detail needed to exercise responsibility over plan execution. Therefore, this Guide provides two separate but interconnected toolkits to present the appropriate level of detail. The first set of tools — referred to as the Organizational Toolkit — informs and guides board members. Board members with fiduciary and governance responsibility require tools to track the organization at a high level. Organizational tools provide board members with a concise visualization of the foundation's purpose and plan, along with tools that summarize the broad but incremental strategic progress of the foundation toward its goals.

Foundation staff requires more detailed tracking ability than the summary documents needed by board members. The second set of tools — referred to as the Implementation Toolkit — focus staff on the tactical elements of the plan and provide a framework to connect plans with foundation operations by bringing together all essential activities, strategies, and metrics into a single set of structured templates that relate to each other on a unified timeline. Rather than create complex additional systems, the toolkits are intended to simplify, standardize, and prioritize the goals and strategies of the foundation along with the other demands on foundation staff. The comparison between the articulated priorities and other ancillary obligations should highlight the disparity of time and resources spent on activities not deemed priorities and result in a redistribution of effort to focus resources on the priorities established by the board.

The Organizational and Implementation Toolkits are explored in detail in Chapter Four and Chapter Five.

The Delimitations and Limitations of this Work

Delimitations

While small to mid-sized community college foundations are the focus of this study, the process and corresponding tools outlined in this Guide are scalable and applicable for any community college development office, including multi-campus districts and state systems.

This study also focuses on the impact of voluntary support through fundraising. Other functions sometimes associated with institutional advancement (i.e., grants, alumni marketing, government relations, etc.) are treated as important complementary functions but not incorporated as a central focus of the planning process.

Limitations

There is no one-size-fits-all strategic plan, neither in size nor scope. The high degree of variability between institutional structures and cultures, the environments each community college operates within, and the maturity and relationship of a foundation with its college limit the specificity of this study. Each stage of the planning process depends on participation level of stakeholders and the success of the preceding steps to engage and build support. All of these factors make the process unpredictable, and therefore guidance was limited to likely means for soliciting general input from stakeholders around common planning principles.

CONCLUSION

This Guide provides development practitioners with a set of tools intended to efficiently prioritize and operationalize the resources of a community college foundation with the purpose to elevate the role of the foundation into a change agent within the institution. While the process outlined in this chapter is not definitively superior to other strategic planning methods, the need for clearly defined goals and strategies, regardless of the means, remains unquestionably important to the efficient work of community college foundations. The tools developed in the next chapter will provide a means to apply any priorities regardless of the process employed to articulate them.

CHAPTER FOUR: ORGANIZATIONAL TOOLKIT

Alignment of the board and staff is essential to actualizing the foundation's goals and strategies. This requires more than conducting an annual review that attempts to retroactively define the accomplishments of the foundation in terms of the goals established in the strategic plan. A proactive and concerted effort to implement the plan demands ongoing review and assessment of its goals and strategies and integration of the plan's elements into the ongoing activities of the foundation's staff and board.

Like the method of strategic planning described earlier, this toolkit is not intended to be the prescriptive method to organize a strategic plan; though, the tools developed here can easily be adapted to any plan. Rather, needs of board members are defined, as well as limitations, and processes are suggested to meet the board's needs within typical limitations.

What matters more than the specific processes themselves, however, is the commitment of foundation staff and board to integrate the components of the plan into a systematic and sustained approach. Without commitment to a persistent effort to integrate the plan to effect change, all the time and effort spent on planning is wasted.

The tools developed in this chapter establish a framework to integrate the goals and apply the strategies at the board level, though this is not a "board toolkit." These tools are intended to be cooperatively used by both board and staff at an organizational level. The operational tools developed in the next chapter build off of these tools at a more detailed level for staff.

Board members are highly dedicated to the cause of students and the role of community colleges, but they are also volunteers. They require enough information to execute the fiduciary and governance responsibilities of the foundation's board without being inundated with a level of detail that leaves them feeling overwhelmed. The board should feel engaged in governing the foundation without spending hours sifting through briefing material and referencing complex planning documents.

Even the most active board members have limitations to the time spent working on foundation activities. Some estimates suggest board members should dedicate at least 10 hours per week to board service (BoardSource, 2017; Sylvia, 2016). Many board members will dedicate only a fraction of that time. Moreover, board members likely can and want to serve a higher purpose than solely dedicating all their time to governance alone. During recruitment or term renewal foundations may provide a sample breakdown that describes how much time board members can expect to allocate their time to different board responsibilities; however, a less prescriptive method involves a discussion of engagement by using a performance matrix that matches board responsibilities with participation levels (see Appendix A for an example). Additionally, regular board self-assessments can help clarify goals and move board members to a higher engagement level (see Appendix A for an example).

Many foundations have strategic plans that often go unused or are poorly understood by the board. According to one study, while 84 percent of non-profit boards reported having a strategic plan, 54 percent felt the board was effectively monitoring organizational performance and only 26 percent perceived board meetings as focused on strategy as opposed to operational issues (BoardSource, 2017, p. 35).

While strategy and operational issues are not necessarily mutually exclusive (i.e. all operational issues should be strategic, but not all strategic issues are operational), both issues demand an appropriate level of board attention and involvement. The Organizational Toolkit provides tools that balance the need to inform with the limitations of volunteer service.

ORGANIZATIONAL TOOLKIT ELEMENTS

Each tool in the Organizational Toolkit helps the board to define, align, apply, and track the strategic work of the foundation. These tools are interrelated and distill the purpose of the organization, define its strategic direction, and provide tracking mechanisms to facilitate achievement of the foundation's goals. These tools augment the typical materials provided to board members, such as agendas, meeting minutes, and treasurer and committee reports. The utility of these tools should not be static or limiting, but rather guide intentional decisions. Like any plan, conditions in the environment may change that dictate a response. In that circumstance, the tools should guide what should be added, removed or changed and updated to reflect the new direction.

There are three discrete tools in the toolkit:

- Strategic Plan Summary Document: Defines the purpose and work of the foundation in terms of the strategic plan.

- Foundation Engagement Tool: Provides a visual framework to represent how the foundation is achieving its purpose.

- Metrics Summary Dashboard: Represents the progress of the foundation toward its goals through a visual infographic format.

The purpose of the strategic plan is to focus the work of the foundation on a limited set of priorities and strategic issues facing the college and community. The purpose of the Strategic Plan Summary Document (SPSD) is to cement the strategic plan in the minds of the board members as an ongoing reminder of the priorities and strategic issues that should drive the work and resources of the foundation. This document summarizes the core elements of the strategic plan on a single page. The three to four goals are stated with their corresponding strategies. If the strategies are phased in over the duration of the plan, the year corresponding to the strategic is also included here to indicate when the strategy will be implemented.

The goals and strategies are formatted as follows (See Appendix C for an example):

- Goal 1:
    - Strategy 1.1 (Year 1)
    - Strategy 1.2 (Year 2)
    - Strategy 1.3 (Year 3)
- Goal 2:
    - Strategy 2.1 (Year 1)
    - Strategy 2.2 (Year 1)
    - Strategy 2.3 (Year 2 and 3)
    - Strategy 2.4 (Year 3)

As a summary document, this tool does not present the tactics and metrics that constitute the plan's implementation. Adding every detail from the plan risks overwhelming the board members and impeding overall plan comprehension. This document is intended to serve as a reference tool to allow board members to digest and quickly put the plan into perspective as they

execute their duties as a board member. It should prompt board members to ask the question while making important decisions, "Is this on mission and strategy?" Further, it should answer the question, "Where are we headed?" and "What is important for us to accomplish?"

FOUNDATION ENGAGEMENT TOOL

The Foundation Engagement Tool (FET) is a donor relationship tool that summarizes the work of the foundation (see Appendix D for an example). Developed by Suddes (2013), the engagement tool was designed to motivate and guide fundraising professionals though a donor visit to engage donors in a meaningful exchange of values. This tool converges the foundation's case for support, strategic plan, and ways the donor can join with the foundation to achieve its heroic purpose into one document.

Suddes intended the engagement tool to guide the fundraiser's interaction with the donor. The FET's use in this context as an organizational tool is slightly different but complementary to its intended design. Most foundation board members are donors, and for that reason alone it is important for them to connect the work of the foundation with the act of giving, but in the context of a board tool it is used as a planning, training, and assessment instrument.

Planning

The process to build the tool described by Suddes (2013) applies the mission, vision, values, case for support and strategic plan and succinctly interprets these core documents from the perspective of the donor. In building the engagement tool, foundation staff (1) simplify the message to create the most powerful statement of purpose, (2) condense the list of priorities and projects into three groups represented by one or two-word headings with fundable projects under

the circles, and (3) develop compelling data and visual figures that communicate the purpose, priorities, and plan through numbers (Suddes, 2013, p. 14).

Training

Governance is not the only role for active board members. If sufficiently trained and possessing the requisite skills, comfortability, inclination and relationships, board members can make effective fundraisers. This tool provides a medium to train board members to make the "ask." Many board members can be apprehensive about asking for money; however, the engagement tool makes sharing the impact of the college conversational. It empowers the fundraiser, both professional and volunteer, with a framework to share, listen and learn from the donor. This process can put the board member at ease by acting like a security blanket that destigmatizes the act of asking for money. The tool rephrases the ask as an invitation to support a cause both the donor and the presenter feel is important.

The tool guides the presenter through the engagement process by starting with the Why (the 30,000' purpose), to the What (14,000' priorities), and culminating in the How (3' plan) (Suddes, 2013, p. 12). Every board member should be familiar with how to use this tool, have copies at their disposal, and at least annually be personally engaged by foundation staff using this tool. This presents an opportunity to contextualize for the board member how to use the tool from the donor's perspective. Ideally, this engagement will not only result in a comfortability level that will motivate the board member to use it in their personal and professional relationships, but also inspire them to make a personal gift.

Assessment

Similar to how the engagement tool facilitates planning, the process for weaving together a memorable narrative by summarizing the foundation's key priorities, projects and programs

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also focuses the board on common themes and fundability. The engagement tool helps tell the story rather than sell the plan. A detailed and complex plan – even if it is heroic, purposeful and impactful – is less engaging to a donor than a compelling narrative.

METRICS SUMMARY DASHBOARD

The metrics dashboard is to the strategic plan what the finance report is to the foundation's budget. It provides a snapshot in time of metrics that track progress toward the foundation's strategic and operational goals (see Appendix E for an example). The dashboard can be communicated to board members in a variety of mediums. One method is an online portal for board members to log into and receive real time progress. Several venders offer board tools in subscription a service that includes a dashboard and portal to provide additional board materials; however, smaller organizations may have difficulty justifying the cost associated with this type of online service. Similar results can be achieved inexpensively with printed reports that require no technical proficiency on the part of the staff or board.

The dashboard should preferably present the metrics in general terms in an easily understood graph or chart. The data will dictate the form of representation. Some goals or strategies will correspond to a directly measureable result. For example, a goal to improve retention only requires a benchmark and an update of retention rates updated in intervals consistent with the plan's timeline. Many goals and strategies, however, will not have a primary numerical indicator. In these instances, it's important to establish some other measurement toward the desired end result. One common indicator is coding a series of steps needed to accomplish the goal in a pie chart, and reflecting how many are complete. Including deadlines for each step can illustrate whether the board is ahead, on time, or behind the plan's schedule.

Only relevant and active goals should be tracked. For example, if it is year one of a plan and a particular strategy is planned for year three, it is not necessary to update the lack of progress. Similarly, as goals are completed, they should be reflected for a short time, celebrated, and then roll off to make way for new goals. Completed or abandoned metrics related to goals and strategies should be recorded and retained outside of the dashboard for review during the plan's assessment and review period.

There are two sections to the dashboard: Strategic Metrics and Fundraising Metrics.

Strategic Metrics.

Strategic metrics speak directly to the progress toward the goals and strategies outlined in the strategic plan. Strategic metrics are the most important metrics as these data help the board and staff assess how well it is achieving its priorities. Examples of strategic metrics may be as general as a percentage of tasks completed toward a strategic goal or as specific as improving the completion rates of a developmental math course attributed to an intervention program funded by the foundation. Board members should be keyed in to the progress expected and hold itself and staff accountable for a lack of achievement. Lack of progress toward strategic goals demand a reassessment of the plan and a response, potentially including a redistribution of resources.

Fundraising Metrics.

A central argument in this study contends that traditional fundraising metrics are an insufficient measure to assess the impact of a community college foundation. This does not mean, however, that fundraising metrics are unimportant. Fundraising metrics, like fundraising goals, are an important indicator of progress in terms of means, but rarely if ever should be used as an ends for strategic purposes.

Fundraising metrics help establish benchmarks that can spur creativity and innovation in fundraising methods, assess efficacy of tactics and establish a sense of urgency for underperforming campaigns. For example, a tired annual fund piece may result in a decline in year over year response rates, online giving may increase indicating a growth area or a rise in support for a specific program area may suggest potential for a larger campaign.

USING TOOLS

The board should review the Organizational Toolkit during each board meeting. The staff and board chair should strike a balance that allows board members to become familiar with the tools but avoid drawn out perfunctory and repetitive recitations at each board meeting. It may be entirely appropriate to include the materials generally on a consent agenda and only pull the tools from the agenda for a periodic status update, refresher or if there is a cause for celebration or concern.

CONCLUSION

The Organizational Toolkit's primary function is to align the foundation's board and staff by clarifying the shared strategic direction of the foundation's work. Succinct simplicity is ideal for volunteer board members who are, as individual board members, engaged to varying degrees. It's also key to remember that the Organizational Toolkit is not simply a reporting tool during board meetings. Each tool is a dynamic, living organism that operationalizes the work of the foundation. These tools should serve not only to inform, but also to inspire and energize by clarifying why and how the board can achieve the foundation's purpose through strategic work. A strategic goal, and progress toward it, should inspire. Board members vested in the foundation's success should be excited by the vision of impact that a goal creates. These tools

help to reconnect board members to that vision, an important but often overlooked link to

keeping boards engaged.

CHAPTER FIVE: IMPLEMENTATION TOOLKIT

The purpose of this chapter is to provide detailed step-by-step examples demonstrating how existing tools can be set up to implement, prioritize, and monitor a strategic plan alongside other common plans and processes. The three components of the Implementation Toolkit — Program Summary Worksheet, Activities Matrix, and Documents Reference Index — are an interdependent system. The Program Summary Worksheet anchors current and prospective programs within a strategic context; the Activities Matrix operationalizes the strategic plan alongside other operational plans within a single portal with tracking metrics; and the Documents Reference Index supplements the primary two components by providing all other essential documents in a single indexed location.

PURPOSE OF THE IMPLEMENTATION TOOLKIT

Everything the foundation does must be directly connected to both the foundation and college mission; however, not everything the foundation does is included or addressed in the strategic plan. Consequently, strategic documents and implementation tools are not necessarily a litmus test for every existing or future program or initiative. Non-strategic does not equate to without value, and important work of the foundation can continue without direct alignment to strategic priorities. The framework described in this chapter elevates the priorities of the strategic plan while embracing other mission-driven responsibilities.

The tools described in this chapter are intended to improve efficiency, prioritize resources, and provide metrics that both guide implementation and inform future resource

allocation. Time should not be wasted filling out forms for projects just for the sake of uniformity. The Implementation Toolkit guides thinking and acting with intentionality, not perfunctory cataloging. Proper use of these tools requires exercising discretion when judging what should be included or excluded from the tools.

Planning and plan execution are not the solution, or even a solution, to realizing the full potential of community college foundations. Efficiency and goal realization is good professional practice, but it alone will not transform foundations to meet the changing needs of community colleges. It is, however, a necessary step. Foundations cannot elevate their role without articulating goals, acting strategically, and building a case for greater investment of personnel, resources, and authority. It is this purpose that the Implementation Toolkit is intended to fill.

OPERATIONAL AND STRATEGIC ALIGNMENT

The Implementation Toolkit aligns and prioritizes the daily activities of the foundation's staff in relationship to the foundation's strategic plan. Foundation staff have many competing responsibilities, such as fundraising, board and committee meetings, college obligations, gift processing, donor stewardship, events, program oversight, and many others. The toolkit aims to put these responsibilities in a common framework to guide decisions about time, effort, and resource allocation.

The Implementation Toolkit integrates and balances the foundation's strategic work with a myriad of other episodic plans and functions that often are, by necessity, more focused on operational responsibilities than outcomes. For example, fundraising initiatives such as annual fund, program oversight, board and committee meetings, or fiduciary responsibilities may not directly relate to specific priorities in the strategic plan; however, they are essential functions that must be addressed lest they become strategic issues through inattention.

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This chapter generalizes that the tactics for the strategic plan can be, and typically are, embedded within the foundation's existing and prospective programs. Previously in the study fundraising operations were distinguished from strategic purpose, with the former serving as the means to achieving the impact articulated by the latter. The Implementation Toolkit acts as a conduit to bring foundation operations, fundraising, and the strategic plan together. This interrelationship can be summarized as the foundation's operational and fundraising plans are "the how" to the strategic plan's delimited "what," with each firmly grounded in the mission documents' "why."

This integrated system builds upon the goals and strategies to add implementation tracking and benchmarking that propel progress toward addressing the college's strategic issues. The first two tools (Program Summary Worksheet and Activities Matrix) are dynamic and fluid documents that adapt according to the progress and circumstances in a changing environment. The Program Summary Worksheet and Activities Matrix described in this chapter are primarily intended for use by the executive director and foundation staff.

The last tool (Documents Reference Index) is not intended for day-to-day use, and instead is a reference document. Documents included in the reference index are typically structural and program documents and include cyclical plans such as those related to the annual fund, which are reviewed on a timetable established in each document. The Documents Reference Index is relevant to both staff and board members. This latter collection of documents forms a consistent vocabulary and includes a collection of organizational documents and tactical fundraising plans that provide granular detail for cyclical campaigns. Much of what is built in the strategic and operational plans derive from the documents found in the Reference Index.

PROGRAM SUMMARY WORKSHEET

The Program Summary Worksheet (see Appendix F for sample) bridges the strategic plan with the foundation's programs at the implementation level. This worksheet helps foundation staff to analyze any current or prospective foundation program to consider how the program connects to the mission documents, places the program in relationship to the foundation's strategic goals, and ranks work according to the strategic plan's priority and timeline. This document also incorporates the change management models used throughout the strategic planning process to focus the desired change being sought, identify any environmental impediments, and guide the change process.

The primary function of the Program Summary worksheet is to facilitate — through a structured program review cycle — the intentional use of resources. This is accomplished by situating the foundation's activities within the priorities established in the strategic plan. Every proposed program or initiative undertaken by the foundation should begin with the completion of a program Summary Worksheet. Existing programs with strategic potential or programs that explicitly connect with the strategic plan should also go through a program review. The worksheet becomes the basis for every program with potential strategic relevance. This document helps the foundation leadership consider and answer the following questions:

1. Does this program align with the foundation's mission?

2. How does this program help us further our mission?

3. Does this program fit within our strategic plan? If so, how? List the relevant goals, strategies, and tactics.

4. What strategic issues are addressed by this program?

5. How will this program improve/impact the institution?

6. What resources are needed for success? (Time, money, people)

7. What is the timeline?

8. What change theory will guide this program, and where does it fit within the current environment?

In strategic planning parlance, the worksheet defines the programs through which the plan's tactics are manifested.

BASIC PROGRAM INFORMATION

The worksheet starts with basic program information (program name, progress, deadlines, staff, and an overall description of the program). These fields later populate into the Activities Matrix and Metrics Dashboard if the program is ultimately deemed to have a role in accomplishing the strategic plan's goals. Once filtered through the lens of the strategic plan, these data may change to better reflect the purpose as they relate to strategic outcomes.

Mission Connectivity

The mission connectivity section of the worksheet considers the connection and implications of the program as they relate to the mission. For this exercise, the missions of the foundation and college, while distinct, are considered together because nothing that the foundation does should conflict with the mission of the college. The purpose for this question is to start thinking about the program in terms of mission before considering strategic implications.

Every program should be on mission; however, the importance of this question demands explicitly considering the question. If the answer is "no," the decision must be made whether to eliminate the program, revise it to align with the mission, or spin it off to another division of the college or outside entity. If the program is deemed on mission, the final mission field considers how the program furthers the mission. The mission section grounds thinking and orients the rest of the program review firmly in terms of the mission.

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Strategic Relevance

Once the program is situated within the mission context, relevance to the strategic plan becomes the next lens for program analysis. Using the Strategic Planning Summary document as a reference, this section generates two primary outcomes. First, the process identifies and prioritizes programs with strategic relevance above others. Second, this analysis stimulates thought related to how existing and proposed programs can directly support strategic priorities, either as currently designed or with changes. For example, a scholarship program may not directly support any one strategic objective; however, if a strategic goal aims to improve retention, the scholarship program could change to prioritize support for students in danger of stopping out. This new direction may result in a new fundraising initiative, policy changes, or scholarship management decisions.

Thinking explicitly about the strategic issue, or issues addressed by the program, provides a conduit for understanding where the program might fit within a narrower strategic framework. The most important field in this analysis describes how a program should change to better align its outcomes with the strategic plan. Analyzing the program through a different context or lens may highlight strategic issues not previously considered.

Finally, the worksheet connects relevant programs directly to the goals and strategies of the strategic plan. These fields directly filter into the Activities Matrix when strategic relevance is identified. The strategic importance and implementation year fields help to identify program urgency and sequence the program within the strategic plan's timeline.

Change Management

As described in Chapter Three, Change Theory is integrated throughout the strategic planning process. If the program being evaluated is deemed strategically congruent, the change

management section of the Program Summary Worksheet articulates where the program fits in the overall strategic plan's change management approach. For example, Kotter's Eight Steps to Change may be guiding the strategic plan, and a proposed initiative to provide small grants to new faculty is being evaluated. The program may assist with the stage empower action by removing barriers or help generate short-term wins (Kotter, 1995), and thus may be adjusted or launched to assist this stage of the change process.

Analyzing programs in terms of the intended change goes beyond thinking pragmatically about impediments, allies, and theory to catalyze change. The change management section also focuses on the desired impact the program seeks to bring about. If there are alterations made to the program in order to become more strategically relevant, the new outcomes should then be articulated here.

Resource Needs

The final consideration in the worksheet relates to resource allocation. Resources are defined broadly and are simply anything the program needs to be successful. The proposed or adjusted program may require additional staff, a reallocation of staff time, funding, training, participation from another department or outside entity, or a combination of resources. As new or additional resources are considered, previous fields in the worksheet may need to be revisited. For example, through a Resources lens, new resistance to the program may arise or potential supporters may emerge.

USING THE PROGRAM SUMMARY WORKSHEET

This worksheet facilitates an iterative process designed to identify, magnify, or infuse strategic intentionality into the foundation's programs. It considers mission, strategy, change,

and resource allocation. As an existing or proposed program is judged against these factors, each change to a program may spur additional thoughts about its utility to previously unconnected foundation priorities.

For the purpose of this worksheet, a current or prospective program can be broadly defined. The worksheet can facilitate analysis for an informal initiative (i.e., to recruit new board members or reconnect retirees to the college) in the same manner as traditional foundation programs such as scholarships or an internal grants program. The only criteria are a program must be actionable and have potential strategic relevance.

Activities Matrix

The primary data for the Activities Matrix flows directly out of the information populated in the Program Summary Worksheet — an important relationship in this iterative and connected system of thinking and acting strategically and intentionally. The Activities Matrix guides how the core elements of the strategic plan are operationalized. In addition to tracking the progress toward the foundation's strategic priorities, the matrix also provides the data needed to build the strategic metrics for the Metrics Summary Dashboard found in the Organizational Toolkit.

Simplicity and ease of use is central to designing and implementing an effective planning toolkit. Otherwise, added complexity and a cumbersome interface works counter to the effort to be more efficient. Moreover, one purpose of strategic planning is to provide clarity of purpose; therefore, planning and tracking tools must clarify and not obfuscate the plan elements. Finally, added processes cannot be permitted to distract from core functions such as actual fundraising.

Microsoft's Office 360 Planner was selected to build the Activities Matrix primarily due to its ubiquity, ease of use, relatively inexpensive cost, and connectivity to the Microsoft Office

suite. The process to configure the Matrix in Planner is detailed below; however, the concepts are applicable to any medium and many tools.

STEP 1: STRATEGIC PLAN GOALS AND STRATEGIES

The strategic plan's goals and strategies constitute the first level of organization in the Activities Matrix. The goals and strategies are transcribed directly from the strategic plan.

Populating Goals

Goals are organized by assigning each a separate "plan," which is initiated by clicking "New plan" in the upper left corner of the main navigation bar. Use consistent nomenclature to distinguish between strategic goals and other plans by specifying each plan name with a numbered goal. Once a goal is created as a new plan, click on the star next to the goal name in the upper left corner to mark the goal as a "favorite." This will elevate the goal to the favorites navigation list and place the goal on the Planner hub dashboard, which will be used to track progress toward completion.

Notification settings can be established for each plan that generates emails when someone is assigned a task or a task is late, due, or due in the next week. This is one of several notification tools built into Microsoft Planner; however, the notifications under the plan level only generate emails to the individual member's inbox, where other communication tools allow for notification to entire group mailbox within Planner. Push notifications can also be set up through the mobile app.

Figure 3: Populating Goals into the Activities Matrix
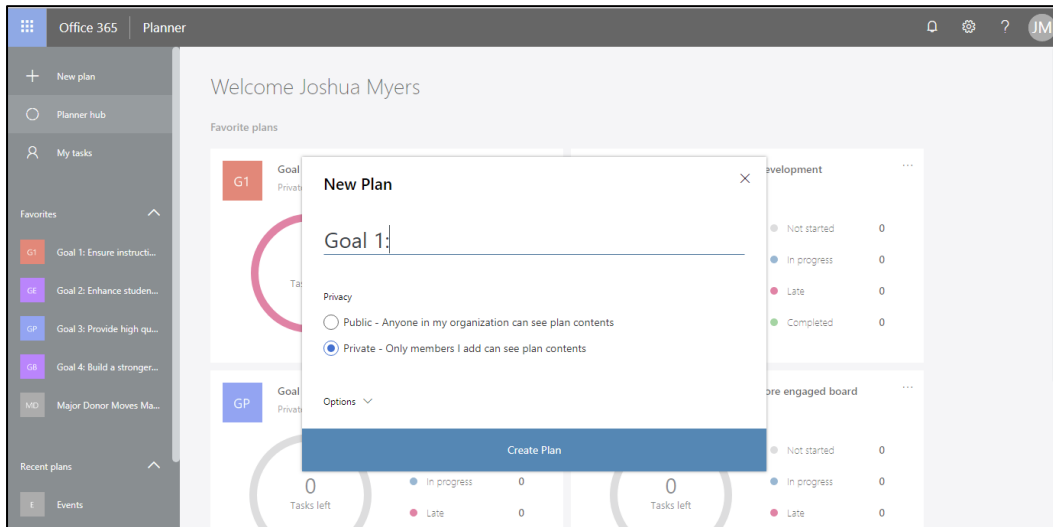
Populating Strategies

Strategies are listed within each goal. The first strategy's name defaults as a "to do" list (see Figure 4. Note: This figure shows the screen when a "new plan" is opened for the first time). Rename the "to do" list as "Strategy A…" and add a new "bucket" for each strategy. Continue adding new "buckets" until every strategy is listed, and then repeat for each goal until all the goals and strategies are added to the Activities Matrix.

*Figure 4: Populating Strategies in the Activities Matrix*
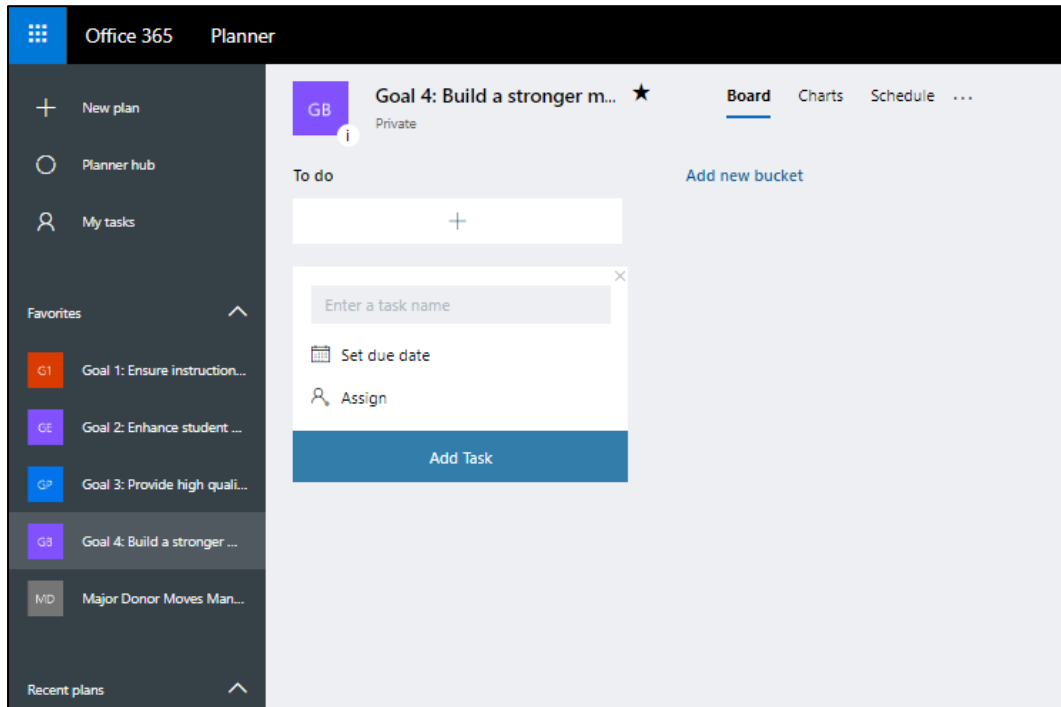
STEP 2: STRATEGIC PLAN TACTICS AND TASKS

    Tactics are added by clicking the "+" under the corresponding strategy (bucket). Once a tactic is added under a strategy, it can be opened to display additional information about the tactic (see Figure 5). Multiple tactics under each strategy can be added by clicking the plus sign. Once created, a task can be copied as a template and pasted into other strategies or it can be dragged to other buckets to create a workflow.

Figure 5: Creating a Tactics Card in the Activities Matrix
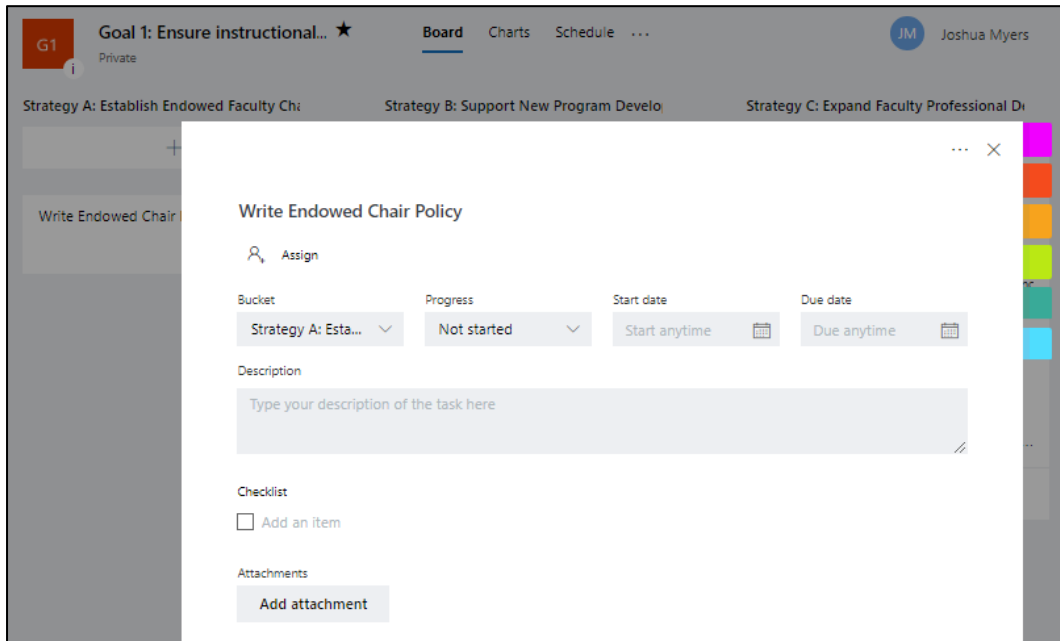
Checklists

Checklists describe how each task will be accomplished. As items are checked off, Planner strikes the item out to show it as complete (see Figure 6. Note: This figure illustrates a tactic with several tasks completed). If the "Show on card" box is checked, only the remaining tasks are visible on the task card in the board view of each goal.

Figure 6: Creating a Checklist to Accomplish Tasks in the Activities Matrix

Labels

Labels offer an additional data field to organize tactics (see Figure 7. Note: This figure shows one example of labels). For multi-year strategic plans, it may be useful to label each tactic by year. Labels may also denote tactics addressing specific themes that may that occur across multiple strategies, department or program areas, committee, giving categories, or a combination thereof. Six customizable labels, unique to each goal, are available. These labels can be filtered within the goal (plan) on either one or multiple labels. This allows for a deeper organizational level and provides a more detailed review of tactics within each goal. Giving considerable forethought to the organization of the labels enhances their utility when used during plan tracking. The labels offer a powerful data point that can filter strategies off one or a combination of labels.

Figure 7: Applying Labels in the Activities Matrix
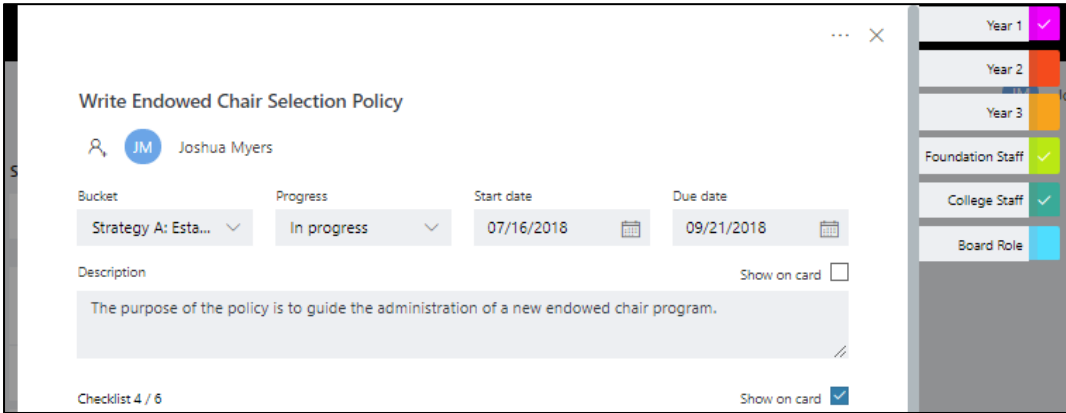
Tactic Assignment

One significant advantage of Microsoft Planner is the connectivity it allows through existing Microsoft Office software. Most colleges integrate the Microsoft Office Suite throughout their networks. This integration enables managers to easily delegate tasks to individual staff members, collaborate with teams, share documents, and easily track progress across all assigned tactics. To assign a tactic, simply click the "Assign to" button and type the name or email address of the staff member or members who are assigned to the task within the same organization (see Figure 8).

Figure 8: Assigning Specific Tasks to Team Members
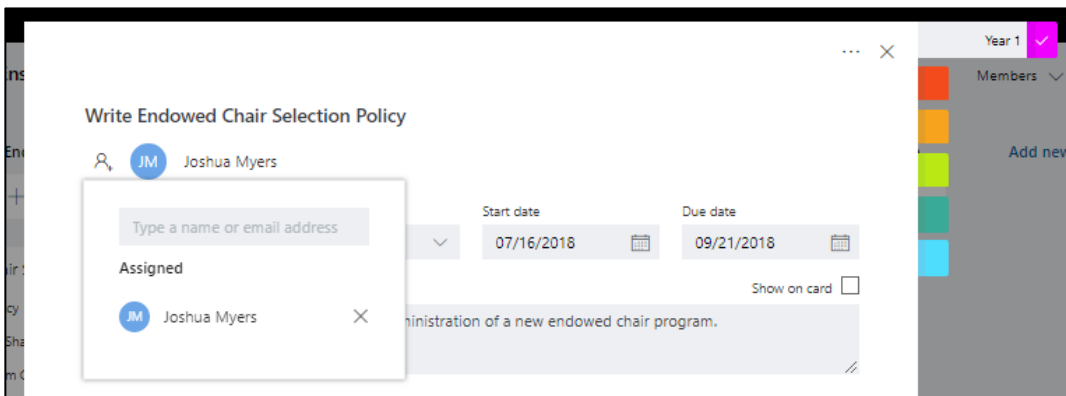
STEP 3: ESTABLISHING BENCHMARKS AND DEADLINES

The final step in the initial setup is establishing benchmarks and timelines for each tactic. Each tactic is assigned a progress marker (see Figure 9), start date, and due date. This step is essential and requires consideration of the relative urgency and priority ascribed to each strategy, workload of the staff members assigned to each task, sequencing of various tasks, among other factors. If no due date or progress status is populated, the task defaults to "Not started." Progress, start, and due dates are the main data points used to track progress metrics in the Planner Hub. Ensuring the status field and deadlines are completely filled in for each strategy is important as these data will populate progress metrics. Incomplete deadlines and progress will compromise the ability to accurately track the plan.

Figure 9: Tracking Progress within Each Tactic in the Activities Matrix
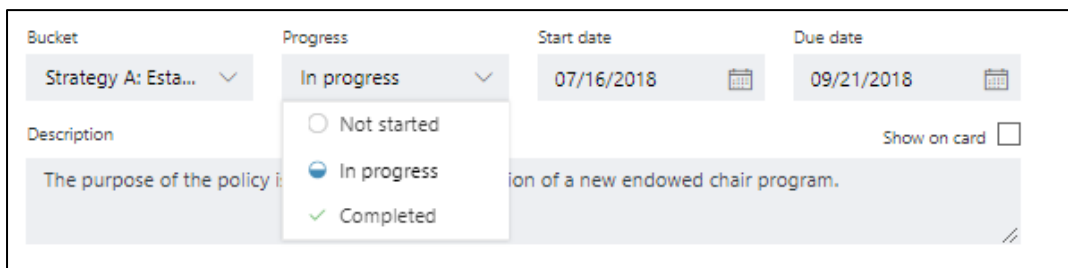

STEP 4: TRACKING THE PLAN

The progress marker is a simple but essential field for tracking purposes, especially when managing a team of several staff members working on various projects. Progress filters back to the Planner Hub and the Board, Chart, and Schedule views within each plan. Each view presents strategic progress in slightly different ways.

Planner Hub

Planner hub is the primary dashboard for all plans in the matrix. In addition to strategic

goals, other plans are displayed under a subordinate "All plans" category. Plans not listed as

favorites do not show progress metrics. Each plan shows the total number of tasks in the plan;

how many tasks are in progress, late, or completed; and the number of tasks not started for each

plan designated a "favorite."

Figure 10 shows how the main planner dashboard might look when set up as an Activities

Matrix. With the progress represented in this example, Goal 2 is complete, half of Goal 1 is

complete with five tasks remaining, and Goal 3 is running significantly behind schedule. A

manager may use this information to identify problems, reestablish deadlines, or move resources

to address lagging strategies.

Figure 10: Viewing Progress on Strategic Goals within the Planner Hub
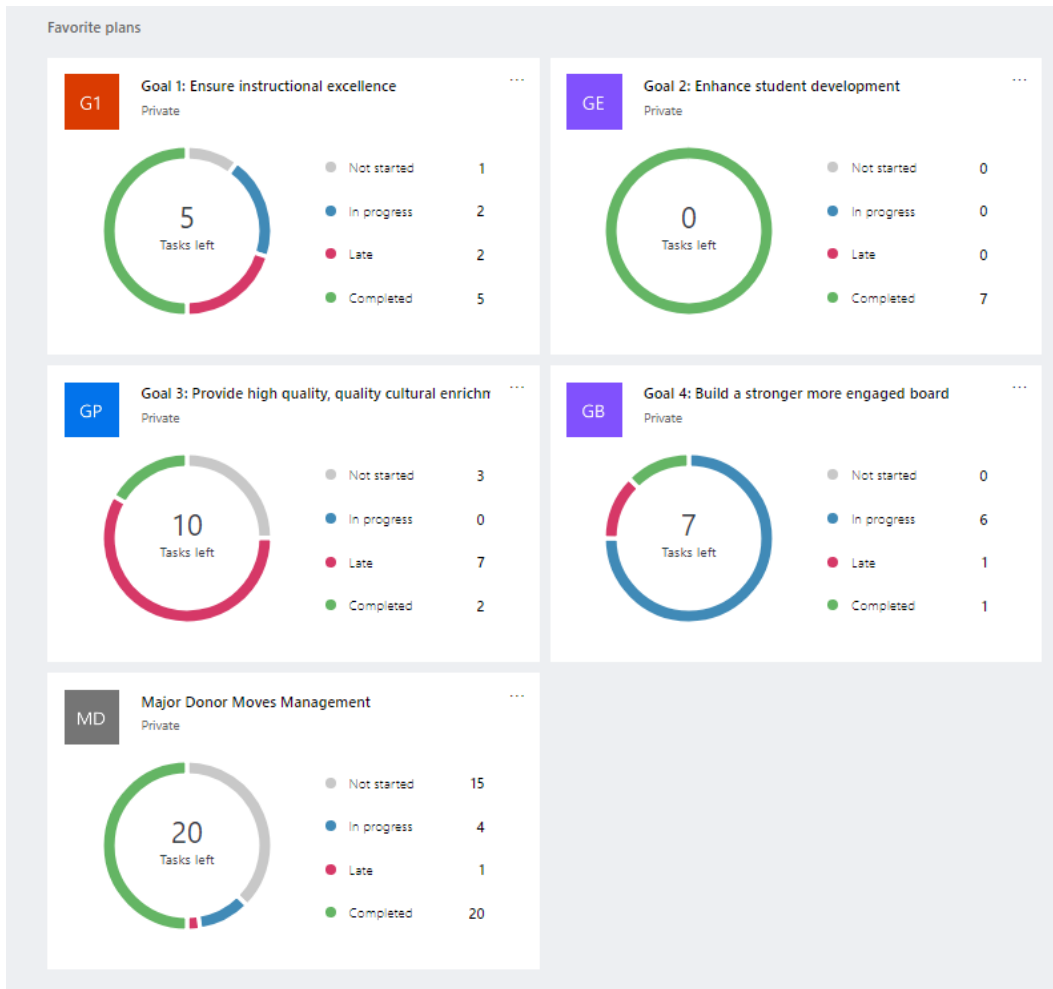
Plan Views: Board, Charts, and Schedule

Board is the default view for each plan (see Figure 11). This view provides a comprehensive overview of the primary plan elements. As with all the views at the plan level, the Board view can be sorted by multiple data points or by keyword under the "filter" dropdown. Plan elements can also be sorted by bucket (grouped by strategy as configured in this matrix), staff assigned to, progress, due date, or by each label under the "Group by" dropdown.

Figure 11: Viewing Goals from the Board View
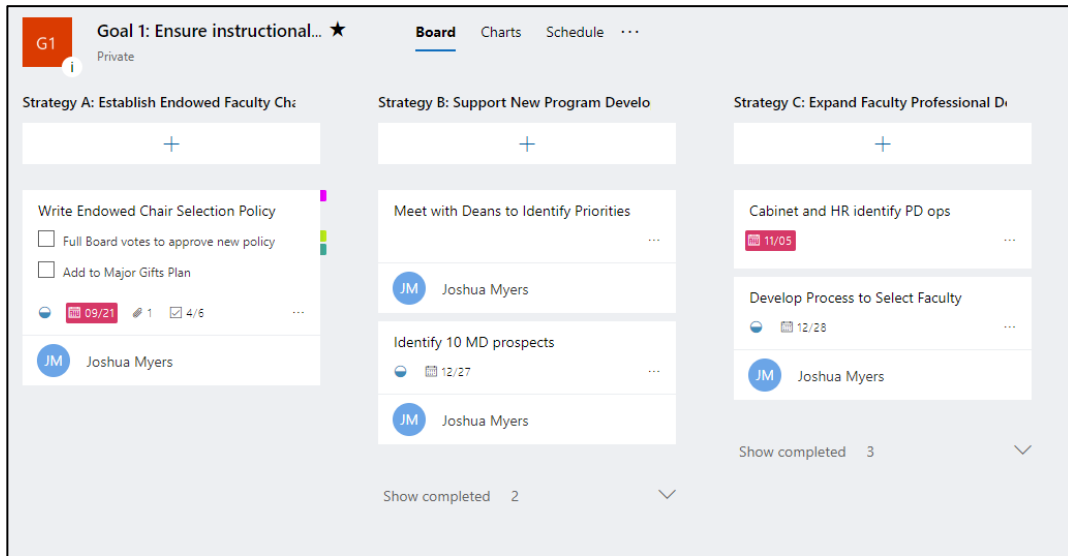
The "Charts view" is similar to the Planner Hub except rather than an overview of all plans this view drills down further with details at the individual plan level (see Figure 12). This view is particularly useful in tracking the progress of each strategy and detailing which staff members are responsible for the elements of each plan.

Figure 12: Viewing Goals in the Charts View
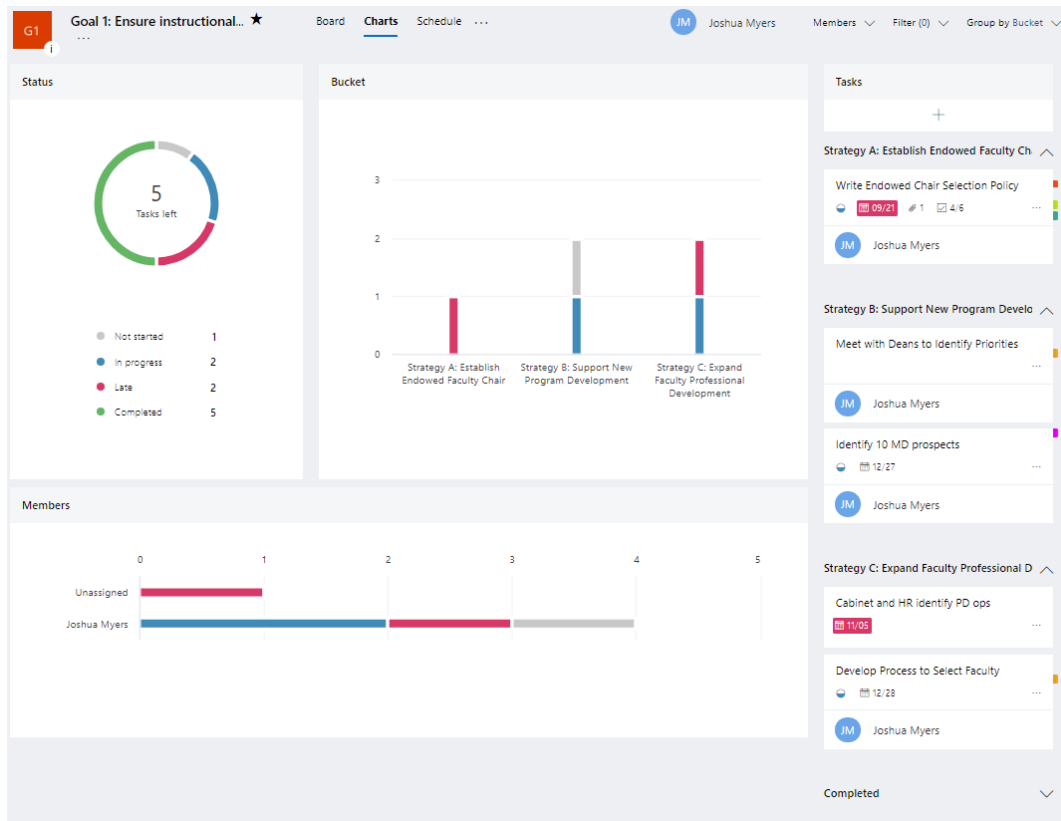
Customer Relationship Management Functionality

Most community college foundations have some form of Donor Relationship

Management (DRM) software to keep detailed donor records. MS Planner is not a sufficient

substitute for proprietary DRM software; however, it does offer a capability to augment existing

DRM with fluid relationship management tracking that integrates both into existing reporting

metrics established in the framework and allow for the same monitoring process as other

foundation plans in one central place. One such example is a moves management workflow

illustrated in Figure 13.

Figure 13: Using a Moves Management System for Major Donors
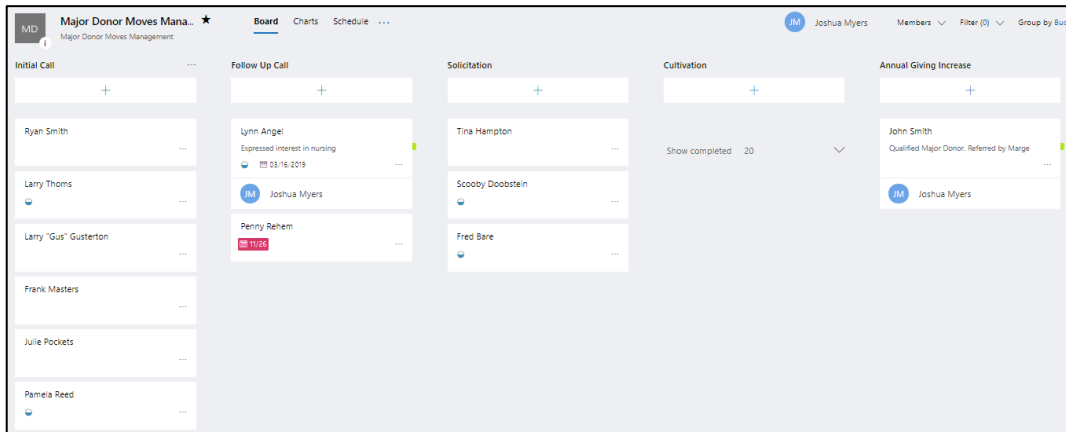
The ability to grab and move donors into progressive buckets through the giving cycle makes this a particularly useful format. Referrals can be tracked in the Initial Call category with notes in the description section (see Figure 14). As the relationship progresses, the donor is moved into the appropriate bucket. Proposals can be attached to the donor card, as can deadlines that feed into the reporting metrics. Unlike some DRM software, the integration to the Microsoft Suite allows deadlines to import directly into Outlook Calendar.

One potential downside is the need to periodically update donor interactions with summaries from the workflow into the foundation's DRM software. This double entry may be necessary to create a more permanent record of interactions with each donor. For this reason, this tool is best used on a smaller, select subset of donors for a specific campaign, such as the major donor workflow illustrated in the previous figures.

Figure 14: Using a Task Card to Track an Individual Donor's Giving Plan
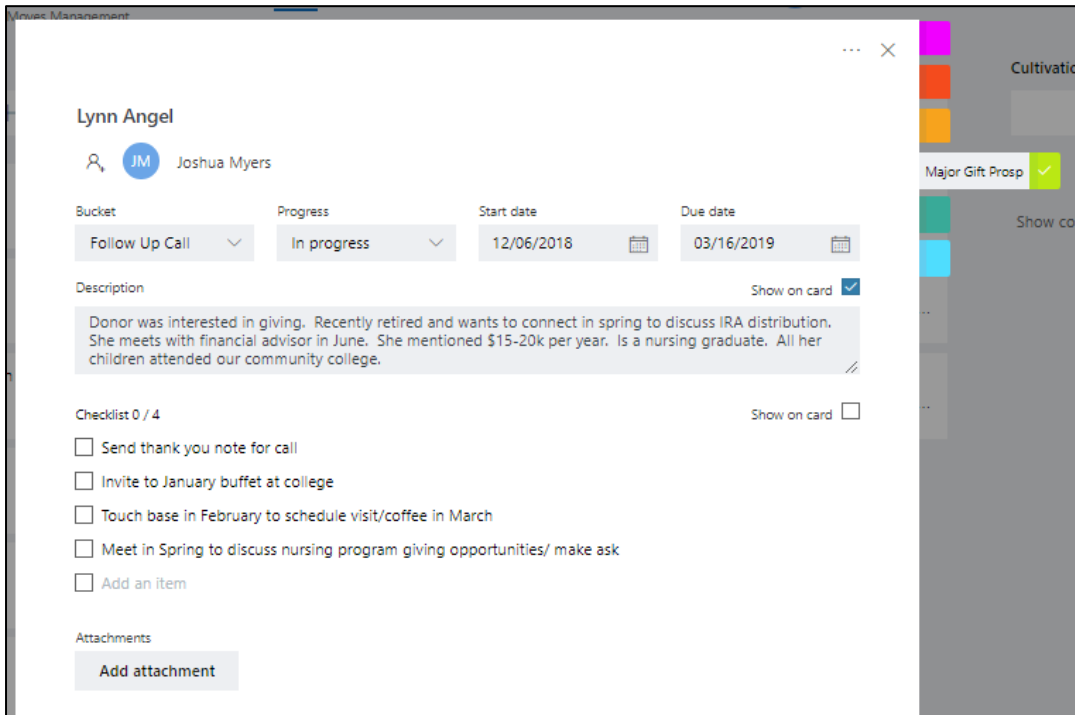
Recent and All Plans

The Recent and All plans section at the bottom of the Planner Hub screen in Planner

provides a place to track ongoing, cyclical, or pending operational plans — such as annual fund

campaigns, capital campaigns, events, and communications — with the same format and tools

used to organize the strategic plan elements (see Figure 15). These subordinate plans are not

displayed in the Planner Hub with the same progress metrics as favorite plans, but any plan can

be promoted at any time to show this data in the Hub.
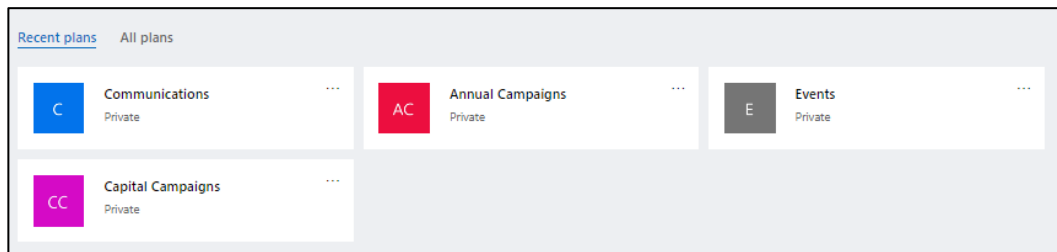
Using the Activities Matrix

The matrix as designed can be as streamlined and concise or complicated and detailed as needed. The more forethought given initially to building the strategic plan into Planner, particularly concerning sequencing deadlines and the interrelationship of the plan elements to staff capacity and other timelines, the more relevant the matrix will be. By including cyclical plans, events, communication initiatives, and other operational functions within the same framework, one single portal can be consulted to create a comprehensive calendar.

The tracking and management functionality is one of the most valuable elements of the matrix. For foundations with multiple staff members, the executive director gets a clear, real-time picture of the progress toward assignments. The metrics and dashboard provide easily understandable data and graphics that can be clipped to include in board reports. Most importantly, the matrix clarifies expectations between the board, leadership, and staff about the priorities of the foundation and the progress toward those goals.

Documents Reference Index

The Documents Reference Index is the repository for all documents related to the foundation's structure and plans that articulate how the foundation intends to carry out its work. The index itself is not intended to be used as a day-to-day tool. Rather, it provides board

members and staff with a central resource that contains all the documents needed to convey a comprehensive understanding of the organization. As a reference document, this index is not intended to be read cover to cover; rather, each section provides quick access to all pertinent information as it is needed.

The Documents Reference Index can be organized in a binder, made accessible on a website, or shared as digital files in an online network folder or flash drive. It is common for foundations to provide a hard copy of core organizational documents to incoming board members. Structure and program documents change infrequently, and for these documents, a print format may be sufficient; however, tactical plans likely change annually at minimum. For this reason, a single online portal housing the entire collection may be necessary to ensure a comprehensive and current index of relevant documents. With the vast array of free online storage options now available, an online or shared network drive does not require a high technical proficiency to access.

Structure and Program Documents

Structure and program documents provide everything that a board or staff member would need to know about the foundation's structure, its authority, and how it operates. The Case for Support is the most important among these documents as it concisely articulates key points about why the foundation exists. This section would likely have all or most of the following organizational structure and program documents:

- Case for Support
- Articles of Incorporation
- IRS determination letter
- Bylaws and Mission documents

- Strategic Plan

- Policy and Procedures

- Memorandum of Understanding with the college

- Board member job description

- Directors and Officers insurance policy summary

- Most recent IRS Form 990 and financial audit

- Board contact list

- Governance and committee organizational chart

Depending on the board's responsibility over personnel and operating budget, other documents such as staff compensation and departmental budget documents may also be included. Since this is a reference document, anything with relevance to the foundation's operations can be included. Additional documents may include a history of the foundation or college; college policies specifically related to the foundation; most recent annual report; or a list of quick facts related to past major accomplishments, cumulative funds raised, number of donors, buildings built, or a list of programs or initiatives supported by the foundation.

Cyclical Plans

The Reference Index would also include all cyclical plans that describe how the foundation will interact with donors. Possible plans in this section of the guide include:

- Annual Fund Plan

- Major Gifts Plan

- Legacy Donor Plan

- Stewardship Plan

- Communication Plan

Cyclical plans may also include examples of recent campaign documents or appeals.

Future Initiatives Inventory

The nature of the strategic planning process requires a funneling of ideas into operational and strategic priorities. Out of necessity, promising initiatives and programs may be deferred or phased in to ensure the highest priority issues receive the needed resources and attention. While other priorities may be deemed more important for the purposes of the plan, this does not mean that ideas omitted from the final plan are without value.

The Future Initiative Inventory is a parking lot for promising programs, initiatives, or events. Cataloging an ongoing ideas list within the reference index provides a single repository for future plans.

Conclusion

This chapter focused on the development of one method for integrating the strategic plan with the many competing processes and priorities foundation staff face. This system will not effortlessly bring order to a chaotic environment, nor will it offer a definitive answer to any institution searching for direction. The Toolkit is a means for organization and a guide for integrative thinking. By bringing together strategic goals and operational plans and programs, the foundation can find a higher level of efficiency and efficacy. Efficiency and efficacy are instrumental in building a case for greater investment of personnel, resources, and authority.

There are a couple of qualifications to this Toolkit that should be made in conclusion. First, foundation staff will only get out of these tools what they put into them. Shallow thinking, empty data fields, and inconsistent use will diminish the utility of the tools and the integrity of

the outputs. Second, these tools can only be relevant if they are adapted to the particular needs of the institution and the people who use them. Third, the Activities Matrix is predicated on a fairly obscure application within a pervasive Microsoft Office Suite. Another software solution would be needed if Microsoft ever changes or eliminates support for Planner. A number of proprietary project management software solutions are available on the market. A more low-tech option would be to track the plan in Microsoft Excel; however, this option is both cumbersome and lacks much of the functionality offered by Planner.

Finally, it may seem at first that the Toolkit is overly complex. In some ways it is, and it is counterintuitive to suggest that a complex solution is the best way to simplify plan implementation and prioritization. What seems conceptually complex initially is in practice far more intuitive than it may appear. Initial setup of the tools requires the most thought, but much of that work is completed during the strategic plan. The tools are designed with a flow, from mission, vision, and values; to strategic development; to implementation and balance with responsibilities outside the strategic plan.

Finally, planning and plan execution is not the solution, or even a solution, to realizing the full potential of community college foundations. Efficiency and goal realization is good professional practice, but it alone will not transform foundations to meet the changing needs of community colleges. It is, however, a necessary step. Foundations cannot elevate their role without articulating goals, acting strategically, and building a case for greater investment of personnel, resources, and authority. It is this purpose that the Implementation Toolkit is intended to fill.

CHAPTER SIX: ANALYSIS, CONCLUSIONS, AND FUTURE RESEARCH

INTRODUCTION

This purpose of this study was to create a process and tools that link strategic priorities with a framework for implementation for a community college foundation. The history of community colleges and foundations were reviewed to provide a context for the traditions and culture, with an emphasis placed on identifying the genesis and role of foundations as reflected in the literature.

The intent of the Guide was to help community college and foundation leaders elevate the role of foundations beyond fundraising to become change agents within the institution. This study explored common practices for strategic planning as the cornerstone for discerning a vision for the future, engage with stakeholders to develop consensus on the direction needed to achieve the vision, catalyze change, increase efficiency, and create meaningful impact. The Guide developed in this study formed tools to assist board members and staff with implementing the strategic plan alongside other operational obligations.

ROOM FOR IMPROVEMENT

What foundations have accomplished over the past century for community colleges and the students they serve is nothing short of extraordinary. Students otherwise unable to afford college found assistance through scholarships; new buildings were built, and outdated buildings renovated; obsolete equipment was replaced; much needed programs were funded — all made possible through private philanthropy. But there is little doubt that community college foundations have yet to live up to their full potential. One need only look at the far more

impressive impact of university fundraising to conclude that there is ample opportunity for growth.

Community college foundations are frequently driven by arbitrary fundraising goals without much forethought given to the big picture. Development staff often succumb to the urge to indiscriminately chase funding, leaving the purpose of the gift to be determined after the commitment — often with the donor simply defaulting to scholarships as it is the cause they are most familiar with. Foundation staff dedicate a large percentage of time to routine operational tasks, running projects funded by the foundation, and preparing for countless board and committee meetings (Brumbach & Villadsen, 2002, p. 84).

Convention drives priorities. Funds are raised for scholarships because it is generally accepted that scholarships are inherently good. Idiosyncratic efforts for pet projects syphon energy and resources. Foundations unwittingly become the "Department of Hospitality" (Klingaman, 2012, p. 4) for the college, running events with little purpose and even less potential to generate meaningful revenue. Foundations become defined, and primarily judged, by the revenues passed through to the institution, rather than what those funds actually accomplish. Management decisions are guided largely by the extent to which foundations can maximize funds raised.

Many community college foundations exhibit these characteristics, and yet few inside or outside the college or the foundation would defend these practices. Community colleges have a compelling case statement, and foundations offer much untapped potential to improve the lives of students and the quality of education and cultural opportunities made available to its community. Like the shift colleges have made from the open-door philosophy to student success, it is no longer sufficient for foundations to simply raise money. Brumbach and Villadsen

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observe, "While it can be gratifying to count the dollars raised, it is not the money that matters. It is what the funding can accomplish in terms of student lives, refurbished programs, new ideas tested, new natural constituencies of the college recruited, or significant barriers in a faltering program remedied" (2002, p. 80).

As community colleges strive to adapt and meet the imperative of high-quality affordable education amid an upheaval to it traditional funding streams, gaps left by lost revenue will only grow as public funding continues to shrink concurrent with rising expectations and dependence on community colleges. Foundations will undoubtedly play an important role in the next epoch of community colleges. The open question remains whether they will continue to serve in a transactional role or become a transcendent force for transformation.

ASSUMPTIONS

The main assumption in this study is that fundraising alone is no longer a sufficient purpose for community college foundations. Community college philanthropy has enormous potential for change. The challenges that community colleges face are far too great and the cause too important to continue to treat foundations as an auxiliary function. This study assumes that a clear vision can inspire donors to become part of the solution needed to drive community colleges to the level of excellence now expected.

A second assumption is that any planning effort cannot become a distraction that shifts focus away from actual fundraising. The goal of this study is identify a means to narrow and improve fundraising impact.

Finally, this study assumes that when vision is present, a strategic plan is articulated, and foundations efficiently carry out the plan, that high impact will result, which will justify

additional resources to continue to elevate the impact cycle. Leadership, vision, and resources all must be present for high impact outcomes to result.

LIMITATIONS

Planning, efficiency, and increased resources are poor substitutes for a coherent vision that is understood by all stakeholders and leadership to inspire and invite others to join the cause. The greatest limitation of this Guide is that it cannot substitute for an institution lacking vision. College programs must lead development initiatives (Glass & Jackson, 1998). An attempt to pull the institution along with development driven initiatives will certainly lead to failure and reputational damage. A meaningful foundation strategic plan first requires the college president and board to articulate the college's vision and strategic purpose. No amount of planning, efficiency, or desire on the part of the foundation staff or board can act as a substitute.

Another limitation is that this study does not address the significant time and attention needed to marshal plan development and execution. As noted above, the plan must result in greater efficiency; however, small staffs must, at least initially, find time to dedicate to planning, which can potentially divert efforts away from core functions. If too much time is consumed with planning, the effort begins to run counter to its actual purpose.

FUTURE RESEARCH

There is a general dearth of scholarly literature dedicated to the transformative potential of community college foundations. The overwhelming preponderance of recent literature on the field focuses on the mechanics of fundraising. Without question this is an important topic; however, as this study discussed at length, it is insufficient to fully realize the potential for community college foundations.

The Council for Research Development (CRD) was a thought leader for community college foundations since its inception in 1973, and for decades CRD produced relevant scholarly research. When CRD dissolved in 2016, the field lost a wealth of information. Past research became very difficult to access, and the creation of new scholarly discourse noticeably slowed. Several topics related to this study warrant further research. This study dealt with the intersection of community college and foundation strategic planning only on a general level, but how these two plans relate represent an important question not addressed in the current literature.

The relationship between the community college and its foundation is unique among charitable organizations for reasons explored in this study, as well as countless additional reasons. This unusual dynamic demands dedicated study. Other potential areas of future research include the following:

- A comparative analysis of what practitioners believe impedes the ability to catalyze change in the community college and achieve their vision of impact on the institution and students.

- Research into the leadership qualities that make good fundraisers become effective change agents in community colleges.

- How to change the culture, structure, and management of community colleges to make them more responsive to community needs.

- How foundations can operate to be more transformational and less transnational.

- The factors that situate community colleges in a competitive advantage within the larger non-profit sector and specifically in high education.

CONCLUSION

The framework established in this study is merely a start and a stopgap measure. Greater efficiency can only take community college foundations so far. Strategic planning is an engagement medium, and tools to implement the plan only contribute indirectly to elevating the role of the foundation within the community college. The conclusions of strategic planning must

be understood as a platform for growth and used to justify a more conducive institutional culture that embraces philanthropy, but this alone is not a replacement for leadership.

The community college mission remains one of the most promising philanthropic opportunities in the non-profit sector. The peculiarities of community college culture can be a stubborn impediment to transformation, or a source for strength and differentiation. Deliberative and inclusive engagement with the campus led by capable and inspired leadership can make the difference. Community colleges need help if they are to rise to meet the many challenges they now face and deliver on the lofty impact now expected of them. Foundations warrant increased investment and a bigger voice in institutional priorities, and foundation leaders are obligated to reciprocate by delivering more informed and inspired donors.

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APPENDIX A: FOUNDATION BOARD MATERIALS

Foundation Director Expectations and Agreement

MISSION STATEMENT

VISION STATEMENT

The Board supports the work of the foundation and provides mission-based leadership and strategic governance. While day-to-day operations are led by the foundation's executive director (ED), the Board-ED relationship is a partnership, and the appropriate involvement of the Board is both critical and expected. Director responsibilities include:

Qualifications

Ideal candidates will have the following qualifications:

- A commitment to and understanding of the foundation's beneficiaries
- Savvy diplomatic skills and a natural affinity for cultivating relationships and persuading, convening, facilitating, and building consensus among diverse individuals
- Personal qualities of integrity, credibility, and a passion for improving the lives of the foundation's beneficiaries

Leadership, governance and oversight

- Embrace the opportunity to change lives through the foundation and be willing to dedicate the necessary time, effort and passion needed to propel the organization forward
- Serve as an advisor to the executive director as s/he develops and implements the foundation's strategic plan
- Review outcomes and metrics created by the foundation board for evaluating its impact, and regularly measure its performance and effectiveness using those metrics
- Review agenda and supporting materials prior to board and committee meetings
- Provide oversight by reviewing the foundation's audit reports and material business decisions; and by being informed of, and meeting all, legal and fiduciary responsibilities
- Assist the executive director and board chair in identifying and recruiting other Board Members
- Attend board and committee meetings.
- Serve on at least one committee or task force.
- Act as an ambassador for the organization.

- Ensure the foundation's commitment to a diverse board and staff that reflects the values of college and our community

Financial Support
The foundation's Directors will consider the foundation as a philanthropic priority and make annual gifts that reflect that priority. So that the foundation can credibly solicit contributions from foundations, organizations, and individuals, the foundation expects to have 100 percent of Directors make an annual contribution that is commensurate with their ability.

Fundraising
Fundraising is the cornerstone of what we do. Board members play an important role, and each board member should be involved on some level in the fundraising cycle. Some board members are comfortable making the "ask;" however, there are also many other ways to be involved in fundraising. This can include participating in fundraising events, stewarding donors, and/or sharing your personal story of involvement within your networks.

Director terms/participation
The foundation's directors serve a three-year term, with the opportunity for continued reappointment. Board meetings will be held every other month and committee meetings will be called by the committee's chair in coordination with full board meetings and the ED. Participation at board and committee meetings is considered an essential duty of each director.

Service on the foundation Board of Directors is without remuneration, except for administrative support, travel, and accommodation costs in relation to Board Members' duties; however, the satisfaction from serving one's community and securing a brighter future for our students is without equal.

Signed: _____   _____

                        Executive Director   Board Member

Dated: _____   _____

VALUES EXERCISE

To articulate the values from which we will not sacrifice, and help create a more expansive Values Statement.

Background:

"Nonprofit organizations are known for being values-driven. Spelling out the values the organization supports helps tap the passion of individuals and aligns the heart with the head" (Allison & Kaye, 2015, p. 87).

We ascribe to many implied values and beliefs, but this exercise is intended to help us explicitly articulate those core values. Think about all the people The Foundation interacts with and whose lives are touched by our work: students, patrons, alumni, donors, board members, college employees, etc. What guides us as individuals as we serve these stakeholders?

An example might be: *We believe in the power of education to transform the lives of our students and community.*

Exercise:

Take a couple minutes individually or collectively with your table and list 7 – 10 values.   (5 minutes)

1. We believe in

2. We believe in

3.

4.

5.

6.

7.

8.

9.

10.

Summarize to the Board your top three values. If they have already been used, share other values that have not yet been suggested. (2 minutes)

Allison, M., & Kaye, J. (2015). *Strategic Planning for Nonprofit Organizations: A Practical Guide for Dynamic Times* (3 edition). Hoboken: Wiley.

VISIONING EXERCISE: HEADLINE NEWS

Purpose of this exercise:

- Think about our "picture of success"
- Stretch your thinking
- Refine our Vision Statement – the Vision Statement helps guide the services/products the we should be offering now and in the future. It also helps to determine if we need to change the services we offer or the way we go about our business to achieve our preferred future

Exercise Scenario:

It is ten years from now and The Foundation has just been singled out by a major national philanthropic journal for achieving a significant accomplishment or milestone.

Complete the following three tasks individually or as a group (5 minutes)

1. In the box below, write the main headline for the article (BE CREATIVE!).

2. Write a quote explaining the significance of this accomplishment.

3. Provide two or three bullets that would serve as the outline for a sidebar story about us.
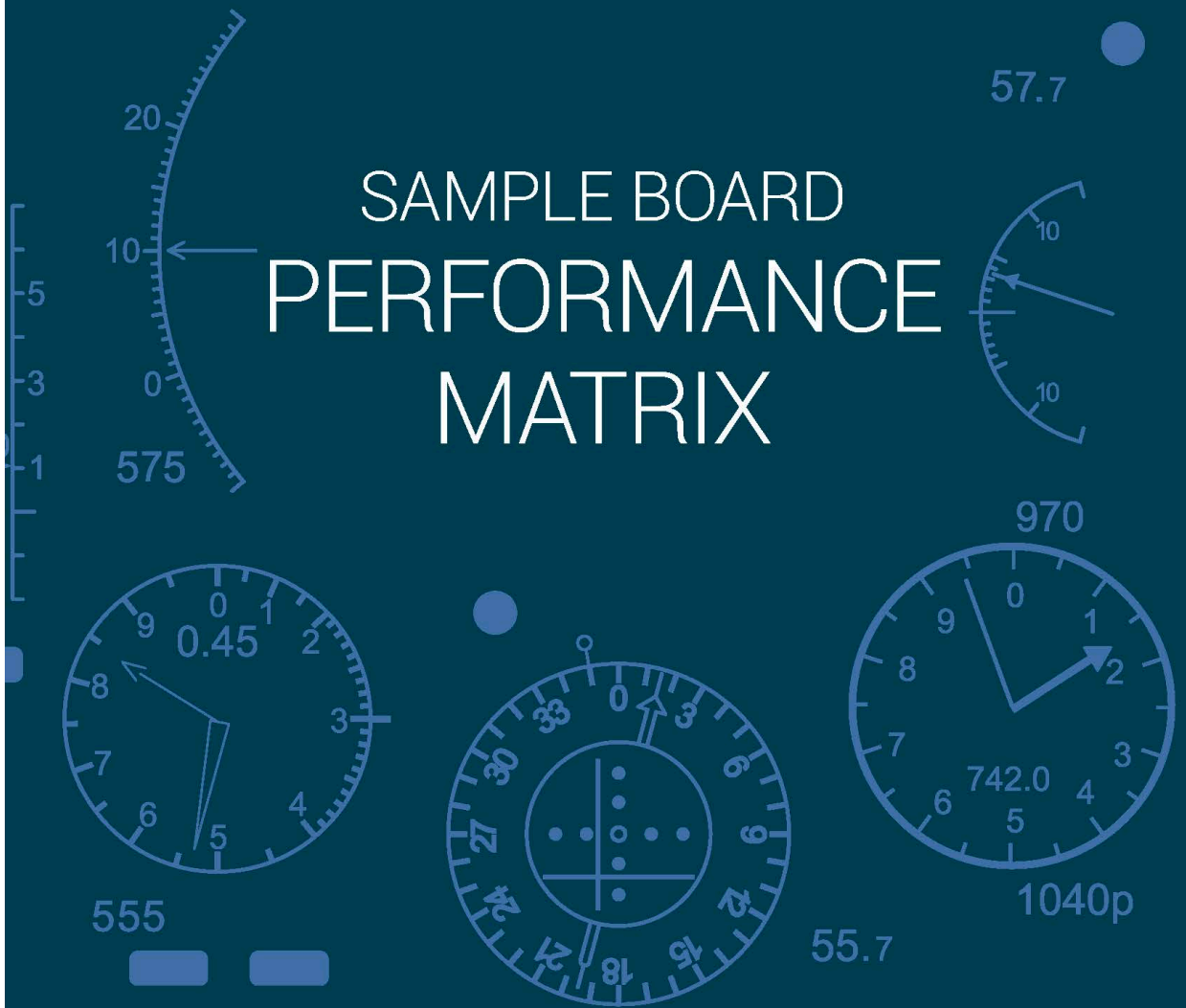
Discuss with your table and select the best headline. Prepare to share with the rest of the board (5 minutes).

Summarize to Board (2 minutes)

SAMPLE BOARD
PERFORMANCE
MATRIX

Each member of the board of directors plays a key role in the success of an organization, both in terms of governance and support. Recognizing that each member has a unique and valued set of attributes in terms of time, talent, and treasure to assist in achieving our mission and vision is important. To serve on a board is both a responsibility and a privilege. This sample matrix is intended to provide a benchmarking tool for board members to evaluate their level of contribution in the various aspects of their board responsibilities.

BoardSource

SAMPLE BOARD PERFORMANCE MATRIX

For the sample organization used for this matrix, four key board responsibilities have been identified and behavioral statements help clarify the different levels of participation. For many board members who have a competitive spirit to "be the best," this spurs enhanced outcomes.

BOARD MEMBER FUNCTION	THRESHOLD PARTICIPATION	FULL PARTICIPATION	EXCEPTIONAL PARTICIPATION
Board/Committee Meetings	Attend at least 70% of meetings and actively participate/provide input Read/understand all material provided for meetings Participate on a board committee	Meet Threshold expectations Attend 85% of meetings	Meet Full expectations Serve as a committee chair or an officer of the board
Stewardship of talent and Treasure (Includes In-kind)	Personally make annual contributions Leverage gifts/in-kind contributions	Meet Threshold expectations Contribute to and attend at least one fundraising event	Meet Full expectations Contribute to and attend more than one fundraising event Help identify new sources of revenue Provide professional expertise for the organization operations
Board Development	Attend board orientation sessions Understand and articulate mission, vision, and key service offerings Provide names of potential board candidates	Meet Threshold expectations Nominate candidate(s) who can contribute to the organization	Meet Full expectations Actively recruit candidate(s) Mentor new board members
Enhance Organization's Public Speaking	Become familiar with programs and services offered Clearly articulate the mission, vision, programs/services, accomplishments, and goals within one's own sphere of influence	Meet Threshold expectations Speak with others outside organization about mission, goals	Meet Full expectations Actively garner support from the community Attend community events/meetings on behalf of the organization and promote organization to others

SUCCESSFUL BOARD SELF-ASSESSMENTS

Considering the important role the board has within a nonprofit, why would any organization be content with a sub-standard board — a board with inadequate performance and fulfillment of its responsibilities — and not be open and willing to improve its members' individual and collective performance? The best way to make the case for board improvement is to conduct periodic board self-assessments to identify your board's strengths and areas in need of improvement.

WHY ASSESS PERFORMANCE?
Board self-assessment provides you with the opportunity to
- look internally at the board itself
- reflect on your board members' individual and shared responsibilities
- identify different perceptions and opinions among board members
- determine areas of responsibility that need attention
- use the results as a springboard for board improvement
- increase the level of board teamwork
- clarify mutual board/staff expectations
- clarify common objectives as well as check that everyone is speaking the same language, i.e. ensuring that everyone abides by a shared vision
- demonstrate accountability as a serious organizational value
- display credibility to funders and other external audiences

GETTING READY
Planning well is half the battle. Here are some tips that help board members get excited about the assessment process and prepare for it.
- Include periodic self-assessment among your bylaws clauses. It is the surest method to make the case for assessment if your bylaws include it as one of the principle policies for the board.
- Task the governance committee (not your chief executive or the chair) to ensure that assessment takes place regularly and is well organized. This committee is the permanent structure of your board; officers and chief executives change. Also self-assessment is a board commitment; when the call for action comes from within the team, the "voice" is different.
- Plan to conduct a self-assessment every two to three years. It is not necessary to conduct one every year — you need time to implement any potential changes and learn new ways to function as a board.
- Your auditing firm, as an outside monitor, should also make sure that the processes in the bylaws get respected.
- Keep in mind that it is not going to be an organizational assessment. The entire focus is on the board, on its work, structure, and dynamics.

MAKING PROCESS WORK
How the board conducts a self-assessment influences how successful it will be while securing its role as a standard process.

SUCCESSFUL BOARD SELF-ASSESSMENTS

- Clarify the purpose of self-assessment to everyone. It is not to be judgmental or focus only on weaknesses and negative aspects. Its purpose is to help the board get to the next phase of development. One of its benefits is to act as a planning tool for the board.
- Discuss the questionnaire your board has chosen to use to make sure everyone is familiar with the process and has a chance to ask detailed questions.
- Expect confidentiality. Opinions and comments expressed during the process should not be attributed to individual board members but should be shared in the aggregate report. Confidentiality is the only way to ensure that everyone shares honest opinions without a filter or fear of being criticized.
- If possible, rely on an outside facilitator to collect the completed questionnaires, analyze the comments, and provide the full board with a report. This third party confidentiality brings an added level of neutrality to the end discussion.
- Keep in mind that comments and opinions are simply perceptions of board members. There are no wrong answers.
- Provide each board member with the opportunity to comment on how he/she assesses his/her own performance vis-à-vis the full board. It is often quite educational to see the results. Not surprising, but often, board members see themselves in a better light than they see the full board's performance.
- Include your chief executive in the process. Even if the chief executive is not a voting member of the board, he/she works closely with the board and should have an insightful perspective of the board's effectiveness.
- Make sure that the results of the assessment get shared with the full board and action is taken afterwards. No follow up is the worst consequence to self-assessment.

For some boards, the first self-assessment experience feels awkward and somewhat daunting. However, if the process and the consequences are accepted, the first assessment should result in a beneficial learning experience. Embarking on a second assessment proves that the board has learned the importance of monitoring its own effectiveness. Assessment is about the future and ensuring that the board's contribution to the organization is always top quality.

Foundation Board Engagement Survey

Why do strategic planning? Strategic planning enables the board and staff of the foundation to focus our efforts, be intentional about our programs, prioritize our resources, act proactively rather than reactively in relation to our donors, and formalize expectations between board and staff by creating metrics to judge the progress of the organization toward its established priorities.

Instructions: Please take some time to reflect on the questions below and be as thoughtful and frank as possible in your responses. Try to resist generating a superficial list of the things we currently do; rather, think broadly about the critical issues we face from a 30,000 foot view. The data gathered from this survey will be matched with a similar survey sent to college staff and used to identify strengths, weaknesses, opportunities, and threats (also known as a SWOT analysis). We will review the results of the survey at our next foundation board meeting and use the data to develop the goals that will guide and focus the strategic plan.

1. **Programmatic Vision:** What program accomplishments would you like to see from the foundation in the next five to ten years? Please be specific.
2. What do you feel the foundation needs to do differently to make progress toward the programmatic vision you described in question 1 above? Please be specific.
3. **Organizational Capacity Vision**: What organizational capacity is needed to support your above described programmatic vision? (Organizational capacity includes planning, human resources, organizational culture and communication, technology and facilities infrastructure, and governance.) Please be specific.
4. What do you feel the foundation need to do differently to make progress toward the organizational capacity vision you described in question 3 above? Please be specific.
5. **Leadership Vision:** Please describe your specific vision for how the foundation can lead the college to better serve students and the community:
6. What do you feel the foundation needs to do differently to make progress toward the leadership vision you described in question 5 above? Please be specific:
7. Please describe three current efforts or actions of the foundation that should remain unchanged as we move forward.
8. Please describe what you feel should be three **primary measures of the foundation's success**? In other words, if the foundation exhibits high performance in these three measures, the mission has been achieved.
9. Please describe what you feel distinguishes the foundation from other philanthropic organizations in our community.
10. Please describe what you feel the foundation can do to increase awareness of our work/programs by the community.
11. Please describe what you see as the three **major external opportunities facing the foundation** in the next three to five years.
12. How might we respond to each of the three major external opportunities you described above in question 12? Please be specific.
13. Please describe what you see as the three most **significant external challenges/threats** that might have an impact on the foundation's success over the next three to five years.

14. How do you think we should respond to each of the three most significant external challenges/threats you described above in question 15? Please be specific.
15. Please describe what you see as the three **major strengths of the foundation**.
16. How do you think we should take advantage of each of the three major strengths you described above in question 16? Please be specific.
17. Please describe what you see as three **major weaknesses of the foundation**.
18. How can we overcome the three major weaknesses you described above in question 18? Please be specific.

APPENDIX B: STAFF SURVEY

College Staff Engagement Survey

Instructions: Please take some time to reflect on the questions below and be as thoughtful and frank as possible in your responses. The data gathered from this survey will be used to identify strengths, weaknesses, threats, and opportunities (also known as a SWOT analysis). Survey results will be used to prioritize the resources of the foundation to help the college.

1. Please describe your overall experience with the foundation's programs and services. Please be specific.
2. Please describe your experience with interaction with foundation board and staff. Please be specific.
3. Please rate your level of familiarity with the following support services offered by The Foundation:
    a. Programmatic Grants
    b. Cultural Enrichment Grants
    c. Scholarships for students
    d. Non-scholarship student support
    e. Support for departmental and divisional projects and priorities
    f. Capital and building projects
4. **Programmatic Vision:** What program accomplishments would you like to see from the foundation in the next five to ten years (Programmatic vision includes both existing foundation programs and initiatives as well as new program development)? Please be specific.
5. What do you feel the foundation needs to do differently to make progress toward the programmatic vision you described in question 4 above? Please be specific.
6. **Organizational Capacity Vision**: What organizational capacity is needed to support your above described programmatic vision? (Organizational capacity includes planning, number and composition of foundation staff, organizational culture and communication, technology and facilities infrastructure, and governance.) Please be specific.
7. What do you feel the foundation needs to do differently to make progress toward the organizational capacity vision you described in question 6 above? Please be specific.
8. **Leadership Vision:** What role should the foundation play in leading the college to achieve faculty and staff's goals for the institution?
9. What do you feel the foundation needs to do differently to make progress toward the leadership vision you described in question 8 above?
10. Please describe three trends that you feel the college will face over the next decade that the foundation should consider when devising future priorities. (These trends could include critical issues facing students, personnel issues, funding, quality, etc.). Please be specific.
11. Please describe what you see as the three greatest challenges facing the college? Please be specific.
12. Please describe what you see as the three **major external opportunities facing the college** in the next three to five years.
13. How should the college respond to each of the three major external opportunities you described above in question 12? Please be specific.

14. Please describe what you see as the three most **significant external challenges/threats** that might have an impact on the college's success over the next three to five years. (These could include political, economic, social, technological, environmental, and legal trends)
15. How should the college respond to each of the three most significant external challenges/threats you described above in question 14? Please be specific.
16. Please describe what you see as the three **major strengths** of the college.
17. How should the college take advantage of each of the three major strengths you described above in question 16? Please be specific.
18. Please describe what you see as three **major weaknesses** of the college.
19. How can we overcome the three major weaknesses you described above in question 18? Please be specific.
20. Please describe three current efforts or actions of the foundation that should remain unchanged going forward.
21. Please describe what you feel should be three **primary measures of the foundation's success**? In other words, if the foundation exhibits high performance in these three measures, the mission has been achieved.
22. Please describe what you feel distinguishes the foundation from other philanthropic organizations in our community?
23. Please describe what you feel the foundation can do to increase awareness of our work/programs by the community.
24. Please describe what you feel the foundation can do to increase awareness of our work/programs internally within the college.
25. Please rate your level of willingness to serve with the foundation in the following capacities (scale of 1-5):
    a. Lead an effort to raise funds from private sources for your program or area.
    b. Help raise funds for the college in general (i.e. programs to impact student success, recruitment, retention, capital improvements, etc.)
26. Please select which of the following best describes your position at the college. Please select only one option: faculty, staff, maintenance, administrator, professional staff
27. Please select which of the following best describes your employment status at the college. Please select only one option: part time, full time
28. Please describe how you feel the foundation has had an impact on the college.
29. The foundation would like to better support divisions and college departments. How do you feel the foundation could be helpful to your division or department? Please be specific.
30. How do you feel the foundation could assist you in achieving your goals as an college employee? Please be specific.
31. Please rate your overall opinion of the foundation and the work it does for the college and the community.
32. Do you feel the foundation been a worthwhile investment for the college?
    a. IF YES SKIP TO: Please describe why you feel the foundation has been a worthwhile investment for the college. Please be specific.
    b. IF NO SKIP TO: Please describe why you do not feel the foundation has been a worthwhile investment for the college and how it could gain your continued support. Please be specific.

APPENDIX C: GOALS & STRATEGIES

COMMUNITY COLLEGE FOUNDATION

MISSION STATEMENT

STRATEGIC PLAN: 2014-2019

Year 1	Year 2	Year 3

	GOAL	STRATEGY
☐	Eliminate Barriers to Student Success	Develop and emergency scholarship program that delivers support at the point of need rather than on an award cycle.
☐	Eliminate Barriers to Student Success	Establish a mentorship program that incentives student mentors with scholarship funds
☐	Eliminate Barriers to Student Success	Open a food bank on campus
☐	Transform Classroom Learning	Create a professional development fund for faculty members
☐	Transform Classroom Learning	Renovate outdated classrooms with new technology
☐	Transform Classroom Learning	Create an endowed chair program to fund programmatic expenses
☐	Expand Cultural Opportunity	Create a cultural enrichment outreach program to underserved youth
☐	Expand Cultural Opportunity	Improve production value in main theater with equipment upgrade

APPENDIX D: FOUNDATION ENGAGEMENT TOOL

ON VISUAL ENGAGEMENT

THE ENGAGEMENT/PRESENTATION TOOL

ONE EXAMPLE WITH MULTIPLE APPLICATIONS

(Organization)
(Tagline)

EXPLANATION [DRAFT]

We leave this on ALL our Stuff! Allows for input!

PURPOSE:

BLUE BOX = MESSAGE!

Clearly
Concisely
Consistently
Convincingly
Compellingly

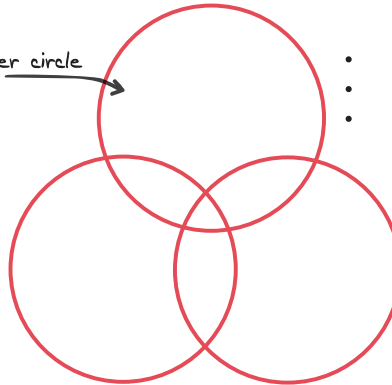| STORYLINE	STORYLINE	STORYLINE

3 Powerful STORYLINES!

* Permission To Proceed

PRIORITIES:

3 Circles, – 1 or 2 words per circle

Where funds will be used... with 3 examples each of projects/programs to be funded.

*On Back: Map, Pictures, VISUAL ENGAGEMENT!

* Permission To Proceed

PLAN:

Put this right out there— (ALMOST) IMPOSSIBLE TO NOT 'ASK'

HOW YOU CAN HELP:

1. CHAMPION...
   Our CAUSE/CASE.

2. INVITE...
   Others to ENGAGE.

3. INVEST...
   With a COMMENSURATE COMMITMENT.

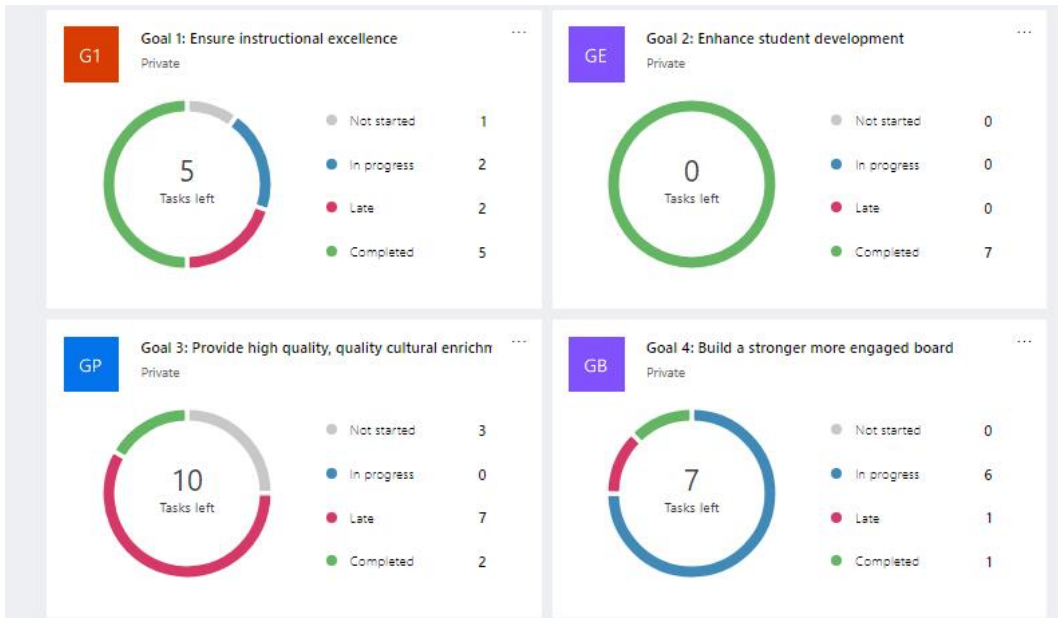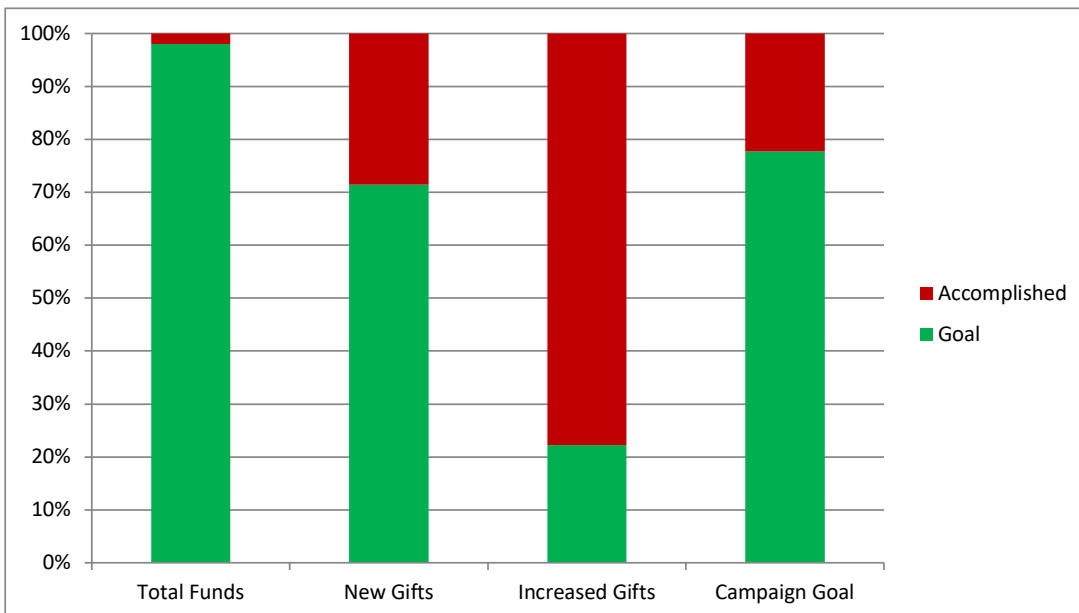| TODAY	TOMORROW	FOREVER
Join...	Invest In...	Leave A Legacy...
Fund...		

The 'Triple Ask'!!!

APPENDIX E: METRICS DASHBOARD

Metrics Summary Dashboard

September Report

STRATEGIC METRICS

FUNDRAISING METRICS (Percent of goal accomplished)

APPENDIX F: PROGRAM SUMMARY WORKSHEET

THE FOUNDATION
at MONROE COUNTY COMMUNITY COLLEGE

Program Summary Worksheet		
Program or Activity Name:		
Progress	Start Date	Due Date
Lead Staff	Support:	
Description:		

Mission Connectivity:	Is this on mission? Yes	No
	If not on mission: Eliminate	Revise Spin Off
	Describe **how** this furthers our mission:	

Strategic Relevance:	Does this relate to our strategic plan? Yes	No
	Strategic issue(s) addressed	
	Strategic Goal	Strategy
	Rate Strategic Importance	Strategic Plan Implementation Year

Change Management	Describe the desired change brought by this program	
	Describe possible support for this program	
	Describe possible resistance to this program	
	Change Theory	Change Theory Status

Describe in detail the resources needed (human capital, funds, time, authority, etc.) needed to be successful	