SHIFTING PARADIGMS, CHANGING FORTUNES:

FUNDRAISING AT MAKERERE UNIVERSITY

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Fundraising for higher education is a recent phenomenon in Uganda where the government has supported education for decades. Recent structural adjustment and liberalization policies mandated by the World Bank and the IMF and internal financial exigencies have necessitated funding diversification in higher education in Uganda and increased the need for private financial support. In developed countries like the United States, Canada, and increasingly, the United Kingdom, private support from alumni, individuals, corporations, and other stakeholders is a key component of higher education funding.

This study used qualitative methodology and a holistic case study research design to explore the fundraising function at Makerere University. Tierney's organizational culture conceptual framework was used and data were collected through semi-structured interviews, an alumni questionnaire, document analysis, and observations. The findings include a governance and management structure that does not adequately support the fundraising function, strategies that are adapted to suit the Ugandan cultural context, perceptions of corruption and lack of transparency; and internal conflicts that limit communication and damage the image of the institution. The findings show that Makerere University is not strategically capitalizing on its position as the oldest and largest public university in Uganda and the region to mobilize private support. Reforms addressing the issues and seeking to enhance student and alumni experiences are contributing to fundraising success in various units. The reform efforts include transitioning to a collegiate system, procuring enterprise- wide financial and student services systems, faculty and staff sensitization, outreach and community engagement. The focus on the vision, mission

and operationalizing the strategic plan presents an opportunity to dialogue with stakeholders and resonates with potential donors. The findings highlight a renewed spirit of resourcefulness that leverages old paradigms to integrate economic, cultural and social contexts to proffer innovative models of funding diversification.

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Introduction

Higher education in Africa has experienced unprecedented policy shifts in the last couple

of decades and continues to struggle with low levels of investment from other nations and

external partners. Previously supported by governments and international philanthropic

organizations, African higher education is severely underfunded given recent liberalisation

policies and the rapidly growing demand. As Teferra (2009) observed, public funding of higher

education in Africa is a diminishing trend which has far reaching implications for this rapidly

expanding sector and the continent in general. This dilemma has led to increasingly louder calls

for funding diversification from various stakeholders interested in the advancement of African

higher education (Kajubi, 1992; World Bank, 2006).

Funding diversification has become necessary as African governments, specifically the

government of Uganda, struggle with balancing the basic needs of the populace and support of

higher education. Many higher education advocates and researchers in Africa and beyond have

highlighted the disconnection between recent reforms and the challenges institutions face in their

local and global contexts (Aina, 2010; Ajayi et al., 2008; Assie-Lumumba, 2009; Kasozi, 2009).

This same group of authors argued that transformation in higher education requires examining

old paradigms and embracing new ones to ensure institutional sustainability and posterity. One

such examination involves the re-envisioning of funding sources and mechanisms for higher

education support including fundraising (Kasozi, 2009). Speck (2010) noted that "increased use

of private funds to support public higher education is essential, but private funding undoubtedly

shapes the university in ways that challenge academic traditions, creating a new paradigm for

financing the modern university" (p. 7).

African governments through their ministries of education have traditionally funded higher education at rates of 80% to 100% (New Partnership for Africa's Development [NEPAD], 2001). In the last two decades, however, neoliberal and structural adjustment policies forced institutions to charge tuition and fees to students (Johnstone, 2004). Uganda is ranked low on the Human Development Index by the World Bank, an indication that it is a poor country. As such, charging tuition and fees to students poses a barrier and severely limits their access to education as well as potential contributions to the country's economic, social, and political development. Nonetheless, Carrol (2005) demonstrated that institutions like Makerere University are balancing declining government support by supplementing funding through students' privately paid tuition and fees, largely from the Private Entry Scheme (PES), a program that allows the university to admit fee paying students (p. iv). Kasozi (2009) observed that although private student tuition and fee revenue helps Makerere University meet operational costs, there is a need for financial stability to be buttressed by a robust private support mechanism through fundraising.

In developing countries like Uganda, the PES is part of the neoliberal reforms of higher education finance. These reforms are designed to expand access to higher education while diverting the costs away from the government and toward the private sector. Johnstone (2003) highlighted the shifts in cost-sharing and discussed how the benefits of higher education have been restricted to the individual instead of the various stakeholders in society. For African universities like Makerere University, it is imperative that stakeholders understand that, in spite of various waves of reform, the higher education landscape "continues to resemble a thick forest of institutions, systems, and practices lacking clear distinct tracks, values, and goals, or a mission and vision that connect institutions and systems to the major challenges of their contexts" (Aina, 2010, p. 23). Aina (2010) observed that without a clear articulation of the purposes of higher education, the benefits and roles of the key stakeholders, and the much touted reforms millions

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of students fall through the cracks without adequate education and training which ultimately leads to more problems with war, disease, and poverty.

The recent Uganda National Statistical Abstract numbers demonstrated how low the tertiary education participation rates are in Uganda (Uganda Bureau of Statistics, 2011). Of the 6 million 15 to 24 year olds, approximately 180,000 are involved in some type of higher or tertiary education program. That number is less than the 5% participation average for sub-Saharan Africa (World Bank, 2010). With such low participation rates, the Republic of Uganda's (2010) called for more active national development of higher education enrollment, including quadrupling enrollments, will not be achieved. Kasozi (2009) supported that call and noted that higher education is a "public good and it is in the public interest for the state to guarantee its funding" (p. 7). Based on the old paradigm of government support, present demands on the state make it impossible for the government to guarantee adequate support for higher education. Instead, enabling mechanisms such as a more conducive political, economic, social, and cultural framework that encourages all stakeholders to share the responsibility of supporting higher education, as in the United States and increasingly in Europe, is more practical (Kasozi, 2009).

Purpose of the Study

The purpose of the study was to explore and understand how Makerere University conducts fundraising activities to support institutional priorities. This was accomplished by examining the current organizational practices, structures, processes, and policies that Makerere University utilizes to mobilize private resources. I sought to understand how the fundraising office dialogues with various stakeholder communities, such as alumni, corporations, and individuals, to actively engage in institutional efforts to seek private support for sustainability and posterity. The findings could become a blueprint for other universities struggling to balance

the declining government support with the increasing demand for access to higher education and seeking to do so with private support mechanisms like fundraising.

Although fundraising is a new concept to African higher education, recent transformations provide an impetus for reexamining resource mobilization efforts and programs to garner private support. These transformations are embedded in the entrepreneurial spirit as discussed by Clark (2004). African institutions, Makerere University specifically, could learn from the British institutions which have retooled their previous focus on government support for higher education and successfully pursued private support. Proper (2008) indicated that by using American style fundraising techniques, British universities have increased institutional financial support by 30% to 40%. In describing the paradigm shift at Warwick University, Clark emphasized a departure from the traditional static model of funding to a contemporary reformed university model that secures funding from multiple sources. Warwick's transformation in the face of government funding cuts while experiencing tripling enrollments was recognized for its efficiency gains and was hailed as remarkable. Other institutions in Britain have experienced similar gains.

For Makerere University, Clark (2004) described its crises and reforms as a "rebound from the academic pits" (p. 99), given the devastating structural adjustment policies imposed by the World Bank and International Monetary Fund in the 1980s through early 1990s. These financial institutions worked with the Ugandan government to implement austerity measures that liberalized the economy and higher education. However, Clark cautioned that successful resource diversification requires "a deliberate development of other organizational features" (p. 4) to support the transition. The central roles of core departments, including connecting new outreach units to departments, fine-tuning managerial mechanisms, and accumulating a

supporting culture, are critical to transformation and sustainability. These organizational features form the foundation for the mechanisms for mobilizing private support.

The Ugandan higher education system has strong similarities with the British system since Uganda was a British protectorate and Makerere, in particular, was modeled after Cambridge and Oxford (Sicherman, 2006). Therefore, African higher education institutions including Makerere University could use the lessons learned and best practices from the British universities and their American counterparts to strengthen fundraising and alumni engagement efforts and to build capacity for mobilizing private support. For institutions like Warwick and Makerere University, resource mobilization and diversification are critical to institutional sustainability in the face of declining public support. As Makerere faces increasing numbers from the Education for All (EFA)[1] pipeline, the focus on mobilizing private support is urgent and necessitates strategic organizational alignments, policies, and practices for preserving educational quality and national sustainability as befits a 21st century university (Juma, 2007).

Significance of the Research

Research studies and reports including the Strategic Plan of the Inter-University Council of East Africa (2006) and the Uganda Visitation Committee to Public Universities (2008) have highlighted the need for diversification of institutional funding. This need has also been identified in third-party reports produced through the sponsorships from the World Bank; United Nations Educational, Scientific and Cultural Organization (UNESCO; American Council on Education, 2009); and the Partnership for Higher Education in Africa (PHEA; Musisi & Muwanga, 2003). One of the most recurring issues in these documents is the need to expand the mix of funding to supplement conventional governmental and external agency support. This

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[1] Education for All is an international initiative first launched in Jomtien, Thailand, in 1990 to bring the benefits of education to "every citizen in every society."

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diversification of funding sources includes seeking alumni, private and public companies, and other civic organizations to support higher education through the social, political, legal, and cultural frameworks found in Uganda.

This research provided insight into specific fundraising strategies and factors that contribute to successful programs at a Ugandan university. While considerable literature and understanding about private support of higher education at U.S. institutions can be found, not much information exists about African universities and the phenomenon of fundraising for African universities. Bongila (2004) suggested that universities in Africa "would do well to acquaint themselves with the funding strategies that successful American universities utilize" (p. 14). As such, this study added to the body of knowledge and might help scholars and practitioners alike understand the phenomenon of fundraising from the African university context.

Research Questions

To effectively gather information for this study, these questions were investigated:

1. How does Makerere University's organizational structure support the fundraising function?

2. What types of strategies does the development office at Makerere University utilize to mobilize private support?

3. What role does organizational culture play in shaping fundraising strategies and practices at Makerere University?

Organizational Theories and Conceptual Framework

In examining fundraising at Makerere University, it is important to understand how the institution works. Organizational theories provide insight and understanding regarding the inner workings of an organization. These theories address organizational change, growth,

development, politics, and culture and revolve around organizational relationships and divisions of labor, including how fundraising activities are coordinated. Such coordination includes processes, procedures and rules, lines of authority, communication, and individual job assignments (Scott, 2001). Given the nature and complexity of higher education in Uganda, various organizational theories were engaged for understanding the factors influencing fundraising.

Cohen and March (1974, 2000) observed higher education organizations and concluded that they were "organized anarchies" (p. xiv). This finding was based on the observation that institutions exhibit problematic goals, unclear technologies, and fluid participation among individual participants. Also, anarchical organizations manage to survive and produce without understanding their own processes and tend to operate by trial and error. The resultant procedures are "accidents of past experiences, imitation, and inventions of necessity" (Cohen & March, 2000, p. 3). Although making and influencing decisions in such an environment is difficult, spending time on important activities, persisting, exchanging status for substance, and managing unobtrusively can counter the key features of organized anarchies. Bitting (2006) concluded that by understanding the "ambiguities and uncertainties" (p. 2) existing within organizations, single individuals can influence how institutions function.

On the other hand, Birnbaum (1988) introduced the cybernetic organizational model which resembles the anarchical one except that the cybernetic organization depends on a more "distributed rational decision making process based on information" (Middlehurst & Elton, 1992, p. 4). Birnbaum's model portrays the complexity of the process more positively than Cohen and March's (2000) model. Birnbaum's model integrates other models in the overall decision making process. In the cybernetic organizational model, the administration may be bureaucratic; the faculty may be collegial; the vice chancellor may be political; and the internal and external

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services may follow the market-model. Thus, the cybernetic model provides stability through constant adjustments and responses through self-correcting mechanisms with feedback from different stakeholders sharing a common culture (Birnbaum, 1988).

While these models focus on American institutions, they can be applied to African universities during the transition through different paradigms and reforms with different generations of participants and stakeholders. Aina (2010) argued that African universities need to go beyond reforms and "carry out more fundamental and inclusive reengagement with vision, mission, structure, and values to reclaim the political will and organization to mobilize and accomplish necessary changes" (p. 24). Aina implored leaders and stakeholders of African nations to collectively and autonomously take ownership of their institutions and make them serve national interests to the benefit of their populations. National governments, individuals, businesses, and organizations have to work together to mobilize the necessary financial resources to transform these institutions and the entire higher education sector. Aina pointed out that the lack of local ownership of these reforms limits local perspectives on issues of transformation and sustainability.

Tierney's (1988, 2008) organizational culture added to the conceptual framework. Tierney (1988) posited that "the culture of an organization is grounded in the shared assumptions of individuals participating in the organization" (p. 4). Tierney (1988, 2008) observed that cultural influences occur at many levels and can vary dramatically. These influences are especially important for institutional decision makers facing the challenges of increasing costs and declining resources to understand their institutions as cultural entities. Understanding the dimensions and dynamics of organizational culture can help institutional leaders minimize conflict and foster the development of shared goals, in this case mobilizing private support through fundraising. Tierney (1988), who agreed with Cameron (1987) and Krakower (1985),

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reported that "strong, congruent cultures of organizational structures and strategies are more effective than weak incongruent ones" (p. 7). Connecting organizational culture to organizational performance has been a topic of many research studies over a long period of time, including those by Peters and Waterman (1982) and Kennedy and Deal (1982), and more recently, by Kezar and Eckel (2004).

Tierney's research on culture in higher education highlights the important role organizational culture has on management, performance, and results (Scott, 2003). While Kezar and Eckel (2002) described Tierney's (1988, 2008) framework as sophisticated and difficult to use by practitioners, Scott (2001) found the model appropriate for studying fundraising effectiveness at Historically Black Colleges and Universities (HBCUs). The universality of Tierney's (1988, 2008) framework makes it appropriate for examining fundraising at Makerere University. This African institution faces the same challenges that other African institutions are facing, mainly the rapid expansion of higher education and insufficient funding from the government (Bloom, Canning, & Chan, 2006). The organizational culture framework was used to clarify and delineate how the constructs are framed and influenced by the beliefs, shared values, and assumptions held by institutional members and stakeholders at Makerere University. The relevant elements in the framework are: environment, mission, socialization, information, decision-making strategy, and leadership.

Scott's (2001) study of three HBCU institutions was instructive in the current research because Scott took Tierney's (1988) framework further and asked specific questions regarding fundraising that were pertinent to the three studied institutions. Since Makerere University experienced similar issues of funding as those experienced by the HBCUs, the organizational culture framework was appropriate. The framework helped me to delineate and describe the key components of the institution's culture clearly. This framework was invaluable in laying the

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foundation for studying the institution's culture and understanding how it impacts critical organizational phenomena including fundraising.

Method

The purpose of this research was to explore and describe how Makerere University conducts fundraising activities. Utilizing a constructivist paradigm, semi-structured interviews, non-participant observations, and document analysis were employed to collect data for this qualitative study. The overarching question that guided this study was: How does Makerere University conduct fundraising activities?

The institution was purposefully selected out of 28 public and private institutions. The development office was identified as the main unit of analysis with three key informants. Through a snowball technique, the key informants identified 11 interviewees from across the university. The 14 interviewees represented the diversity of the institution across gender, regional origin, and institutional units. The three informants were senior personnel in the development office while the rest of the interviewees were senior level administrators from various units across the university. Among all the interviewees were 3 females and 11 males from varying academic and professional backgrounds with ages ranging from 30 to 60 years. All contributed data to the study regarding their roles in fundraising at Makerere University. The data were analyzed through initial, focused code analysis, and the resulting findings were checked against the theoretical framework (i.e., Charmaz, 2006) to derive a model of fundraising.

To ensure that the study remained manageable and reasonable in scope, current fundraising efforts at a single, public University in Uganda, Makerere University, were explored. Creswell (2009) pointed out that cases are "bounded by time and activity, and researchers collect

detailed information using a variety of data collection procedures over a sustained period of time" (p. 13). The importance of binding a case by time and place, time and activity and by definition and context was also emphasized by Stake (1995) and Miles and Huberman (1994).

While the Makerere University's Office of Development was the main unit of analysis, the GMD and the Human Rights and Peace Center were added in this embedded design to make the analysis robust and develop a foundation for future research. Marshall and Rossman (1999) observed that in such a study, the final report transports readers into the study setting with "vividness and detail that do not exist in formal analytic formats" (p. 159). Yin (1994) added that "the case study's unique strength is its ability to deal with a variety of evidence – documents, artifacts, interviews, and observations" (p. 20). In emphasizing the critical features of case study, Yin (2008) noted that as an empirical inquiry, case study design "investigates a contemporary phenomenon in depth and within its real-life context especially when the boundaries between the phenomenon and context are not clearly evident" (p. 18).

This distinction was especially important in examining fundraising at Makerere University because understanding this phenomenon encompassed major contextual issues that were very pertinent to the study. Makerere University is a decentralized institution, and the various units conduct fundraising differently with limited formal structures (Makerere University Organizational Manual, 2011). These different contexts provide critical data on the fundraising phenomenon at the institution. The second part of Yin's (2008) definition of case study inquiry is that it:

- Copes with the technically distinctive situation in which there will be many more variables of interest than data points, and as one result
- Relies on multiple sources of evidence, with data needing to converge in a triangulating fashion and as another result
- Benefits from prior development of theoretical (and conceptual) propositions to guide data collection and analysis (p. 18)

Thus, I used case study design as an "all-encompassing method" (p. 18) that allowed me to address the contextual, theoretical, and conceptual nuances of the data that other methods may not have enabled me to discover. As Marshall and Rossman (1999) pointed out, the most compelling argument for qualitative research is that it is "exploratory or descriptive" and "accepts the value of context and setting and searches for a deeper understanding of the participant's lived experiences of the phenomenon under study" (p. 55).

Yin (2008) based his description of the types of case study on a 2-by-2 matrix displaying single case or multiple case designs with holistic single or embedded multiple units of analysis. My purpose was to explore fundraising practices at Makerere University in the various contexts it occurs. Therefore a holistic single case study with embedded units was selected. This method enabled me to explore fundraising at Makerere University deeply while considering the influence, techniques, and approaches of the fundraising office as it works with different units to raise private support. Yin cautioned against the use of an embedded design because of the potential for the researcher to focus on the subunit level and to fail to return to the larger unit of analysis. I was conscious of this dilemma and ensured that the opportunities presented by the embedded design for extensive analysis were leveraged to provide insight into the overall case. Also, I had to ensure that appropriate attention was given to each embedded unit and where emphasis on techniques or processes was exemplar or lacking. Exemplar practices were highlighted to contribute more richly to the whole case.

Sample Selection

The purposeful sampling technique (Creswell, 2008) was used to select the institution. Creswell defined it as a technique whereby "researchers intentionally select individuals and sites to learn or understand" the phenomenon under study (p. 214). As of 2011, there were 28 public

and private universities in Uganda. A single case, Makerere University, was studied in a thorough and detailed manner. Makerere University was the premier public university in Uganda, with the highest student enrollments, implying a broad diversity of students, needs, and priorities. According to Sicherman (2007), Makerere was the sole Ugandan university for over four decades and was popularly known as the Oxford of Africa. The rich history and a track record of innovative reforms and transformations (Clark, 2004) contributed to the consideration of this institution as the site for this study. Also, the proximity of the institution to the capital city of Kampala was considered a factor for purposes of accessibility. Other factors considered included institutional budgets, faculty roles and ratios, organizational structure, and staffing levels. These factors enriched and informed the study.

It was important to examine various institutional profiles covering students, faculty, staff, and alumni data since they provided insight into the fundraising function (Scott, 2003). The budgets also provided information on sources and uses of funds that contributed richly to the study of fundraising, operational support, and stewardship. Funding was an important aspect of the study because the Council of Aid to Education (2005) showed that for every $1 spent on fundraising activities, an institution will earn another $10 during the long term.

Using Birnbaum's (1988) cybernetic model and by the institution's own records, Makerere University was determined to be a loosely coupled institution. Since fundraising was a new phenomenon and the development staff might not be the only ones conducting fundraising activities, participants from other units were selected through the snowball or chain sampling technique. This strategy required the selection of information-rich cases to acquire a large amount of information. The sampling process started with the development office personnel who were well-positioned to provide a great deal of information about the fundraising function. When a follow-up question was asked about success in fundraising, the embedded units were

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recommended by 9 out of 14 informants. The embedded units were the Gender Mainstreaming Directorate and the Human Rights and Peace Center. The two units formed a robust baseline study for any future research.

In addition, five alumni identified through Friends of Makerere, an alumni support organization recommended by the development office were surveyed to gain an outside perspectives. Patton (2002) advised that researchers should select a few respondents and ask them to recommend other people for the study in order to maximize the opportunities of using the snowball sampling technique. The snowball process continued until no more new substantial information was acquired through additional respondents (Patton, 2002). As the alumni were dispersed across the globe, they were sent an open-ended online questionnaire instead of being interviewed. When the same names, units and alumni kept getting mentioned by the participants, I had enough participants to inform the study. It is important to note that the alumni were added to the participants to ensure that other voices apart from the Makerere staff and administrators provided their input regarding fundraising.

The interviewees were the development staff and the heads of units identified through the snowball sampling technique. The diversity of the interviewees transcended gender, age, regional origin, educational, and professional background. The participants were individually interviewed in their respective offices at the university. The interviews ranged from 30 minutes to 1.5 hours. They were audiotaped and transcribed, and transcripts were provided to interviewees for an opportunity to review the content before analysis and reporting.

In *Researching the Powerful*, Walford (2011) raised concerns about issues of access, interview techniques, and interpretation of the data. Preparation and prior research mitigated those concerns, and I found that the participants were open to sharing their perspectives freely. I deployed a more inquisitorial process recommended by Priyadharshini (2003) by using a well-

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prepared interview guide with open-ended questions that were modified as the interviews

progressed or based on information from reviewed public documents (Appendix I). Additional

questions were generated based on the responses from the participants and in a few instances, I

had to redirect to ensure that the interview protocol was adhered to in order to generate common

data. The addition of the alumni survey also followed a similar protocol of questions and

contributed external voices with different perspectives which enriched the study.

Data Collection Procedures

A combination of methods was used to collect data (Patton, 2002). I used semi-

structured interviews, an alumni questionnaire, direct observation and document analysis. Hatch

(2002) reminded researchers to be cognizant that participants are co-constructers of the data as

interviews progress. I involved informants by providing them an abstract of the study and the

overarching questions before the interview. During the interview, pertinent documents

(Appendix I) were requested to ensure that I would be able to collect additional data for

triangulation. After the interview, I asked participants for feedback on how additional data could

be collected and how to frame the analysis of data to enrich the study. At the end of each

interview informants were advised to add any information that they deemed insightful to the

study and asked for additional feedback. A few days after the date of the interview, each

participant received the transcript of the interview and had 2 weeks to include any additional

information.

Interviewees were advised to add any pertinent information that they felt would

contribute to the richness of the study. They were offered additional opportunities to provide

feedback on preliminary findings as advocated by Hatch (2002). The data were collected,

transcribed, coded, and analyzed recursively and iteratively as advocated by experts like Miles

and Huberman (1994), Lincoln and Guba (1996), and Hatch (2002). To examine a phenomenon like fundraising, multiple methods had to be utilized consistently to accurately represent and reveal all the dimensions of the phenomenon.

Documents supplemented and supported the data gathered from direct observations and interviews. They widened the scope of information and allowed me to triangulate between the other data collection methods. The advantage of document analysis was that the documents facilitated data collection without interfering with the work of the study participants. Documents also provided information about organizational culture that I may not have been able to observe. The documents provided information about events that occurred before data collection began, such as fundraising events, reunions, private discussions, and rationale behind decisions that had not been widely publicized or made easily accessible (Patton, 2002). Documents used for the study included policy statements, the vice chancellor's media briefing notes and propositions awaiting council review, reform documents, annual reports, development plans, institutional strategic plans, and physical materials such as brochures and case statements.

Data Analysis

Creswell (2009) observed that data analysis is an ongoing process conducted concurrently with data gathering, interpreting, and writing the report. Charmaz (2005) advocated a set of flexible analytical guidelines that enabled me to focus data collection and analysis. Data analysis is an iterative concurrent process and according to Charmaz (2006) starts with data collection. This constructivist approach guided me in focusing on the phenomenon studied instead of the methods to study it (Kovach, 2009). I prepared the collected data including interview transcripts, field notes, documents reviews, and observation notes for analysis.

Once I collected data from the first interview, qualitative coding started as the first step in analysis. I had to review the transcripts, the field notes, the documents, and observation notes to "study and define these materials to analyze what happened and what they might mean" (Charmaz 2006, p. 43). In this process, I utilized initial coding procedures to categorize segments of data and define core conceptual categories in an open-ended format to enable the emergence of new ideas (Charmaz, 2006). It is important to keep an open mind and stay close to the data by keeping the codes short, simple, active, and analytic as suggested by Charmaz (2006). In order to establish analytical distinction, I used constant comparative techniques. As a major phase of coding, focused coding entailed using earlier codes to scrutinize and sort through larger amounts of data. I ensured coherence in the categories of data leading up to the themes that helped me gain a deeper understanding of the fundraising phenomenon at Makerere University. Dedoose, a data analysis web based database by SocioCultural Research Consultants (2011), was used to upload and store the transcripts, field notes, and analytical memos. Codes were generated. and text was excerpted for inclusion in the narrative.

Credibility and Trustworthiness

Museus (2007) observed that while internal and external validity are important considerations in the measurement and generalization of findings in quantitative research, quality assurance in qualitative research is determined by the degree of credibility and transferability of the findings and recommendations. Merriam (1998) defined credibility as the congruence of the findings with reality and defined transferability as the extent to which the findings can be applied to situations outside the case studied. Creswell (2009) posited that validity in qualitative research requires that the findings do indeed reflect the phenomenon studied and offered a step by step process to validate findings throughout the study's duration. I checked for the accuracy

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of the findings and demonstrated that the findings were consistent by using the Creswell process and staying close to the data. I documented the steps and procedures used during the study and kept a detailed protocol and database for any future replications as Yin (2008) suggested.

Lincoln and Guba (1985) emphasized triangulation and cross-checks. Multiple sources of information were generated through interviewing several staff members in the same unit. Various documents were collected and reviewed, and observations of interactions and occurrences were conducted to confirm findings. The documents included the institution strategic plan, unit strategic plans, fiscal documents, annual reports, scholarship materials, case statements, brochures from different units and the alumni newsletter. The observations included attending meetings with development personnel, attending a brainstorming session by the Resource Mobilization Task Force and attending a budget hearing with key university staff. The observations centered on the resource mobilization and funding diversification function.

Field notes on the observations detailed the proceedings of the observations while analytical notes highlighted the key patterns and codes. Profiles of each embedded unit were generated to inform the data analysis process. A document analysis summary was created to provide consistency. Other methods to enhance credibility included member checks to ensure that perspectives of participants were portrayed accurately and the clarification of my potential bias and reflexivity. In addition, I spent more time at the institution to develop an in-depth understanding of the phenomenon (Marshall & Rossman, 1999).

To enhance credibility, detailed explanations about my role, the selection process of the informants, the questions of the study, and the context for the study were offered to all study participants and as part of reporting the study findings. Transcripts were kept and checked constantly and thoroughly to compare data between codes and definitions as suggested by Gibbs

(2007). Analytical memos were written to distinguish the analysis from the data by capturing

first impressions of settings, individuals, and interactions and as the analysis progressed.

As Bilken (1992) pointed out, credibility is akin to reliability for the qualitative

researcher and requires a fit between the data recorded and what is taking place in the setting.

The significance of this study required enhancing the possibilities for transferability through

thick descriptions to ensure meaningful comparisons. Utilizing two embedded units for analysis

and merging the data with the larger case provided great opportunities for generalization and

replication for other units, administrators, policy makers, and other institutions. Rich and thick

descriptions were written to enable readers to put themselves in the setting and to provide readers

realistic perspectives about the phenomenon of fundraising at Makerere University.

Role of the Researcher

In qualitative inquiry, it is critical to consider the role of the researcher due to the

inherent subjective nature of research (Strauss & Corbin, 1998). In this study, my background

and experience in higher education and my knowledge of qualitative methods was paramount to

the design and to communicating with the participants, collecting the data, analyzing the data,

recognizing the emergent themes and meanings, and writing the case descriptions. Some

qualitative researchers have tried to minimize the impact of researcher subjectivity in qualitative

inquiry. However, others have taken a constructivist stance and embraced researcher reflexivity

(Strauss & Corbin, 1990). This effort entails identifying and understanding biases and

assumptions that may have an effect on the researcher's decisions and actions. Evans (2002)

highlighted the importance of creating one's own technique instead of slavishly following

procedures by incorporating both attitudinal and functional development of the researcher.

Charmaz (2005) advocated for the reflexivity approach that calls for embracing researcher

subjectivity and incorporating it into the research process. As an alumnus of Makerere University, I had to balance my understanding of fundraising principles with environmental factors and cultural contexts of the interviewees. The reflexivity helped me to creatively approach each interview, review the output and find ways to improve the next interview or observation. It enabled me to be more analytical and kept the study in perspective.

Results

The constructs for the study were grounded in organizational theory and its impact on how institutions work. In *How Colleges Work*, Birnbaum (1988) pointed out that "the important thing about colleges and universities is not the choices that administrators are presumed to make but the agreement people reach about the nature of reality" (p. 2). The individuals shared beliefs, mores, behaviors, and assumptions make up the organizational culture and its impact on the fundraising function.

Through the documents and interviews, I found that the development office was conceptualized in 2005, established in 2006, and had been conducting fundraising activities for Makerere University ever since. The key informant stated that:

> The unit is headed by a deputy director mandated to formulate strategic direction in resource mobilization. There is an alumni coordinator whose responsibility is to cultivate alumni and identify strengths and weaknesses in areas of support. Then there is a prospect researcher who is tasked with researching and building a database of potential donors, and sharing the information across the university.

Supported by the Council for Aid and Support of Education (CASE) through Carnegie Corporation funding, the development office at Makerere University has benefited from training in fundraising for institutional leaders and capacity building in development and alumni relations. As the key informant noted, "key personnel in the unit were sent to the UK for training. They attended a CASE conference at Nottingham University and went on a study tour of various universities in the UK, Tanzania, and Nigeria."

The institution's income expectations through 2019 point to a robust focus on private support from philanthropic sources (see Table 1). The key participants in the study indicated that the institution has been reconnecting with alumni for purposes of engaging them in support of the strategic goal of increasing resources through fundraising. Also, the university has begun an increased push toward partnerships and business arrangements to increase institutional investment opportunities.

According to the strategic plan, one of the strategies involved partnering with external businesses to build infrastructures, including commercial buildings on university-owned land, to operate those facilities, and after an agreed period of time and after cost recovery, to transfer the ownership of said facilities back to Makerere University (Makerere University Strategic Plan 2008/2018). The external resources through various partnerships have most often been given to individual faculty with specific research expertise. While some have written grant proposals, others have been sought out by international institutions to partner through agreements. Of note, these types of partnerships must pass through the research and graduate studies and/or the planning departments to ensure proper accountability.

Key Findings

Makerere University received funding from three main sources: (a) internally generated funds through tuition and fees; (b) government subvention, which averaged about 60% of needed revenue; and (c) international partners and donors (Makerere Annual Report, 2011). According to data from the interviews, Makerere University was well positioned to engage in fundraising with external stakeholders including alumni, corporations that employed Makerere graduates, foundations supportive of research, and capital improvements at the institution.

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Table 1

Income Expectations Stream

Year	07/08	08/09	09/10	10/11	11/12	12/13	13/14	14/15	15/16	16/17	17/18	18/19
Available Resources (000,000,000 Uganda Shillings)												
1. Govt -- Recurrent Costs		44	46	53	58	60	62	65	65	67	69	71
2. Govt -- Capital Development		0	11	1	10	1	12	13	16	16	8	1
3. Internally Generated --Tuition		52	52	52	81	85	112	113	120	127	135	144
External Resources												
✓ Sida		9	12	12	12	12	12	12	12	12	12	12
✓ Norway		4	4	4	4	4	4	4	4	4	4	4
✓ Other Existing external Sources		3	3	3	3	3	3	3	3	3	3	3
Fundraising/Philanthropic Income/Investment		0	1	5	9	10	14	15	15	20	20	20
Total Resources		111	129	130	176	175	219	210	231	249	252	255

Note. Data were provided by the Makerere University finance and planning departments.

Makerere University is in a unique position within Uganda to engage the senior echelons of the community, business and government. It is the oldest university in the country and a majority of the senior positions in the business and government are graduates or have children who attended Makerere. There is much activity taking place across the university with alumni engagement, connection with the business community and senior levels of government. (CASE, 2007)

Based on key informant interviews, the Makerere University community defined their

environment as progressive in terms of adapting and implementing foreign concepts like

fundraising. One interviewee noted that the institution was:

Moving from this traditional university where you say, you have been employed, your terms are permanent and pensionable, and since this a public university, [government] should give enough funding for people to access university for professors to do research, and therefore the lecturers should not be involved in resource mobilization.

While this view was prevalent among some members of the Resource Mobilisation Task Force, a

brainstorming session led by a consultant who convinced the task force members that connecting

with alumni and other stakeholders for fundraising purposes had value for them and merit for the

university.

Resource mobilisation was viewed as critical to advancing this mission and vision. The

development office and the embedded units in the study internalized the university mission and

utilized it to search for funding. With the mission "to be the leading institution for academic

excellence and innovations," Makerere University broadly recognized that the focus needed:

(i)   To shift from teacher-centered to learner-centered problem based instruction, providing experiential and flexible learning on order to stimulate creative, critical and independent thinking among learners.
(ii)   To reposition the University as a research-driven institution – thus stand out as a knowledge factory with a view to powering national and international development and reinforcing teaching learning.
(iii)   To shift from the current paradigm to knowledge transfer partnerships and networking in order to foster symbiotic relationships between the University and broad public and private sectors. (Makerere University, 2009, Annual Report)

Additionally, governance and management structures can adequately support the

fundraising function. A general awareness and appreciation for the role of the development

office in sensitizing staff and inculcating a culture of philanthropy at Makerere University was found. Perceptions of corruption, lack of transparency, and mistrust have been overwhelming, not only among the public but also among key stakeholders as evidenced by responses from participants. Although factors like internal conflicts, lack of cohesion among units, and loosely coupled administrative structures were present, the institution had policies, processes, and strategies to address them. For example, the documents reviewed included the Development Office Strategic Plan, Resource Mobilisation Plan, Alumni Engagement Plan, and Investment Plan. The development office was instrumental in working with the other units to ensure that the policies and processes were documented and aligned with the institutional strategic plan.

Discussion

Makerere University has been at the heart of higher education in East Africa and Uganda since its establishment in 1922 (Nyaigoti-Chacha et al., 2004). The funding model tying the institution to the government did not change until Structural Adjustment Programs (SAPs) in the 1980s changed (Kasozi, 2009). This model tying public institutions to the government has far reaching implications especially in times of fluctuating budgets due to competing demands from other priorities including the Millennium Development Goals. The introduction of the private scheme entry for students has not improved the financial situations of public institutions like Makerere because the number of entering students has increased while the share of public funding for tertiary education has decreased from 28% to 16% between 1995 to 2000 (Kasozi, 2009). While educational fundraising could help mitigate the financial exigencies that public institutions like Makerere have been facing, the culture of fundraising that supplements state and federal funding in countries like the US have not been present in Uganda. The American model of fundraising, now increasingly used in Europe and other areas, is predicated on the existence of

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individuals, corporations, and foundations supporting higher education institutions programs and research activities and governments passing tax laws designed to encourage such contributions.

Discussion of Research Question 1

This question asked: How does Makerere University's organizational structure support the fundraising function? The first research question sought to find out how Makerere University's organizational structure supported the fundraising function. First, the organizational structure does presently not adequately support the fundraising function. As a public university, Makerere University's governance structure comprises of a council, a senate, and an administration team. With 25 members of the council, over 8 members represent the government in various capacities from different ministries. The council has approximately 12 committees making decisions about the organizational issues impacting the university. The senate also includes government representatives and has multiple committees to review and forward important items for discussion to council. This kind of governance structure has left little room for autonomy and inundated the decision making process long with tediousness and compromise as different units pursue their own interests with policies, processes, staffing, and operational issues.

Second, while the administration and senior leadership professed the importance of fundraising, some dissonance about where fundraising belongs in the university's administrative structure was observed. The placement of the Development Office under the Planning and Development Department (PDD) and distanced organizationally from the vice chancellor's office exemplifies the dissonance. Worth (2002) noted that in designing a fundraising program, "form should follow function." Fundraising theories point to a coordinated effort that buttresses all functions related to the advancement of the institution with easy access to senior leadership.

The reporting structure of the Gender Mainstreaming Directorate gives it an advantage in realizing fundraising success. As noted by one of the interviewees, by reporting directly to the vice chancellor, "we have to have a presence [as] decisions are being made."

Discussion of Research Question 2

This question asked: What types of strategies does the development office at Makerere University utilize to mobilize private support? Development office personnel had been trained in the principles of fundraising and alumni relations and utilized strategies spanning the fundraising continuum. A key informant from development noted:

> From the training we have learnt a lot and with support from Carnegie which they offered to CASE…CASE has really done a great, tremendous job. They really trained us, they have been monitoring us, helping us…actually there was a time they organized a Vice Chancellor's forum in South Africa, organized by Inyathelo (South African Institute for Advancement, Inyathelo). The management at that time knew what it meant by having advancement.

The unit conducted prospect research, identification, cultivation, requests, and stewardship. However, due to understaffing, they had not been able to gain traction and garner much support. Also, decisions to approve fundraising policies to guide their efforts were made slowly. A key informant intimated that upon coming on board from training, new documents to guide operations had to be written. The documents included a development plan, a university wide strategy, policies governing interactions with donors, and an alumni plan, all of which took a lot time. This informant also stated that "the first 2, 3 years, it was getting those documents working or to be worked on and approved…. You see, we are working with a big environment."

Another strategy has been creating awareness and improving communications with alumni. The development office deployed an alumni website and started publishing an Alumni Magazine both electronically and in print. As one key informant noted, to encourage networking, one of the initial activities organized was a golf tournament which raised a lot of

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feedback and created a lot of impact in terms of institutional visibility. On the other hand, some of the individuals interviewed decried the "perennial problem" of acrimonious relations over student welfare issues between management and academic staff and students that lead to strikes and a poor public image. As one interviewee observed, the institution wasted too much time responding to non-issues and did not seem to understand that some of the donors received Google alerts and read news items related to Makerere University.

Other strategies were focused on identifying prominent Ugandans to serve as patrons of the various programs and projects the institution has undertaken. For example, Her Royal Highness Queen Sylvia Nagginda Luswata of the Nabagerereka of Buganda Kingdom is the patron of the Female Scholarship Initiative (*The Focus*, 2010). Her celebrity brought a lot of visibility to the initiative, and as it transitioned to the Female Scholarship Foundation, it was expected to attract a lot of support from members of the kingdom in honor of their queen.

The institution has been slowly building annual campaigns to support various programs, including the FSI, through business breakfasts, golf tournaments, tea parties, and dinners. Other events included multiple donor appreciation events throughout the year to incorporate African hospitality and generosity values and to encourage staff to contribute 10% of their allowances to the FSI. As a way to acknowledge lifelong gender champions, advocates, and ambassadors, the Gender Quality Award has been initiated. Encouraging FSI alumni to form an association, the FSI Alumni Association (FAA) whose sole aim was to give back to support disadvantaged students to access education has been another strategy used for building a culture of philanthropy. Through monthly pledges, FSI alumni hold annual events and raise money to give back to the initiative. The Human Rights and Peace Center shared the same strategies.

Another senior administrator noted that the recent reforms can be used to support their new approach to fundraising and alumni relations. The strategy was based on the development

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function in the colleges so that each college could identify a development officer to mobilize

their resources and ask the central development office do the overall coordination. He noted that

one of Makerere's problems has been that they "have been lighting our candles under the table."

Most of the great things going on have not been made known outside the gates of the institution.

Discussion of Research Question 3

This question asked: What role does organizational culture play in shaping fundraising

strategies and practices at Makerere University? This research question investigated the role of

organizational culture on resource mobilization strategies and practices. Tierney (1988) found

that understanding organizational is useful in understanding organizational performance. The

key concepts in organizational culture include environment, mission, socialization, information,

strategy and leadership. In studying the unit of analysis and the embedded units, these concepts

were explored.

As the findings indicated, the development office embodied the "thinking outside the

box" paradigm to build awareness within various units, such as the Gender Mainstreaming

Directorate (GMD) and the university in general, about the importance of fundraising. While

some units have adapted faster and the Makerere community has become more sensitized about

private support and the fundraising imperative, a lot remains to be done and the leadership

acknowledges that need. One key informant noted that,

> We can now start building our endowment …we are hopeful, we are going to continue
> exploring our options and I think if you look at the next five years, Makerere University
> will be one of those well-funded universities.

The Makerere University environment has been changing and students, staff, and other

stakeholders have responded well to the concept of fundraising. As one interviewee observed in

introducing current students to the concept of fundraising:

They appreciate that the alumni have a contribution to make to their institution when they finish … to give back to Makerere. We have monthly dialogue, public dialogues, for the students at the university now, monthly.

Infusing the mission in everything that happens and within every unit at Makerere University helps students and staff appreciate the role of the institution in national and global development. An innovative culture is taking root at the institution as exemplified by recent developments in research achievements including the Kiira EV car, two Nobel laureates in environmental science, and a host of world-class partnerships with institutions like Johns Hopkins, Pepperdine, Baylor, Cambridge, University of Georgia, among others.

Another aspect of the Makerere culture has been corruption stemming from heavily political, bureaucratic, and anarchical structures. One senior administrator cautioned that given the current accountability issues, most alumni have not participated in any giving programs. With the current reforms, the institution has been putting mechanisms in place to ensure accountability and transparency and to clear the environment of corruption. The institution's mission has been viable and leaders have socialized new members methodically to ensure that the old ways do not corrupt staff. The new systems have been planned to facilitate information sharing and support strategic planning in a participatory fashion.

The issue of leadership has plagued the institution, because the current vice chancellor has been functioning in an acting capacity. Issues with the Ministry of Education and Parliament regarding his appointment have continued to influence the search process and make fundraising challenging. However, some of the units in this study have had good leadership in terms of fundraising. The Gender Mainstreaming Directorate is led by an experienced individual well versed in fundraising while the Human Rights and Peace Center is led competently by an experienced former dean equally qualified.

Recommendations

A strong and urgent need remains to domesticate the fundraising concept and put it in the proper cultural context. Based on my observation of the deliberations of the Resource Mobilisation Task Force, many at Makerere University viewed fundraising as a foreign concept. The development office personnel who went through training had internalized and recognized its importance, but they needed a supportive culture to make it work for more units including academic ones. Two embedded units demonstrated that fundraising can be successfully implemented in the right context.

Makerere University's strategy of engaging alumni as part of strengthening their fundraising capacity was timely and welcomed by many alumni as the questionnaire results showed. However, Makerere needs to do more to reach out to them. These former students can be engaged for advocacy, outreach, and volunteerism to move their alma mater to the next stage of African higher education transformation. When institutions facilitate effective engagement mechanisms consistently, alumni loyalty, and identity can be harnessed to benefit the institution in multiple dimensions (Weerts & Ronca, 2008).

By identifying key alumni with the capacity to contribute, others may be motivated to participate in other events at the institution. According to Gasman and Bowman (2009), alumni tend to respond well to personal interaction, especially when they have a variety of ways to be engaged with their alma mater, and the alumni surveyed all reported that the university never interacted with them.

The relationship with alumni needs to be nurtured and facilitated instead of viewed with suspicion. In one of the interviews when a question was asked about the proposed Friends of Makerere in Canada (FOMAC) Friendship House the organization wanted to build on campus, the respondent intimated that he really did not understand how that would work because

FOMAC seemed to be a foreign organization with its own agenda and its own legal charter. The concern about ownership of the property on campus was unwarranted because it would entice visiting scholars. Makerere University needs to find ways to collaborate with such organizations either through memoranda of understanding or other terms of reference with external alumni, friends, and organizations to avoid any conflicts in decision making regarding major capital projects that the university may want to support.

Gasman and Bowman (2009) observed that with historically Black institutions, the Key Cities program allowed for identifying host cities for the president of the university and other senior staff members who would "meet alumni where they are" (p. 115). Other alumni programs Makerere could implement include giving clubs which could showcase different levels and interests of giving, legacies focusing on multigenerational alumni, class gifts, annual pledges, and other innovative giving programs that target special projects or alumni. Different strategies could be developed for each constituent group to ensure that the various relationships are nurtured according to what the groups' values may be (Rosso, 2003).

The profile of the development office has needed to be elevated by moving it out from under the PDD and into the Office of the Vice Chancellor. Also, the institution could form a hybrid institutional advancement program that incorporates public relations, publications, and development. With the new collegiate structure, a development officer should be attached to each college and have the central office coordinate corporate, foundation, annual, and planned giving programs (Worth, 2002).

Kercheville and Kercheville (2003) underscored the importance of technology to support fundraising success. Technology enhances potential for success by standardizing approaches to communication, tracking the development process, donor information, managing budgets, and storing and evaluating information and process outcomes. The technology should be scalable,

relational, and integrated enough to build and manage all the philanthropic relationships of the institution.

Makerere University should advance and protect its institutional identity and reputation by safeguarding and copywriting the Makerere brand in graphics, images, artifacts, and all other types of merchandise on which the logo may be printed. Not only would this increase Makerere University's visibility in public and the higher education arena, but also it would support local, regional, and international student recruitment, instill pride in current students, and build confidence with key stakeholder audiences including external donors, alumni, and corporate partners. By protecting the institutional image through legal ownership of the brand name and logo, the institution could receive additional income from licensing fees and merchandise sales.

The establishment of an external advisory board solely focused on institutional advancement could alleviate some of the hindrances encountered in council which has a heavy government presence. This board could help develop a major gifts program by establishing giving circles for specific priority areas for the chancellor or vice chancellor whose leadership in defining the institution's mission to a diverse community should be critical to the success of any fundraising program. The giving circles could have dedicated donation limits and support specific priorities including key research projects. They could be comprised of key people in the community with the capacity to bring more affluent supporters to the table.

The final recommendation involves benchmarking. Makerere University staff has been participating in the South African Institute for Advancement (Inyathelo) with other institutions. Their programs need to be evaluated against some of the other institutions in the region that have been attending Inyathelo training events and institutes. Benchmarking can help all institutions identify best practices with the goal of improving their own efficiency and performance. Since several institutions from Nigeria, Ghana, Kenya, Egypt, Tanzania, and South Africa have

participated in the development of institutional advancement programs, Makerere University personnel could compare their programs, processes, and strategies to those other universities' programs, processes, and strategies.

Areas for Further Research

As a novice researcher, I viewed this study as a baseline for further research on fundraising at African universities. Makerere University is the largest and oldest public university in Uganda, making it a flagship for higher education in the country. A lot of other universities look to it for producing and sharing knowledge that can help them advance their respective missions. Additional studies regarding how academic units and research centers conduct fundraising activities may provide a bigger picture and yield interesting results to add to the knowledgebase. An exploratory study comparing fundraising practices across institutions in Uganda and the role of social and cultural capital may add valuable information to the literature and help institutions understand what barriers impede effective fundraising.

Another study that may help Makerere University understand its challenges could be one focused on the impact of organizational leadership on operational efficiency. With loosely coupled administrative structures, opportunities for tighter financial accountability and productivity gains may be lost. Such a study could highlight the areas in need of more attention and inspire systematic transition to new structures instead of just letting them loose with insufficient controls in place.

A study of alumni engagement and the various financial and support roles they can play, including advocacy, volunteering, student mentoring in addition to giving, could provide useful models for strategically planning institutional programming of alumni activities. This line of

research may help the institution provide better programming for students who will become alumni and will be needed to support the institution.

Outreach, community engagement, and service learning represent good areas for further study. Findings could highlight the social, cultural, and economic impact of Makerere University on the communities in close proximity and beyond. Such study could generate good will and partnerships from various communities continuing to view Makerere as out of reach. The results could enhance fundraising and friendraising prospects and contribute to national models of institutional development.

Implications and Conclusions

The implications for this research are not only far reaching for Makerere University but also for other institutions in the region. The institution has been the benchmark for other institutions regarding innovative programs (Clark, 2006). Mastering the fundraising principles and successfully aligning institutional structures, programs, and messages to support community engagement and outreach could help develop a robust development program. Ensuring that processes and practices are documented, through modernizing support systems to track the process of fundraising from the beginning to the end, may build a viable foundation for a successful advancement program. The new entrepreneurial organizational culture grounded in a collaborative environment with key stakeholders, mission focus, performance expectations, benchmarks, and innovative strategies enhance will enhance resource mobilization effectiveness.

With a large database of prominent alumni, Makerere could use its clout and reputation to lobby the government to initiate legal frameworks for encouraging donations to higher education institutions. These legal frameworks could be used to create tax laws that favor donors and volunteers for causes of national importance. Most legislators are Makerere alumni, and if

approached for advocacy, they would be willing to support their alma mater in the quest to support institutional priorities through fundraising.

Fundraising literature pointed to raising money from the perspective of the marketplace by inviting people to invest in a worthy enterprise that meets national and global needs (Grace, 2005; Karoff & Maddox, 2007). Makerere University engaged in fostering partnerships to provide solutions, capacity, answers, and capabilities. These strategic partnerships were developed in the national, cultural, economic, and political contexts to inspire the spirit of philanthropy and cultivate a friendraising and fundraising culture. As Kasozi (2009) proposed, legal frameworks, good accountability systems, and stewardship including policies to address ethics would strengthen the development function and advance the culture of asking and giving at Makerere University and the nation.

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APPENDIX A

EXTENDED INTRODUCTION

Funding diversification has increasingly become necessary as African governments and specifically the Uganda government struggles with balancing the basic needs of the populace and support of higher education. Many higher education advocates and researchers in Africa and beyond have highlighted the disconnection between recent reforms and the challenges institutions face in their local and global contexts (Aina, 2010; Ajayi et al., 2008; Assie-Lumumba, 2009; Kasozi, 2009). This group of authors argued that transformation in higher education requires examining old paradigms and embracing new ones to ensure institutional sustainability and posterity. One such examination involves the re-envisioning of funding sources and mechanisms for higher education support including fundraising (Kasozi, 2009). Speck (2010) noted that "increased use of private funds to support public higher education is essential, but private funding undoubtedly shapes the university in ways that challenge academic traditions, creating a new paradigm for financing the modern university" (p. 7).

African governments through their ministries of education have traditionally funded higher education at rates of 80% to 100% (NEPAD, 2001) until the last two decades when neoliberal and structural adjustment policies forced institutions to charge tuition and fees to students (Johnstone, 2004). Uganda is ranked low on the Human Development Index by the World Bank, an indication that it is a poor country. As such, charging tuition and fees to students poses a barrier severely limiting access to education and students' potential contributions to the country's economic, social, and political development. However, Carrol (2005) demonstrated that institutions like Makerere University are balancing declining government support by supplementing funding using students' privately paid tuition and fees, largely from the Private Entry Scheme (PES), a program that allows the university to admit fee paying students (p. iv). Kasozi (2009) observed that although the private student revenue from

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tuition and fees helps Makerere University meet operational costs, there is a need for financial stability to be buttressed by a robust private support mechanism through fundraising.

In developing countries like Uganda, the PES is part of the neoliberal reforms of financing higher education. These reforms seek to expand access to higher education while diverting the costs away from the government to the private sector. Johnstone (2003) highlighted the shifts in cost-sharing and discussed how the benefits of higher education have been restricted to the individual instead of the various stakeholders in society. For African universities like Makerere University, it is imperative that stakeholders understand that, in spite of various waves of reform, the higher education landscape "continues to resemble a thick forest of institutions, systems, and practices lacking clear distinct tracks, values, and goals, or a mission and vision that connect institutions and systems to the major challenges of their contexts" (Aina, 2010, p. 23).

The recent Uganda National Statistical Abstract (2010) numbers demonstrated how low the tertiary education participation rates are in Uganda. Of the 6 million 15 to 24 year olds, approximately 180,000 (3%) are involved in some type of higher or tertiary education program. That number is less than the 5% participation average for sub-Saharan Africa (World Bank, 2010). With such low participation rates, the goals of the *Uganda National Development Plan* included developing a more active national development role for higher education by quadrupling higher education enrollment (Republic of Uganda, 2010). Kasozi (2009) supported that call and noted that higher education is a "public good and it is in the public interest for the state to guarantee its funding" (p. 7). Based on the old paradigm of government support, present demands on the state make it impossible to guarantee adequate support for higher education. Instead, enabling mechanisms like a more conducive political, economic, social, and cultural

framework that encourages all stakeholders to share the responsibility of supporting higher education, as in the United States and increasingly in Europe, is more practical (Kasozi, 2009).

Purpose of the Study

The purpose of the study was to describe how Makerere University conducts fundraising activities to support institutional priorities. This was accomplished by examining the current organizational practices, structures, processes, and policies that Makerere University utilizes to mobilize private resources. I sought to understand how the fundraising office dialogues with various stakeholder communities, such as alumni, corporations, and individuals, to actively engage in institutional efforts to seek private support for sustainability and posterity. The findings highlighted a blueprint for other universities struggling to balance the declining government support with the increasing demand for access to higher education and seeking to do so with private support mechanisms like fundraising.

Although fundraising is a new concept to African higher education, recent transformations provide an impetus for examining resource mobilization efforts and programs to garner private support. These transformations are embedded in the entrepreneurial spirit as discussed by Clark (2004). African institutions, Makerere University specifically, could learn from the British institutions which have retooled their previous focus on government support for higher education and successfully pursued private support. Proper (2008) indicated that by using American style fundraising techniques, British universities have increased institutional financial support by 30% to 40%. In describing the paradigm shift at Warwick University, Clark (2004) emphasized a departure from the traditional static model of funding to a contemporary reform university model with funding from multiple sources. Warwick's transformation in the face of government funding cuts while experiencing tripling enrollments was recognized as efficiency gains and was hailed as remarkable. Other institutions in Britain have experienced similar gains.

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For Makerere University, Clark (2004) described its crises and reforms as a "rebound from the academic pits" (p. 99), given the devastating structural adjustment policies imposed by the World Bank and International Monetary Fund in the 1980s through early 1990s. These financial institutions worked with the Ugandan government to implement austerity measures that liberalized the economy and higher education. However, Clark cautioned that successful resource diversification requires "a deliberate development of other organizational features" (p. 4) to support the transition. The central roles of core departments, including connecting new outreach units to departments, fine-tuning managerial mechanisms, and accumulating a supporting culture, are critical to transformation and sustainability. These organizational features form the foundation for the mechanisms for mobilizing private support.

The Ugandan higher education system has strong similarities with the British system since Uganda was a British protectorate and Makerere, in particular, was modeled after Cambridge and Oxford (Sicherman, 2006). Therefore, African higher education institutions, including Makerere University, could use lessons learned and best practices from the British universities and their American counterparts to strengthen fundraising and alumni engagement efforts to build capacity for mobilizing private support. For institutions like Warwick and Makerere University, resource mobilization and diversification are critical to institutional sustainability in the face of declining public support. As Makerere faces increasing numbers from the Education for All (EFA)[2] pipeline, the focus on mobilizing private support is urgent and necessitates strategic organizational alignments, policies, and practices that will preserve the quality and sustainability befitting a 21st century university (Juma, 2007).

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[2] Education for All is an international initiative first launched in Jomtien, Thailand, in 1990 to bring the benefits of education to "every citizen in every society."

Significance of the Research

Research studies and reports including the Strategic Plan of the Inter-University Council of East Africa (2006) and the Uganda Visitation Committee to Public Universities (2008) highlighted the need for diversification of institutional funding. This need was also identified by third-party reports produced through the sponsorships from the World Bank; United Nations Educational, Scientific, and Cultural Organization (UNESCO); and the Partnership for Higher Education in Africa (PHEA; Musisi & Muwanga, 2003). One of the most recurring issues in these documents has been the need to expand the mix of funding to supplement conventional governmental and external agency support. This diversification of funding sources included seeking alumni, private and public companies, and other civic organizations to support higher education via the social, political, legal, and cultural frameworks found in Uganda.

This research provided insight into specific fundraising strategies and factors that contribute to successful programs. While considerable literature and understanding about private support of higher education at U.S. institutions can be found, not much exists about African universities and the phenomenon of fundraising for African universities. Bongila (2004) suggested that universities in Africa "would do well to acquaint themselves with the funding strategies that successful American universities utilize" (p. 14). As such, this study has added to the body of knowledge and might help scholars and practitioners alike understand the phenomenon of fundraising from the African university context.

Research Questions

To effectively gather information for this study, these questions were investigated:

1. How does Makerere University's organizational structure support the fundraising function?

2. What types of strategies does the development office at Makerere University utilize to mobilize private support?

3. What role does organizational culture play in shaping fundraising strategies and practices at Makerere University?

Organizational Theories

In examining fundraising at Makerere University, it is important to understand how the institution works. Organizational theories provide insight and understanding regarding the inner workings of an organization. These theories address organizational change, growth, development, politics, and culture, and they revolve around the relationships and division of labor, including how fundraising activities are coordinated, within organizations. Such coordination includes processes, procedures and rules, lines of authority, communication, and individual job assignments (Scott, 2001). Given the nature and complexity of higher education in Uganda, various organizational theories were engaged to provide understanding of the factors influencing fundraising.

Cohen and March (1974, 2000) observed higher education organizations and concluded that they were "organized anarchies" (p. xiv). This finding was based on the observation that institutions exhibit problematic goals, unclear technologies, and fluid participation among individual participants. Also, anarchical organizations manage to survive and produce without understanding their own processes and tend to operate by trial and error. The resultant procedures are "accidents of past experiences, imitation and inventions of necessity" (Cohen & March, 2000, p. 3). Although making and influencing decisions in such an environment is difficult, spending time on important activities, persisting, exchanging status for substance, and managing unobtrusively can counter the key features of organized anarchies. Bitting (2006) concluded that by understanding the "ambiguities and uncertainties" (p. 2) existing within organizations, single individuals can influence how institutions function.

On the other hand, Birnbaum (1988) introduced the cybernetic organizational model which resembles the anarchical one except that the cybernetic organization depends on a more "distributed rational decision making process based on information" (Middleton & Elton, 1992, p. 4). Birnbaum's model portrays the complexity of the process more positively than Cohen and March (2000) and integrates other models in the overall decision making process. The administration may be bureaucratic; the faculty may be collegial; the vice chancellor may be political; and the internal and external services may follow the market-model. Thus, the cybernetic model provides stability through constant adjustments and responses through self-correcting mechanisms with feedback from different stakeholders sharing a common culture (Birnbaum, 1988).

While these models focus on American institutions, they can be applied to African universities during the transition through different paradigms and reforms with different generations of participants and stakeholders. Aina (2010) argued that African universities need to go beyond reforms and "carry out more fundamental and inclusive reengagement with vision, mission, structure and values to reclaim the political will and organization to mobilize and accomplish necessary changes" (p. 24). Aina implored leaders and stakeholders of African nations to collectively and autonomously take ownership of their institutions and make them serve national interests to the benefit of their populations. National governments, individuals, businesses, and organizations have to work together to mobilize the necessary financial resources to transform these institutions and the entire higher education sector. Aina pointed out that the lack of local ownership of these reforms limits local perspectives on issues of transformation and sustainability.

Conceptual Framework

This study used Tierney's (1988, 2008) organizational culture as the conceptual framework. In developing this framework, Tierney (1988) posited that "the culture of an organization is grounded in the shared assumptions of individuals participating in the organization" (p. 4). Tierney (1988, 2008) observed that cultural influences occur at many levels and can vary dramatically. It is especially important for institutional decision makers facing the challenges of increasing costs and declining resources to understand their institutions as cultural entities. Understanding the dimensions and dynamics of organizational culture can help institutional leaders minimize conflict and foster the development of shared goals, in this case mobilizing private support through fundraising. Tierney (1988), who agreed with Cameron (1987) and Krakower (1985), reported that "strong, congruent cultures of organizational structures and strategies are more effective than weak incongruent ones" (p. 7). Connecting organizational culture to organizational performance has been a topic of many research studies over a long period of time, including those by Peters and Waterman (1982), Kennedy and Deal (1982), and more recently, Kezar and Eckel (2004).

Tierney's research on culture in higher education highlighted the important role organizational culture has on management, performance, and results (Scott, 2003). While Kezar and Eckel (2002) described Tierney's (1988) framework as sophisticated but difficult to use by practitioners. Scott (2001) found the model appropriate for her study on fundraising effectiveness at Historically Black Colleges and Universities (HBCUs). Scott's (2001) study of three HBCU institutions was instructive in this research because Scott took Tierney's (1988) framework further and asked specific questions pertinent to the three institutions studied. Since Makerere University is experiencing similar issues of funding as those experienced by the HBCUs, the organizational culture framework is appropriate. The utility of this framework is

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that it helps I delineate and describe the key components of an institution's culture clearly. This framework was invaluable in laying the foundation for studying the institution's culture and understanding how organizational culture impacts critical organizational phenomena including fundraising. The universality of Tierney's (1988, 2008) framework was appropriate for examining fundraising at Makerere University.

The main concepts in organizational culture theory that affected fundraising and the development office were: (a) environment, (b) structure, (c) strategies, and (d) experience. The impact of organizational culture on these constructs was examined. The relevant elements in the model include environment, mission, socialization, information, decision-making strategy, and leadership styles. This institution has been facing the same challenges that other African institutions face, mainly the rapid expansion of higher education and insufficient funding from the government (Bloom, Canning, & Chan, 2006). The organizational culture framework was used to clarify and delineate how the constructs are framed and influenced by the beliefs, shared values, and assumptions held by institutional members and stakeholders at Makerere University. Table A.1 displays a summary of this information.

Table A.1

Framework of Organizational Culture

Concepts and Elements	General Culture Questions	Specific Culture Questions
Environment	How does the organization define its environment? What are the attitudes towards the environment?	How does the institution define its environment? How does the development office define its environment? What is the general perception of students, the community, other stakeholders towards the institution and the development office
Mission	How is the mission of the institution defined? How is it articulated? Are decisions made grounded in the mission? Do all stakeholders agree about the mission?	What is the mission of the institution? What is the mission of the planning office? Is there congruency between the two? How does this impact fundraising/resource mobilization practices for the institution and the development office?
Socialization	How do new members become socialized? How is the socialization articulated? What does one need to know to perform/excel in this organization?	How do new members including faculty heads, department chairs and new lecturers become socialized? How do new members adapt to the institutions culture? How do new members become aware of the role of the development office? How do they adapt to the role and mission of the development office?
Information	What constitutes information? Who has it? How is it disseminated?	How is information disseminated among key funding mobilizes? What are the main sources of information in this organization?
Strategy	How are decisions made? What strategies are used? Who makes the decisions? What are rewards for good decisions and what are the penalties for bad decisions?	Which key private funding mobilizes make decisions? What types of strategies are used to make decisions in the university and in the development office?
Leadership	Who are the leaders? Are there formal and informal leaders? What does the organization expect from its leaders?	Who are the key private funding leaders for the institution? What is expected of them? What role does each person in the development office play? What other role do others play?

Note. Material for table derived from Scott (2001).

APPENDIX B

EXTENDED LITERATURE REVIEW

Fundraising practices, programs, and strategies utilized by the development office and other units at Makerere University were examined in this study. Although fundraising is a new concept to Makerere University, enough evidence existed to demonstrate that the university has been trying to supplement declining government allocations for higher education with private support (Aina, 2010). This study was used to answer the following questions:

1. How does Makerere University's organizational structure support the fundraising function?

2. What types of strategies does the development office at Makerere University utilize to mobilize private support?

3. What role does organizational culture play in shaping fundraising strategies and practices at Makerere University?

<div align="center">Outline and Organization of this Section</div>

The literature review first includes an overview of the evolution of higher education in Uganda followed by a discussion of higher education funding in Uganda. Then, a general overview of educational fundraising is discussed, after which the American model of higher education fundraising is discussed. The literature review concludes with an overview of the current funding mechanisms at Makerere University.

Evolution of Higher Education in Uganda

While the World Bank has recognized the skills and sustainability imperative of higher education, it is important to examine its evolution and the origins of the challenges it currently faces in the developing world and especially in Uganda. Nyaigoti-Chacha in Zeleza, Olukoshi, and Codesria (2004) traced the development of higher education in the region beginning with the establishment of Makerere University, one of the "most amply documented of anglophone African universities" (Sicherman, 2006, p. xv). The institution started as Makerere College, a

technical school established in 1921 to educate the children of chiefs and to train technocrats for the colonial government (Mamdani, 1976). Later, Makerere evolved into a regional institution admitting students from Uganda, Kenya, Tanganyika, and Zanzibar.

The push for granting independence to African nations after World War II came with the need to develop higher education in the region. The British colonial government formed a commission to study and recommend the way forward. Headed by Cyril Asquith, the commission recommended affiliating Makerere's degree programs with the University of London. As such, Makerere students not only shared the same curriculum and sat for the same examinations as the University of London students, but they were also granted degrees from the University of London. In 1949, Makerere University became one of the Asquith Colleges along with the University College of Ghana, University College of Ibadan, Khartoum University, and University College Nairobi (Ashby, 1966).

The struggle for independence from colonialism impacted higher education in Uganda. In 1961, Uganda was granted political independence, and although higher education was growing rapidly, it was still elitist and focused on training replacements for the colonial government administrators (Musisi & Muwanga, 2003). In 1963, Makerere joined the Royal Technological College of Nairobi and Dar es Salaam University College to form a federal university called the University of East Africa (UEA; Nkulu, 2005). Makerere's long term relationship with the University of London was prestigious and gave the federal university concept immediate credibility. The pressures for national development and autonomy led to the dissolution of the UEA and the formation of independent national universities within the three countries of Uganda, Tanzania, and Kenya. The institutions Makerere University, University of Dar es Salaam, and the University of Nairobi emerged (Nyaigoti-Chacha et al., 2004). Makerere University as the national university of Uganda trained doctors and remained the premier

regional institution (Magara, 2009). The University of Dar es Salaam, the national university of Tanzania, concentrated on law and political science. While the University of Nairobi, Kenya's national university, focused mainly on engineering.

In 1980, the three universities signed a memorandum of understanding to establish an umbrella organization, the Inter-University Council for East Africa (IUCEA), and to facilitate collaboration. The IUCEA is a regional inter-governmental organization that "promote[s] strategic, sustainable, and competitive development of the higher education sector in East Africa" (IUCEA, 2010). This organization has presided over tremendous growth in the number of universities in the region, both private and public. This growth has been due to the increased demand for higher education in order to expand the economic infrastructure of the nations of East Africa (Nyaigoti-Chacha, 2004). Membership in IUCEA has more than doubled in the last five years, growing from 34 institutions in 2004 to more than 76 by the end of 2009 (IUCEA, 2010).

In addition to the historical evolution of higher education in the region, the other development that has shaped higher education has been an increased recognition of the critical role that higher education plays in benefiting society at every level. The role of higher education in East Africa and Uganda, in particular, has changed with the political, economic, social, and cultural transformations that have taken place in the region and the world over. According to Sawyerr (2004), the multiple transformations have been fueled by "economic and social demands of the national and local communities" where the institutions are located (p. 1).

Bloom, Canning, and Chan (2006) observed that higher education in Africa had been neglected by donor institutions for decades. The international development community believed that higher education did not play a significant role in economic growth or poverty alleviation. Among the studies conducted by the World Bank economists, Psacharopoulos' (1985) findings

formed the basis for that belief and argued that primary education produced higher rates of return than higher education. For example, in a survey conducted in 1965, primary education produced a rate of return of 66% compared to 12% for higher education (Psacharopoulos, 1981). Although the methodologies and assumptions were questionable, the World Bank used these studies as the basis for investment decisions, favoring primary education over higher education. In some instances, these studies produced good results like the United Nations Educational, Scientific, and Cultural Organization's (UNESCO) Education for All initiative providing compulsory and free primary education.

Recent findings have supported the significant role that higher education plays in economic, social, and cultural development (Saint, 2004; World Bank, 2002). Saint (2004) found that the private rate of return for higher education had increased by 1.7% over the last 15 years. This finding led the World Bank (2002) to reconsider its earlier position regarding investments in higher education. Jones (2007) noted that the overreliance on Psacharopoulos' (1981, 1985) numbers did not serve the World Bank's development goals. The World Bank's 2006 sector strategy report highlighted that turnaround and changed direction without owning up to the methodological difficulties in the Psacharopoulos studies. Instead, the World Bank (2006) implored governments to make primary education universal and freely available in support of UNESCO's Millennium Development Goals. Although the World Bank (2006) acknowledged the public economic benefits of higher education, the World Bank encouraged governments and higher education entities to diversify funding sources and noted the following:

> Tertiary education promotes nation building through its contribution to increased social cohesion, trust in social institutions, democratic participation and open debate, and appreciation for diversity and gender, ethnicity, religion and social class. Pluralistic and democratic societies need the kinds of research and analysis that are fostered through social science and humanities programs. Tertiary education may contribute to reduced crime rates and corruption and to an increased community service orientation as manifested in philanthropic donations, support for NGOs and charity work. There are

also strong social benefits associated with improved health behaviors and outcomes. (p. 77)

The knowledge-based economy of the 21st century has placed higher education at the forefront of national development and global participation debates. Teferra and Altbach (2006) observed that higher education remains "recognized as a key force for modernization and development" (p. 21) after two decades of neglect. While the renewed interest in higher education in Africa is noteworthy, Teferra and Altbach acknowledged the challenges institutions face include inadequate financial resources, a rapidly growing demand for access, and the lingering effects of colonialism, among other long standing social, political, and cultural issues. Lulat (2005) conceded that "universities as they presently exist in Africa are in need of dire reform especially in terms of finances, curricula, and the matter of social structural inequality of access" (p. 206).

Against this background, it is important to bring together stakeholders of African higher education institutions. By doing so, the community can be included in the conversations and developments in the spirit of the truly African University as conceived at Tananarive, Madagascar in 1962 at the UNESCO-sponsored international conference when UNESCO sought to help African universities cope with the demands of being housed in newly independent states (Bartels, 1983). The purpose of the 1962 conference was to draft a blueprint for supporting nation building ambitions while maintaining world academic standards as had their counterparts in the developed world. At a workshop in Accra 10 years later, the concept of a truly African university was revisited, and the mission of extension into the community was highlighted. The voices of advocates for this new university included T.M. Yesufu and Ali Mazrui, some of Africa's most prominent scholars. Their emphasis on integrating African language, culture, and history was drowned out by those who could not reconcile the "humble posture of the university

as a servant of the nation and reality of elite domination" (Sicherman, 2005, p. 3).

According to Juma (2005), the African university needs be reinvented because universities and other forms of higher education are critical in domesticating knowledge and diffusing it into the community. While funding is important, stakeholders need to be more deliberate in reinvigorating African higher education and directing that funding to national and global priorities (Juma, 2007). There is a compelling need, therefore, to prioritize the goals, functions, and structure of institutions and put them to the service of the African people for community development and economic and social renewal.

<center>Funding Higher Education in Uganda</center>

Funding challenges are not unique to Uganda. A global view of higher education funding shows a heightened appreciation for and pursuit of other sources of funding besides government support. Yizengaw (2007) posited that in the larger scheme of things, higher education's lack of accountability and its nonresponsiveness to stakeholders have made funding higher education less politically compelling for governments and therefore difficult to make a case for continued funding from governments. This problem has led to the trend of shifting more of the costs of tertiary education to student, parents, private organizations, and donors.

From Australia to Denmark and from the Philippines to Russia, in countries that view education as a right for their citizens, cost-sharing has taken many forms. In the United States, cost-sharing has come in the form of increased tuition. For African institutions, user fees for services such as room and board that were previously free have been enacted. In other countries such as Britain and Australia, student grants have been frozen and loan levels, repayment rates, and interest rates have been increased. In most of Asia and Latin America, limiting the public sector to a few and select institutions while encouraging the expansion of the private for-profit

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sector institutions has successfully shifted the tuition and fees burden to students and parents (Johnstone, 2004).

In Uganda, ideological, political, tactical, and technical resistance from various stakeholders, including parents and students, has caused conflict. Initial proposals from Kajubi (1992) to charge the true cost of education have been supported with additional research by Kasozi (2009) on the true unit cost of providing higher education. Kasozi (2009) noted that "the current model is state driven, controlled, and links public universities directly to the fortunes of state budgetary health" (p. 27). While recurrent public-funding levels for primary education increased by 52% to 65% in 1995 to 2000 time period, tertiary sector funding decreased by 28% to 16% in the same time period. Thus, the competing demands on state coffers have increasingly narrowed the share of state funds being allocated to higher education (Kasozi, 2003).

Johnstone (2004) noted that the 21st century has seen a greater demand for higher education from individual students and their families for the occupational and social status a higher education engenders. Governments and development agencies have started to acknowledge the public benefits higher education brings to the economic, political, social, and cultural advancements of nations, especially developing ones. The increased enrollment pressures and other pressing public needs have left higher education institutions looking to diversify their funding sources. International donor agencies have encouraged institutions to increase their resource mobilization efforts and have funded training programs through the Council for Advancement and Support of Education (CASE) to fast track the professional development of fundraisers in institutions in developing countries. Recent efforts include Partnership for Higher Education in Africa (PHEA) grants to build institutional capacity in fundraising (Musisi & Muwanga, 2003). PHEA was:

A joint project of Carnegie Corporation of New York, The Ford Foundation, the John D. and Catherine T. MacArthur Foundation, the Rockefeller Foundation, the William and Flora Hewlett Foundation, the Andrew W. Mellon Foundation, and the Kresge Foundation. PHEA represents both a belief in the importance and viability of higher education in Africa and a mechanism to provide meaningful assistance to its renaissance. (Musisi & Muwanga, 2003, p. v.)

Makerere University was one of the recipients of the training grant and through CASE received training in institutional advancement including fundraising, alumni engagement, public and government relations, and communications.

Makerere University's "rebound from the academic pits" (Clark, 2004, p. 99) is one case in point. Drawing on Court (2004) and Musisi and Muwanga (2003) in chronicling the Makerere transformation, Clark (2004) highlighted some of the enabling factors that include substantial economic growth, more stable democratic political structures, a robust and engaged civil society, an expanding middle class and increased attention by governments to lessen civil conflict, corruption, poverty, and the impact of HIV on the workforce. As the model was replicated at the University of Dar es Salaam and in the Mozambique higher education system, Clark pointed to the substance and ingredients of the successful reform process as including a collaborative process across institutional boundaries. This success led to institutional ownership and the translation of the reform processes and produced robust financial management strategies, relevant curricular changes, new ways of governance and management, staff development, and a need to respond to dynamic market forces, students, and stakeholder expectations (Clark, 2004).

The dramatic story of Makerere University, known as the Harvard of Africa and Uganda's national university, has been one of transition from dependence on total government financial support to dependence on cost sharing mechanisms that has remarkably revolutionized higher education in the country (Clark, 2004). Within a period of seven years, Makerere moved from a system requiring none of its students to pay tuition and fees to a system in which 70% to

80% of the students pay all of their education costs. This change has enabled the government to channel the savings into funding primary and secondary education (Clark, 2004). Makerere University presently serves as a blueprint for other countries facing the same problem of providing a quality tertiary education with limited resources. The new funding mix includes government funding, donor contributions from overseas, institutional contributions including student fees, commercial and consulting activities, endowments, and alumni contributions (Magara, 2009). The revenues from student fees include those from expansion of programs such as evening and weekend classes and new demand-driven offerings.

<div align="center">Educational Fundraising: A General Historical Overview</div>

This section contains a historical overview of fundraising in general. Since most African countries including Uganda have no culture of fundraising in a global sense (Kasozi, 2009), acquiring a general overview of fundraising and its origins is critical. Scholars of fundraising have traced educational philanthropy to the academy of Socrates and Plato (Cook & Lasher, 1996). Cooke and Lasher (1996) cited the Greek philanthropist Cimon who supported the academy through endowment of property and Plato who provided income for the academy as their evidence. Cooke and Lasher pointed to Alexander the Great's support of the library in Alexandria and the Lyceum of Aristotle as more proof of the origins of educational philanthropy.

The early modern period saw the Society of Jesus building transnational educational systems through philanthropy. One of the pillars of this network was an organized "lay social base to fulfill an explicit mission of help to the needy in mind and body." The other pillar was to educate the youth without taking money from parents. The Society of Jesus' social vision was to see an entire society go through the educational system and viewed "education as the only motor of change for the better" (Houfton, 2008, p. 589). Houfton (2008) quoted Ignatius' 1555 letter to Father Pelletier during the struggle to start a college:

There are three objectives you should keep in mind. One is the preservation and increase of the Society in spirit, learning and numbers. The second is that we should look to the edification of the city and seek spiritual fruit in it. The third is to consolidate and increase the temporalities of the new college so that Our Lord will be better served in the first or second objectives. (p. 590)

The American colonial colleges inherited philanthropic practices from Bologna, Cambridge, Paris, and Oxford, and permanent endowments were created by nobility and rich landowners in exchange for affiliation and recognition (Schachner, 1962). In the United States, the practice started in earnest in 1640 with Harvard's first president, Henry Dunster who counted generating resources his duty. By the beginning of the 20th century, fundraising had come of age, although the function was limited to one of the duties of the president and some enterprising consultants (Anderson, 2004).

Although the early beginnings of fundraising seemed organized and systematic, fundraising before the 20th century was still personal and transacted between the solicitor and the solicited with no formal strategy or professional managers (Anderson, 2004). According to Worth (2002), formal alumni associations started in the early 1800s for purposes of promoting intellectual interests and perpetuating memories. Modern day institutional fundraising in higher education started with Harvard alumni wanting to demonstrate their loyalty to their alma mater. Although the first organized campaign was outside of higher education, it provided the foundation for the contemporary fundraising techniques of careful planning and organization, identification of prestigious leaders to spur team competition and enhance credibility, matching gifts, careful record keeping, reports, and timetables (Anderson, 2004). These techniques were applied by Charles Sumner Ward of Pittsburg in 1914 and raised $3 million for the University of Pittsburg. Ward used volunteers and institutional leaders for solicitation and directed the strategy and direction of the campaign to acclaim as a fundraising strategist (Anderson, 2004).

The professionalization of fundraising was significantly impacted by the Greenbriar

Conference of 1958 when the American Alumni Council and the American College Public

Relations Association, two rival organizations, gathered their representatives in West Virginia

for a conference. The resulting report marked a significant development in advancing the

profession and birthed the contemporary construct of institutional advancement (Reck, 1976;

Worth, 2002).

Another major advancement in the fundraising profession was the 1974 merger of the

Alumni Council and the American College Public Relations Association to form CASE, a

current organization that has gained global status. Over the years, the fundraising profession has

become more sophisticated. Institutions have launched million dollar and billion dollar

campaigns, necessitating the employment of hundreds of professional fundraisers within

individual universities. According to Lindow (2009), the University of Washington, with a

student body of about 30,000 students, employed 400 fundraisers during a recent fundraising

campaign.

The American Model of Fundraising and Development Strategies

The American model of fundraising success at colleges and universities is being

duplicated across the globe as highlighted by CASE's international expansion. The main pillars

of this model involve leadership commitment, institutional understanding and acceptance, and a

dedicated professional office at each institution, as highlighted by the Task Force on Voluntary

Giving to Higher Education (2004). Fundraising offices are often well funded and use best

practices models to mobilize private support for institutional priorities developed from strategic

plans. The Task Force on Voluntary Giving to Higher Education promoted changing

institutional cultures to accept fundraising activities as critical to the strategic viability of the

institutions. Institutional acceptance and commitment levels for securing private support can be

exemplified by the amount of time a vice chancellor or president spends on fundraising activities. Also, institutional leaders, including deans, chairs, and directors, should be educated in fundraising techniques, empowered, and enabled to promote the importance of private support. In fact, American university presidents spend about 30% to 40% of their time on fundraising activities (American Council on Education, 2007).

This American university model of fundraising is instructive when rallying stakeholders about the sustainability of institutions. Fundraising activities are part of the administrative function of institutional advancement. Institutional advancement not only handles fundraising but all of the activities and programs an institution utilizes to reach its constituents in sharing the message about the institutional vision, plans, accomplishments, and needs. Institutional advancement may encompass, communications, government relations, and public/private partnerships critical to the sustainability of the institution (Worth, 2002).

The fundraising system in the United States is supported by professional organizations like CASE, the Association of Fundraising Professionals (AFP), the Council for Aid to Education (CAE), and a host of private companies that help institutions conduct assessments, develop institutional plans, and plan and execute fundraising campaigns. This system is supported by federal and state tax policies and legislative regulations that provide relief to donors based on income levels, tax brackets, amount and type of donation, as well as the duration of the donation as in planned giving (Bongila, 2003).

From case statements to *moves management*, (see Sturtevant, 2004) American institutions utilize multiple strategies for fundraising and development (Institute for Charitable Giving, n.d.). Worth (2002) highlighted the "sophisticated process" of development and institutional fundraising that begins with a thorough needs assessment and an academic plan to derive specific

financial needs and establish fundraising goals (p. 8). Once the needs and goals are established, fundraising officers identify potential donors based on their interests and match them.

Through a process called cultivation, the prospective donors are provided information about the institution and involved in activities that match their interests. Worth (2002) advised that the involvement has to be "sincere, substantive and intellectually challenging" for the prospective donors (p. 8). The institution has to balance the engagement of prospective donors in institutional planning and decision making while maintaining its freedom and autonomy.

The narrowest step in the fundraising process continuum is solicitation which simply means asking for the gift. After making the ask, the institution must diligently use the gift for the purpose it was intended and communicate with the donor regarding the gift's impact on the accomplishment of institutional objectives. This process is called stewardship. Worth (2002) noted that the stewardship process is actually an element of cultivation for the next gift.

The three main types of gifts pursued in the fundraising process are annual gifts, major gifts, and planned gifts (Mora & Nugent, 1998). According to Sturtevant (2004) the strategies that American institutions use for soliciting gifts depends on the type of gift and the relationship with the prospective donor. Strategies may include direct mail, telethon, mass marketing, special events, educational seminars, personal visits, and affinity programs.

Figure B.1 highlights the main sources of voluntary support according to a 2010 CAE Voluntary Support of Education survey. Figure B.1 shows that in American university fundraising, alumni and foundations are the largest contributors to higher education followed by corporations, non-alumni individuals and other organizations, and religious organizations (Council for Aid to Education, 2010). Strategies for each constituent group vary based on where the group falls on the fundraising continuum and the type of gift being sought (Sturtevant, 2004). Sturtevant (2004) advocated applying initiatives or moves in a series of events. Through

strategic recruitment the university could develop awareness, knowledge, and interest in the institution. Then, by encouraging prospects' involvement with and commitment to the mission of the institution through this moves management process, fundraising professionals can use to move prospective donors through the identification, cultivation, solicitation, and stewardship processes.
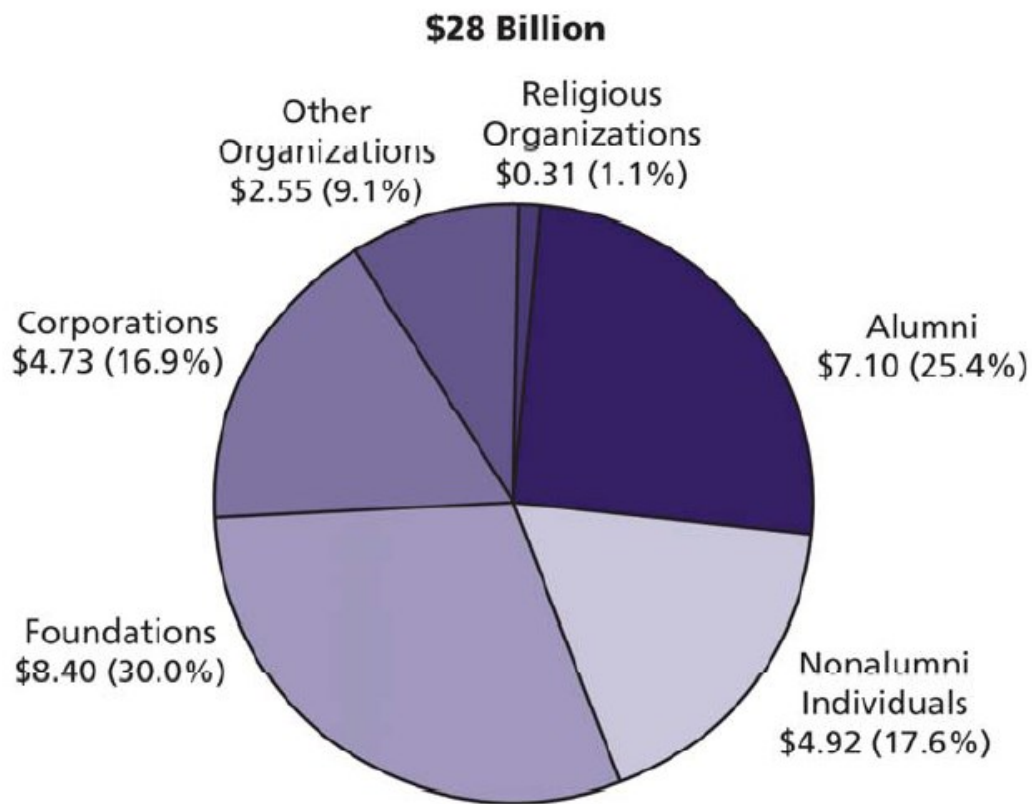
Figure B.1. Voluntary support of higher education by source for 2010.

It is challenging to draw comparisons between African and American institutions because of the American culture's philanthropic giving traditions (Bongila, 2003). African institutions still depend on government support, even while this support has declined. A closer look at the evolution of the American system, however, shows various similarities to the current financial situation of tertiary education in Uganda. As the United States emerged from the colonial era,

higher education institutions were few and far between. Kasozi (2009) pointed out that, wealthy

Ugandans send their children to study abroad just as rich post-colonial Americans sent their

children to schools in Britain, Spain, and Germany, countries deemed as having more robust

higher education systems (Rudolf, 1990). The case for public support draws on what the United

States Congress did in the enactment of the Morrill Acts of 1862 and 1891, the development of

community colleges in the early 20th century, and the Servicemen Reenactment Act (i.e., the GI

Bill) of 1944 which transformed American higher education from the preserve of an elite 5% to

the current open system of higher education (Thelin, 2007). The colleges that emerged from

those important legislative actions demonstrate governmental commitment to higher education,

and such commitment is lacking in African countries. These decisions connected the importance

of agricultural and industrial education to the development of a workforce that has been the

foundation of one of the leading economies of the world.

For the Ugandan environment, Kasozi (2009) noted the government's state of conflict

over prioritizing higher education as worthy of funding. As Aina (2010) observed, African

governments, Uganda in particular, recognize the following:

> Higher education contributes to the formation and deployment of human capital, the
> cultural and social construction of values and meaning, and the capacity for individual
> and collective emancipation from ignorance and domination. Higher education further
> contributes to how the energies and products of science, technology, and the
> improvement of material conditions are mobilized for the well-being of individuals and
> groups. It provides a people with the tools and capacities for their collective and
> individual self-definition and empowerment, and for interpreting their relationships to
> themselves, to others, and to nature and their material and other environments. It
> provides the platform for the advanced study, dissemination, and utilization of knowledge
> and its products for the benefit of society and its constituents. (p. 23)

These governments also understand the outputs to the well-being of individuals and

society produced by investing in science, technology, and material improvements. Yet the

governments have not made the necessary investments in support and enabling such

mechanisms. Aina (2010) advocated for "a more fundamental and inclusive reengagement with vision, mission, structures, and values, reclaiming the political will and organization to mobilize and accomplish the necessary changes and reconfigurations" of higher education systems (p. 24).

Fundraising Effectiveness and Success

CASE and AFP provide best practices, principles of practice, and donor rights guidelines for fundraising professionals. These principles and guidelines range from personal integrity, confidentiality, and public trust to disclosure and compensation (CASE, 2007). Seymour (1966) noted that fundraising is about people and their needs and interests instead of money. Seymour believed that donors are motivated to give money to causes and ideas that generate emotion and enhance the well-being of humanity. Scott (2001) observed that the environment in which the fundraising function exists has far reaching implications for fundraising success and must be conducive to the institution for effectively mobilizing private resources. Also, communicating through regular mailings, annual reports, institutional plans, and case statements can establish fertile environments for fundraising. The structure of the development office is a critical component of an effective institutional strategy for fundraising. The policies, strategies, and processes established by the development office determine how effective and successful an institution can be (Scott, 2001). As such, significant links with governmental bodies, private institutions, foundations, corporations, major donors, and alumni must exist (Worth, 2002).

The experience of key personnel measured in length of time involved in fundraising activities and training received in major fundraising functions determines effectiveness and success (Scott, 2003). Fundraising personnel involvement in the main fundraising activities, such as major campaigns, major gift solicitation, and annual fund programs, contributes to effectiveness. The environment, the development office structure, and the experience of key personnel determine how the development office interacts with and engages key constituents and

stakeholders, who may be alumni, faculty and staff, community organizations, corporations, and foundations (Scott, 2003). The interconnectivity of all of the factors contributing to effectiveness of a fundraising office should be seamless according to Sturtevant (2004).

With organizational culture as the core for operations, the development office's interaction with stakeholders is fundamental to fundraising effectiveness. The strategies, policies, and processes used to manage these relationships are foundational to successful fundraising practices. Sturtevant (2004) observed that all of the factors that contribute to fundraising effectiveness are interconnected and should be seamless. This study included an examination of Makerere University's efforts in managing these relationships and how these relationships mobilize private support.

<div align="center">Makerere University and Private Support</div>

Makerere University became Uganda's first national university in 1970 when the UEA was dissolved (Nyaigoti-Chacha et al., 2004). Since UEA served the East African region, it was funded not only by the three governments of Kenya, Uganda, and Tanzania but also by external agencies including the Carnegie Foundation, the British Council, and the Rockefeller Foundation in hopes of developing this regional institution into an international center of excellence (Carroll, 2005, p. 41). As an international university, UEA faced a lot of expectations for its role and service to the people of Uganda and beyond. However, the political instability following Idi Amin's dictatorial rule from 1971 to 1979, the Obote II reign from 1980 to 1986, and the aftermath of both dashed the hope, optimism, and expectations of Makerere University working as a partner in the national development of Uganda. Instead, the political instability of those two decades devastated the economy and institutions like Makerere University experienced great declines on various levels. Public expenditure declined, academics were underpaid and/or persecuted, and facilities fell into disrepair (Musisi & Muwanga, 2003).

By the time the current government came in power in 1986, the economic decline from the Amin and Obote years of mismanagement had worsened. The new president, Yoweri Museveni, though opposed to external budget support, accepted the help of the International Monetary Fund and the World Bank on behalf of Uganda to liberalize the economy. These organizations required austerity measures under the structural adjustment policy framework "to meet demographic and fiscal realities" (Magara, 2009, p. 70). The conditions that accompanied this Structural Adjustment Program (SAP) included currency devaluation, privatization of state agencies, and trade liberalization (Carrol, 2005). Increased pressure to cut government expenditures included cutting higher education support which the government had provided to students for free. According to Musisi and Muwanga (2003):

> The most obvious consequence of the fall in financial resources in the 1970s and 1980s was a sharp deterioration in the quality of teaching and learning. Makerere became a place of bare laboratories, empty library shelves, chronic shortages of scholastic materials, and overcrowded halls of residence. (p. 10)

<div align="center">Organizational Structure and Conceptual Framework</div>

Makerere University's governance and administrative structures have provided insight into the challenges the institution faced in its formation, transition, and reform (Wabwire, 2007). Dating back to the 1970s, the university has been linked to the state with the Ugandan president also being the university's chancellor. The administrative structures were linked to government civil service, creating problems with appointing administrators and academic staff based on political patronage (Magara, 2009). The University and Other Tertiary Institutions Act of 2001 created an impartial chancellor position and gave Makerere University much needed autonomy by democratizing university governance (Kasozi, 2009). The university is now governed by a chancellor, whose role is mainly ceremonial, and a university council comprised of representatives of government, alumni, private sector, academic staff, and administrative staff.

Makerere University's governance structure exhibits anarchical tendencies as defined by Cohen and March (200). This analysis is supported by a 2009 synthesis report from the Third Annual State of the Nation proceedings by the Kampala-based think-tank Advocates Coalition for Development and Environment (ACODE, 2009). ACODE (2009) documented critical organizational discussions aimed at streamlining operations. The discussions highlighted financial management challenges that impede the successful engagement of all stakeholders. The lack of structures and systems for control, a business plan, and clear direction for effective resource mobilization limit institutional capacity and opportunities for fulfilling the university's core mission. ACODE also found that the decision making process was characterized as problematic and grossly inefficient while the payout of too many allowances for too many managerial committees that meet too many times was deemed unnecessary and overly expensive. These observations were made by the acting vice chancellor, Dr. Venansius Baryamureeba. Other observations included unclear roles between the deputy vice chancellors, limited supervision of departments, inappropriate reporting lines, and lack of cohesion and teamwork among top managers (ACODE, 2009). As Makerere University strives to regain its premier status, the need to streamline the governance, administration, and managerial structures is paramount (Kasozi, 2009).

<center>Organizational Culture</center>

Organizational culture has been defined as those "deeply embedded patterns of organizational behavior and the shared values, assumptions, beliefs, or ideologies that members espouse about their organization and its work" (Peterson & Spencer 1991, p. 4). Some of the challenges Makerere University has endured have been termed "the African condition" (Sicherman, 2009, p. 84). While this condition can be interpreted as a culture of entitlement by students and staff, resistance to reforms have discouraged policy makers and other stakeholders

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from making bold decisions to address the funding challenges and transform the institution (Kasozi, 2009). For example, the fear of student activism has led the institution to funding student welfare instead of funding academic areas (Byaruhanga, 2005). Staff resistance to recommendations made by the 2007 McGregor Visitation Committee[3] for harmonizing and aligning the academic staff's terms and conditions of service to meet world standards and best practices indicated the organizational culture has been resistant and slow to change (Kasozi, 2009).

Some of the conditions at Makerere University are deeply rooted in the political history of the nation. Addressing members of ACODE, Baryamureeba noted that fractured relations among management and staff have led to occasional staff strikes by the Makerere University Staff Association. Most of the concerns have arisen from mistrust of leadership, lack of communication, lack of reward and recognition mechanisms, and a dependency on the grapevine (ACODE, 2009).

Regarding students, the lack of communication and dialogue about important student issues has been a problem. Baryamureeba observed that the Student Guild (i.e., student government) persistently complains about lack of access to university leaders, resources, and information that could help them address student welfare issues. Slow communication and lack of sensitization to critical issues, like changes in tuition rates, user fee increases, and adequate facilities for classrooms and accommodations have been flashpoints at Makerere University (Tabaire & Okao, 2009). Proper academic advising, leadership development, and other student welfare issues constitute student welfare challenges. Byaruhanga (2005) added that student activism has always been linked to student welfare issues.

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[3] A committee appointed by President Museveni in 2007 headed by renowned United Kingdom scholar Prof. Gordon McGregor to study issues affecting universities in Uganda.

Another aspect of organizational culture at Makerere University has been the university's relationship with the national government. From the troubled times of the Idi Amin and Obote II regimes, Makerere and the government have always viewed each other with suspicion and mistrust, which has been costly for both entities. Mazrui (2003) posed a crucial question about the government-university relationship. Mazrui asked, "How can a university help develop a society to which it belongs?" (p. 135). In response, Mazrui asserted that no university is able to help develop a society unless the society is ready to help develop the university first. This symbiotic relationship has been rather absent between Makerere University and the national government. The culture of suspicion on both sides has impeded Makerere's participation in national development, limited funding for research and innovation, and reduced the government's role in supporting Makerere University's vision for premier status (Magara, 2009). As a national public university with so much history and prestige, the government could leverage Makerere University's status for national and global development initiatives.

Mazrui (2003) decried the death of intellectualism that has permeated the culture at African universities, including Makerere. While Mazrui blamed the brutal dictatorships of the 1970s and 1980s which caused the abduction and disappearance of the university's vice chancellor, the continuing role of the university in the consolidation of cultural dependency on Western paradigms has impeded genuine development. Unlike Asian countries such as Japan which were very selective in the modernization process, protective of their culture, and willing to borrow only the technical and technological techniques of the West, Africa has adopted Western culture. For example, the Japanese had the slogan "Western technique, Japanese spirit" (Mazrui, 2003, p. 141). On the other hand, the African university has been the vehicle for promoting Western culture given its colonial origin and the disproportionate number of European traditions still present at Makerere. The impact has included "cultural alienation" and a whole generation

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of graduates who imitate Western concepts without putting those ideals in the right context (Mazrui, 2009, p. 142). Mazrui argued that universities like Makerere University can truly herald genuine national development if they would decolonize culturally through various strategies including "domestication of modernity," meaning adaptation of Western techniques while preserving African contexts (p. 148). Concepts like fundraising can be domesticated to advance the vision of Makerere University as a premier national and global player in the knowledge production and dissemination arena with a focus on applied work directed at solving local problems.

APPENDIX C

EXTENDED METHODS

The purpose of this research was to explore and describe how Makerere University conducts fundraising activities. A constructivist paradigm, semi-structured interviews, non-participant observations, and document analysis were used to inform this qualitative study. The overarching question that guided this study/research was: How does Makerere University conduct fundraising activities? The purposefully selected sample included 14 key informants representing the diversity of the institution across gender, regional origin, and institutional units. The key informants included 3 females and 11 males from a variety of academic and professional backgrounds varying in age from 30 to 60 years old. Three informants were senior personnel in the development office while the rest of the informants comprised of senior level administrators from various units across the university. They all contributed rich data to the study regarding their role in fundraising at Makerere University. The data collected were analyzed through initial and focused coding (Charmaz, 2006). The analysis revealed seven major findings which were further analyzed using organizational theory (Birnbaum, 1988) and fundraising theories (Cook & Lasher, 1996). Eight themes emerged and provided the model of fundraising at Makerere University.

Research Design

The following questions were explored through this study:

1. How does Makerere University's organizational structure support the fundraising function?

2. What types of strategies does the development office at Makerere University utilize to mobilize private support?

3. What role does organizational culture play in shaping fundraising strategies and practices at Makerere University?

The study used qualitative methodology and case study design. To ensure that the study remained manageable and reasonable in scope, only current fundraising efforts at Makerere University were explored. Creswell (2009) pointed out that cases "are bounded by time and activity and researchers collect detailed information using a variety of data collection procedures over a sustained period of time" (p. 13). The importance of binding a case by time and place, time and activity and by definition and context was also emphasized by Stake (1995) and Miles and Huberman (1994). Marshall and Rossman (1999) observed that in such a study, the final report transports readers into the study setting with "vividness and detail that do not exist in formal analytic formats" (p. 159). Yin (1994) added that "the case study's unique strength is its ability to deal with a variety of evidence–documents, artifacts, interviews, and observations" (p. 20). In emphasizing the critical features of case study, Yin (2008) noted that as an empirical inquiry, case study design allows for investigation of a contemporary phenomenon in depth and within its real-life context, especially when boundaries between the phenomenon and context are not clearly evident.

This was especially important in examining fundraising at Makerere University because understanding this phenomenon encompassed major contextual issues pertinent to the study. For example, Makerere University was a decentralized institution (Makerere University Organizational Manual, 2011), and the various units conducted fundraising differently with varying formal structures. These different contexts provided critical data on the fundraising phenomenon at the institution. The second part in Yin's (2008) definition of case study inquiry was that it:

- Copes with the technically distinctive situation in which there will be many more variables of interest than data points, and as one result

- Relies on multiple sources of evidence, with data needing to converge in a triangulating fashion and as another result

- Benefits from prior development of theoretical (and conceptual) propositions to guide data collection and analysis.

I used case study because it comprised an "all-encompassing method" (p. 18) and addressed some of the contextual, theoretical, and conceptual nuances that other methods may not have enabled me to address. As Marshall and Rossman (1999) pointed out, the most compelling argument for qualitative research its "exploratory or descriptive" components and acceptance of "the value of context and setting … for a deeper understanding of the participant's lived experiences of the phenomenon under study" (p. 55).

Yin (2008) described the types of case study on a 2x2 matrix that covered single case or multiple case designs with holistic single or embedded multiple units of analysis. My purpose was to explore fundraising practices at Makerere University in the various contexts in which it occurred. Therefore, a single case study with embedded units was appropriate. This enabled me to deeply explore fundraising at Makerere University while considering the influences, techniques, and approaches of the fundraising office with different units as it sought to raise private support.

Yin (2008) cautioned against use of an embedded design because of the potential of a researcher focusing on the subunit level and failing to return to the larger unit of analysis. I was conscious of this problem and ensured that the opportunities presented by the embedded design were leveraged to provide extensive analysis and insight into the overall case. Additionally, I had to ensure that appropriate attention was given to each embedded unit, and where emphasis on techniques or processes was exemplar or lacking, the unit was highlighted and compared with the other units to contribute to the whole case.

Sample Selection

The purposeful sampling technique was used to select the institution (Creswell, 2008). Creswell (2008) defined purposeful sampling as a technique whereby "researchers intentionally select individuals and sites to learn or understand" the phenomenon under study (p. 214). Among the 28 public and private universities in Uganda, the single case of Makerere University was studied in a thorough and detailed manner. Makerere University was the premier public university in Uganda, with the highest student enrollments, implying a broad diversity of students, needs, and priorities.

According to Sicherman (2007), Makerere was the sole Ugandan university for over four decades and was popularly known as the Oxford of Africa. Its rich history and track record of innovative reforms and transformations (circa Clark, 2004) contributed to the consideration of this institution as the site for this study. Also, the proximity of the institution to the capital city of Kampala was considered a factor for purposes of accessibility. Other factors considered included institutional budgets, faculty roles and ratios, organizational structure, and staffing levels. These factors enriched and informed the study by demonstrating how efficiently and effectively the institution was conducting fundraising activities, how units were aligned, and whether units were funded at optimum levels.

It was important to examine various institutional profiles covering students, faculty, staff, and alumni data since they could provide insight into the fundraising function (Scott, 2003). The budgets also provided information on the sources and uses of funds which contributed richly to the study of fundraising, operational support, and stewardship. This was an important aspect of the study as the Council for Aid to Education (2005) showed that for every $1 spent on fundraising activities, an institution earns another $10 during the long term.

Using Birnbaum's (1988) cybernetic model and by the institution's own records, Makerere University is a loosely coupled institution. Since fundraising is a new phenomenon and the development staff may not be the only ones conducting fundraising activities key informants from other units were selected through the snowball or chain sampling strategy. Patton (2002) advised that researchers should select a few respondents and ask them to recommend other people for the study in order to maximize the opportunities of using the snowball sampling technique. The snowball process continued until saturation when no more new substantial information was getting acquired through additional respondents (Patton, 2002). Additionally, this strategy required the selection of "information-rich cases" to acquire a large amount of information (Patton, 2002, p. 230). The sampling process started with the development office personnel who are well-positioned to provide a great deal of information about the fundraising function. The embedded units examined included the Gender Mainstreaming Directorate and the Human Rights and Peace Center and the Private Sector Forum. A few alumni identified through Friends of Makerere, an alumni support organization, were also surveyed to gain their perspectives.

The interviewees were the development staff and the heads of units identified under the snowball sampling technique. The diversity of the interviews transcended gender, age, regional origin, and educational and professional backgrounds. The key informants were individually interviewed in their respective offices at the university, and the alumni were surveyed online since they are dispersed across the globe. The interviews ranged from 30 minutes to 1.5 hours in duration. They were audiotaped and transcribed. The participants were provided the transcripts for an opportunity to review their responses before the analysis process. It was important that the alumni were included as participants to ensure that other voices apart from the Makerere staff and administrators provided input regarding the phenomenon of fundraising.

In *Researching the Powerful* (2011), Walford raised concerns about issues of access, interview , and interpretation of the data. Preparation and prior research mitigated those concerns. I found that the key informants were open to sharing their perspectives freely. I deployed a more inquisitorial process recommended by Priyadharshini (2003) by using a well-prepared interview guide with open-ended questions which I modified as the interviews progressed or based on information from the public documents I reviewed. Additional questions were generated based on the responses from the key informants, and in a few instances, I had to redirect the interview to ensure that the interview protocol was adhered to in order to generate common data. The participants shared a general feeling of mutual understanding, familiarity, and general relief that someone was actually interested in what is going on with fundraising, a key component of the institution's strategic plan. The addition of the alumni respondents also followed a similar protocol of questions to be attributed to external voices with different perspectives and to augment the study. The input to involve alumni in the data collection was utilized and informed the survey that went to them.

Data Collection Procedures

A combination of methods was used to collect data (Patton, 2002). To examine a phenomenon like fundraising, it was imperative that multiple methods be utilized consistently to represent the reality accurately and to reveal all its dimensions. I used semi-structured interviews, direct observation, and document analysis. Hatch (2002) implored researchers to keep in mind that key informants are co-constructers of the data as interviews progress. I involved informants by providing them an abstract of the study and the overarching questions before the interview. During the interview, I requested pertinent documents to ensure that I would be able to triangulate data. After the interviews, I asked key informants for feedback on how additional data could be collected and how to frame the analysis of data to enrich the study.

After the interviews, the audio files were transcribed by me, and the interviewees were provided

a copy of the transcripts to ensure accurate capture of the data shared. They were advised to add

any pertinent information to the transcripts that they felt would contribute to the study. They

were offered additional opportunities to provide feedback on preliminary findings as advocated

by Hatch (2002, p. 49). The data were collected, transcribed, coded, and analyzed recursively

and iteratively as advocated by experts like Miles and Huberman (1994), Lincoln and Guba

(1996), Hatch (2002), and Charmaz (2006).

Creswell (2009) emphasized the importance of these methods and cautioned researchers

to be mindful of the methods' advantages and drawbacks. Direct observation was one of initial

approaches to understanding a setting, a group of individuals, or forms of behavior prior to

interacting with members or developing interview protocols. The main advantage of observation

was the acquisition of contextual data on the various settings and interactions between

individuals and rich information about the phenomenon being studied. This method of data

gathering enabled me to make detailed and in-depth field notes to document behaviors,

conversations, and setting characteristics. The only disadvantage could have been that the

behavior observed might have been unusual or atypical and that came through in various

instances. Observation codes were used to capture pertinent data.

Rubin and Rubin (2005) viewed interviews as discussions "in which a researcher gently

guides a conversational partner in an extended discussion to elicit depth and detail about the

research topic by following up on responses from the interviewee" (p. 4). Busha and Harter

(1980) explained that the verbal communications between interviewers and respondents provide

valuable original evidence. According to Sarantakos (2005), interviewing is one of the most

common methods of data collection and was justified in this study because of its flexibility and

higher response rate, the opportunity to observe nonverbal cues, interviewer control over the

environment, and the sequencing of questions provided rich data for the study. The use of an interview guide ensured that vital questions about phenomena were kept in perspective and consistent from one unit to the next.

Documents supplemented and supported the data gathered from direct observations and interviews. They widen the scope and allowed me to triangulate from the other data collection methods. The advantage of document analysis was that the documents facilitated data collection without interfering with work of the study participants, and documents provided information about organizational culture that I may not have been able to observe or discern from the interviews. Documents provided information about events that occurred before data collection began, such as events, private discussions, and rationale behind decisions that had not been widely publicized or made easily accessible as advocated by Patton (2000). Some of these documents included policy statements, the vice chancellor's briefing notes, and propositions awaiting council review. Other documents included annual reports, development plans, institutional strategic plans, and other physical materials including brochures, case statements, photographs, and any other appropriate reports. A document summary protocol of those analyzed was created (Appendix I).

Data Analysis

Creswell (2009) observed that data analysis is an ongoing process conducted concurrently with data gathering, interpreting, and writing the report. Charmaz (2005) advocated a set of flexible analytical guidelines that enabled me to focus the data collection and analysis. This constructivist approach guided me in focusing on the case studied instead of the methods used to study it (Kovach, 2009). As such, I prepared the collected data including interview transcripts, field notes, document analyses, and observation notes for analysis.

Data analysis is an iterative concurrent process and according to Charmaz (2006) starts with data collection. Once I had data, qualitative coding started as the first step in analysis. I had to review transcripts, field notes, documents, and observation notes to "study and define these materials to analyze what happened and they might mean" (Charmaz, 2006, p. 43). In this process, I engaged in initial coding to categorize segments of data and define core conceptual categories in an open-ended format to enable the emergence of new ideas (Charmaz, 2006).

Charmaz (2006) also emphasized the importance of keeping an open mind and staying close to the data. I kept the codes short, simple, active, and analytic as suggested by Charmaz. In order to establish analytical distinction, I used constant comparative techniques. After initial coding, I focused on the earlier codes to scrutinize and sort through larger amounts of data by being very analytical to ensure coherence in the categories of data. This step led up to the themes that helped I obtained to gain a deeper understanding of the fundraising phenomenon at Makerere University. Analytical memos provided insight into the various theories that emerged.

Interpreting the data started with examination and reflection on existing organizational and fundraising theories and how to leverage them in the context of Makerere University as well as of other African universities. Yin (2008) provided researchers with five analytic techniques to interpret case study data including pattern matching, explanation building, time-series analysis, logic models, and cross-case analysis. I used pattern matching because it was the most desirable analytic strategy for this case study research.

The choice of the holistic embedded case study methodology capitalizes on Marshall and Rossman's (1999) observation that case studies place the reader in the setting of the study with vividness and detail typically not found in statistical analysis formats. As such, the data were interpreted and reported in what Van Maanen (2011) labeled as the *realist tales* in efforts to

display and communicate the strategies, processes, and cultural issues of Makerere University as its personnel sought to acquire private financial support.

<center>Credibility and Trustworthiness</center>

Museus (2007) observed that while internal and external validity are important considerations in the measurement and generalization of findings in quantitative research, quality assurance in qualitative research is determined by the degree of the credibility and transferability of the findings and recommendations. Merriam (1998) defined credibility as the congruence of the findings with reality and transferability as the extent to which the findings can be applied to situations outside the case studied. Creswell (2009) posited that validity in qualitative research looks to ascertain that the findings do indeed reflect the phenomenon studied and offered a step by step process to validate findings throughout a study's duration. I checked for accuracy of findings and demonstrated that the findings were consistent by using Creswell's process and staying close to the data. Per Yin's (2008) suggestion, I documented the steps and procedures used during the case study as well as kept a detailed protocol and database.

I attended several workshops conducted by the Institutional Review Board (IRB) Compliance Office. One of the workshops was the NIH certification course that highlighted the importance of adhering to ethical research procedures and protecting human subjects. This course helped me ensure that the research followed a clearly defined and documented ethical process during the study of fundraising at Makerere University.

Lincoln and Guba (1985) emphasized triangulation and cross-checks. I generated multiple sources of information through interviewing several staff members in the same unit. I collected and reviewed various documents. I conducted a number of observations of interactions and occurrences to confirm findings. The reviewed documents included the institution's strategic plan, units' strategic plans, fiscal documents, annual reports, scholarships, case

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statements, brochures from different units, and the alumni newsletter. As highlighted earlier, the

observations included attending meetings with development personnel, attending a brainstorming

session by the Resource Mobilization Task Force, and attending a budget hearing with key

university staff. The observations centered on the resource mobilization and funding

diversification function. Field notes on the observations detailed the proceedings of the

interactions while analytical notes highlighted the key codes. Profiles of each embedded unit

were generated to inform the data analysis process. A document analysis summary was created

to provide consistency. Other methods I used to enhance credibility were utilizing member

checks to ensure that perspectives of participants were portrayed accurately, clarifying my biases

and reflexivity, presenting discrepant information that could have been contrary to the main

themes and explaining it, and spending more time at the institution to develop an in-depth

understanding of the fundraising phenomenon (Marshall & Rossman, 1999).

     According to Gibbs (2007), in order to enhance credibility, it is important that detailed

explanations about my position as researcher, the selection process of the informants, the

questions of the study, and the context for the study are offered to all study participants and as

part of reporting the study findings. Gibbs suggested keeping transcripts and checking them

thoroughly to compare data constantly between codes and definitions. Analytical memos were

written during the data analysis phase to keep me close to the data and guide me throughout data

deconstruction and the inductive process.

     As Bilken (1992) pointed out, credibility is akin to reliability for the qualitative

researcher and requires a fit between the data recorded and what is taking place in the setting.

The significance of this study required enhancing the possibilities for transferability through

thick descriptions to ensure meaningful comparisons. Utilizing two embedded units for analysis

and merging that information with the larger case provided me with great opportunities for

generalization and replication for other units, administrators, and policy makers. The rich and thick descriptions were written to enable readers to put themselves into the setting and to provide readers with realistic perspectives about the phenomenon of fundraising at Makerere University.

<p style="text-align:center">Role of the Researcher</p>

In qualitative inquiry, it is critical to consider the role of the researcher due to the inherent subjective nature of research (Strauss & Corbin, 1998). In this study, my background experience in higher education and knowledge of qualitative methods were paramount to the design and to communicating with the participants, collecting the data, analyzing the data, recognizing the emergent themes and meanings, and writing the case descriptions.

Some qualitative researchers have tried to minimize the impact of researcher subjectivity in qualitative inquiry. However, others have taken a constructivist stance and embraced researcher reflexivity (Strauss & Corbin, 1990). Charmaz (2005) advocated for the reflexivity approach that calls for embracing researcher subjectivity and incorporating it into the research process. As a result, I identified and understood the biases and assumptions that could have affected my decisions, actions, and interpretations.

My role in this study was to investigate the fundraising function at Makerere University by examining organizational structure and understanding the strategies the development office utilized and the impact of organizational culture on the overall fundraising function. My role was to gather the necessary data, interpret and analyze it, and draw conclusions about the fundraising phenomenon at Makerere University. As such, I found it important to consider my educational background, work and community service experiences, and accumulated experiences and knowledge as likely to influence my interpretation of the data collected during this study.

Born and raised in Uganda, I attended Makerere University for undergraduate studies. I worked as a civil servant in the role of Assistant District Commissioner (ADC) for the Kampala

District in the Ministry of Local Government. I left Uganda after two years of service due to political persecution and lived in exile in Kenya for one year. After that, I moved to the United States where I have continued to live.

In the United States, I worked at one private university for five years and three public higher education institutions in various roles in admissions, program administration, research administration, and fundraising over a span of nine years. I attended the graduate school of the private university that employed me and graduated with a master's degree in business administration. I have been very active in community organizations that focus on education and other health and human services, volunteering to serve on governing and advisory boards through which I participate in various processes of evaluating proposals for funding and allocating funds. During my doctoral studies at University of North Texas (UNT), I championed partnerships and collaborations with universities in East Africa, including Makerere University. These partnerships are primarily focused on establishing linkages with UNT to focus on leadership and management capacity through faculty and administrator exchanges, student exchanges, and research collaborations. The experience and knowledge have augmented my consciousness about the relationships between higher education and economic and social development and how the right funding mix enhances an institution's capacity to serve access and equity priorities and other national development and global participation interests.

Limitations

The limitations of the case study method have been documented by various researchers including Stake (2008) and Marshall and Rossman (1999). One of the limitations widely discussed regards the researcher as the instrument for data collection. Concerns regarding my abilities, personal bias, and ethics in conducting a robust study represented a limitation.

However, I continuously focused on the emerging theories and the conceptual framework of organizational culture to interpret the data.

Since this study was conducted in a different region than where I reside, issues of time and financial constraints limited the amount of time spent with each interviewee at the institution. I was in Uganda to collect data for a period of 3.5 weeks. I meticulously allocated equal time for all of the data gathering activities and utilized technology to facilitate efficient communication and time management.

Summary

This chapter contained a review of the methods utilized to study the fundraising function at Makerere University as well as an overview of the research design and its justification. The philosophical underpinnings of the methodology firmly grounded in constructivism were discussed. The methodology and design of the study highlighted the social collaboration between me and the study participants. Their perspectives situated their views and descriptions of reality which enabled me to understand fundraising at Makerere University. The participants included a purposefully selected sample of 14 individuals which provided variability in how different units conduct fundraising. I used interviews, an online questionnaire, document analysis, and observations to gather the data. Credibility and trustworthiness were established through utilization of multiple methods to collect data, member checks, peer reviews, and data triangulation. As Charmaz (2011) pointed out, this modified approach unearthed the how, when, and to what extent of fundraising as being embedded in the larger networks, situations, relationships, and hidden positions at Makerere University. The holistic case study with embedded units was powerful and provided valuable data. The major themes emerged to provide valuable information and theoretical explanations contextually and are discussed in the results.

APPENDIX D

EXTENDED RESULTS

The purpose of this research was to examine the fundraising function at Makerere University in order to understand how the institution mobilizes private resources to support institutional priorities. Utilizing qualitative methodology through case study design, I was interested in discovery, description, interpretation and insight (Merriam, 1998). As government support declines, it is imperative that researchers and practitioners clearly understand how Makerere University dialogues with various stakeholders to actively engage them in institutional efforts to seek private support. With that understanding, the institution can devise appropriate communication and information sharing strategies to advance the case for support and develop blueprints to help other institutions augment declining government support with fundraising from private sources.

The study sought to answer the following questions:

1. How does Makerere University's organizational structure support the fundraising function?

2. What types of strategies does the development office at Makerere University utilize to mobilize private support?

3. What role does organizational culture play in shaping fundraising strategies and practices at Makerere University?

Using purposeful sampling to select the institution, an organizational culture conceptual framework was adapted to study the fundraising function at Makerere University. Data collection instruments included semi-structured interviews, alumni survey, observation and document analysis.

Data analysis was comprised of developing a document list detailing the purpose, source and significance of the documents, examining observation notes and writing analytical memos to find patterns and categorize them to highlight relationships. The information was constantly

compared to identify similarities, differences and variations in order to sort, connect and interpret the findings about fundraising at Makerere University.

This section includes a country and city profile where the institution is located, an institutional profile and observations, a description of the visits with the key informants, the meetings and events attended, the documents collected, and constructs for the study. I brought the data together by interpreting the results of the analysis to answer the research questions regarding structure, strategies and the impact of organizational culture on fundraising. I went even further and conducted a cross-case analysis of two embedded units to derive a model of fundraising at Makerere University based on the themes that emerged. It was important to develop the model because Makerere University is considered a pioneer and innovator in sub-Saharan Africa (Clark, 2006).

My visit to Makerere University was planned more than six months in advance. Although the plan was to start this study in September, the academic staff strike (Businge & Senyonga, 2011) delayed the start of the research process. The acting vice chancellor granted me permission to study Makerere University's fundraising practices after I sent a permission request letter (Appendix G). I contacted the development office to set up the initial appointments and sent the director of planning and development an abstract of the study and the questions I was seeking answers to regarding the fundraising function.

I arrived at Makerere University the last week of October and started to meet informally with the development office personnel I wanted to interview, to observe various events including a resource mobilization task force meeting, a budget meeting and a unit's preparations for an event that was taking place in a few weeks.

While the Makerere campus has changed tremendously from the time I was a student, driving through the main gate took me back to my college days. The main gate to the university

sits off one of the major throughways that links Wandegeya's urban center with Nakulabye's urban center both full of various markets and shops which mainly serve the students and staff of Makerere University. (The map in Appendix M shows the layout of the campus). The gate, manned by the university police, is separated from the road by a small roundabout covered with green plants and grass. I stopped the car and identified myself and stated my purpose of visiting the university. The insecurity created by the Somali terrorist bombing of July 11, 2011 and the continued flashpoints of disagreement between administration and academic staff, have left the university police a bit jumpy, and they now carried guns which was unheard of during my time at Makerere University.

To the right of the gate is a Muslim place of worship, a mosque with its high tower where the call to prayer is made. One can hear the call all the way to the main building, a mile away. To the left of the gate were the School of law and the continuing Education Complex, which has since been turned into the third female residence hall. The Makerere University Guest House peeked through the mature trees on the left side after the first round about inside on the road to the main building. The College of Computer Information Systems sat on the right in two brand new red brick buildings. The straight road continued to a white and brown building with blue shutters, the Main Hall and seats of the vice chancellor, the university secretary, and the university bursar, among other top administrators (Appendix O). The main building was separated from Freedom Square, where students and university staff congregated for main events including graduation and other university celebrations as well as strikes. The library and library extension sat next to Freedom Square and were the center of student academic activities housing multiple computer labs for student use. Another road branched off from the first round about to a block of apartments that had been converted into offices and the brand new Senate Building, the second seat of power housing the offices of the Deputy Vice Chancellor for Academic

Affairs, the Registrar, the Research Directorate, the Gender Mainstreaming Directorate, and the Standard Bank at which students and staff conducted all aspects of their banking. The campus bookstore and canteen dated back to the beginnings of the university seemed to be popular hangouts for students and staff based on the crowds. I ventured into the bookstore looking for campus memorabilia, but nothing was available.

The students milled about like any other college campus around the world. I observed an added sense of urgency around the campus being exhibited by students anxiously posting their tuition and fees, exchanging notebooks, and studying in groups under the mature trees and on the grass. It seemed like they were trying to catch up since they missed a month and half worth of class time due to the academic staff strike of the previous month.

External Community Profile

The country of Uganda is located in the East African region sometimes referred to as the Great Lakes region. Uganda became a British protectorate in 1894 and was created out of boundaries that grouped various ethnic groups. The groups had different cultures and political systems which inhibited the establishment of a cohesive political community after the departure of the British in 1962. Uganda has gone through several presidents, some of them insufferable dictators like Idi Amin (1971-1979), Milton Obote (1980-1985) who were together responsible for over 400,000 deaths of women, children, clergy, and individuals they perceived to be against their political survival. Yoweri Museveni, the current president brought relative stability and facilitated multiparty politics and free primary and secondary education but now faced challenges from various opposition groups for overstaying time in power. While cultural, political, and tribal sentiments were dormant in the unstable years, advancing multiparty politics has prematurely rekindled them further, slowing down economic, social, and cultural progress (Juma, 2009).

According to the Uganda Bureau of Statistics (2011), Uganda's population stood at 34,612,250 people. Uganda's population remains unique because of the age structure. About 50% of the population were below the age of 15 years, while approximately 2% were 64 years old and above. The median age was 15.1 years old, making Uganda the fastest growing country in the world (Central Intelligence Agency, 2011).

Gifted by nature Uganda contains substantial natural resources, including mineral deposits of copper, gold, tin, and wolfram, among others; regular rainfall; fertile soils; and recent discoveries of oil (Ministry of Tourism, 2009). Agriculture is the largest and most important sector of the economy and employs about 80% of the workforce. Coffee exports provide the country with the most revenues. While the global economic downturn has impacted other countries severely, Uganda's gross domestic product growth has remained relatively stable and strong at $17.01 billion, with a growth rate of 5.2% and per capita gross domestic product of $1,300 (Buringuriza, 2012). The external community profile of Uganda was imperative to this study because higher education has been growing at a fast rate, and the country has been grappling with how to fund the competing priorities including education. The growth rates highlighted increasing investment opportunities and a growing middle class with expendable income that could support the shared responsibility of educating the future workforce for the nation.

<div align="center">Institutional Profile</div>

The Makerere University archives reflected that the University was initially a technical school established in 1922. The technical school, was later renamed the Uganda Technical College (UTC) which started with 14 daytime students studying carpentry, building, and mechanics. UTC later began offering courses in medical care, veterinary sciences, and teacher training, and by 1935, UTC expanded to become a center for higher education in East Africa. In

<div align="center">93</div>

1937, the UTC began offering post-school certificate courses, furthering its development into an institution of higher education. In 1949, UTC became a university college affiliated with the University College of London, offering courses leading to general degrees.

Makerere University became an independent national university of the Republic of Uganda offering bachelor's and postgraduate courses, leading to the awarding of degrees in 1970. Makerere University has grown from its humble beginnings of daytime technical course offerings to offering day, evening, and external study programs for its student body of approximately 35,000 undergraduates and 3,000 postgraduates, with a study body including international students. According to the registrar's office, the student body at Makerere University has been growing rapidly as indicated in Figure D.1.

Nine constituent colleges and one school constitute Makerere University. Makerere University's reputation and caliber are decades old in spite of the challenges the institution has faced. The University has undergone various reforms over the years, and the most recent one has been the transition from a faculty-based college to a collegiate system in December of 2011.
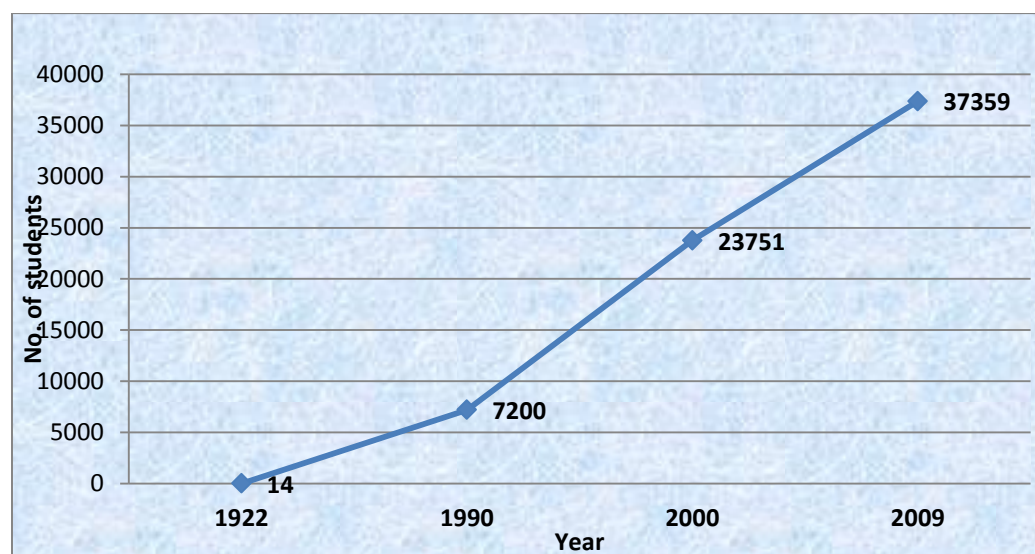
Figure D.1. Student enrollment from 1922 to 2009.

The literature about Makerere showed that the campus has transformed but its culture has remained stagnant. The links of administrative structures to the government and civil service have caused ongoing problems, such as delays in appointing administrative and academic personnel. The council, the governing body of the institution, still has a significant number of members appointed by the government. The institution continues to look to the government for support, is heavily burdened by a huge wage bill, and remains stuck in the bureaucratic practices of an outdated civil service.

In 2001, the Ugandan parliament enacted the University and Other Tertiary Organizations Act giving oversight to the National Council for Higher Education (NCHE). Makerere University has used aspects of the Act to position itself to attain world-class status. In the recent global university rankings, the institution placed 10th in higher education in sub-Saharan Africa rising from 55th place a few years ago (Ranking Web of Universities, 2012). According to the vice chancellor's press release for a February of 2012 briefing, Makerere University was also ranked 8th out of 59 higher education institutions (HEIs) in 18 African countries by the University Ranking by Academic Performance (URAP) Research Laboratory based at Informatics Institute of the Middle East Technical University in Turkey. The laboratory was developing a ranking system of world universities by academic performance. The academic performance indicators they measured are highlighted in Table D.1.

Table D.1

Ranking Indicators

#	Indicator	Measurement of
1	Number of Articles	Current Scientific Productivity
2	Citation	Research Impact
3	Cumulative Journal Impact	Scientific Impact
4	H-Index	Research Quality
5	International Collaboration	International Acceptance
6	Google Scholar	Long-term Overall Productivity

Makerere University was guided by robust vision, mission, and institutional core values (see Table D 2) that were imprinted on posters and plaques displayed in each office and on notice boards across campus. According to top leaders, senior level administrators and junior level staff equally modeled these guiding principles. In each of the offices I visited, key informants eagerly pointed me to the vision, mission, and core values of the institution.

Table D.2

Makerere University Guiding Principles

Vision	To be the leading institution for academic excellence and innovations in Africa.
Mission	To provide innovative teaching, learning, research and services responsive to National and Global needs.
Core Values	• Allegiance to the Institution • Integrity • Customer Responsiveness • Professionalism • Openness to Diversity

Key Informant Profiles

In conducting the study, I initially interacted with members of development office. Using the snowball technique, they recommended other members of the institution. Each informant contributed key information to the study.

The Director of Planning

The development office is housed in an old block of flats that used to be faculty housing. The flats are located about .75 of a mile from the Main Administration building containing the vice chancellor's office (see Appendix M). To get to his office I TOOK two flights of stairs and proceeded through what was the kitchen of the apartment, as evidenced by a sink and a series of cabinets. Items (e.g., cups and utensils) in the kitchen showed that the space was still used as a kitchen. The kitchen hallway led to an office where the receptionist sat. This space was also the waiting room with red chairs squeezed between the receptionist's desk and the wall. A stack of the daily newspapers was piled on the receptionist's desk, ready to be handed over to anyone visiting the office.

The director was a middle-aged short man who delved right into the conversation about fundraising at Makerere University. He handed me his vitae, which documents his extensive planning experience. He had championed the strategic planning process for Makerere University for the last 18 years. With a pleasant disposition, he welcomed me into his office at the appointed time and proceeded to talk about a CASE workshop on fundraising, he had recently attended, what he had found out at the workshop, and how to relate it to the fundraising function at Makerere University. The office was a bit overwhelming for his size, and the mountains of paper at the table in his office pointed to a very busy schedule for a hardworking professional sitting on many task forces and committees, as he later disclosed. Housed in the same building and separated by a flight of stairs was the director of alumni relations.

Director of Alumni Relations

This position was held by a young lady in her mid to late 30s. Her office was in a room that used to be a bedroom. It had a built in closet and was opposite the only bathroom in the flat. Her desk was neatly organized, and a cup of tea was ready to be served as is tradition at Makerere and Uganda in general.

She was neatly dressed in a light blue flowered shirt and a black skirt with black shoes. Her hair was neatly cropped on her head in the "Janet cut," referring to Uganda's first Lady Janet Museveni and her short natural haircut. Since she was performing the dual duties of a deputy director of development and alumni relations with the added responsibility of getting out the alumni newsletter MakNews, she was excited about discussing her role and the various assumptions and struggles she has overcome to train and sensitize the university community about the importance of fundraising and the virtues of creating a giving culture.

As the interview began, her office mate walked in and started chatting with her. The director apologized for the interruption, and the interview resumed. She confided that she did not have fundraising experience when she started in her role six years ago but Carnegie Corporation of New York in collaboration with CASE has provided training and mentoring that was helping the development office train others and conduct fundraising activities. She tried to give me copies of documents like the Alumni Strategic Plan but her computer was not working. She confided that her computer was an old model and always needed repair.

Director of Investments

The director of investments was a dynamic young man in his 40s whose enthusiasm for his new job came through. As I walked into his office, he stood up to greet me by extending his right hand, followed by the left, displaying his charming personality and welcoming demeanor. Like the rest of the development office staff, his office is in the same block of flats converted to

house professional staff. His office is a flight of stairs away from the previous director of development's office. Again, because this was a residence for faculty and staff, his office was located in the back room after a long hall and reception area decorated with rattan chairs in bright African cloth covers. His desk was neatly and sparsely organized highlighting his short tenure on the job. There was a picture of his family on one side and a computer and mail tray on the other. A very pleasant man, he had been in the job for a short period of time unlike the other two individuals in development. He was wearing a white shirt and a light brown pant with tweed jacket and a red tie.

Principal for the College of Information Technology

The Principal for the College of Information Technology was in the Office of the Deputy Vice Chancellor for Finance Administration in an acting role. The office was located on the second floor of the Main Building. The office was staffed by two older women who were friendly and welcoming. An older gentleman in his late 50s or early 60s, he had a jovial demeanor that put me at ease. He exuded confidence and knowledge about the university and talking to him was enjoyable. He was more casually dressed that I would have expected. He wore a white shirt, dark brown trousers, and black shoes. Although he was sitting in for the deputy vice chancellor for finance and administration, he was comfortable enough to lean back and talk to me openly at length. The office was decorated with a touch of the old and the new: a newer glass coffee table and older black chairs. The large wooden desk supported a desktop computer with a slim line screen that he seemed to enjoy since he pointed it out. The bins for the mail were almost empty, and he intimated that he does not like to have paperwork sitting in front of him. He discharged his duties graciously and with great enthusiasm referring to his faith and his longevity at Makerere University. His personable demeanor came through when one of his assistants interrupted the interview, just as we are about to start. He joked and laughed with her

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about some documents that were being brought in for him to sign wondering if he should or not sign them. He maintained his joviality throughout the interview.

Acting Vice Chancellor

The acting vice chancellor was an energetic young man in his 40s with a ready smile. His schedule had been so hectic that he proposed to meet very early in the morning at 7:00 a.m. I walked up to his office in the white and blue main building and noticed a black Mercedes SUV in the parking lot. This young man sprung out in his grey striped suit with a white shirt and black shoes. He bounded up the stairs with so much energy that for a moment I did not recognize him. His office was on the first floor in the Main Administration Building. The right-suite of the first floor was his office, the council chair's office, an executive conference room and another office. The acting vice chancellor's office was decorated modestly with green leather chairs and two coffee tables. The office was so big that there were two open sitting areas. One sitting area was for smaller more intimate meetings and the other sofa with arm chairs for a larger audience. His awards and certificates adorned the walls as did calendars with photos of past Makerere vice chancellors and prominent alumni. His desk was large and filled one side of the office.

University Secretary

The university secretary was a humble soft spoken man in his mid-50s. His office was to the left of the first floor hallway of the Main Administration Building. He was dressed in a white shirt, black trousers, and black shoes. His office was a mixture of the old and the new as well. Old file folders with wide rings adorn the left wall of his office while the right side looks out to the walk way and down to Freedom Square. I could see one side of the library from his office. The red chairs next to his desk were comfortable, and the sofa was in the middle of the room facing his desk. Next to his desk was a cart with various trays of documents for him to sign.

There was a cabinet behind his desk full of old folders and another cabinet full of old and new awards for various university functions against the wall towards the front of his office. The front wall is decorated with various pictures and calendars. One specific picture that caught my attention was the one with all former East African presidents posing with the then university chancellor, Sir Apollo Milton Obote (Appendix P). It was a moving piece of the institution's history.

Director of Human Resources

The director of human resources was an older gentleman with a calm demeanor highlighted by his concentration on the task he was doing as I was ushered into his office by his secretary. He nodded to acknowledge me and took about three minutes to sort out the papers on his desk. Dressed in a white shirt with thin brown stripes and dark brown pants, he seemed a bit distracted. Like the other offices in the Main Administration Building, his office was off the main corridor to the left, on the first floor. As with the other offices, I entered through the secretarial area. The office was scantily furnished, and he jokingly indicated that the university had him on minimalist budget because of his simple lifestyle. Two chairs were neatly arranged in front of his desk. File cabinets full of old human resource files adorned the wall ready to be catalogued for an upcoming automation project.

Director of the Human Rights and Peace Center

The human rights and peace center director was a middle-aged man of average height. The Harvard educated lawyer sat in an office that he helped raise money for when he was dean of the law school. A reserved man, he was dressed in a light green shirt, dark khaki trousers, and brown sandals, because as he indicated, he was travelling later that afternoon for an upcountry legal frameworks workshop.

He was very informative about the activities of the center and very enthusiastic to talk to me, because he was proud of what he had accomplished which included the planning, designing and completion of the building using private funding sources. What caught my attention was the design of the building, which was consistent with the Law School architecture of red brick frame and red tiles. The new building had an amphitheater style auditorium for large classes and workshops, attesting to accommodation of a larger student body. Also, he ensured me that a block of flats was built on the upper levels of the building to house visiting faculty from other institutions. His office was off to the corner and down a flight of stairs between the amphitheater and a classroom on the ground floor. The office was small and was overwhelmed by a bookshelf on to the left and piles of books on any space available anywhere else. The office was modestly decorated in soft brown and green tones, which matched his disposition of quiet calmness.

Director of Gender Mainstreaming

The director of the Gender Mainstreaming Directorate (GMD) was a middle-aged woman with an infectiously cheerful disposition. She gave me a big hug as she ushered me into her office. The office was located on the third floor of the brand new Senate building, the second seat of power after the main administration building. This building housed senior level administration departments including the Registrar, the Deputy Vice Chancellor for Academic Affairs, and the Research Directorate. The office was very nicely decorated with red chairs and a lot of art articulating the focus on gender by showing women and girls in different roles. Plants and pieces of art with women or by women adorned the reception area and her office demonstrating her taste and intentionality (Appendix Q).

Director of Graduate Studies and Research

The graduate studies and research director was a tall dark spectacled man in his early 50s. Dressed in a white shirt, black trousers, and shoes, the director demonstrated the professionalism

and charisma of a true leader as he talked to his assistant directors about a report that was due to a funder and what needed to be done to create the report. His office was on the third floor of the new Senate building. The attendant at the security gate into the building informed me that the elevator worked intermittently because it had worked before. I had to take the wide six flights of stairs to get to his office. To access his office, I had to go through the receptionist and secretary's office. Their offices were characterized by big computers and printers, two desks with one bigger than the other and nicely pushed close to the wall, so as a chair can be squeezed through. The waiting area was the front of the two desks and was furnished with waiting room chairs.

Director of Public Relations

The public relations director's office was housed about 300 yards away from the main administration block. Although the office was removed from the center of power, it was in an old house built in the 1920s giving it great space, a premium on campuses like Makerere. The Director was a small young lady in her early 30s, with a pleasant personality. She welcomed me with enthusiasm and took time out of an urgent deadline that interrupted our scheduled time to talk to me.

The entry way to the home was furnished with an oval receptionist desk and was unstaffed. Her office was sparsely decorated with just the basics: a computer, a table, and a chair. A large rectangular table sat in the middle of what was the dining room and was room surrounded by black chairs. The front wall in the reception area had a built in bookshelf that housed old copies of the alumni magazine and other brochures while a bookshelf on the right held videos, compact discs, and program booklets of previous events.

Director of Convocation

The convocation director was an energetic young man with a pleasant personality. An alumnus of the institution, he professed to take his position very seriously as he reached out to alumni whom he thought should be more engaged with all aspects of the university. Although convocation catered to alumni and former staff, their current interests of alumni outreach placed them in direct conflict with the alumni relations function in the development office. What he highlighted as a conflict of interest between convocation, development, and a diaspora alumni group demonstrated the change in attitudes and presented a good opportunity for collaboration and coordination since all offices had been working toward the same goal of getting alumni reconnected with the university. The director had attended the fundraising training offered by CASE, which helped him understand that there was no need for mistrust and acrimony because the alumni relations function in the development office and outside alumni as all groups are interested in institutional advancement.

Dressed in a business suit, white shirt, black shoes, and reddish tie, he welcomed me into his office, and we sat at the large conference room table with nice chairs. The way his phone kept ringing demonstrated that he played an important role in administrative circles because several times the calls came from the acting vice chancellor or council with inquiry about various agenda items. Fliers of past events, future events, notable alumni, and other dignitaries were visible throughout his office which was located in a residential house about 500 yards away from the Main Administration building. There were several student volunteers working alongside a secretary in the foyer when I entered the house. He addressed them as future alumni.

Director of the Makerere Private Sector Partnership Forum

The director of the Makerere Private Sector Partnership Forum (MPSPF) was an older gentleman in his mid to late 50s. Sporting a grey beard and salt and pepper hair, he was wearing

the popular oversized Kaunda suit shirt which was appropriate for the hot sunny day upon which we met. His office was located in an old house, possibly built in the 1920s. Like the other offices located in residential houses across campus, his office was in a room that used to be the front bedroom. The room was quite spacious, and his wooden teak table was positioned in such a way that he had a clear view outside and of the main road into the university.

<div align="center">Description of the Main Unit of Analysis and Embedded Units</div>

While it was important to interview a cross-section of Makerere University senior leadership and administrators to gain a general understanding of fundraising at the institution, it was imperative to drill down and highlight those units at the forefront of building a robust culture of philanthropy. Academic units were intentionally not included because of the transition to a collegiate system. Since this was a preliminary research of fundraising phenomenon, subsequent studies are recommended to include more units to compare, contrast, and conduct internal benchmarks to build a robust fundraising program at Makerere.

As discussed in the methods section, the study entailed a review of the development office as the main fundraising unit of the university and two embedded units. The two embedded units were the GMD and the Human Rights and Peace Center (HURIPEC). Both units had unique strategies and processes and by working closely with the development office they had embraced the core principles of fundraising to develop unique programs forming the basis of the model that emerged.

The Office of Development

The Office of Development was one of the components of the Planning and Development Department (PDD). According to institutional records, the PDD was established in 1989 in the university secretary's office. It was spun off as an independent department in 1992. The strategic plan for the PDD stated that its mandate includes coordination of the strategic planning

process across the university for the "rehabilitation and sustainable development" of the institution. Other responsibilities of the department included offering support for strategic and operational decision making through collection, analysis, and interpretation of institutional and external environment data equivalent to the institutional research function at American universities. The department was divided into the two sections of planning and development. Each one was headed by a director and deputy director, respectively. The development section was commonly referred to as the Resource Mobilization Unit (RMU).

Having met the PDD director on previous visits, communicating with him through email about the study, I called to confirm our meeting. At the appointed time, the director received me cordially in his office, and the interview started. He answered my questions earnestly and sought clarification to ensure that he answered my questions with clarity and understanding regarding fundraising at Makerere University. I was able to follow up on specific questions, and he candidly discussed the structure of the development function, the strategies used, and the nature of the impact on organizational culture of the resource mobilization efforts.

As Scott (2001) noted, the structure of the development office impacted fundraising effectiveness. As a success factor, structure referred to the connectedness and alignment of staffing, policies, and procedures within the institution. While the development office was part of the PDD, it was established with the support of the Carnegie Corporation and the Council for Aid and Support of Education (CASE) in 2005. In conceptualizing the unit, the role was "to be proactive in mobilizing for resources and not only reacting to opportunities for funding. It was to search and find congruence in opportunities and align the strategy of the donor with the relevant units on campus." Currently, the office was comprised of three people: deputy director of planning and development in charge of resource mobilization, alumni relations officer, and prospects researcher. While the deputy director did not report to the vice chancellor, he had full

access to the vice chancellor but not the vice chancellor's calendar especially when he travels overseas.

The development team had a 50/50 share of responsibilities with other non-development functions in the PDD. The role of the deputy director was to formulate strategic direction in resource mobilization while the alumni relations officer was brought on board in 2006, and according to one senior staffer, had the main "responsibility ... to cultivate alumni and identify strengths and weaknesses in areas of support." The prospect researcher, on the other hand, was tasked with researching and building a database of alumni and potential donors. According to development office key informants, the office was "severely understaffed" for an institution of about 40,000 students. This statement was supported by the 2007 CASE audit findings:

> Given the size of the Advancement team it is suggested that they focus on working with a small number of Faculties (or units) in the first instance. They cannot service the full university at their current size and showing success in specific areas will build confidence within the University in the potential of the office. The current structure is not ideal for Advancement to thrive. (p. 7)

Recent reforms in the areas of research, finance, administrative processes, and information systems were designed to alleviate some of the challenges faced by the development office. The same audit recommended that the development office be moved directly under the vice chancellor to give it more visibility and highlight the unit's strategic importance. One of the key informants noted that the merits of that recommendation were ignored, and instead, the Office of Investments was created as the office to which development would report via the director of investments. One senior administrator pointed out that this decision was not approved by the council and was an arbitrary one by the acting vice chancellor.

I noted administrative dissonance among senior leaders who professed the strategic importance of resource mobilization to the overall institutional advancement plan yet failed to align it accordingly within the administrative structure. The director said, "Resource

Mobilisation is key to the university because it is the function responsible for generating revenue for the university." However, the 2011 final report of the University Research, Administration, and Financial Reform (URAFR) committee recommended keeping the resource mobilization unit as is:

- The directorate should only retain the Director, 2 Managers and 2 Assistants for the manager.
- In addition, it should be recommended to council that the unit should function as a department rather than directorates as its staff numbers do not meet the minimum required to form a directorate.
- Some officers should be outsourced (p. 9)

That contradiction indicated a general lack of understanding regarding the place and role of resource mobilization. The development office utilized various strategies to fundraise for the institution. However, given that fundraising was a new concept at Makerere University and current levels of staffing were low for the institution's size, the focus was on training, developing processes, and building awareness among various constituents. One of the strategies was to build awareness among alumni and to serve as consultants to other units. With support from Carnegie through CASE, development personnel assisted other units in developing their fundraising programs by creating case statements, writing proposals, and sensitizing other university departments such as the Gender Mainstreaming Directorate (GMD), the Department of Performing Arts and Film, and others about the art and science of fundraising.

Other strategies employed were networking with, connecting with, and cultivating alumni and friends by creating activities to draw large numbers of prospects. For example, the first ever corporate sponsored golf tournament was the idea of the development office and was attended by over 200 individuals including the vice chancellor, chairman of the university council, and prominent alumni. The development office planned a fundraising campaign for the Institute of Performing Arts, a fundraising dinner for select residence halls, and alumni reunions. Other

strategies included connecting with alumni in diaspora through organizations like Friends of Makerere in Canada, and the Uganda North American Association (UNAA) annual convention.

Experience is referred to as how long individuals in the fundraising function have been performing in that role. Experience is an important factor in fundraising effectiveness and success, as noted by Scott (2001), because experience is based on how old the institution is, how old the alumni association is, and whether the staff understand the functions and principles of development and the nuances of connecting and engaging with stakeholder groups seamlessly. Makerere University's Office of Development was established fully in 2006 in an environment that did not have a culture of philanthropy, so a lot of learning had to take place for the office to become successful. The development director noted that "Carnegie support included courses in fundraising." For example, after all the key positions were filled, "personnel in the unit were sent to the UK for training." They attended a CASE conference at Nottingham University and went on a study tour of various universities in the UK, Tanzania, and Nigeria.

The staff profile pointed to two economists and one MBA in finance who confided in me that he "did not come from a fundraising background," although he had worked in other areas for 22 years. Development staff received a lot of training from CASE, but it was difficult to gauge the office's performance in an environment lacking a culture of fundraising. The director noted that "Carnegie support included courses in fundraising," and when new members of staff were hired, they were enrolled in these courses.

Other constructs used to examine the fundraising function were the cultural beliefs, mores, values, and behaviors of organizational members. An examination of Makerere University's organizational culture provided a good perspective on organizational settings, behaviors, and values regarding fundraising. The aspects of organizational culture were environment, mission, socialization, information, strategy, and leadership.

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Makerere University's overall environment included a new funding paradigm, liberalization, training a dynamic national and global workforce, and expanded private sector partnerships (Resource Mobilisation Policy, 2009). Perceptions and attitudes of internal and external stakeholders toward the development office and Makerere in general were mixed. The stakeholders sometimes did not understand why a public institution like Makerere University needed to seek public support. At a recent workshop by the Makerere Institute of Social Research to discuss the State of Higher Education in Uganda and reflect on the Universities and Other Tertiary Institutions Act (UOTIA) of 2001, the issues of public support and governance were raised.

National Council for Higher Education (NCHE) Director Kasozi observed that while UOTIA changed financial management issues at public universities, the act did not address the 1970 Makerere University Act. The omission of the financial component meant that government still controlled institutional budgets (p. 2). Currently, the act covered only 60% of Makerere's wage bill leaving the university to pay the rest from its internally generated funds. Government control of institutional budgets left the institution in a bureaucratic quagmire and exposed it to political manipulation. A good example was the control of fees by the government in spite of the market forces in an environment where demand surpassed available resources and the unit cost was kept artificially low.

The government had invited the private sector into the provision of higher education but did not put the proper framework in place for loan schemes and tax incentives for the proper funding mix. However, Makerere University seemed to hold mixed messages regarding fundraising and development in regard to its internal and external constituencies. As one senior administrator pointed out, "issues of student and academic staff strikes and government interference" gave the institution a negative vibe that was not good for fundraising.

The missions of the development office and Makerere University were infused in everything the key informants did. While the vision for Makerere University was to be the leading institution for academic excellence and innovations in Africa, the mission was to "provide innovative teaching, learning, research, and services responsive to national and global needs." As one senior administrator pointed out, "the institution's mission is infused in everything we do. You can see that there is a plaque with our mission and core values in every office you visit." All the key informants agreed that Makerere was living out its mission. Recent innovations including the Kiira EV electric car, the pregnancy monitor, and participation in international competitions for students and faculty demonstrated commitment and adherence to the mission of the institution.

Patterns of interaction or socialization among organizational members can be used to determine fundraising effectiveness (Scott, 2001). The task of socializing new members of staff into the Makerere University culture fell on the Human Resource Department. According to the human resources director:

> The induction focuses on two areas, the work environment and the university structure and where the position fits. The employee is given a tour of the campus. The supervisor gives the employee the nitty-gritty of the position's expectations. The manager goes through all the expectations of the job including performance and appraisal.

For fundraising personnel, this induction process was a crucial part of their socialization. This process was included in the Human Resource Manual 2011 for the establishment of patterns of interaction, transparency, and integration for the new employee to the university. In the development office, focus was on socialization of new members and making sure that they received all of the policies and procedures for the office's functions.

At an institution like Makerere, it was challenging to determine what constituted information worth disseminating and how information should be disseminated. One senior

administrator intimated that Makerere "has been lighting their candles under the table." There was a lot going on in terms of innovations that "the outside world does know about," a circumstance that was changing. The development office had been gathering information it deemed useful to its mandate and sharing it with key stakeholders. These included alumni, donors, and prospective donors. By creating a website, development provided information in real time, and the Alumni News magazine was electronically available. One key informant noted that due to lack of a communication plan and a designated university spokesperson, it was becoming problematic to respond to negative publicity and to answer other media requests because anybody could talk to the media which was not good for an institution like Makerere. The Public Relations Office and the Office of the Vice Chancellor instituted weekly briefings to share information with the media and highlight all the exciting things happening at Makerere.

Strategy. The governance structure at Makerere University spelled out how decisions were made, starting from the council filtering through the committees, management, and departments. One senior administrator noted that in drawing up the strategic plan and other action plans, the process was "very, very participatory…. through several workshops and seminars" to identify the key issues and keep the plans within the university's core activities nomenclature of teaching, learning, research, and outreach or community engagement and partnerships.

Leadership. Some of the interviewees decried the actions of senior leadership whom they viewed as not fully understanding the concept of fundraising and resource mobilization. The leadership styles of some of the leaders were too bureaucratic and traditional in spite of all the training that had taken place regarding fundraising. I found out that most of the senior leaders had attended the CASE summer institutes and other fundraising events, but the contradiction was that they understood and spoke the language of fundraising without understanding the process.

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Several key informants pointed out that the decision to put development under the Investments Directorate and the focus on creating endowments was misguided. They did not believe these actions would not move the institution forward. As one senior administrator noted, "The current leader is an entrepreneur and does not care about processes or people." He cared about investment but said, "You first have to mobilize resources so you can invest them…. Go through our strategic plan, investment is not core…. Resource is key, but it's being killed."

According to Kouzes (2008), leaders need to listen to their stakeholders including students and staff and to get feedback and meet those stakeholders' needs. I observed a senior leader walk a student from one office to another to help solve a problem. Apparently, the problem was not solved, and a few weeks later the students went on strike over allowances, about which this student had originally been inquiring. This event happened right on the heels of an academic staff strike that had shut down the university for almost two months. The leadership at Makerere rarely dialogued with students and staff, leading to acrimonious relationships that could ruin the public image of the institution and turn away some potential donors, as one key informant noted.

Gender Mainstreaming Directorate

The first embedded unit selected for the study was the Gender Mainstreaming Directorate. Identified through the snowball technique as one of the units enjoying fundraising success, it was imperative that I examine their fundraising operations. One of the priority areas for the Makerere University Strategic Plan (2008/9-2018/19) was gender mainstreaming managed by the Senate Committee on Gender Mainstreaming as a policy mechanism to build an inclusive campus. Started in 2000 by a group of men and women at the university who responded to a need to advance gender equity in higher education, this small division in the registrar's office had become a force to reckon with on the Makerere Campus, in Uganda, and in

Africa and beyond. In the last 10 years, the office has grown into a full-fledged directorate representing gender access and equity for all aspects of Makerere University.

This journey of the Gender Mainstreaming Directorate (GMD) was grounded in empirical and longitudinal research that unearthed gender imbalances from the admission process to the curriculum to research to teaching and staffing. Historical imbalances unearthed back in the 1980s and redressed in 1990 with affirmative action programs like the 1.5 point advantage for females in admissions made some inroads even though inequalities and exclusions from decision making processes still existed. The Gender Mainstreaming Division and Makerere University (2007) recommended, based on a study conducted by an independent consulting firm, formalizing the process of mainstreaming gender as a cross-cutting theme to help the university realize its vision and mission to ownership and sustainability of the whole process.

A medium-term strategy was recommended that implored the institution to make gender a priority in university policies, embark on a "comprehensive and continuous gender sensitization strategy" (Makerere University, 2007, p. xxiv) across the university, design a competitive research grant promoting gender-focused research in the sciences, and provide access to female students from disadvantaged backgrounds in science fields. A robust system of monitoring targets, outputs, outcomes, and impact of the directorate's programs on the mission of gender mainstreaming was also recommended.

Other highlighted areas in the study report were the establishment of specific processes and institutional structure as well as legal and policy frameworks to address gender sensitivity in strategic planning, development of policies on sexual harassment, and equal opportunity. The study also explored university rules, access including gender equity in the sciences, and gender parity in admission of all students including special needs, funding programs, postgraduate education, and distance learning programs. Other recommendations included capacity building

in teaching and administrative staff, strategic planning, curriculum, and facilities. Also integrating gender as a cross-cutting theme in research policies, grants, external funding, and integration and incorporation of gender in courses offered by the institution were explored. Gender parity in governance and affirmative action in recruitment were recommended throughout all the bodies in the structure including the council and senate. Special interest groups like the Women's Forum were recommended mainly to lobby for recruitment, promotion, and support of women and for adoption of gender-friendly human resource policies to ensure parity and address unfair work schedules and compensation. In addition, leadership training for the Guild (i.e., student government) to support female students was identified as another key priority.

Makerere University boasted of the first Department of Women and Gender Studies (DWGS) in sub-Saharan Africa. Housed in the Faculty of Social Sciences, the department was founded in 1991 as a multidisciplinary initiative to address gender and development from the African perspective. It championed the GMD mandate and had humble beginnings in the quiet revolution that swept across Makerere University (Clark, 2004). The clear distinction in roles was that the Department of Women and Gender Studies was an academic department offering a gender studies curriculum while the GMD was an administrative unit building capacity and catalyzing sensitization and inclusion across the institution. The department and the directorate supplemented and complemented each other. As highlighted in the report, the two functions of the directorate were crucial and had to be sustainable. In an interview with Carnegie Corporation of New York, which supports a majority of the programs in the directorate, the director quipped, "When you talk about gender mainstreaming with (some) colleagues here, it's as if you're speaking Chinese."

The directorate was under the academic registrar's office and was staffed by 10 people hired to conduct research, provide gender training workshops, provide training materials, outreach, monitor and evaluate, build awareness, manage information, document and disseminate gender mainstreaming processes, and conduct staff development. Most importantly, the directorate managed the Female Scholarship Initiative (FSI), the flagship program for providing access to higher education for females who could not afford the costs of attending university and parity in female staff capacity building. As one of the former vice chancellors stated, "FSI is one of the initiatives that have transformed Makerere University from an originally male-dominated institution to an equal opportunities institution" (Makerere University, 2010, p. 9).

The structure of the GMD (Figure D.2) was integral to the transformation of Makerere University. With representation on most university committees, the GMD was leading the charge to mobilize resources for their mission. Also, being in the vanguard of the gender mainstreaming narrative, GMD supported the other constituent institutions in the university public education system by conducting gender studies and training staff. This meant that the directorate had enough manpower to ensure that studies were conducted; gender sensitization programs were developed and implemented; and collaborations with national, regional, and international organizations were developed and nurtured.

The GMD director had a master's degree in women and gender studies and had extensive work experience with international agencies. She has worked as a communications officer with World Vision International and other non-governmental organizations (NGOs). During her professional life, she became passionate and an agent of change for equity after noticing what the Carnegie Corporation calls "the plight of women in Africa–from their families and external societal demands" (2012). Having served as an advisor to the Dutch Embassy on gender issues, the GMD director stated that:

It was very enlightening and led to my being able to advise the government and negotiate the inclusion of gender in many government programs and offer support to civil society. But I had a strong desire to become a change agent, which wasn't satisfied by that work. The policy understanding I had gained there helped me move to Makerere University and into the field of gender mainstreaming.

The director is supported by a cadre of professionals with varied knowledge, competencies and skills. The two senior assistant registrars have bachelors and master's degrees in agriculture, gender studies, social work and development studies, respectively. One is currently working on a PhD. They have attended workshops that range from mentoring to leadership and all the other areas they have responsibility for. The acting assistant registrar has degrees in social sciences and gender studies. In addition, all the other staff had attended various workshops including peer mentoring, financial management, and fundraising. The senior administrator noted, "It was a real struggle. It took us two years to get where we are in terms of our structure. So now at least we have a structure, we came out with the staffing that we needed."

According to one key informant, the workshops were very helpful in equipping the gender mainstreaming staff with the skills they needed to carry out their mandate of championing a gender responsive culture at Makerere University. The formation of this institution was predicated on the paternalistic culture of the times with the following motto: "Let us be men." The institution did not admit women until 23 years after its formation in 1945, and the motto then had to change to the following current motto: "We build for the future." According to institutional records, only 25% of the student body was female as recently as 1990.

Gender Mainstreaming Organizational Structure

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                        │      Director       │
                        └─────────────────────┘
     ┌──────────────────┐         │         ┌──────────────────────┐
     │ Sr. Administrative│────────┼─────────│   Administrative     │
     │    Assistant      │        │         │ Assistant - Operations│
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┌──────────┐ ┌──────────┐ ┌──────────┐         ┌──────────┐
│Sr.Assistant│ │Sr.Assistant│ │Ag.Assistant│       │          │
│Registrar – │ │Registrar–Access,│ │Registrar–Support│     │Accountant│
│Academic    │ │Teaching &  │ │Services  │         │          │
│Boards      │ │Learning    │ │          │         │          │
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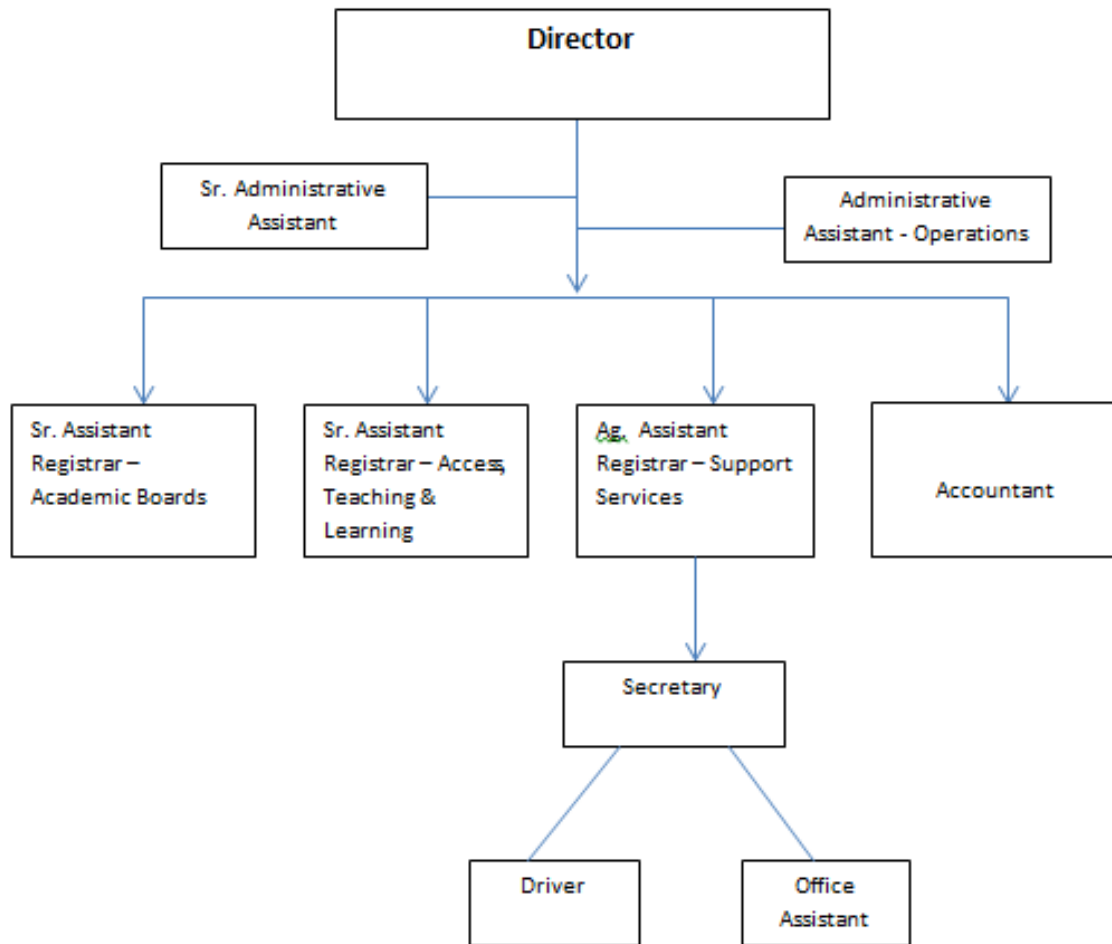
Figure D.2. Gender mainstreaming organizational chart.

Development experts including the World Bank had been highlighting the benefits of educating women, and cultural attitudes in Uganda began to shift. More awareness about and more deliberate efforts to educate women were needed. A concerted effort was made not only to increase female participation in higher education but also to encourage them to enroll in the sciences since most of them, up to about 73%, were in the humanities. Affirmative action was instituted to add 1.5 points to the scores of female applicants during the admissions process. This effort helped raise female student enrollment from 25% of the student body in 1990 to 50%

in 2009 (The Focus: Best Gender Practices for Development, 2010). A serendipitous convergence of events brought Carnegie to the table in 2001 as part of efforts aimed at improving "the capacity of African universities to educate women."

A remarkable development and fundraising success story that embodies the spirit of Andrew Carnegie is the Female Scholarship Initiative, which accomplished its goal of "enabling female students from poor homes to access tertiary education." The initiative also increased the number of female students enrolled in sciences while improving the academic performance and retention of female students (The Focus: Best Gender Practices for Development, 2011). To date, 691 female beneficiaries have graduated from Makerere University supported by the Female Scholarship Initiative. The director noted that although the program supported only 8% of students eligible for support, it had been applauded for its best practices and had been used as a model for increasing donations from internal and external supporters. Furthermore, the initiative had contributed to instituting a culture of asking and giving in Uganda.

The GMD has been very strategic in leveraging the resources and good will of supporters. According to the GMD 2010 Annual Report, some of the strategies they used included:

- Collaborating with the central development office on key initiatives to develop resource mobilization strategies.
- Developing communications strategies that disseminate plenty of literature about what is happening not only in the directorate but also with the students supported, staff mentored, and resources amassed. The strategies include conveying extensive information to keep the internal and external supporters informed and to provide a level of accountability and transparency unparalleled at the institution. The annual newsletter ably titled The Focus

is glossy, colorful, and engaging with many interesting stories, pictures, research and

scholarly papers, and stories covering various gender issues at the university and beyond.

- Conducting strategic planning for fundraising for posterity and for the sustainability of
the Female Scholarship Initiative and other programs through the formation of the
Female Scholarship Foundation, the first of its kind at Makerere University.

Makerere University Human Rights and Peace Center (HURIPEC)

The second embedded unit was identified through the snowball technique. The Human

Rights and Peace Center (HURIPEC) resulted from a collaborative partnership between the

University of Florida and Makerere University. The two institutions are 8,000 miles apart and

have "deep cultural and historical differences," but their commitment to human rights and law

brought them together in this collaborative effort. Through a cadre of dedicated and altruistic

scholars, a success story of American capacity building in the areas of peace and human rights

emerged in HURIPEC. The center, known as Florida House, "is a cross-cultural interdisciplinary

experiment to change the ideas and hopes of Ugandans and other Africans regarding human

rights." The center was co-founded by Professor Winston Nagan and Professor Bernard

Onyango in 1993 with the mandate of conducting research, postgraduate training, and short

courses that address peace and human rights in Uganda and East Africa. According to co-

founder Nagan, the center "illustrates that positive interventions in human rights are possible and

effective."

As Representative Chestnut reiterated at the dedication attended by the Ugandan

president and several Floridian and UF representatives, the small building signified a lifetime of

human aspirations for the African people and represented new beginnings for a Ugandan and

African renaissance. The timing of the meeting of Makerere University faculty and University

of Florida was unique because Uganda was going through a tumultuous war in its North region,

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and a request for developing a human rights program in a country that had endured multiple

bloody regime changes had been audacious. With a $100,000 five-year grant from USAID in

1991, University of Florida faculty, Nagan, Baldwin, and Schmidt embarked on developing a

human rights institute with Makerere University. In a series of student and faculty exchanges

across disciplines, a department of peace and human rights was established as was the *East*

African Journal for Peace and Human Rights. These efforts cultivated a culture of human rights

in every field while augmenting the rule of law through legal education. This time was critical in

Uganda because as the HURIPEC director pointed out:

> You have to remember, at that time, this was the early 1990s, there was both an interest
> in human rights but also big fear, so you know, we had just come out of a war. People
> were afraid. The government wasn't very firm, so there were a lot of questions: what is
> this center that you are trying to set up? There were no human rights organizations in
> Uganda. There was one which had been banned and so there was this question: are you
> going to be independent, what exactly are you going to be? What do you want to do, as a
> focus? … Then we got support from the university and sort of set up the initial
> infrastructure that was as a department, because as a department that allows you to have
> use of personnel and also salaries paid. In other words, it gives you the foundation.

The positive changes the center brought to the country included legal education and

human rights training which have made a difference in the lives of Ugandans who have been

mostly disempowered and ignorant about their rights. HURIPEC's impact has not been on

Makerere students or Ugandan civil society alone. The center afforded University of Florida

students and faculty a chance to study African law in a progressive environment. With

decentralization of government services, the center conducted research and trained local councils

around the country in using their judicial powers appropriately, teaching about economic, social,

and cultural rights and investigating vulnerabilities and resilience in young girls in the HIV/Aids

pandemic context. The center has also investigated how refugees, young women with

disabilities, young lesbian women, and female workers have been legally and socially treated.

The center was staffed by a director and eight professional staff ranging in rank from Senior Lecturer to Assistant Professor. An administrative assistant managed the daily tasks in the office while the professional staff conducted research and workshops for civil society and other organizations. HURIPEC was organizationally under the School of Law and the full-time director was a professor. The basic funding to support their activities was shared between the department and the university, especially staff salaries. Most of the funding for programs and for the dual-purpose building serving as residences for visiting professors came from both external and internal donors. In a 5-year partnership between the Law School, the Center for African Studies at the University of Florida, USAID, and the National Endowment for the Democracy, faculty gave up per diem and pooled it to provide the initial capital for the Peace Center, since most donors were reluctant to contribute to brick and mortar. The design of the center was provided pro-bono by one of the architecture faculty.

According to the director, the center had resources but has had to lobby international agencies as in the case of the decentralization project. The Danish Development Agency was more interested in human rights by non-governmental organizations and activist work. The center had to convince them to support academic research as well as training. Other funders included the Ford Foundation, the Open Society Initiative, and the Swedish development organization SIDA.

The center did not have a fundraising strategy per se but has always found resources. The director, an alumnus of Harvard Law School, who regularly gets mailings from them soliciting donations, reiterated the frustration with fundraising efforts in Uganda and especially at Makerere. The director believed most fundraising efforts at Makerere University were sporadic, and as he put it, "We have what I would call ad-hoc campaigns in the sense that … we have a law society and depending on how active they are, they will come up with different

fundraising strategies." They might solicit law firms by asking for either contributions to their programs or projects, or they might ask for in-kind gifts like computers. Since the Law School pioneered evening programs, they enjoyed additional revenue, but its domination of the market has faded due to competition from private institutions and online programs. The director pointed out that Makerere was plagued by the perception, not only among alumni but also among those in government circles, that the university has a lot of money that has been mismanaged.

The other fundraising strategy the center tried to use involved sending out letters asking for contributions for specific events like the 20th anniversary. As Dean, the director looked at the list of alumni and realized that it was composed of the "who is who of Uganda," but when he sent the alumni letters and made the rounds to invite them, they were not interested. As the other informants pointed out, most Ugandan and Makerere alumni have been more attached to their secondary schools, especially the elite ones, like Budo and Gayaza, than to Makerere University.

Key Findings

Makerere University was well positioned to engage with external stakeholders including alumni, corporations that employ its graduates, and foundations and organizations that support research and capital improvements at the institution. As I interviewed key informants and observed meetings and task force brainstorming sessions, one of the major findings emerged from the units capitalizing on and utilizing Makerere University's historical significance and other social and capital assets to succeed in building robust fundraising programs.

The institution as whole has not had an effective fundraising program, but it was evident that the university has been searching for innovative ways to diversify funding for institutional priorities. The task force brainstorming session I observed was headed by a consultant who presented a paper titled Turnaround Strategies on Financing of Makerere University. While he noted the university's limited fundraising experience, he offered good practices for funding

universities, including Makerere, around the world. The good practices included creating an endowment fund using the alumni, running private businesses like limited liability companies, and strengthening research capacity to international standards. Comparing Makerere to Harvard, he assured the task force members that all the recommended turnaround strategies could be done quickly if they could get the alumni to participate.

The alumni I surveyed noted that they "would be happy to support the University" but wanted to see improved probity and accountability to increase the confidence of donors. One noted that "Makerere should first demonstrate commitment to accountability and then approach private sources including alumni" while another suggested that "departments like agriculture and technology should link up with private entrepreneurs to develop research that is privately funded." With such emphasis on accountability and transparency, some stakeholders may not support the second suggestion of running private businesses like limited liability companies, but the university is already engaged in consultancies and small business incubation as part of developing students' entrepreneurship skills.

Makerere University received institutional support from multiple sources, with the bulk of the support going to research. Sources of research funding included development partners, the government, contributions from faculties and student fees totaling about 1% of internally generated funds. Table D.3 shows some of the funding agencies that have provided external support.

Table D.3

External Support to Makerere Institutional Development Program 2000-2009 in USD Millions

Funding Agency	ICT & Library	Research & Research Infrastructure	Good Governance/ University-Community Relations	Gender Main-streaming	Female Scholarship	Infrastructure Development	Capacity Building Incl. HRD	Total
Carnegie Corporation New York	4.16	-	-	1.57	4.00	-	4.93	14.65
Norwegian Gov't	9.40	5.38	4.29	0.28	-	7.46	3.21	30.02
Swedish Gov't	4.41	30.05	-	0.53	-	-	-	34.99
Rockefeller Foundation	-	-	11.80	-	-	-	-	11.80
World Bank/ IDA	-	-	5.79	-	-	-	-	5.79
Total	17.96	35.43	21.88	2.39	4.00	7.46	8.14	97.25

Note. Table reproduced from Makerere University Fact Book 2009/2010.

The table also shows that Swedish and Norwegian governments provide Makerere University with the bulk of external support, mostly for technology and library services, research, and other infrastructure. Carnegie Corporation and Rockefeller Foundation have provided support to Makerere University for decades. Most recently, support was provided through the Partnership for Higher Education in Africa (PHEA) along with a 10-year commitment by Carnegie Corporation and Rockefeller Foundation, the Ford Foundation, and the John D. and Catherine T. MacArthur Foundation to coordinate and leverage support for higher education. Other foundations including the Andrew W. Mellon Foundation, the William and Flora Hewlett Foundation, and the Kresge Foundation joined the Partnership for Higher Education in East Africa in efforts to strengthen higher education in nine African countries, including Uganda, by investing over $440 million in technology improvements, academic staff

development, knowledge transfer for national development, university management, and global

engagement (Carnegie Corporation of New York, 2010).

Institutional leadership recognized the need for internal private support and initiated

reforms in research, financial management, and computer and information systems to enhance

efficiency and accountability (Research, Administration and Financial Reforms Committee,

2011). While the reforms have been implemented, albeit slowly, some of the governance and

administrative structures have created unnecessary delays in staff appointments, leading to

impatience and frustration for some units like the development office. This obstacle has created

calls for alternative ways to reach out to alumni using their undergraduate departments and

further weakening unified support and central development fundraising efforts. One senior

administrator interviewed noted that:

> Five years ago the resource mobilization unit collected data of all Makerere University
> alumni and so the idea was to reach out there, but now we feel also it is much easier to
> reach out to alumni through the units they went through.

The senior administration seemed to be moving away from a centralized and hybrid fundraising

model to further decentralization and exacerbating the issues of misalignment and understaffing

of the current fundraising structure. One key participant noted that:

> While I am asking that I need people to get this thing done, on an institutional level, there
> is concern of how do we make sure we rationalize the number of people we have so that
> everyone is fully being optimized…. Because of that, it is taking long to settle my issues
> of manpower. Now what that boils down to is effectiveness… If you don't have people
> on the ground, you can only do so much.

The development office lacked fundraising management tools including a robust database

and modern marketing, communication tools, and technology to network with internal and

external constituents. In today's knowledge driven society, social networking is a key

component of public relations and fundraising strategies. One key informant noted that:

In Kampala alone, we have about 100,000 potential alumni we haven't contacted, and this I can tell you by looking at the few multinationals big companies, URA, Bank of Uganda, Stanbic, all these banks, UTL, MTN, many of these guys have gone through Makerere. The important thing is for us to get a linkage with them and make sure we involve them, and the major tool there was software. At the time I came in, I was told there was a program which was supposed to be made by people in IT; no progress here. So we talked about it last month, and I was given a promise of today: I will get it today, end of this month. Just before you came in, I was talking to that person, and he was asking for an extra week. I am told these things are sold off the shelf. It's a software. I don't know what you use at your side, but it is simply a software where someone goes to the website. There is a link; he puts in his or her name.

As Makerere University positioned itself to reach out to alumni, technology was an important component of the communications strategy. As the alumni surveyed noted, some of them lived outside of the country but would like to be engaged with their alma mater. The Fundraising Raising School advertised online fundraising to be one of the fastest growing areas in creating an "e-strategy for building relationships and soliciting donations" (The Center on Philanthropy at Indiana University, 2010). As part of the reforms, Makerere University is examining different e-strategy technologies to make their connections with alumni and fundraising efforts robust.

The relationship Makerere University had with the government made for a juggernaut of bureaucratic processes. As a result, employees always refer inquirers to piles of minimally used policy documents. In one case, the development office and the vice chancellor's office were not sure if the resource mobilization and alumni relations policies developed a few years ago were ever approved by council. When the question on information sharing and accountability was asked, one key informant responded as follows:

When you talk about accountability and transparency, it is something that is subjective. Many people out there who maybe don't have enough information will have different perceptions, so it depends on who you are talking to. But the fact on the ground is that there are inherent inbuilt controls that facilitate those transparency and accountability. For instance, there are certain requirements, statutory requirements in the Act that establishes universities, public universities, that you have to report on specific financial performance at certain periods. For instance on a quarterly basis you must report to the

Ministry of Finance through the Accountant General on your performance. That alone should be able to enhance accountability and transparency…. I mean if you go to the government library, these documents are there. The government budget is in the government bookshop, all over. Anybody can go there and buy the government budget document for any given year.

Kasozi (2009) noted that linking the university to the civil service worked against the university system because it inhibits delivery of quality education. Although UOTIA gave public universities some autonomy, a lot of restrictions have remained in place, including how the professoriate should be compensated. The UOTIA has not fit with university structures' need for flexibility to organize salary scales to attract top researchers. Other issues about the university-government relationship involved academic staff being forced to retire at age 60, leaving young academics with no mentors. While that policy may work for the civil service, academia is different and needs the intellectual productivity of seasoned scholars (Kasozi, 2009).

Overconfidence and complacency stemming from the historical significance of Makerere University was still present in senior administration circles. The institution's reputation for training African intellectuals was legendary, and the walls of most buildings were adorned with images of prominent alumni. One senior leader commented:

We have the largest library in the country, with largest Internet bandwidth in the country. We take the best students, the cream. We have the highest number of PhDs holders and professors. Now we have the largest space in terms [of] lecture space in the country and the largest volumes literature (collections) in the country, so what makes the other universities better than us if at all they are better?

This type of attitude stemmed from Makerere University being the only university in the region for decades with an unmatched reputation. However, liberalization opened up the higher education sector and better resourced private universities have been established. One such university was the Uganda Technical and Management University (UTAMU), started by the former vice chancellor of Makerere University (Businge & Senyonga, 2011). This marked the 31st university in the country, and as noted in the article, UTAMU was expected to join the ranks

of Uganda Christian University and Uganda Martyr's University in competing with Makerere University for top students.

Emerging Themes

As a novice researcher exploring the foreign concept of fundraising, it was important to get a clear picture of the model of fundraising used by Makerere University. As stated in the data analysis section, I used a modified grounded theory (Charmaz, 2010) which gave me a set of flexible analytic guidelines and enabled me to focus the data collection and to build the model of fundraising at Makerere through successive levels of data analysis. From line-by-line coding of each transcript, examination of field notes, and analytical memo writing, I constantly compared the data to gain a clear picture of fundraising at Makerere University. It was important to develop the model because of the significance of this research to Makerere and its stakeholders as well as to other African universities in the process of adapting and domesticating the concept of fundraising.

This section presents the themes that emerged from the constant comparative data analysis process. While the themes broadly encompassed the findings, they also highlighted the mission vision and values of Makerere University. The central themes of learner centeredness and innovation were supported by the rest of themes working in tandem, collaboratively and transparently, to ensure that the institution effectively and efficiently sought support to "building for the future" through the Makerere Motto. The themes were senior leadership buy-in and support, academic support services, faculty and staff welfare, dynamic technology infrastructure, social and cultural capital assets, community engagement and partnerships, alumni engagement, and development and fundraising.

Senior Leadership Buy-in

As a new concept at Makerere University, fundraising required senior leadership buy-in

and support to be effective. The buy-in meant that senior leaders did not merely pay lip service to the idea while avoiding the necessary investments to set up a robust fundraising infrastructure with adequate staffing and information networks to communicate with all stakeholders. Ezarik (2012) noted that leaders are champions for the fundraising team because they set the vision and strategy to mobilize the necessary resources for the institution. They also set the tone for the various relationships with trustees, councils, students, staff, and faculty and how stakeholders perceive and participate in educational fundraising. The case of GMD demonstrated how buy-in from the chairman of council and the vice chancellor was critical to their success. Supporting and institutionalizing the GMD agenda enabled the institution to be successful and establish a foundation, the Makerere University Female Scholarship Foundation, the first of its kind in the institution's history.

Academics and Support Services

The academics and academic support services theme highlights the importance of connecting academic excellence with affinity and future engagement of students as alumni. Offering students a robust curriculum and support services from advising to welfare issues made them loyal to the institution. As one of the alumni surveyed noted, "I am proud of the education Makerere gave me. [I] had a fantastic time at the university and made many lifelong friends." He added, "Many of the Makerere graduates I know would be happy to support the University."

Faculty and Staff Welfare

The Faculty and Staff Welfare theme required providing faculty and staff training and awareness about the principles of fundraising and ensuring that they were provided the necessary information and resources to make a case for support for the institution. The institution made every effort to ensure that faculty and staff participated in the formulation of the mission, vision, and strategic plan of the institution to interact and connect with stakeholders. HURIPEC and

GMD both highlighted the support they received from staff as part of their fundraising efforts. While HURIPEC staff donated their per diem to support the Law School's efforts in building infrastructure, GMD members pledged a specific amount on a monthly basis to support GMD student priorities.

Dynamic Technology

The 21st century required that information be readily available to facilitate decision making and quick turnaround. The dynamic technology infrastructure theme encourages institutions to have systems that integrate easily with each other to keep the flow of information and ease of access readily available. For fundraising, prospect research, identification, and tracking are crucial to effective donor management. Current efforts to procure software and systems demonstrated the institutions commitment to enabling technologies to enhance private support efforts.

Social and Cultural Capital

The theme of Social and Cultural Capital assets was an integral part of fundraising especially in the African context. Most African culture is relational, and access to social and cultural networks might open the institution to opportunities for funding from multiple sources. In commenting on the challenges faced by African universities, Akilagpa Sawyerr at the Association of African Universities noted that the "political sociology of African universities" meant that most civil servants attended the same university:

> As result, they are bound together by ties of camaraderie into "old boy" networks of university alumni, and obligated to the university by bonds of respect for former mentors. Moreover, most of these civil servants probably send, or intend to send, their children to study at their alma mater. As a result, the higher echelons of the civil service in most African governments are personally interested in the fortunes of their universities and are highly receptive to university appeals for assistance. (Saint, 2004, p. 63)

The development office and the two embedded units have registered some initial fundraising

success using similar strategies and reaching out to civil servant alumni. One key informant

shared the following strategies:

> The Stakeholder's Conference brings together government, corporations, foundations, and other actors in higher education, and the purpose is for Makerere to share strategies, accomplishments, and challenges. Most donors come and even other institutions that want to partner with us like Oxford do attend. Another example is using existing the internal opportunities. For example, Livingstone Hall and Africa Hall have had an annual event called AFROSTONE. It is a social gathering of the ancestors of these two halls of residence. Lumbox day is another one that we are trying to take advantage of in strengthening our development efforts. Makerere Golf Tournament also brings together alumni and is a good way to start cultivating potential donors.

A key informant from the development office noted that the GMD has experienced the most

success:

> They have corporate breakfasts, dinners, and other events and have created a Female Scholarship Foundation from the Female Scholarship initiative. They have built on the initiative efforts and created a wide network of support including alumni of the initiative. Other units could use it as a model.

Community Engagement and Partnerships

Community Engagement and Partnerships as a theme connoted community outreach,

knowledge transfer, and visibility for garnering support for the institution. African universities

are critical to the production, preservation, and dissemination of knowledge and for the

betterment of society (Aina, 2010; Kasozi, 2009; Sawyerr, 2004). They are a key force for

modernization and development (Teferra & Altbach, 2006). Not only does the theme connote

knowledge transfer, it can lead to "friendraising" and ultimately fundraising success.

The current strategic plan of Makerere University highlighted outreach and public-private

partnerships as priority areas. In addition, the Makerere University Private Sector Forum

(MUPSF) showed success in forging partnerships with the private sector. From endowed chairs

to student internships to collaboration with multiple companies and organizations, the MUPSF

has led the charge in community engagement and partnerships by raising "friends and allies" for Makerere University (2008).

Alumni Engagement

According to Weerts and Ronca (2009) institutions primarily engage alumni for fundraising. However, alumni can be engaged for other interconnected tasks including mentoring and recruiting students, lobbying and advocacy, and outreach. All the above can build relationships, networks, and connections to support the institution. The development, alumni relations, and convocation offices collaborated to ensure that alumni received all of the information they need to support Makerere University. Convocation went further and encouraged the Student Guild to cultivate and engage current students through socialization and "bridging activities like dialogues and public debates" (see Makerere University Convocation website). The chairman noted that he believed in engaging the alumni because they have a duty to "make the University shine, so that their degrees remain relevant and true to the prestige of Makerere."

Development and Fundraising

The development and fundraising theme encompassed various components of institutional advancement. From public relations, communications to government relations, investments, donor management, and stewardship, institutions can benefit from this function by sourcing funds for strategic priorities. Makerere University has been paying more attention to its public image and public relations. According to the public relations officer, the vice chancellor's press briefings every first Monday of the month give the "the media and the general public the right information in the right format" to protect and manage the public image of the university. This communication not only helped bring in new support, but it also provided awareness about the development role of the institution nationally and globally by highlighting the research,

innovation, and student accomplishments. As highlighted by the senior leadership and alumni who participated in the study, communication, collaboration, and transparency represented major enablers to the seamless integration of the components in the fundraising model that emerged at Makerere University.
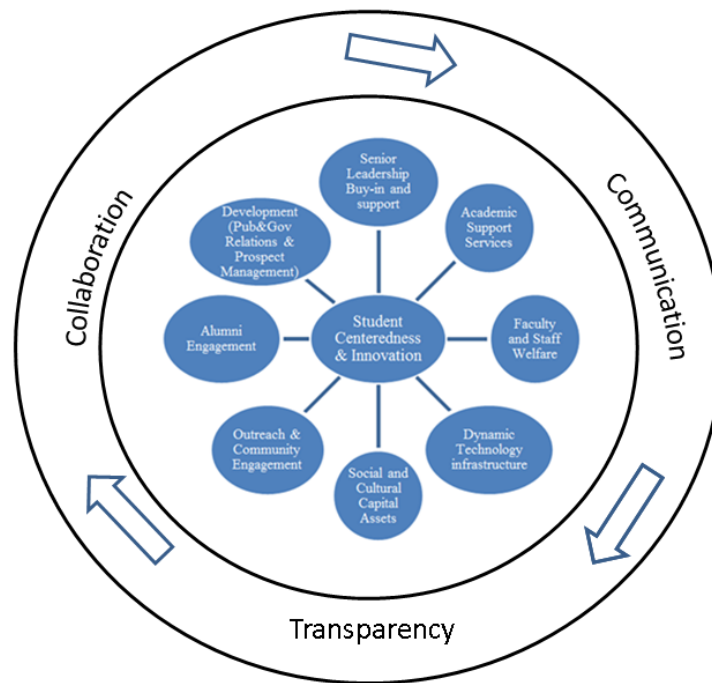

Figure E.1. Makerere University's model of fundraising.

This model represents the main themes that emerged during the analysis of the data. While the components of the model represented the units experiencing varying levels of success in fundraising, examining this model against more units and the rest of the institution is needed to test it for transferability.

APPENDIX E

EXTENDED DISCUSSION

The purpose of the study was to explore, understand, and describe how Makerere University conducted fundraising activities to support institutional priorities. Utilizing qualitative methodology through case study design, I sought to discover, describe, interpret, and gain insight about fundraising at Makerere University (Merriam, 1998). As government support declined, it has been imperative for researchers and practitioners to understand clearly how Makerere University dialogues with various stakeholders to actively engage them in institutional efforts to seek private support. With that understanding, the institution has the power to devise appropriate communication and information sharing strategies, to advance the case for support, and to develop blueprints to help other institutions augment declining government support with fundraising from private sources. The study sought to answer the following questions:

1. How does Makerere University's organizational structure support the fundraising function?

2. What types of strategies does the development office at Makerere University utilize to mobilize private support?

3. What role does organizational culture play in shaping fundraising strategies and practices at Makerere University?

The study was conducted using qualitative research methodology and a holistic case study design. An organizational culture conceptual framework was adapted to study the fundraising function at Makerere University. Data collection instruments included semi-structured interviews, an alumni questionnaire, observation, and document analysis.

Discussion

Makerere University has been at the heart of higher education in East Africa and Uganda since its establishment in 1922 (Nyaigoti-Chacha et al., 2004). The funding model tying the institution to the government had not changed until Structural Adjustment Programs (SAPs) in the 1980s changed (Kasozi, 2009). This model tying public institutions to the government has

far reaching implications especially in times of fluctuating budgets due to competing demands from other priorities including the Millennium Development Goals. The introduction of the private scheme entry for students has not improved the financial situations of public institutions like Makerere because the number of entering students increased while the share of public funding for tertiary education decreased from 28% to 16% between 1995 to 2000 (Kasozi, 2009).

While educational fundraising could help mitigate the financial exigencies that public institutions like Makerere have been facing, the culture of fundraising that supplements state and federal funding in countries like the US have not been present in Uganda. The American model of fundraising, now increasingly used in Europe and other areas, is predicated on the existence of individuals, corporations, and foundations supporting higher education institutions programs and research activities as well as tax laws designed to encourage such contributions.

The absence of a culture for enabling regulatory mechanisms in Uganda made it difficult for higher education institution leaders to use fundraising to meet funding needs. Makerere University received funding from the three main sources of internally generated funds (tuition and fees), government allocation which averages about 60% of what is actually needed, and international partners and donors. I found this funding model to be flawed and likely to leave the institution searching for ways to supplement public funding to meet capital development, student service needs, and other institutional priorities.

Discussion of Research Question 1

This question asked: How does Makerere University's organizational structure support the fundraising function? The first research question sought to find out how Makerere University's organizational structure supported fundraising function. The organizational structure does not adequately support the fundraising function. As a public university, Makerere University's governance structure comprises of a council, a senate and an administration team.

With 25 members of the council, over 8 members represent the government in various capacities from different ministries. The council also has about 12 committees making decisions about the organizational issues impacting the university. The senate also includes government representatives and has multiple committees to review and forward important items for discussion to council. This kind of governance structure leaves little room for autonomy and makes the decision making process long and tedious to units trying to get policies and processes approved; staff members hired and operational issues resolved. One key informant noted that decisions are delayed because "there is a lack of coordination between the role of the council and the senate." According to one senior administrator interviewed, "There is need for a comprehensive framework defining the relationship between Makerere University and the government" because current engagement is not strategic and leaves a lot of gaps in the relationships.

Another observation was that while the administration and senior leadership professed the importance of fundraising, they held some dissonance about where fundraising belongs in the university's administrative structure. The placement of the development office in the planning department and away from the vice chancellor's office is an example of the dissonance. The reporting structure of the Gender Mainstreaming directorate gives it an advantage in realizing fundraising success. As noted by one of the interviewees, by reporting directly to the vice chancellor, "we have to have a presence will …where decisions are being made."

Worth (2002) noted that in designing a fundraising program, "form should follow function." Fundraising theories point to a coordinated effort that buttresses all functions related to the advancement of the institution with easy access to senior leadership. The Fundraising School at the Center on Philanthropy, University of Indiana (2010) presented various models of fundraising ranging from centralized to decentralized to hybrid.

Discussion of Research Question 2

This question asked: What types of strategies does the development office at Makerere University utilize to mobilize private support? Development office personnel had been trained in the principles of fundraising and alumni relations and utilized strategies spanning the fundraising continuum. A key informant from development noted:

> From the training we have learnt a lot and with support from Carnegie which they offered to CASE…CASE has really done a great, tremendous job. They really trained us, they have been monitoring us, helping us…actually there was a time they organized a Vice Chancellor's forum in South Africa, organized by Inyathelo (South African Institute for Advancement, Inyathelo). The management at that time knew what it meant by having advancement.

The unit conducted prospect research, identification, cultivation, requests, and stewardship. However, due to understaffing, they had not been able to gain traction and garner much support. Also, decisions to approve fundraising policies to guide their efforts were made slowly. A key informant intimated that upon coming on board from training, new documents to guide their operations had to be written. The documents included a development plan, a university wide strategy, policies governing interactions with donors, and an alumni plan, which took a lot time. This informant also stated that "the first 2, 3 years, it was getting those documents working or to be worked on and approved…. You see, we are working with a big environment."

Another strategy has been creating awareness and improving communications with alumni. The development office deployed an alumni website and started publishing an Alumni Magazine both electronically and in print. As one key informant noted, to encourage networking, one of the initial activities organized was a golf tournament which raised a lot of feedback and created a lot of impact in terms of institutional visibility. On the other hand, some of the individuals interviewed decried the "perennial problem" of acrimonious relations over welfare issues between management and academic staff and students that lead to strikes and a

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poor public image. As one interviewee observed, the institution wasted too much time responding to non-issues and did not seem to understand that some of the donors received Google alerts and read news items related to Makerere University. The informant noted that sometimes they fielded phone calls from donors when stories came out in the media about the institution.

Other strategies were focused on identifying prominent Ugandans to serve as patrons of the various programs and projects the institution has undertaken. For example, Her Royal Highness Queen Sylvia Nagginda Luswata, the Nabagerereka of Buganda Kingdom (*The Focus*, 2010, p. 17) is the patron of the Female Scholarship Initiative. This brought a lot of visibility to the initiative, and as it transitioned to the Female Scholarship Foundation, it was expected to attract a lot of support from members of the kingdom in honor of their queen.

The institution has been slowly building annual campaigns to support various programs, including the FSI, through business breakfasts, golf tournaments, tea parties, and dinners. Other events included multiple donor appreciation events throughout the year to incorporate African hospitality and generosity values and to encourage staff to contribute 10% of their allowances to the FSI. As a way to acknowledge lifelong gender champions, advocates, and ambassadors, the Gender Quality Award has been initiated. Encouraging FSI alumni to form an association, the FSI Alumni Association (FAA) whose sole aim was to give back to support disadvantaged students to access education has been another strategy used for building a culture of philanthropy. Through monthly pledges, FSI alumni hold annual events and raise money to give back to the initiative.

As noted by Aina (2009), Africans need to take ownership and responsibility for the development of their institutions of higher education. The development office and the units examined have embraced the Andrew Carnegie spirit of philanthropy and adapted it to the

African context by building an army of friends and supporters including GMD staff who contribute 10% of their allowances to FSI. With the help of the development office, the unit has cultivated prominent alumni and influential individuals of affluence to support the Female Scholarship Foundation with much success. A key informant noted the institution's gratitude in the following statement:

> We appreciate the donors. We have support from Carnegie, from Sweden, from Norway. These have been our major donors, but we need to talk about ownership. We need to talk about sustainability, so and if Makerere doesn't see it as a foreign idea, this is what you believe in, you need to show commitment. And you can never show commitment unless you put money where your mouth is.

This was a powerful statement to demonstrate how some of the senior administrators have adopted the fundraising principles. It seemed like they were ready to go out there and raise money but were being held back by the institution's slow response.

The Human Rights and Peace Center shared the same strategies. As the director commented on the partnership with University of Florida, he explained the steps they took to get seed funding for the center:

> So out of this 5-year project, we agreed between the faculty on both sides that we would save the Per Diem, which was being given to the professors and over that period of time, use that to build, this Human Rights and Peace Center, so that's actually how this center was built. So it was built by the money that came from … linkage but as you know, donors are very reluctant when it comes to bricks and mortar. So from the beginning, they said, No. But they said, well if this is a voluntary thing that you are doing, I mean, we will support it. So they allowed us to actually pool the per diem and then we got a little bit of money from the University, and that was what helped us eventually construct this Peace Center. And it was designed by the faculty of, at that time it was still a department, of architecture.

While the strategies highlighted above have been successful, a few senior administrators were skeptical of the focus on alumni relations and the focus on asking them for money. Several pointed out that the quality of service for students has been very poor and a good number of students left the institution bitter. A senior administrator observed:

There are people who left Makerere, and like they left Makerere when they were bitter. And those days when we increased student numbers and did not focus much on services. The quality of service was appalling. Like I finished my degree and then I took 1 year, 2 years, even 5 years coming to Makerere University walking from office to office looking for my transcript. Then you pay fees, you finish, and then they tell you, you have to clear …And so on and so…they have so many processes in place…many people don't keep receipts then they say, give us a receipt for where you paid the whole fee…interact with you goes through such a process, by the time you get through, you are cursing ….put forecasting systems in place to make people, mainly our students appreciate…by the time they leave the university…they are happy.

Another senior administrator noted that the recent reforms can be used to support their new approach to fundraising and alumni relations. The strategy was based on the development function in the colleges so that each college could identify a development officer to mobilize their resources and ask the central development office do the overall coordination. Citing the example of the College of Health Sciences he noted that:

They know almost everybody who went through their college and even when you try to get in touch, there is that feeling that you know like these are your lecturers, like that connection so we want to see how can … each college establishes contact with the people who went through their own college and even invites them to come back and see...how it is now

The other strategy that the key informants discussed was research partnerships and individual faculty projects. Makerere University's sources of revenue came from tuition and fees, government allocation, and research. The research component involved teaming up with other universities or researchers and applying for research grants. The senior administrator noted that when looking at issues like global health, research cannot be conducted without working with institutions across the globe. Makerere University built networks across the globe because it needed all of the partners interested in the areas of strength and expertise, like in Tropical Medicine and HIV, among others.

One senior administrator intimated that one of Makerere's problems has been that "We have been lighting our candles under the table." Most of the great things going on have not been

made known outside the gates of the institution. He shared that when it comes to scientists, they do a lot of great work but people do not know. Publishing in a journal is not enough, and there has to be some other efforts for communicating. As such, the acting vice chancellor initiated a monthly press conference at which researchers from different colleges share their work. An example was someone talking about working on HIV drugs with traditional healers using local plants.

One key informant highlighted the changing traditional mode of fundraising by holding a donor conference every two years. Instead of the institution's personnel going out to solicit funding, donors come to the institution for a day or two to listen to what the priority areas of the university are and what has been accomplished and what is needed. The key informant noted that "a Donor's Conference is very small, and even me who is near the administration it is not clear what happens." Science-based projects seemed to be useful for recruiting more pledges for funding including some from the President of Uganda through the Presidential Initiative, a venture fund of Ushs 25bn (approximately just over $10 million USD) over 5 years aimed at promoting technological innovation at Makerere University.

Discussion of Research Question 3

This question asked: What role does organizational culture play in shaping fundraising strategies and practices at Makerere University? This research question investigated the role of organizational culture on resource mobilization strategies and practices. Tierney (1988) found that understanding organizational culture is useful in understanding organizational performance. The key concepts in organizational culture include environment, mission, socialization, information, strategy and leadership. In studying the unit of analysis and the embedded units, these concepts were explored.

As the findings indicated, the development office embodied the "thinking outside the

box" paradigm to build awareness within various units, such as the Gender Mainstreaming

Directorate (GMD) and the university in general about the importance of fundraising. While

some units have adapted faster and the Makerere community is being sensitized about private

support and the fundraising imperative, there is a lot to be done and the leadership acknowledges

that. One key informant noted that,

> We can now start building our endowment …we are hopeful, we are going to continue exploring our options and I think if you look at the next five years, Makerere University will be one of those well-funded universities.

> The Makerere University environment is changing and students, staff and other

stakeholders are responding to well to the concept of fundraising. As one interviewee observed

in introducing current students to the concept of fundraising,

> They appreciate that the alumni have a contribution to make to their institution when they finish… to give back to Makerere. We have monthly dialogue, public dialogues, for the students at the university now, monthly.

Also, infusing the mission in everything they do helps students and staff appreciate the role of

the institution in national and global development. An innovative culture is taking root at the

institution and this is exemplified by recent developments in research achievements including the

Kiira EV car, two Nobel laureates in environmental science and host of world-class partnerships

with institutions like Johns Hopkins, Pepperdine, Baylor, Cambridge, University of Georgia

among others.

> The Human Resource interviewee highlighted Makerere University's new recruitment

process that includes an elaborate interview schedule, onboarding, and socialization activities.

He noted the following:

> The induction focuses on two areas, the work environment and the university structure and where the position fits. The employee is given a tour of the campus. The supervisor gives the employee the nitty-gritty of the position's expectations. The manager goes through all the expectations of the job including performance and appraisal. Actually, the university has been underutilizing that opportunity.

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Such a socialization process will help sensitize new employees about resource mobilization regardless of role. One new employee who did not have fundraising experience was invited to attend a CASE workshop as part of the socialization process and he observed that,

> But one of the things that came out from CASE, they are saying. If you're to grow the university, has to, any university, this was not Makerere specifically, you have to allocate resources to the role and make sure you do it internally … we need to have people on the ground, I think the university needs to see it. The things which are in the strategic plan, they are for instance, knowledge transfer, partnerships, collaboration, one of them, yes they briefly talk about resource mobilization but my judgment of what I have seen so far here, I think we just need more coordination, we have to make sure we don't lose the big picture.

Sicherman (2008) examined the myths and history of Makerere University which have continued to maintain implications for the institution and to affect every aspect of institutional development. As she noted, the institution is still heavily "flavoured by foreign influence" (p. 11), and external donors and partners have provided most of the funding for research.

Another aspect of the Makerere culture has been corruption stemming from heavily political, bureaucratic, and anarchical structures. One senior administrator cautioned that given the current accountability issues, most alumni have not participated in any giving programs.

> You must build trust from the people you are going to raise money from. If the report[s] they receive about the university are not good, nobody will give you money. If you can take money and buy a vehicle of 270 million shillings, that means you have enough money. So why are you asking for more money? So one you must have trust, and two you must identify projects where you are asking the money for and you must put in place transparent mechanisms to make sure that the money you are going to receive goes to that project. So you must be accountable. If you are not accountable you will not get anybody's money. I have seen other universities like you have a program to put up like an entertainment center for example, you come up with a program, people can buy bricks and each brick that goes on the building comes with a name of a person. So either one brick, two bricks or silver or gold or platinum and depending on what you have contributed, you will be recognized. And people should … when they give money, they should see that their money is doing something for which they will be proud that they contributed something to… They contribute money and it disappears in funny areas, nobody will give you money. So those are the issues we still have of fundraising challenges in Africa. African universities…accountability.

With the current reforms, the institution has been putting mechanisms in place to ensure accountability and transparency and to clear the environment of corruption. The institution's mission has been viable and leaders have socialized new members methodically to ensure that the old ways do not corrupt staff. The new systems have been planned to facilitate information sharing and support strategic planning in a participatory fashion.

The issue of leadership has plagued the institution, because the current vice chancellor has been functioning in an acting capacity. Issues with the Ministry of Education and Parliament regarding his appointment have continued to influence the search process and make fundraising challenging. However, some of the units in this study have had good leadership in terms of fundraising. The Gender Mainstreaming directorate is led by an experienced individual who is well versed in fundraising while HURIPEC is equally led by an experienced former dean equally qualified.

Recommendations

A strong and urgent need remains to domesticate the fundraising concept and put it in the proper cultural context. Based on my observation of the deliberations of the Resource Mobilisation Task Force, many at Makerere University viewed fundraising as a foreign concept. The development office personnel who went through training had internalized and recognized its importance, but they needed a supportive culture to make it work for more units including academic ones. Rosso (2009) noted that, "without a cause that contributes to the public good, an organization does not have an ethical right to ask for funds" (p. 1). He noted that philanthropy is undergirded by trust based on that foundation. With that understanding development personnel need to embark on a sensitization campaign for the senior leadership at the institution to ensure that they understand the role of philanthropy in general. Tempel (2003) identified seven

significant roles of philanthropy in society: (a) reduce human suffering, (b) enhance human potential, (c) promote equity and justice, (d) build community, (e) provide human fulfillment, (f) support experimentation and change, and (g) foster pluralism to allow parallel power structures to do what the government cannot do. All of the roles are relevant to Ugandan higher education given the goals of the National Development Plan (2010) which highlighted the role of institutions in national development. This observation resonated with Makerere University's vision, mission, and strategic plan. The two embedded units demonstrated that fundraising can be successfully implemented in the right context.

Makerere University's strategy of engaging alumni as part of strengthening their fundraising capacity was timely and welcomed by many alumni as the questionnaire results showed. However, Makerere needs to do more to reach out to them. These former students can be engaged for advocacy, outreach, and volunteerism to move their alma mater to the next stage of African higher education transformation. When institutions facilitate effective engagement mechanisms consistently, alumni loyalty and identity can be harnessed to benefit the institution in multiple dimensions (Weerts & Ronca, 2008).

Voluntary Support of Education (VSE) research showed that alumni support forms the foundation of a robust private support system (Kaplan, 2009). The president of CASE concurred regarding alumni engagement by stating that "alumni relations is the cornerstone of advancement" (Lippincott, 2011). Inviting key alumni to the bi-annual Stakeholder Conferences held at Makerere to showcase achievements and solicit more funding from external donors would advance efforts to engage alumni. Makerere University's history and prestige presents opportunities for a dynamic alumni engagement relationship. With over 150, 000 graduates, engaging even a fraction of those graduates could have wide reaching implications for the community and independent stakeholders alike. One successful alumnus leader of the only

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alumni network in the diaspora represented Friends of Makerere in Canada, and alumni will generally contribute based on what benefits they can attain through their contributions. By identifying key alumni with the capacity to contribute, others may be motivated to participate in other events at the institution. According to Gasman and Bowman (2009), alumni tend to respond well to personal interaction, especially when they have a variety of ways to be engaged with their alma mater, and the alumni surveyed all reported that the university never interacted with them.

The relationship with alumni needs to be nurtured and facilitated instead of viewed with suspicion. In one of the interviews when a question was asked about the proposed Friends of Makerere in Canada (FOMAC) house the organization wanted to build on campus, the respondent intimated that he really did not understand how that would work because FOMAC seemed to be a foreign organization with its own agenda and its own legal charter. The concern about ownership of the property on campus was unwarranted because it would entice visiting scholars. Makerere University needs to find ways to collaborate with such organizations either through memoranda of understanding or other terms of reference with external alumni, friends, and organizations to avoid any conflicts in decision making regarding major capital projects that the university may want to support.

Makerere University could use the FOMAC blueprint to build other chapters in diaspora. For example, during the visit to the Uganda North American Convention, a U.S. Chapter of Friends of Makerere could have been formed. Such an organization would have boosted Makerere University's search for partners because a lot of the alumni in diaspora work in professional fields that could form viable partnerships with the institution. Such partnerships could boost research, faculty and student exchanges, and advocacy, in addition to friendraising. Such a model could be used in country as well with local chapters in the city and in every town

upcountry capitalizing on cultural and community networks, including kingdoms and diaspora organizations to reach out to alumni. Gasman and Bowman (2009) observed that with historically Black institutions, the Key Cities program allowed for identifying host cities for the president of the university and other senior staff members who would "meet alumni where they are" (p. 115). Other alumni programs Makerere could implement include giving clubs which could showcase different levels and interests of giving, legacies focusing on multigenerational alumni, class gifts, annual pledges, and other innovative giving programs that target special projects or alumni. Different strategies could be developed for each constituent group to ensure that the various relationships are nurtured according to what the groups' values may be (Rosso, 2003).

Another recommendation echoes the CASE 2007 Audit suggestions. The profile of the development office has needed to be elevated by moving it from the Planning and Development Department (PDD) to the vice chancellor's office. Also, the institution could form a hybrid institutional advancement program that incorporates public relations, publications, and development. With the new collegiate structure, a development officer should be attached to each college and have the central office coordinate corporate, foundation, annual, and planned giving programs (Worth, 2002).

Kercheville and Kercheville (2003) underscored the importance of technology to support fundraising success. Technology enhances potential for success by standardizing approaches to communication, tracking the development process, donor information, managing budgets, and storing and evaluating information and process outcomes. Makerere University could capitalize on the University Reform of Administration, Research, and Finance process to acquire a seamless state of the art system to manage the processes on the fundraising continuum from

prospect research to stewardship. The technology should be scalable, relational, and integrated

enough to build and manage all the philanthropic relationships of the institution.

Makerere University should advance and protect its institutional identity and reputation

by safeguarding and copywriting the Makerere brand in graphics, images, artifacts, and all other

types of merchandise on which the logo may be printed. Not only would this increase Makerere

University's visibility in public and the higher education arena but also it would support local,

regional, and international student recruitment, instill pride in current students, and build

confidence with key stakeholder audiences including external donors, alumni, and corporate

partners. By protecting the institutional image through legal ownership of the brand name and

logo, the institution could receive additional income from licensing fees and merchandise sales.

The establishment of an external advisory board solely focused on institutional

advancement could alleviate some of the hindrances encountered in council which has a heavy

government presence. This board could help develop a major gifts program by establishing

giving circles for specific priority areas for the chancellor or vice chancellor whose leadership in

defining the institution's mission to a diverse community should be critical to the success of any

fundraising program. The giving circles could have dedicated donation limits and support

specific priorities including key research projects. They could be comprised of key people in the

community with the capacity to bring more affluent supporters to the table.

The professional development staff must use practical skills and experience to support

and enhance the fundraising activities of trustees and the vice chancellor (Worth, 2002). The

imperative to have the right people positioned most strategically to achieve the pressing mission

(Collins, 2006) has never been greater. Staff skills in the development office should require a

persuasive advocate able to facilitate the fundraising process flawlessly and provide effective

training to volunteers and advisory board members (Worth, 2002).

The final recommendation involves benchmarking. Makerere University staff has been participating in the South African Institute for Advancement (Inyathelo) with other institutions. Their programs need to be evaluated against some of the other institutions in the region that have been attending Inyathelo training events and institutes. Benchmarking can help all institutions identify best practices with the goal of improving their own efficiency and performance. Since several institutions from Nigeria, Ghana, Kenya, Egypt, Tanzania, and South Africa have participated in the development of institutional advancement programs, Makerere University personnel could compare their programs, processes, and strategies to those other universities' programs, processes, and strategies.

Areas for Further Research

As a novice researcher, I viewed this study as a baseline for further research on fundraising at African universities. Additional studies regarding how academic units and research centers conduct fundraising activities may provide a bigger picture and yield interesting results to add to the knowledgebase. An exploratory study comparing fundraising practices across institutions in Uganda and the role of social and cultural capital may add valuable information to the literature and help institutions understand what barriers impede effective fundraising. Makerere University is the largest and oldest public university in Uganda, making it a flagship for higher education in the country. A lot of other universities look to it for producing and sharing knowledge that can help them advance their respective missions.

There are pockets of resistance to new concepts in general, and internal conflicts seem to get in the way of progress. A study in change management using new institutionalism theories, such as the theory provided by Aypay and Sezer (2008), may provide good background and data for innovative research. Such a study could highlight some of the pressures Makerere University

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faces in implementing reforms meant to make the institution more efficient, nimble, and truly innovative.

Another study that may help Makerere University understand its challenges could be one focused on the impact of organizational leadership on operational efficiency. With loosely coupled administrative structures, opportunities for tighter financial accountability and productivity gains may be lost. Such a study could highlight the areas in need of more attention and inspire systematic transition to new structures instead of just letting them loose with insufficient controls in place.

A study of alumni engagement and the various financial and support roles they can play, including advocacy, volunteering, student mentoring in addition to giving, could provide useful models for strategically planning institutional programming of alumni activities. This line of research may help the institution provide better programming for students who will become alumni and will be needed to support the institution.

Outreach, community engagement, and service learning represent good areas for further study. Findings could highlight the social, cultural, and economic impact of Makerere University on the communities in close proximity and beyond. The study could generate good will and partnerships from various communities continuing to view Makerere as out of reach. Such results could enhance fundraising and friendraising prospects and contribute to national models of institutional development.

Implications and Conclusions

The implications for this research are not only far reaching for Makerere University but also for other institutions in the region. The institution has been the benchmark for other institutions regarding innovative programs. Mastering the fundraising principles and successfully aligning institutional structures, programs, and messages to support community

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engagement and outreach could help develop a robust development program. Ensuring that processes and practices are documented, through modernizing support systems to track the process of fundraising from the beginning to the end, may build a viable foundation for a successful advancement program.

With a large database of prominent alumni, Makerere could use its clout and reputation to lobby the government to initiate legal frameworks for encouraging donations to higher education institutions. These legal frameworks could be used to create tax laws that favor donors and volunteers for causes of national importance. Most legislators are Makerere alumni, and if approached for advocacy, they would be willing to support their alma mater in the quest to support institutional priorities through fundraising.

Another implication for Makerere University involves opening the conversation with government about autonomy and the kind of institution it would like to be. Transforming into a collegiate university (Mak News, 2011) within the guidelines of Universities and Other Tertiary Institutions Act (2001, 2003, 2006) will advance the fundraising agenda. Makerere University has a great opportunity to become a research university and work with government to differentiate institutions within the higher education system to accommodate the large numbers of students in the pipeline at the lower levels of the education system continuum. Looking ahead and building a sustainable base of funding may provide the institution the requisite infrastructure to accommodate strategically the rapidly growing numbers of students.

Fundraising literature pointed to raising money from the perspective of the marketplace by inviting people to invest in a worthy enterprise that meets national and global needs (Grace, 2005; Karoff & Maddox, 2007). Makerere University engaged in fostering partnerships to provide solutions, capacity, answers, and capabilities. These strategic partnerships were developed in the national, cultural, economic, and political contexts to inspire the spirit of

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philanthropy and cultivate a friendraising and fundraising culture. As Kasozi (2009) proposed,

legal frameworks, good accountability systems, and stewardship including policies to address

ethics would strengthen the development function and advance the culture of asking and giving

at Makerere University and the nation.

APPENDIX F

INFORMED CONSENT FORMS

University of North Texas Institutional Review Board

Informed Consent Form

Before agreeing to participate in this research study, it is important that you read and understand the following explanation of the purpose, benefits and risks of the study and how it will be conducted.

Title of Study: *Shifting Paradigms, Changing Fortunes: Fundraising at Makerere University.*

Student Investigator: Lillian Katono Butungi Niwagaba, University of North Texas (UNT) Department of Higher Education. **Supervising Investigator: Beverly Bower**.

Purpose of the Study: You are being asked to participate in a research study which focuses on the description of how Makerere University conducts fundraising activities to support institutional priorities. This will be accomplished by examining the current organizational structures, institutional culture and strategies that Makerere University utilizes to mobilize private resources. The study will also be used to understand how the fundraising office and other university entities dialogue with various stakeholder communities, such as alumni, corporations, and individuals, to actively engage in institutional efforts to seek private support.

Study Procedures: You will be asked to participate in a semi-structured interview that will take about one hour of your time and possibly a second interview as a follow up. You may be requested to provide samples of documents and artifacts that support the fundraising function.

Foreseeable Risks: It is unlikely that you will face any risk, discomfort, or inconvenience by participating in this study. However, if you experience any stress during the interview, you will be reminded that there are no right or wrong answers and that you can discontinue the interview at any time.

Benefits to the Subjects or Others: The study is expected to generate information that can be used by institutional administrators and policy makers to augment frameworks and mechanisms found in current literature to advance private support of higher education through fundraising. Anticipated benefits include an executive summary of the findings and recommendations if any.

Compensation for Participants: None.

Procedures for Maintaining Confidentiality of Research Records: Because the data collected will be coded, no identifiable data will be on the transcripts. Any positive or negative data generated will be couched in general terms including the literature on higher education in Africa. The confidentiality of the individual information will be maintained in any publications or presentations regarding this study. No personally identifying information will be used.

Questions about the Study: If you have any questions about the study, you may contact *Lillian Butungi Niwagaba* at ████████████ or *Beverly Bower* at 940-369-7112

Review for the Protection of Participants: This research study has been reviewed and approved by the UNT Institutional Review Board (IRB). The UNT IRB can be contacted at (940) 565-3940 with any questions regarding the rights of research subjects.

Research Participants' Rights:

Your signature below indicates that you have read or have had read to you all of the above and that you confirm all of the following:

- *Lillian Katono Butungi Niwagaba* has explained the study to you and answered all of your questions. You have been told the possible benefits and the potential risks and/or discomforts of the study.
- You understand that you do not have to take part in this study, and your refusal to participate or your decision to withdraw will involve no penalty or loss of rights or benefits. The study personnel may choose to stop your participation at any time.
- You understand why the study is being conducted and how it will be performed.
- You understand your rights as a research participant and you voluntarily consent to participate in this study.
- You have been told you will receive a copy of this form.

_____
Printed Name of Participant

_____   _____
Signature of Participant   Date

For the Student Investigator or Designee:

I certify that I have reviewed the contents of this form with the subject signing above. I have explained the possible benefits and the potential risks and/or discomforts of the study. It is my opinion that the participant understood the explanation.

_____   _____
Signature of Student Investigator   Date

University of North Texas Institutional Review Board

Informed Consent Notice

You are invited to participate in a study about resource mobilization (fundraising) at Makerere University. It is important that you read and understand the following explanation of the purpose, benefits and risks of the study and how it will be conducted.

Title of Study: *Shifting Paradigms, Changing Fortunes: Fundraising at Makerere University.*

Student Investigator: Lillian Katono Butungi Niwagaba, University of North Texas (UNT) Department of Higher Education. **Supervising Investigator: Beverly Bower**.

Purpose of the Study: You are being asked to participate in a research study which focuses on the description of how Makerere University conducts fundraising activities to support institutional priorities. This will be accomplished by examining the current organizational structures, institutional culture and strategies that Makerere University utilizes to mobilize private resources. The study will also be used to understand how the fundraising office and other university entities dialogue with various stakeholder communities, such as alumni, corporations, and individuals, to actively engage in institutional efforts to seek private support.

Study Procedures: You are being asked to take a survey regarding your relationship with Makerere University as an alumnus.

Foreseeable Risks: It is unlikely that you will face any risk, discomfort, or inconvenience by participating in this study. However, if you experience any stress during the questionnaire, you will be reminded that there are no right or wrong answers and that you can discontinue the survey at any time.

Benefits to the Subjects or Others: The study is expected to generate information that can be used by institutional administrators and policy makers to augment frameworks and mechanisms found in current literature to advance private support of higher education through fundraising.   Anticipated benefits include an executive summary of the findings and recommendations if any.

Compensation for Participants: None.

Procedures for Maintaining Confidentiality of Research Records: Because the data collected will be coded, no identifiable data will be on the transcripts. Any positive or negative data generated will be couched in general terms including the literature on higher education in Africa. The confidentiality of the individual information will be maintained in any publications or presentations regarding this study. No personally identifying information will be used.

Questions about the Study: If you have any questions about the study, you may contact *Lillian Katono Butungi Niwagaba* at ▮▮▮▮▮▮▮ or *Beverly Bower* at 940-369-7112.

Review for the Protection of Participants: This research study has been reviewed and approved by the UNT Institutional Review Board (IRB). The UNT IRB can be contacted at (940) 565-3940 with any questions regarding the rights of research subjects.

Research Participants' Rights:

Clicking the survey button below indicates that you have read all of the above and that you agree to participate.

APPENDIX G

DEVELOPMENT PERSONNEL AND SENIOR ADMINISTRATOR INTERVIEW

PROTOCOL

I am examining the fundraising function at Makerere University.

1. Describe the tasks and responsibilities for your position.

2. How do you identify and connect with alumni, individuals and corporate stakeholders?

3. How do you cultivate and ask for gifts from various stakeholders?

4. What programs have proven successful?

APPENDIX H

ALUMNI SURVEY PROTOCOL

I am examining the fundraising function at Makerere University.

1. Describe your relationship with Makerere University.

2. How do you interact with the various stakeholder groups at Makerere University?

   a) What types of activities and events do you support and why?

3. How often do you interact with other alumni?

4. What are your perceptions about the overall direction of the institution?

APPENDIX I

SAMPLE DOCUMENT SUMMARY

Document /Artifact Name	Document Type/Artifact	DOCUMENT SUMMARY Event/Contact	Significance of Document	Comments
Change a Girl's Life	Brochure	Gender Mainstreaming Appeal for Support	Highlights the campaign to educate the girl child. A cause many people in and outside the country are empathetic toward.	Quote the tag line and formation of the FSI and eventually the Female Scholarship Foundation that is leading the charge of private support at Makerere.
Makerere University Alumni	Bumper Sticker	Development Office	First visible sign of Makerere's efforts	Alumni office does not have many artifacts to give to alumni. The first of its kind and in high demand
Educational Advancement in Africa	Programme schedule	Conference	1st Alumni engagement conference in Africa	Demonstrates CASE's commitment to build fundraising capacity at African universities. The topics in the schedule underscore the urgency and importance of African educators taking ownership of the fundraising process
Situation Analysis of the Gender Terrain at Makerere University	Book	Gender Mainstreaming Division (Directorate)	The Gender Mainstreaming Directorate is ahead of the other units at the Makerere campus. They provide consulting and mentoring services to other government and private universities	Monitoring and documenting their processes demonstrates the importance of sharing their success story
Organizational Chart (Senate)	Chart	Human Resource Director	The significance of the organizational chart is to demonstrate the governance structure at Makerere University.	Visual to guide individuals to the organizational structure but also to highlight the various committees involved
Human Resource Manual	Manual	Human Resource Director	The organization is a critical piece because it shows all the processes and procedures; the rules and regulations that employees have to follow plus the orientation of new members to training in new skills	This is an important document to highlight in the data analysis process
Strategic Plan (Institution)	Main document guiding the institutions operations	Vice Chancelor's Office	This plan was highly consultative and participatory with all stakeholders of the university. It highlights the key priorities for the university and will show how fundraising and resource mobilisation is prioritized.	Resource mobilisation is the 6th priority of the strategic plan and for the first time in Makerere's history adopts a strategy that creates a systematic approach to philanthropy. However, coupling it with Investment blurs the lines of commitment.
Strategic Plan (Development)	The Development Office has a short strategic plan	Development Office	The Development Office's strategic plan is brief and does not highlight the how of raising money. No mention of seamless process and seems to be just a plan for a plan's sake	No mention of seamless process and seems to be just a plan

APPENDIX J

MAKERERE UNIVERSITY ORGANIZATIONAL CHART (GOVERNANCE)

Makerere University Governance Structure
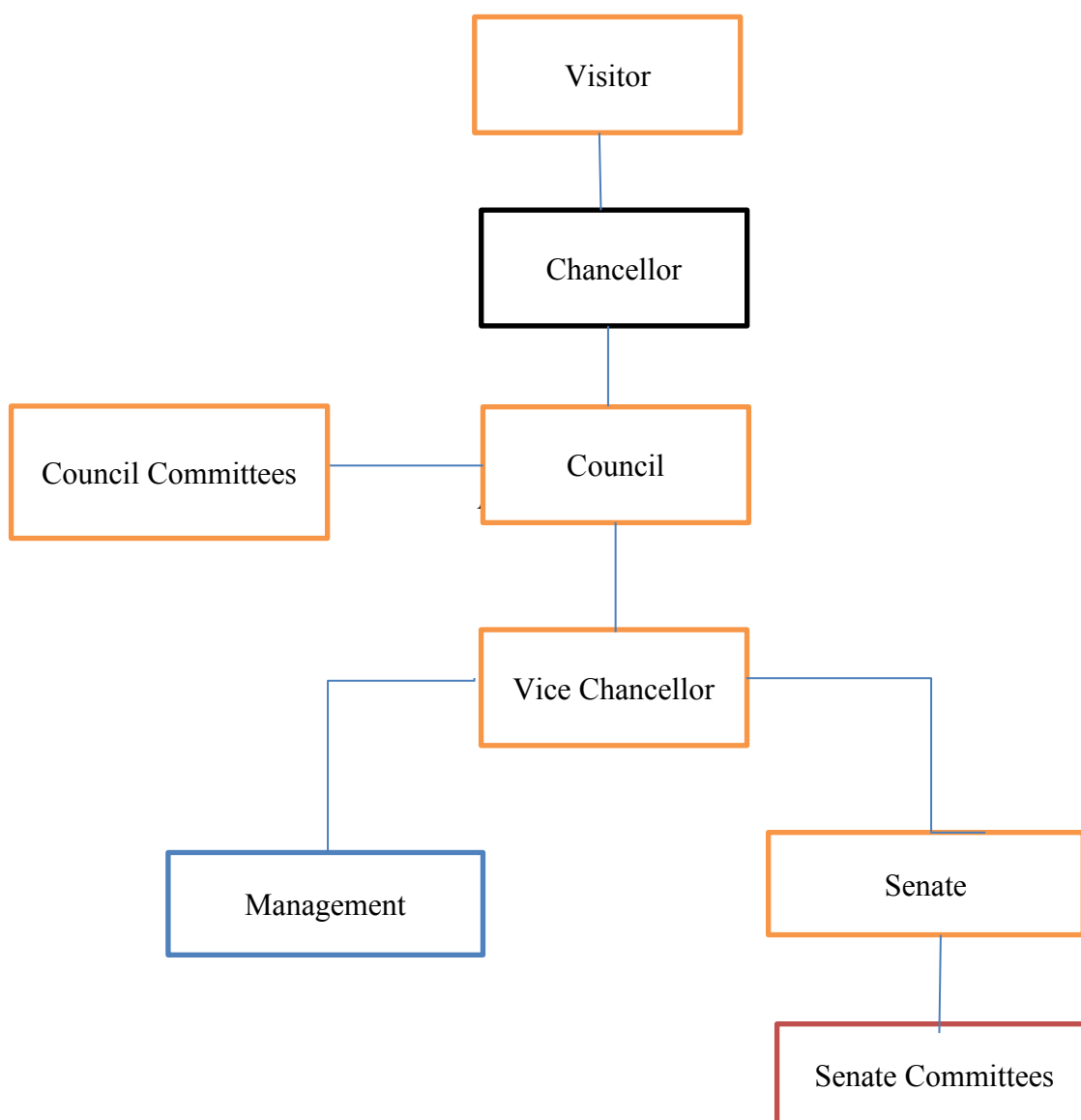
APPENDIX K

KEY INFORMANT PROFILES

Makerere University Key Informant Profiles

Title	Affil1	Level2VC	Gender	EdLevel	HDInstit	Experienc	Experience Other	YearsInst	YearsDept
Director	Planning and development	2	M	Masters	External	Other	Planning	18	8
Director	Investments	1	M	Masters	External	Other	Finance	1	1
Director	Alumni Relations	3	F	Masters		Other	Economics	7	
University Secretary	Administration	1	M	Masters		Other	Finance	20	2
Director	Research and Graduate Studies	2	M	PhD	External	Other	Veterinary Medicine	30	10
Acting Vice Chancellor	Administration	0	M	PhD			CIT	10	5
Director	Gender	3	F	Masters			Gender	5	5
Acting Senior Public Relations Officer	Public Relations	1	F	Masters			Communication	5	4
Director	Makerere University Private Sector Forum	1	M	PhD	External		Business	15	6
Director	Convocation	1	M	Masters			Business	7	7
Director	Human Resources	2	M	Masters			Management	15	5
Principal	College of Computing & Information Sciences	1	M	PhD	External	Other	Psychology	27	1
Bursar	Finance and Administration	3	M	Masters	External		Finance	2	2
Director	Human Rights and Peace Center	3	M	PhD	External		Law	15	7

APPENDIX L

MAKERERE UNIVERSITY ACADEMIC UNITS

New Academic Structure at Makerere University as of January, 2012 and According to Makerere University's Website

	Collegiate Structure	Schools (previously Faculties)
1	College of Agricultural and Environmental Sciences (CAES)	1. The School of Agricultural Sciences 2. The School of Forestry, Environmental and Geographical Sciences 3. The School of School of Food Technology, Nutrition and Bio-engineering
2	College of Business and Management Sciences (COBAMS)	1. The School of Economics 2. School of Business 3. School of Statistics and Applied Economics
3	College of Computing and Information Sciences COCIS	1. School of Computing and Informatics Technology (CIT) 2. East African School of Library and Information Science (EASLIS)
4	College of Education and External Studies (COEES)	1. The School of Education (SoE) 2. The School of Distance and Lifelong Learning (SoDLL)
5	College of Engineering, Design, Art and Technology (CEDAT)	1. School of Engineering 2. School of the Built Environment 3. The Margaret Trowell School of Industrial and Fine Art
6	College of Health Sciences (CHAS)	1. The School of Medicine 2. The School of Public Health 3. The School of Biomedical Sciences 4. The School of Health Sciences
7	College of Humanities and Social Sciences (CHUSS)	1. The School of Liberal and Performing Arts 2. The School of Women and Gender Studies 3. The School of Languages, Literature and Communication 4. School of Psychology 5. The School of Social Sciences 6. Makerere Institute of Social Research (MISR)
8	College of Natural Sciences (CONAS)	1. The School of Physical Sciences 2. The School of Biological Sciences
9	College of Veterinary Medicine, Animal Resources & Bio-security (COVAB)	1. The School of Bio-security, Biotechnical and Laboratory Sciences 2. The School of Veterinary and Animal Resources
10	School of Law	School of Law

APPENDIX M

PERMISSION TO CONDUCT RESEARCH LETTER

MAKERERE **UNIVERSITY**

P. O. Box 7062
Kampala Uganda
Website: www.mak.ac.ug

Tel: (Gen) +256-414-532631/4 · 542803
Fax: +256-414-541068
Email: vc@admin.mak.ac.ug

OFFICE OF THE VICE-CHANCELLOR

MAK/VC/228/11

19th August 2011

Mrs. Lillian Butungi Niwagaba
Researcher
University of North Texas

Dear Mrs. Niwagaba,

PERMISSION TO CONDUCT RESEARCH AT MAKERERE UNIVERSITY

Reference is made to your undated letter on the above-mentioned subject.

You are hereby granted permission to conduct semi-structured interviews with the Planning & Development Department (PDD) Makerere University and any other units that is involved in mobilizing private support for the university. The Director PDD can be contacted on email; jwabwire@pdd.mak.ac.ug or +256 414542470.

You can contact Mr. David K. Muhwezi, the University Secretary (unisec@admin.mak.ac.ug or +256 414 540436) and Mr. Alfred Namoah, the Academic Registrar (ar@acadreg.mak.ac.ug or +256 414 533332) on matters regarding Council and Senate respectively.

I wish you the best in your research and look forward to meeting with you for the interview.

Yours sincerely,

Professor Venansius Baryamureeba
ACTING VICE CHANCELLOR

c.c.   Member of Management, Makerere University
       Beverly Bower, Professor University of North Texas

APPENDIX O

MAP OF MAKERERE

Aerial Map of Makerere University, Main Campus Provided in the Fact Book

APPENDIX P

ASSORTED PHOTOGRAPHS OF PEOPLE AND PLACES

View of Makerere University Main Hall from Freedom Square

Makerere University's Inauguration procession in 1970
Left to Right: President Mwalimu Nyerere of Tanzania, President Jomo Kenyatta of Kenya, President Kenneth Kaunda of Zambia, Student leader Anyang' Nyong'o and Chancellor Milton Obote, then president of Uganda

COMPREHENSIVE REFERENCE LIST

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