

**EXPLORING THE VALUES OF FUNDRAISERS:
THE CASE OF IN-MEMORIAM DONATIONS**

**Exploring the Values of Fundraisers:
The Case of In-memorial Donations
M.Sc. in Project Management**

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Table of Contents

Introduction..... 1

1 The Problem..... 7

 1.1 General Problem..... 7

 1.1.1 Project management and fundraising. 10

 1.1.2 General objectives. 13

 1.1.3 General questions. 13

 1.2 Specific Problem 14

 1.2.1 State of the scientific research. 14

 1.2.1.a State of research relating to project management and ethics. 15

 1.2.1.b State of research relating to fundraising practice and ethics..... 17

 1.2.1.c Conclusion..... 19

 1.2.2 Commonalities between the fields..... 20

 1.2.3 Fundraising: Overview of in-memorial donation management..... 22

 1.2.2.a Acknowledgement..... 23

 1.2.2.b Recognition. 26

 1.2.2.c Stewardship. 28

 1.2.2.d Summary..... 30

 1.2.3 Death studies..... 30

 1.2.4 Specific objectives..... 31

**EXPLORING THE VALUES OF FUNDRAISERS:
THE CASE OF IN-MEMORIAM DONATIONS**

2	Theoretical Framework.....	34
2.1	Organizations and Non-Profit Organizations.....	34
2.2	Fundraising.....	36
2.3	Ethics and Values.....	40
2.3.1	Philanthropy and ethics.	40
2.3.2	Virtues.	46
2.3.2.a	Generosity.	48
2.3.2.b	Benevolence.....	49
2.3.2.c	Respect.	50
2.3.2.d	Compassion.....	52
2.3.3	Personal values in fundraising practice.	53
2.3.4	Ethical codes in fundraising.	54
2.3.5	Ethical decision-making frameworks for fundraisers.....	56
3	Methodology.....	63
3.1	Qualitative Methodology.....	64
3.1.1	Informal interviews and conversations.....	65
3.1.1.a	Specific interview questions.	66
3.1.2	Participants' narratives or stories.	67
3.1.3	Autoethnographical strategy of inquiry.....	68
3.1.4	Personal diary keeping.....	70
3.1.5	Participant selection.....	71
3.1.6	Data collection.....	71

**EXPLORING THE VALUES OF FUNDRAISERS:
THE CASE OF IN-MEMORIAM DONATIONS**

3.2	Interpretive Approach	71
3.3	Data Analysis	73
4	Analysis and Interpretation of Data.....	75
4.1	Introduction to Analysis and Interpretation of Data.....	75
4.2	Why did you become a fundraiser? Unveiling the inner values of practitioners	75
4.2.1	Analysis and interpretation of Table 2.	76
4.2.2	Implications for the fundraising practice: the need for self-reflection.	81
4.2.3	Implications for the project management discipline: fundraising as an important new and needed theme to address.	83
4.2.4	Conclusion: The importance of the human/social aspect of project management.	85
4.3	Values that enhance acknowledgement of in-memorial donations.....	85
4.3.1	Analysis and interpretation of Table 3.	86
4.3.2	Implications for the fundraising practice: fundraisers as helpers in dealing with grief.....	91
4.3.3	Implications for the project management discipline: application yields improvement and innovation in fundraising and supports fundraiser’s values.	92
4.3.4	Conclusion: the critical role of personal values for project management and fundraising respecting acknowledgement.	93
4.4	Values that enhance recognition: respect, sensitivity and compassion.....	94
4.4.1	Analysis and interpretation of Table 4.	94
4.4.2	Implications for fundraising practice: the need to tailor recognition in line with the values of all stakeholders.....	96

**EXPLORING THE VALUES OF FUNDRAISERS:
THE CASE OF IN-MEMORIAM DONATIONS**

4.4.3 Implications for project management discipline: the need to address ethics and philanthropy..... 98

4.4.4 Conclusion: Donor-centred, sensitive and mindful recognition of in-memorial donations..... 98

4.5 Values that enhance stewardship..... 99

4.5.1 Analysis and interpretation of Table 5. 100

4.5.2 Implications for fundraising practice: application of values can impact the effectiveness of stewardship..... 103

4.5.3 Implications for project management discipline: the need to increase emphasis on stewardship. 104

4.5.4 Conclusion: Specific value-infused training of fundraisers in stewarding in-memorial donors is warranted. 106

4.6 Using values to resolve certain conflicts that arise in managing in-memorial donations..... 106

4.6.1 Analysis and interpretation of Table 6. 107

4.6.2 Implications for fundraising practice: value-laden insights can improve fundraising practice and results..... 110

4.6.3 Implications for the project management discipline: purposeful integration of ethical considerations has the potential to positively affect fundraising practice. 113

4.6.4 Conclusion: the project management discipline can assist fundraising practice in managing ethical dilemmas. 115

**EXPLORING THE VALUES OF FUNDRAISERS:
THE CASE OF IN-MEMORIAM DONATIONS**

4.7	Improving as a fundraiser from lessons learned through managing in-memorial donations.....	116
4.7.1	Analysis and interpretation of Table 7.	118
4.7.2	Implications for fundraising practice: Managing in-memorial donations is good training for new fundraisers.	119
4.7.3	Implications for the project management discipline: a greater emphasis should be placed on ethics and ethical decision making.	120
4.7.4	Conclusion: much may be learned from in-memorial donations.	122
4.8	Interviewee’s stories about in-memorial donations	122
4.8.1	Analysis and interpretation of Table 8.	124
4.8.2	Implications for fundraising practice: annual campaigns should be managed as projects.....	128
4.8.3	Implications for the project management discipline: story-telling can enhance the ethical dimension.	129
4.8.4	Conclusion: Story-telling, a frequently used fundraising technique, can enhance the project management discipline.	129
5	General Analysis.....	131
5.1	Diary Analysis.....	131
6	Conclusion.....	134
6.1	Succinct Answers	134
6.1.1	Succinct answers to general research questions.	134
6.1.2	Succinct answers relating to specific objectives.....	136

**EXPLORING THE VALUES OF FUNDRAISERS:
THE CASE OF IN-MEMORIAM DONATIONS**

6.1.3 Succinct answers relating to general objectives. 137

6.2 Limits of Research 139

6.3 Future Research Avenues..... 140

6.3.1 Values of fundraisers - impact on perception of organizational ethics. 140

6.3.2 Value-focussed hiring practices in fundraising. 140

6.3.3 Exemplary practices in specific NPO settings..... 141

6.3.4 Can project management assist fundraising in ethics management?..... 141

6.3.5 Can fundraising stewardship expertise improve project management? 141

6.4 New Findings to the Project Management Discipline..... 142

6.5 Final Reflections 142

7 Appendices..... 146

Appendix 7.1: Project Management Institute Code of Ethics and Professional Conduct..... 147

Appendix 7.2: A Donor Bill of Rights 154

Appendix 7.3: Donor Relations Cycle 155

Appendix 7.4: AFP Code of Ethical Principles and Standards 156

Appendix 7.5: Consent Form 158

Appendix 7.6: UQO Ethics Certificate 161

List of Tables 162

List of Figures 163

References..... 164

EXPLORING THE VALUES OF FUNDRAISERS: THE CASE OF IN-MEMORIAM DONATIONS

Abbreviations

Abbreviation:	Abbr.
AFP:	Association of Fundraising Professionals
Edition:	ed.
Second Edition:	2 nd ed.
Translator(s):	Trans.
No date	n.d.
Non-profit organization:	NPO
Page(s):	p. or pp.
Project Management Book of Knowledge:	PMBok
Volume(s):	Vol. Or Vols.
Number:	No.
National Society of Fundraising Executives:	NSFRE

EXPLORING THE VALUES OF FUNDRAISERS: THE CASE OF IN-MEMORIAM DONATIONS

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Introduction

Has anyone ever heard a child say: When I grow up, I want to be a fundraiser?¹ I never did. Most fundraisers didn't either. Indeed, if you ask fundraisers, most would probably say that they stumbled into the profession later in life.² That is how I, too, ended up becoming a fundraiser. During most of my professional life, for close to 20 years, I worked for a Canadian national non-profit organization (hereafter NPO), managing projects which aimed to help people in need in countries around the globe. Becoming a fundraiser was not even a remote possibility. It was probably one of the last occupations I would have considered. I never wanted to beg anyone for money. And yes, I refer to it as 'begging' because I considered it equivalent to begging. However, sometimes life throws us curves – opportunities for new beginnings, transformations, revelations, and yes, opportunities to 'stumble' into new professions. I, too, it seemed, 'stumbled into fundraising'. It was nothing I could have predicted or planned for. In 1998, my son was diagnosed with Fragile X syndrome, the most common form of genetic mental impairment and leading molecular cause of autism. This awoke in me a desire to help him and kids like him. Funds were needed for any significant effort. Having project management experience provided

¹ The practice of fundraising is understood as raising of assets and resources from various sources for the support of an organization or a specific project. Association of Fundraising Professionals (AFP) on-line dictionary, pg. 54. It is also defined by a broader definition as resource development, or the practice of identifying, cultivating, and securing financial and human support for an organization. AFP on-line dictionary, pg. 106.

² National Society of Fundraising Executives (NSFRE), Profile: 1992 Membership Survey. Alexandria, Va.: NSFRE, 1992.

me with a solid starting base, but I knew that was not going to be enough. I needed to learn more about the theory and practice of fundraising. To this end, I enrolled into and graduated from a National Fundraising Management Program, became a member of the Association of Fundraising Professionals (AFP)³ and worked as a fundraiser for a Canadian national NPO that exists to serve persons with various mental disorders. In time, my appreciation of the fundraising field became much broader and deeper.

My original notion of fundraising - as begging, selling and soliciting - crude, uneducated and inexperienced as it was, is now gone. I have worked in and formally studied both fields: project management and fundraising.

This research and thesis show that the fundraising practice borrows freely from project management: its knowledge, skills, tools, and techniques. Yet, there is room to borrow a lot more. In the fundraising field they are borrowed and, much like in the project management field they are applied to project activities in order to meet the project requirements. However, this 'borrowing' is done for one specific purpose: to raise assets and resources.

This research and thesis serve to further advance, in a positive and complementary direction, both project management and fundraising; the theory and the practice.

³ In 1964, AFP was the first international organization for professional fundraisers in the world to create a Code of Ethics.

This thesis exposes the problem that is researched, the theoretical framework underpinning the research, the methodology that is employed in the research, the interpretation of the results of the interviews, a general analysis and conclusions arrived at through the analysis. A section is devoted to each discussion.

The problem section includes general questions as well as specific objectives related to the topic at hand. The general questions will include the following:

- What values inspire fundraisers to become fundraisers?
- How do fundraisers treat in-memoriam donors (and surviving families)? Do they treat them as donors of a lesser value; as donors whose value does not warrant the expenditure of one's time and effort?
- To what extent do fundraisers provide in-memoriam donors (and surviving families) the respect, service and compassion they deserve?
- Is there anything that can be learned from managing in-memoriam donations that can improve the work of a fundraiser in his/her chosen profession?
- What values do fundraisers see as important, i.e. specifically those that relate to in-memoriam donors?

In addition to the above general questions the problem section will include the following specific objectives:

1. What values might help fundraisers provide accurate or prompt acknowledgment of in-memoriam donations?

2. What values might help fundraisers provide adequate and appropriate recognition of in-memorial donors in a manner that is consistent with ethics and a sense of philanthropy?
3. What values might help fundraisers to better steward in-memorial donors?
4. What values might help fundraisers resolve the conflicts that arise in the situation of death/grief in the context of managing in-memorial donations?

The theoretical framework section explores three main areas of discussion: 1) organizations and, particularly, NPOs; 2) the fundraising practice; and 3) concepts such as ethics and values. The concepts of ethics and values are further situated and explored within the context of philanthropy. Specific ethical concepts such as virtue, generosity, benevolence, respect and compassion are further explored and defined by various philosophers and authors such as Aristotle (384-322 BC), David Hume (1711-76), Anthony Ashley Cooper, the Earl of Shaftesbury (1671-1731), Immanuel Kant (1724-1804) and Robert C. Solomon (1943-2007).

The methodology section describes the specific research methodology employed in this thesis. I used a qualitative methodology, an interpretive approach and an autoethnographical strategy of inquiry, drawing heavily upon 20 years of project management experience and first-hand experience with the subject matter under study. As an integral part of the chosen methodology, I conducted fifteen interviews, nine with fundraisers from Canadian national NPOs and six with fundraisers from local NPOs (Ottawa, Toronto and Montreal). Further specifications for the selection of the fundraisers to interview included a minimum of five years in the profession. In

addition, only those non-profits that offer in-memoriam donations as one of their major fundraising options were considered as a resource pool of potential participants.

In the analysis and interpretation of data section, I take each question in turn. For each question, I review and analyze the answers, determine whether my findings contribute anything new and relevant to fundraising, determine whether my findings contribute anything new and relevant to project management and summarise.

The next section of the thesis is devoted to a general analysis. In it, I discuss the diary I kept during this research and how observations and reflections recorded in the diary assisted in the research and conclusions.

The final section is where I set out the conclusions I draw from the research findings, interpret and analyze the data, outline limits of my research and suggest future research avenues.

In general, this research discloses that values covering a wide spectrum are held by those who manage in-memoriam donations, the fundraisers interviewed and myself as the inquirer. The research notes, on the one hand, a criticism of the project management discipline, being its lack of emphasis on the human side that includes social conducts that are defined by history, context, individual values, wider structural frameworks and ethics. On the other hand, it notes fundraising practice to be a possible improvement in this regard. Fundraising practice has the potential to enrich and expand the project management discipline in more human/social and altruistic directions not formerly explored. For example, story-telling, a powerful technique

commonly used in fundraising has the potential to clarify abstractions and anchor values important in the project management profession. Story-telling, by project management professors, researchers in the area of project management and project managers, has the potential to add much to the ethical dimension of project management and the profession as a whole.

1 The Problem

This section is divided into three subsections. I present the general problem in the first subsection, discussing how project management is used in fundraising and asking some general questions. In the second subsection, I present more specific problems. I examine fundraising from the standpoint of the process involved and extend this examination to the context of in-memoriam donations. I also make reference to the field of knowledge known as death studies. The subsection ends with a list of specific objectives. In the third subsection, I list the objectives of this paper.

1.1 General Problem

The impetus for this research and thesis stemmed from real-life situations. At a time when I worked as a fundraiser for a national NPO that existed to serve persons with various mental illnesses, I oversaw an exceptionally high number of in-memoriam donations. In-memoriam donations, also known as commemorative gifts, are donations given in memory of a loved one. Some such donations fall within the monetary range of donations that NPOs consider to be major gifts. Major gifts are defined as the top 10 to 20 percent of gifts received by an organization that result in 70 or 80 percent, sometimes even more, of the organization's fundraising revenues (Dove, Spears & Herbert, 2002, p.1). As an experienced fundraiser, I was well aware of one fundraising rule observed by fundraising practitioners: "The bigger the donation, the more personal and prompt the thank-you." Accordingly, I proceeded to call donors who submitted

what my NPO considers to be major on-line in-memorial donations. Upon answering my calls, donors could not stop crying. Some could not utter a word. Others just hung up on me. There was obviously something wrong in the attempt to observe the rule in such circumstances. My observations of donor reactions were at odds with what I was taught, at odds with current prevailing practices in the milieu of fundraising and at odds with what I believed to be true. I had been so convinced that the unqualified advice simply applied to all types of donations and all types of donors. My personal experiences surrounding the management of in-memorial donations were so emotive that they acted as an impetus for choosing it as a thesis research topic, in order to arrive at a better and broader understanding by fundraisers of their own values and how these impact their relations with in-memorial donors. The Oxford Dictionary (1982) defines “values” as one’s principles or standards, or one’s judgement of what is valuable or important in life. Anderson (1996), a prominent author on the topic of ethics in fundraising, enhances this definition further: “Even ethics itself is sometimes defined as the conflict of values, where values are distinguished from observable facts” (p.29)

The identification of “values” within the context of in-memorial donations requires that I consider the following realities of in-memorial donation management:

- a) the scarcity of literature and research respecting management of in-memorial donations within the context of annual campaigns;⁴

⁴ As disclosed in my bibliographical research, I considered many journals accessible in UQO databases, including ones that address project management: the *Project Management Journal*, the *International Journal of Project Management*, the *International Journal of Managing Projects in Business*, and the *Journal of Management*.

- b) a perceived apathy and lack of interest on the part of fundraising professionals regarding both donors who make in-memorial donations to NPOs and families honoured with in-memorial donations (as I personally noted in my dealings with peers);
- c) the current dominant theory and practices related to acknowledgement, recognition and stewardship of in-memorial gifts that may be in direct opposition to theories related to grieving (as my 20 years of professional experience squarely confronted this dilemma);
- d) the values held by fundraising practitioners and the potential impacts those values may have on the choice and timing of interventions pertaining to in-memorial donations (as I had understood from experts in fundraising that such interventions were to be within 24 hours); and
- e) the considerable and substantial differences in the way NPOs manage in-memorial gifts owing to differences between NPOs related to cause, scope, size of fundraising portfolio, staffing complement, technical capacity of the development office and values of fundraising practitioners (as my 20 years of experience caused me to believe that things were different).

By reviewing pertinent literature, I was able to ascertain the state of research related to in-memorial donations and to appreciate potential research avenues. The thesis topic - "Exploring the values of fundraising project managers: The case of in-memorial donations" - spans three fields of study or disciplines: project management, fundraising and death studies. For this

reason, the thesis begins with a brief overview of the state of research, which contextualizes my research topic and these fields of study/disciplines.

1.1.1 Project management and fundraising.

The first discipline with which the research topic intersects is project management. Project management is currently applied in many sectors as a relevant and key strategy in management of change in organizations. Within the context of my own research, the focus is on its specific application to fundraising in the non-profit sector. Research related to fundraising projects in the field of project management is in its infancy; and very few can be found in the traditional academic journals of management or even of project management.⁵ However, Kloppenborg and Opfer (2002) have indicated that project management executives and professors have already identified an increased occurrence of non-traditional projects dealing with volunteers, resources, and fund-raising campaigns as one of the future trends for future research. Indeed, most NPOs execute fundraising projects of varying size and complexity utilising their respective staffs as well as volunteers in order to ensure long-term sustainability and fulfillment of their NPOs' respective missions. In the fundraising field these fundraising projects or 'ways of raising funds' are commonly referred to as fundraising methods or approaches. My professional experience allows me to identify that many of these methods or approaches, such as special events,⁶ annual

⁵ For this purpose, I consulted the academic database of journals at the UQO library (e.g. EBSCO, Wiley, Sage etc).

⁶ Special events are functions designed to attract and involve people in an organization or cause. Association of Fundraising Professionals (AFP), On-line Fundraising Dictionary, (2003), p.111

sense, a fundraising campaign is conducted for a specific purpose, namely to raise assets and resources.

For the purpose of this research, the research topic and specifically in-memoriam donations is broadly situated within the context of *annual funds/appeals or campaigns*, which were described by Williams (2004) in the following terms:

... both the way in which funds are raised and the purposes for which they are raised. It signifies one campaign, conducted once a year, for one program - in this case, the annual operating program(s). Annual fund campaigns differ from larger campaigns in that the case is more general and the dollar goals much smaller. The annual fund theory is to acquire, retain, and upgrade donors on an annual basis or to invite, inform, involve, and inspire donors over time. Annual fund gifts are relatively small, but repeatable on an annual basis and growing over time. Annual gifts come from donor's discretionary funds, not accumulated assets, as in a capital or endowment campaign.... Annual giving implies a broad range of activities that may be very different in size and scope...Many techniques are used within the broad definition of annual giving, including personal solicitation, direct mail, telephone solicitation, phonathons, benefit events, grant writing, and so on. (p. 39)

One type of a donation encouraged during this 12-month period is commonly referred to as an in-memoriam donation. In-memoriam donations are gifted to the NPO to honour the memory of a family member, a friend, colleague, or a prominent member of society, who has passed away. In-memoriam donation management could be equated to a defined as a technique, i.e. a systematic procedure employed by a human resource to perform an activity to produce a product or result or deliver a service, and that may employ on or more tools (PMBok, p.451) in the project management field. One might say that many fundraisers differentiate and value gifts received during this period differently. Quite a few references to in-memoriam gifts in

fundraising literature seem to conclude that in-memorial donors are those on whom time should not be wasted. In this sense, Greenfield (2002) has pointed out:

Some of the donors who use commemorative gifts will be new to the organization. Few of these people are likely to become candidates for other annual giving programs, including renewal solicitations, because their motive in making their first gift was to show respect for the person honoured, not to support the designated organization. They probably will not give again, even if asked. The best hope for converting these donors into annual givers begins with properly acknowledging each donation, regardless of its size. (p.455)

1.1.2 General objectives.

In this section, the general objectives of the research and thesis are listed. The general objectives are to:

- A. obtain a greater understanding of meanings (or reasons) behind the interventions;
- B. explore a topic that may provide impetus for broader exploration and perhaps improvements, in the way in-memorial gifts are managed;
- C. propose some guidelines intended to improve effectiveness of fundraisers and service delivery to in-memorial donors; and
- D. contribute to the emerging theory of project management in the fundraising field.

1.1.3 General questions.

The previous reflections allow me to propose the following general research questions:

- i. What values inspire fundraisers to become fundraisers?
- ii. How do fundraisers treat in-memorial donors (and surviving families)? Do they treat them as donors of a lesser value; as donors whose value does not warrant the expenditure of one's time and effort?

- iii. To what extent do fundraisers provide in-memorial donors (and surviving families) the respect, service and compassion they deserve?
- iv. Is there anything that can be learned from managing in-memorial donations that can improve the work of a fundraiser in his/her chosen profession?
- v. What values do fundraisers see as important, i.e. specifically those that relate to in-memorial donors?

1.2 Specific Problem

This subsection is divided into five parts. In the first part, the state of scientific research in the areas of project management, fundraising and values is discussed. In the second part, the commonalities and differences between the field of fundraising and the field of project management are discussed. In the third part, there is an overview of the management of in-memorial donations and a discussion of three concepts, namely acknowledgement, recognition and stewardship. The fourth part deals with the field of knowledge referred to as death studies. Finally, in the fifth part of this subsection, specific objectives are listed.

1.2.1 State of the scientific research.

The following two subsections set out the state of research relating, in turn, to project management and ethics and to fundraising practice and ethics.

1.2.1.a State of research relating to project management and ethics.

The focus of project management literature has traditionally been on improving the discipline within the parameters of key constraints: time, cost and quality. It is therefore not surprising to find that much of project management education, standards of practice and certification programs have been linked to those particular criteria. However, proponents of the critical interpretive approach¹⁵ to research argue that the Project Management Institute (PMI®),¹⁶ the Project Management Body of Knowledge (PMBok®)¹⁷ and the related project management certification programs have “marginalized the project management experience to just the PMBoK prescription”. (Sewchurran, 2008) Authors such as Cicmil (2006) and Flyvbjerg, Bruzelius & Rothengatter (2003) argue that a project manager should not just be a skilful technician but a “virtuoso social political actor” whose virtues include reflexivity, ethics, value rationality, and the use of judgement and intuition. Consequently, they also argue that the field of project management needs an alternative perspective, one that considers the practice of project management as a social conduct, defined by history, context, individual values, and wider structural frameworks. Other authors in the field of project management advance this view even

¹⁵ The interpretive approach is a qualitative research approach. It assumes that people create and associate their own subjective and inter-subjective meanings as they interact with the world around them. Interpretive researchers thus attempt to understand phenomena through accessing the meanings participants assign to them. (Orlikowski & Baroudi, 1991).

¹⁶ The Project Management Institute (PMI) is the world’s leading professional not-for-profit membership association for the project management profession, with more than half a million members and credential holders in 185 countries (<http://www.pmi.org/About-Us.aspx>).

¹⁷ Project Management Body of Knowledge (PMBok) is an inclusive term that describes the sum of knowledge within the profession of project management (PMBok Guide, p. 443).

further, in reference specifically to ethics. They argue “that knowledge of and proficiency in thinking about and debating ethical issues is just as important to the modern project manager as are the abilities to think creatively and logically when planning, executing and completing projects.” (Helgadóttir, p. 743)

Aside from the aforementioned ethics-related shortcomings of the PMBoK prescription, it is also useful to situate this research topic in relation to The Project Management Institute (PMI)’s *Code of Ethics and Professional Conduct* (hereafter “PMI Code of Ethics”). This code was meant to guide project management practitioners and to describe the expectations practitioners have of themselves and others. During its development process, surveyed practitioners indicated that the most important values that guided their decision making were responsibility, respect, fairness, and honesty. Appendix 7.1, the PMI *Code of Ethics*, makes specific reference to it being an affirmation of these four values as its foundation. One of these four values - ‘respect’ - is described as follows in the code:

Respect is our duty to show a high regard for ourselves, others, and the resources entrusted to us. Resources entrusted to us may include people, money, reputation, the safety of others, and natural or environmental resources.

An environment of respect engenders trust, confidence, and performance excellence by fostering mutual cooperation — an environment where diverse perspectives and views are encouraged and valued.

Since ‘respect’ is a value that is not just important to project managers but also to fundraisers, it will be defined and placed within the fundraising context in subsection 2.3.3.c of this paper.

The PMI *Code of Ethics* outlines broadly shared ethical principles. However, critics argue that “we should ... not make little of the difficulty facing the institutions behind the PMBoK in their attempt to establish ‘universal characteristics’ across different types of projects, industries,

structures, societies etc.” (Hodgson & Cicmil, 2007, p.446) I, too, agree that the universal application of the PMI *Code of Ethics* to other fields, such as fundraising, is problematic. It is too broad. Moreover, it does not sufficiently reflect key ethical principles that are observed in fundraising, including in the area of fundraising through in-memoriam donations.

1.2.1.b State of research relating to fundraising practice and ethics.

Fundraising is an emerging field of research. It is also an emerging profession. In fact, very few countries in the world have people who fund-raise for a living. In many of them, the word ‘fundraiser’ does not even exist. The fundraising field can be considered ‘developed’ in very few countries; to name a few, Australia, Canada, New Zealand, United Kingdom and United States.

Indeed, fundraising cannot technically be referred to as profession. There are specific reasons for this, which are important to explain in order to contextualize the research and the role that ethics plays within fundraising practice. In order to be considered a profession, the fundraising field must meet three criteria: it must have clearly defined occupational standards; it must have a common ethical code; and it must have a well-defined body of knowledge.¹⁸ It fails to meet at least two of these criteria. It does not have national occupational standards that map out the objective, valid and verifiable knowledge and skills of fundraising practitioners in the field.

¹⁸ Third Sector, November 17, 2009, p.35

Canada's National Occupational Standards do not define either fundraising skills or the knowledge of fundraising that are required to perform competently as a fundraiser in Canada's workforce. Similarly, again unlike the field of project management, the field of fundraising does not have a well-defined body of knowledge equivalent to the PMBoK.¹⁹ Only criterion is met. Fundraising does have an agreed code of shared ethical principles and standards. It is therefore appropriate to qualify fundraising as a practice and not a 'profession' and to infer that fundraising practice's strength, thus far, is its defined set of ethical principles and standards.

Further commitments to the area of ethics within the fundraising practice are reflected in its credentialing and educational efforts. For example, in the United States of America and Canada, there is a joint program called Certified Fundraising Executive (CFRE) professional association which provides credentialing within the fundraising practice by assessing knowledge across the six core knowledge areas of the fundraising role: current and prospective donor research; securing the gift; relationship building; volunteer involvement; leadership and management; and ethics and accountability.²⁰

Individuals who pass an assessment of knowledge, including knowledge of ethics and accountability in fundraising practice, and who meet certain experience requirements can qualify

¹⁹ Project Management Body of Knowledge (PMBoK) is an inclusive term that describes the sum of knowledge within the profession of project management (PMBoK Guide, p. 443)

²⁰ Six Core Knowledge Areas required to pass the CRFRE exam: <http://www.cfre.org/exam-content-outline.html>

to be Certified Fundraising Executives. Those who qualify must regularly re-certify. Certification is conducted voluntarily and not through licensure or government legislation.

Aside from the CFRE certification, Canada does have a national fundraising management program offered at the community college level. It has been designed to transfer knowledge and raise awareness of fundraising. A course in fundraising ethics makes an integral component of this program. Canada does not have either an undergraduate program of study in fundraising or a post-graduate one.

1.2.1.c Conclusion.

Researchers in the field of project management, which take a more critical approach, argue that ethics and ethical decision making do not feature prominently neither within project management theory nor project management practice. Another ethics-related shortcoming related to the project management field is that the PMI *Code of Ethics* identifies some important values of the practice, such as responsibility, respect, fairness, and honesty, universal application of this code is problematic if meant to apply to various projects, industries, structures, societies. For example, those values would not adequately nor appropriately cover the values mentioned in the AFP Code of Ethical Principles and Standards, such as “affirm, through personal giving, a commitment to philanthropy and its role in society”. (See Appendix 7.4)

Unlike the field of project management, where ethics or ethical decision making seems to be lacking in importance and reach, the fundraising practice seems to view it as more important than any other criteria that could provide it the leverage to be called a ‘profession’. Without the well-

defined body of knowledge and national occupational standards, one can not consider fundraising as a profession but only a practice. For this reason, it will be referred to as a 'fundraising field' or 'fundraising practice' in this document.

1.2.2 Commonalities between the fields.

Aside from the aforementioned similarities between the project management and fundraising fields, there are others. Karla Williams, in her book *Focused Strategies for Annual Giving* (2004), describes fundraising as a dynamic, strategic, problem-solving process that requires analysis, planning, execution, control and evaluation (p.147). This definition provides us with perspective that is new to fundraising but similar to the one used in project management to define project management process groups, (i.e. a logical grouping of project management inputs, tools and techniques, and outputs). The Project Management Process Group include initiating processes, planning processes, executing processes, monitoring and controlling processes, and closing processes. Project Management Process Groups are not project phases. (PMBOK, p. 443). The processes described in fundraising and project management are almost identical. There are also other similarities. In the project management discipline, those who manage projects are defined as "persons assigned by the performing organization to achieve the project objectives."(PMBOK Guide, 2008, p.443) In the fundraising field, they are simply referred to as 'fundraisers' or 'development staff'. The Association of Fundraising Professionals describes them as "persons, paid or volunteer, who plan, manage, or participate in raising assets and resources for an organization or cause." (AFP On-line dictionary, p.54) The common elements between the two definitions are 'planning' and 'management'. Both 'professions' imply management of very strategic and deliberate efforts.

There is one other key common denominator. The theory and the practice of project management espouse that no project can ever succeed without consideration, respect and value for the project team and other key stakeholders. One might say that the theory and the practice of project management consider relationships with stakeholders as an important project success factor. In the fundraising field, relationship management, specifically as concerns donors, is also considered a critical success factor. This factor is discussed and researched in far greater depth by Greenfield (1999) who states: “Neglecting donor relations is perhaps the greatest sin of omission within fund development programs.” (p.17) Indeed, relationships are so important in fundraising that Ken Burnett, a fundraiser-practitioner and author, has coined a specific term that is used in the field to this day:

Burnett (1992) was the first to recognize the need for what he termed *relationship fundraising* and to champion a move toward dealing with donors individually, recognizing each donor as unique in terms of giving history, motivation for giving, and the overall standard of care expected from the charities being supported. The entire relationship with a donor, he argued should be viewed holistically and fundraising decisions taken in light of the perceived value of the overall relationship. (Sargeant, (2001), p.180)

More recently, Penelope Burke, a well-known Canadian author and researcher, coined yet another relationship management term: *donor-centered* fundraising (Burke, 2003). She has defined it as fundraising philosophy that involves three considerations:

- Prompt, personalized acknowledgement of donor gifts;
- Confirmation that their gifts have been set to work as intended; and

- Measurable results on their gifts at work prior to being asked for another contribution.
(pp.10-11)

These considerations of commonalities and differences between the project management and fundraising fields are revealing. They reveal that fundraising campaigns, and specifically annual campaigns, can be viewed as projects. That is, projects with a specific and unique purpose; projects that focus on relationship management in both fields can be viewed as a critical ‘project/campaign’ success factor. Much of what I know from project management has practical and meaningful applications for many fundraising methods/approaches.

The overview of key similarities and differences situates the thesis research topic within a specific context. This discussion will be narrowed further in the next subsection, which deals specifically with in-memorial donations, processed by fundraisers during annual campaigns.

1.2.3 Fundraising: Overview of in-memorial donation management.

Literature and research related to in-memorial donation management is scarce at best. An early and very comprehensive work on this topic was completed by Howard D. Merkin. In his book, *The Complete Fundraising Guide* (1972), Merkin writes about the processing of in-memorial donations that come to the fundraising office “by mail, telephone, or in person, and where staff subsequently: 1) prepare acknowledgement cards and envelopes by hand rather than typewriter; 2) send them to the next-of-kin; and 3) prepare receipts to the donors”. (p.70) Since this book was written, technological improvements have moved the fundraising field well beyond the use of a typewriter. Today, most NPOs managing large volumes of in-memorial gifts utilize the

internet on-line donations management systems and sophisticated fundraising management software (among other tools) to manage their donations. On-line options allow donors to give at any time of day or night, without need for personal contact with the fundraiser responsible for the oversight of such donations. Even the electronic thank-you cards, tax receipts and notices to the grieving family can be generated automatically. It is only when traditional cards (mostly meant for those who have no access to e-mail, or those who prefer traditional cards) are requested by the donor, that they are processed manually by fundraisers.

Considering that much of the work related to managing of such donations is done electronically, is there anything to managing of in-memoriam donations that may require interventions from fundraisers? The simple answer is: yes. With all types of donations, including in-memoriam donations, fundraisers must concern themselves with three key components of the donor relations cycle, which researchers and fundraising practitioners have identified as critical to fundraising success (Hendricks, 2008; Williams, 2004). They are: 1) *acknowledgment* of donations; 2) *recognition* of donors, and 3) *stewardship*.

1.2.2.a Acknowledgement.

The first component and the first step, is related to acknowledgment of donations. It is defined as “an expression of gratitude for (a gift or service) in written or oral form, communicated privately or publicly.” (AFP On-line Dictionary, p.3) Essentially, it is a way of saying thank-you to the donor. Well-known authors in the fundraising field advise that donors be thanked within 24-48 hours of receipt of a donation in a very personalized way. It is important to note that these types of references do not differentiate between donors who may have donated in memory

of a loved one and those who may have donated for another reason. In the first instance, this advice may seem exaggerated, considering how many donations a large charity may receive in one single day. For example, during first three months of the year, i.e. January to March, when the suicide rate in Canada is the highest, the NPO for which I work receives between 3 and 5 major in-memoriam on-line donations per day. However, empirical research conducted by Penelope Burke and elaborated on in her book, *Donor-Centred Fundraising* (2003), indicates that such calls within a day or two of gift receipt can increase the likelihood of a subsequent gift from individuals by 85%. There is common agreement among researchers and practitioners that this practice is not just a question of good manners, but a way to increase a donor's next donation and a way to secure future donations. "The best hope for converting these [in-memoriam] donors into annual givers begins with properly acknowledging each donation, regardless of its size" (Greenfield, 2002, p.455). The above advice and research leads to an inevitable conclusion: all in-memoriam donations should be acknowledged, within 24-48 hours, in a very personalized way or in the very least acknowledged 'properly'. On-line donations systems allow for all thank-you notices to be generated automatically. Certainly, these thank-you notices cannot be considered personalized acknowledgements. If these automatically generated notices cannot be considered personal enough, should a fundraiser personally acknowledge all donations? The dilemma is multi-fold. How is personally defined? Does it mean a) with a tailor-made thank-you letter? b) in person? or c) over the phone? If the answer is 'yes' to the first two options, fundraisers, working at NPOs with 30-50 of such daily donations might find themselves restricting their role and responsibilities to just acknowledging donations. If this option seems difficult to actualize, the next option would be to personally acknowledge only major in-memoriam donations. This uncovers a second dilemma, surrounding the definition of the word

personally. If personally is defined as ‘in person; in one’s person; or as a person’ (“Oxford Dictionary”, 1982), it would reveal a whole set of new serious, practical constraints. How can fundraisers who serve national NPOs with small travel budgets and small fundraising staff complements serve a constituency spread across a geographical mass, the size of Canada, acknowledge every major gift in person? These constraints may be the very factors that have led each NPO to determine how it defines the word ‘personally’. In case of on-line in-memorial donations, many NPOs, including the one for which I work, have opted for their own definition of the word personally to mean by phone. Considering the above-mentioned constraints, in practice, this is often chosen as the most appropriate way to acknowledge major in-memorial donations.

In spite of the rationale invoked for “by phone” acknowledgements, my review of the literature discloses that the serious concerns arising in the context of telephone acknowledgement considerations and in-memorial gift managing are absent from discussions and analyses in fundraising literature. Yet, my experience tells me that there are specific dilemmas that fundraisers face when attempting to acknowledge and thank donors for their in-memorial donation. For example:

- When fundraisers call to acknowledge a donation, do they leave a message if no one answers the phone?
- If they leave a message, what is the content of that message? Is the name of the NPO and the amount of the donation mentioned in the voice mail?

- If the preference is not to leave a voice mail, why is that a preference? In that case, do fundraisers keep calling that donor, and after how many tries do they stop?
- If fundraisers, in their attempts to reach a donor by phone, reach someone else in the household, do they leave a message with that person? What is the content of such a message? The name of the NPO? The amount donated?
- Does the telephone acknowledgement of major in-memoriam gifts take place within 24-48 hours of the donation receipt?
- Does the telephone acknowledgement follow a script or be left to the spur of the moment decision?
- Do fundraisers attempt to engage donors in a conversation? Do they ask why the donation is being made to their particular NPO?

The above deliberations are meant to situate the research topic at hand. To this end, the research employs a qualitative approach and analyses results of interviews of some fundraisers in order to gain insight into the values they hold.

1.2.2.b Recognition.

The second component of the donor relations cycle, recognition of donors, is defined as “the policy and practice of providing recognition to a donor by a personal letter, a public expression of appreciation, a published list of donors, or another appropriate way.”(AFP On-line Dictionary, p.42) This second component is also a way of saying thank-you in a personalized way, however,

it is often a more public way of doing so, which oftentimes may require the donor's agreement and permission.

In practice, donors are recognized in a variety of ways: with a personalized letter or phone call; plaque; naming opportunity for a facility or outdoor space; special mention on web-sites, newsletters, annual reports; involvement on NPO's board of directors or its various committees; and honouring during donor recognition events.

Donor recognition, a concept frequently discussed in fundraising literature, is full of references for the need of *appropriate* and *adequate* donor recognition. The central conclusion of these references and the empirical evidence that supports it, is that failure to provide adequate and appropriate recognition, will lead to either a lowering of future support or its complete termination (Boulding, 1973). The first empirical support for this proposition, indicates a link between the perception of adequate recognition and the level of gifts/lifetime value (Sargeant, 2001). One of these references, which refers specifically to the need for appropriate and adequate recognition, is the *Donor Bill of Rights*²¹ to which the Association of Fundraising Professionals (AFP) subscribes (see Appendix 7.2). Right #5 of this Bill, declares that donors have the right to appropriate acknowledgment and recognition. Some authors argue that instead, consistent with my experience, this right should be phrased as '*accurate or prompt*

²¹ *A Donor Bill of Rights* (1993) was adopted by the American Association of Fundraising Counsel (AAFRC), Association of Healthcare Philanthropy (AHP), Council for Advancement and Support of Education (CASE), and Association of Fundraising Professionals (AFP). Moreover, it has been endorsed by countless other organizations.

acknowledgement and recognition'. Their argument is based on the following rationale: if the Donor Bill of Rights says that donors can expect to receive appropriate recognition, does that imply that donors can expect to receive commensurate recognition – the larger the gift, the greater the recognition? (Anderson, 1996) This question allows me to propose another set of dilemmas for fundraisers managing in-memorial gifts:

Does the application of commensurate recognition demean the spirit of philanthropy? (Philanthropy is understood as any effort to relieve human misery or suffering, improve the quality of life, encourage aid or assistance, or foster the preservation of values through gifts, service or any other voluntary activity, any and all of which are external to government involvement or marketplace exchange. (AFP On-line Dictionary, p. 93.) Should one consider commensurate recognition an ethical practice?

Therefore, even donor recognition concept of the donor relations cycle illustrates dilemmas that fundraisers face when managing in-memorial donations.

1.2.2.c Stewardship.

The third related but over-arching component is the concept of stewardship. Stewardship is a concept closely related to relationship building; a concept that includes acknowledgement and recognition but in addition includes “the honouring of donor intent, prudent investment of gifts, and the effective and efficient use of funds to further the mission of the organization.” (AFP On-line Dictionary, p.113) In other words, NPOs are advised to use the donation as the donor intended and subsequently communicate to the donor how his/her donation was used. Only after

a donation has been accounted for properly, should a fundraiser plan for the next “ask” (i.e. next request for a donation). Grace (2005) outlined the critical essence of stewardship:

Increasingly, stewardship has come to mean the essential function by which organizations develop a lasting relationship with their donor-investors. This includes the ethical management and care of all human and financial resources. (p.142)

Henry Rosso, the founding director of The Fundraising School at the University of Indiana elevates the importance of stewardship even further. He calls stewardship as the soul of philanthropy and fundraising as its arms and adds the following description:

Stewardship is a *reflection of many values* critical to the practice of philanthropy and its working partner, fund raising. Stewardship is trust, responsibility, liability, accountability, integrity, faith, and guardianship. Stewardship focuses primarily on concern and respect for the needs and rights of those who give and those who receive, the constituents of nonprofit organizations. *Stewardship is the conscience of philanthropy*, a sentinel centering the organization on responsible action at all times. (Conway, 1997, p.11) (my italics for emphasis)

Drawing upon my experience with the concept of stewardship, as related to in-memoriam gifts, provides some critical key questions:

- To what extent are major in-memoriam donors or surviving families, recipients of major in-memoriam notices stewarded?
- Are the major in-memoriam donors or surviving families, recipients of major in-memoriam gift notices, segmented and cultivated for legacy gifts? (A legacy gift is usually made in the form of a life income arrangement or as a part of a bequest. It generally is both donor’s largest and last gift to the NPO. (Dove, Spears & Herbert, 2002, p. 63))

- Do fundraisers see in-memorial donors or recipients of in-memorial notices worthy of stewarding? Do they see major in-memorial donors or recipients of in-memorial notices worthy of stewarding?

Therefore, to fully explore the values of fundraisers, their stewardship of in-memorial donors will be included in my research as an integral component.

1.2.2.d Summary.

The donor relations cycle (see Appendix 7.3), inclusive of donor acknowledgement, recognition and stewardship – and as described above - aims to obtain “win-win” outcomes for both the donor and the institution (Steele & Elder, 1992). Practitioners in the field of fundraising are advised to apply them as guiding posts when managing all donations, including in-memorial donations. Therefore, all three components will form the background context in my exploration of in-memorial donation interventions.

This discussion of how my research and paper will explore the three phases in the process of fundraising and their application to in-memorial donations would not be sufficient were I not to also explore a field of study that has application. This field, death studies, is addressed in the next subsection.

1.2.3 Death studies.

The third field of study that my research will explore broadly is the area of death studies. Specifically, it will explore the values of research participants and of the inquirer as they pertain

tendencies for research avenues. Much remains to be uncovered. To this end, the research pursues a broader and deeper understanding of what values fundraisers hold relative to those held by others in society, and secondly, identifies some other values that might ensure that the treatment accorded by fundraisers to in-memorial donors (and surviving family) is one characterised by respect and compassion. This exploration might help fundraisers to be more effective within their NPOs and better able to serve their donors. What can be learned from experience of in-memorial donations?

In conclusion, with the details presented through points 1.2.1 to 1.2.4 the specific questions of the research are:

1. What values might help fundraisers provide accurate or prompt acknowledgment of in-memorial donations?
2. What values might help fundraisers provide adequate and appropriate recognition of in-memorial donors in a manner that is consistent with ethics and a sense of philanthropy?
3. What values might help fundraisers to better steward in-memorial donors?
4. What values might help fundraisers resolve the conflicts that arise in the situation of death/grief in the context of managing in-memorial donations?

With these specific questions, the specific objectives of my research are:

- To obtain greater understanding of the meaning (or reasons) behind interventions;
- To explore a topic that may provide impetus for broader exploration, and perhaps improvements, in the way in-memorial gifts are managed;
- To identify values that might help fundraisers provide accurate or prompt acknowledgement of in-memorial donations;

- To identify values that might help fundraisers provide adequate and appropriate recognition of in-memoriam donors in a manner that is consistent with ethics and a sense of philanthropy.
- To identify values that might help fundraisers better steward in-memoriam donors;
- To identify values that might help fundraisers resolve conflicts that arise in the situation of death/grief in the context of managing in-memoriam donations.
- To propose some options intended to improve effectiveness of fundraisers and service delivery to in-memoriam donors.
- To contribute to the emerging theory of project management through application to fundraising.

In the final analysis, the foregoing will allow me to:

- Propose some ideas that enrich PM theory; and
- Propose some options for fundraising practitioners.

2 Theoretical Framework

This section deals with the theoretical framework for the research and thesis. It is divided into three subsections that help illustrate the theoretical framework, at first elaborating on them in a very general way and eventually narrowing down my scope of discussion to very specific elements. The first subsection discusses the general theoretical framework which relates to organizations and, particularly, NPOs. In the second, various definitions and terms used to describe fundraising are explored. In the final section, the most specific theoretical framework of my research and thesis, namely ethics and values, is presented. Specifically, the thesis discusses the theoretical framework of philanthropy as it relates to ethics, and further defines philosophical concepts such as virtue, generosity, benevolence, respect and compassion.

2.1 Organizations and Non-Profit Organizations

This research is situated within a context of NPOs. For this reason, it is important to define what is meant by the term organization. Burrell and Morgan (1979) tell us that different theoretical paradigms provide us with a different answer to this question. For example, Gaus (1936), a classical theorist defined organization as ‘the arrangement of personnel through the allocation of functions and responsibilities’ (p.66). Bernard (1886-1961), a prominent figure in management thought, defined a formal organization more generally, as ‘a system of consciously co-ordinated activities or forces of two or more persons’ (p.73). Selznick (1943), a prominent American sociologist and legal scholar, described his own goal-oriented theory of organization, one that took into consideration both human and structural factors, but emphasized its non-rational aspects. His main conclusions center on the following: 1) informal social relation and goals of

individuals within organizations have the potential to act as serious constraints to organizational goals and 2) organizations are mainly cooperative in nature rather than hierarchically controlled.

In his book, *Images of Organizations*, Gareth Morgan, a researcher at the Schulich School of Business, York University, Toronto, writes:

Organizations are rarely established as ends in themselves. They are instruments created to achieve other ends. This is reflected in the origins of the word *organization*, which derives from the Greek *organon*, meaning tool or instrument. (p.15)

The only official acceptable definition of a NPO in Canada is provided by the Canadian Revenue Agency in the *Income Tax Guide to the Non-profit Organization (NPO) Information Return*, written in accordance with the *Income Tax Act* (the Act):

A NPO described in paragraph 149(1)(l) is a club, society or association, **that is not a charity as defined in the Act** that is organized and operated solely for:

- social welfare;
- civic improvement;
- pleasure or recreation; or
- any other purpose except profit.

Also, to be considered a NPO, no part of the income of such an organization can be payable to or available for the personal benefit of any proprietor, member or shareholder, unless the proprietor, member or shareholder is a club, society or association whose primary purpose and functions to promote amateur athletics in Canada. (p.2) (bold in original text)

Generally speaking, NPOs act as tool or instruments for specific ends: to provide services or benefit to the public. They do so without financial incentive and are qualified within Canada, by the Canada Revenue Agency, as tax-exempt.

This research included NPOs located only in Canada. It is therefore important to illustrate the scope of their reach as part of the formal definition. A research report conducted by *Imagine Canada*²² in 2005 concluded that:

the nonprofit and voluntary sector in Canada is large not only relative to domestic industries, but also in comparison to similar institutions elsewhere. When expressed as a share of the economically active population, the nonprofit and voluntary sector workforce in Canada is one of the largest in the world, outdistancing that in the United States and second only to that in the Netherlands among the countries for which data are available. (Hall, Barr, Easwaramoorthy, Sokolowski, & Salamon, 2005, p.9)

Therefore, the focus of this research is within the realm of one of the largest and most vibrant NPO and voluntary sectors in the world.

2.2 Fundraising

James M. Greenfield, author of *Fund Raising, Evaluating and Managing the Fund Development Process (1999)*, stated that fund raising or development, was perhaps first defined by Harold J. (more commonly called "Si") Seymour, in his 1966 primer in the field, as "the planned promotion of understanding, participation, and support." (p.24)

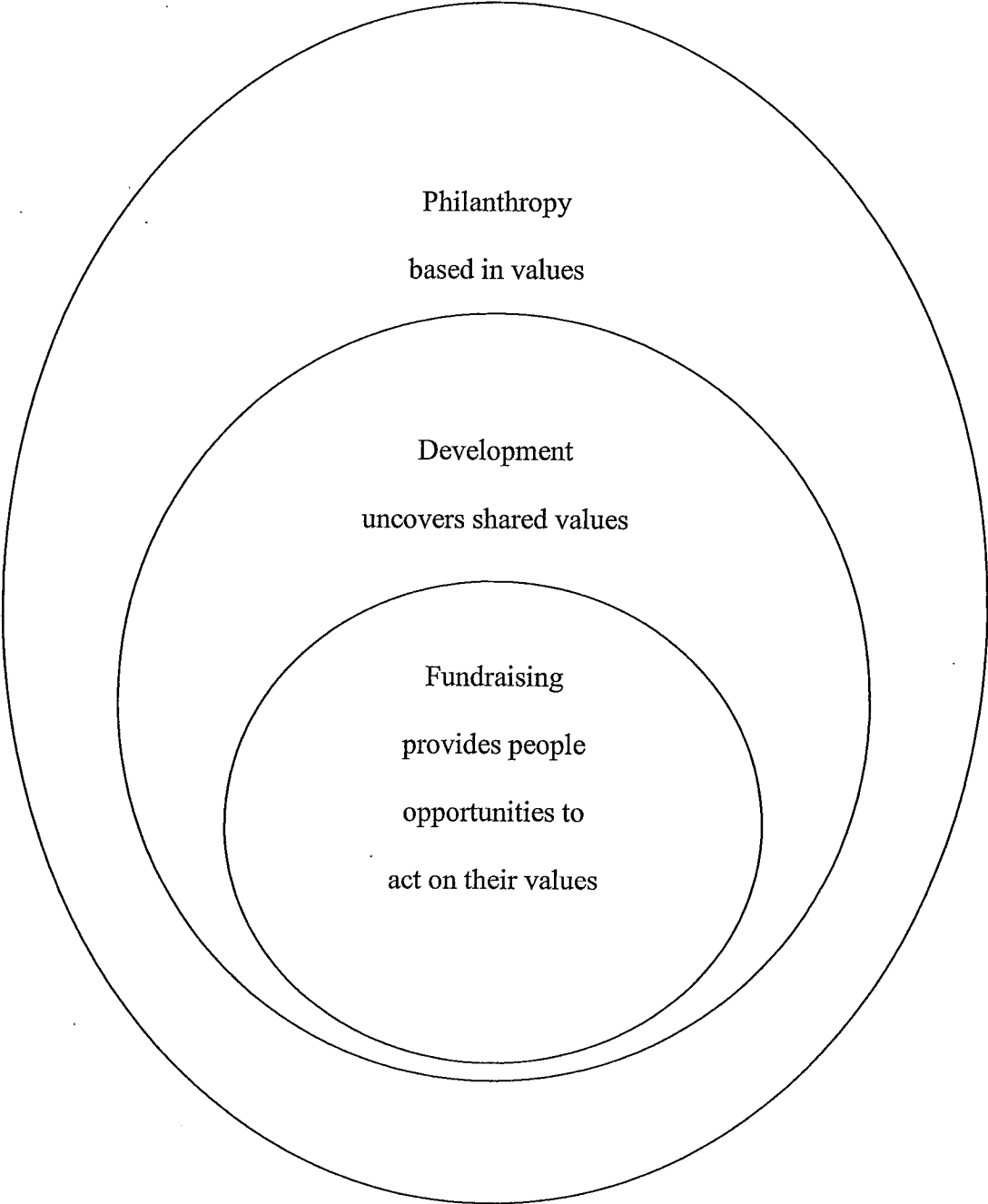
Today, the Association of Fundraising Professionals (AFP) on-line dictionary (September 6, 2003) defines fundraising as raising of assets and resources from various sources for the support of an organization or a specific project (p.54). It also provides a broader definition of

²² Imagine Canada is a Canadian national registered charity established to support and strengthen charities and nonprofits. (www.imaginecanada.ca)

fundraising as resource/fund development, or the practice of identifying, cultivating, and securing financial and human support for an organization. (p.106)

Numerous authors and researchers have written about the differences between these two definitions. An internationally acclaimed consultant and author, Kay Sprinkel Grace, in her book, *Beyond Fundraising – New Strategies for Nonprofit Innovation and Investment (2005)*, has placed those two definitions within an even broader context, i.e. *philanthropy* based in values. This model, referred to as Interrelationship of Value-Based Philanthropy, Development and Fundraising is represented as a graphic on the next page.

Figure 1 - Interrelationship of values-based philanthropy, development, and fundraising



Source: Grace, K.S. Beyond fundraising – New strategies for nonprofit innovation and investment. pg. 5

In sum, her model illustrates an interrelationship between the three. *Philanthropy* provides the context within which *fundraising* and *development* reside. Within *philanthropy*, *fundraising* is further defined as a process that provides people opportunities to act on their values and *development*, as yet another process, which uncovers shared values. According to her, integration of all three is necessary for a NPO to go beyond fundraising. However, she admits that 'in a survey administered as part of a video teaching guide by the BoardSource (formerly the National Center for Non-profit Boards), the majority of participants indicated that development was just a nicer way of saying fundraising. (Grace, 2005, pp. 5-6)

Aware of the above survey results, Grace (2005) still insists that the differences are notable because, according to her, fundraising and development perform two different functions. To illustrate this point, and distinguish the term development, she provides this description:

Development consists of those often subtle, frequently, intangible, and not immediately measurable acts that draw donors and volunteers closer to the organization and more deeply into an understanding of shared values (p.12)

A well-known management guru, Peter F. Drucker provided yet another nuanced description from his own vantage point (i.e. management of NPOs):

The purpose of a strategy for raising money is precisely to enable the non-profit institution to carry out its mission without subordinating that mission to fund raising. This is why nonprofit people have now changed the term they use from fund raising to fund development. Fund raising is going around with a begging bowl, asking for money because the need is so great. Fund development is creating a constituency which supports the organization because it deserves it. (Drucker, 1990, p.41)

Considering all of the definitions and vantage points presented above, how will I define fundraising for the purposes of this research? I know that both terms are used interchangeably and the nuances between the two terms are best known to its practitioners and authors/researchers who concern themselves with this topic. I will therefore use the term fundraising as a term that will encompass both fundraising and development as its broader definition.

2.3 Ethics and Values

Discussion below aims to illustrate ethics and values from various vantage points to help situate the topic at hand within this specific context. There are four important vantage points that discussed below. The first, aims to place the discussion of ethics and values in the broad context of philanthropy. The second explores personal values in the fundraising practice. The third provides reviews of several ethical codes that exist in the fundraising field. Finally, ethical decision-making frameworks for fundraisers that my research has uncovered are set out in the last part.

2.3.1 Philanthropy and ethics.

Any discussion of values in the fundraising field must start with its contextualization within philanthropy. The philosophical deliberation and definition of philanthropy goes back to Aristotle (384-322 B.C.), who believed that the ultimate purpose of philanthropy was to enhance the public good (as explained by Anderson, 1996). Others, such as David Hume (1711-76), 18th century philosopher regarded philanthropy as a moral virtue. A more recent and much broader definition of the purpose of philanthropy, one to which I am particularly attracted, is found in a

quote cited by Brian O'Connell in his book *Philanthropy in Action* (1987). It even seems to encompass, among other elements, my research topic:

To discover new frontiers of knowledge; to support and encourage excellence; to enable people to exercise their potential; to relieve human misery; to preserve and enhance democratic government and institutions; to make communities a better place to live; to nourish the spirit; to create tolerance, understanding, and peace among people; *to remember the dead.* (p.8) (My italics for emphasis)

What is the connection between philanthropy and fundraising? It has often been said within my practice that fundraising is a servant of philanthropy as fundraising enables philanthropy. Within the context of philanthropy and fundraising specifically, all voluntary actions such as giving, receiving, asking, joining, and serving are considered to be based on values. There are those who argue that “the match between the values of organizations and the values of constituencies²³ predicts the level and intensity of the response a donor or volunteer will have to a cause.” (Grace, 2005, p.1) One may even say that fundraising is based on the exchange of values.

As already discussed in section 2.2 above (the problem), this thesis research concerns itself with conflicts of values that fundraisers face. Conflicts between ‘values’ are sometimes even used to define ethics or morality, both terms used interchangeably. I understand ethics as “the study of the concepts involved in practical reasoning: good, right, duty, obligation, virtue, freedom,

²³ Footnote not in original quotation. Constituencies are defined as bodies of supporters. (*The Concise Oxford Dictionary*, p.202)

rationality, choice.” (*Oxford Dictionary of Philosophy*, 2008) Similarly, I understand that the meaning of the term morality is restricted to

systems [...] based on notions such as duty, obligation and principles of conduct, reserving ethics for the more Aristotelian approach to practical reasoning, based on the notion of a virtue, and generally avoiding the separation of ‘moral’ considerations from other practical consideration. (*Oxford Dictionary of Philosophy*, 2008, p.240).

Moreover, Anderson (1996), a well known writer on the topic of ethics in fundraising, defines ethics as:

a matter of using sound judgment about what is right, guided by enduring principles that, unlike mathematics, offer no certainty - barring divine intervention - that our intended action is always appropriate. (p.45)

Ethical decision-making is not an easy matter. Great thinkers and philosophers have grappled with it for a long time. One philosopher often quoted in the fundraising field is Aristotle (384-322 B.C.). In his text, *Nicomachean Ethics*, Aristotle (384-322 B.C.) claimed that exercising virtues of generosity entails acting and feeling:

at the right times, with reference to the right objects, towards the right people, with the right motive, and in the right way, is what is both intermediate and best, and this is characteristic of virtue. (p.30)

It seems that this ‘rule of rights’ has reinvented itself in the fundraising field. In 2008, Ann Fritschner, a consultant and coach for NPOs announced her new trademarked program called ‘Raising Funds Effectively’. Within this program, she advocated the application of the ‘rule of rights’ to the Ask. Her summary of the ‘rule of rights’ is this: “Ask the *right* prospect, for the

right amount of money, for the *right* purpose, at the *right* time.” (Fritschner, 2008, p.1) ‘The Ask’ is defined by the Association of Fundraising Professionals as “the process, act, or instance of soliciting a gift”. (AFP On-line Dictionary, p.9) Later on, other fundraisers have added: ‘for the *right* reason’, ‘in the *right* way’, ‘accompanied by the *right* team members’. To date, no such ‘rule of rights’ has been defined and developed for the major ‘in-memoriam thank-you’ donations.

Aside from Aristotle, how have other philosophers viewed ethics and ethical decision-making? Janice Gow Pettey, editor of *Ethical Fundraising: A Guide for Non-profit Boards and Fundraisers*, provided her own assessment:

Some philosophers have attempted to make ethics objective and universal, while others claim moral decision making is a lonely, intuitive, and wholly individual business of making fundamental choices. Some individuals anchor their ethics in religion; others believe morality is an odd mixture of received tradition and personal opinion. During the past 50 years, ethics has moved from the academic realm of the theoretical to the need for applied, day-to-day guidance [...] (Pettey, 2008, p.4)

One of those philosophers was David Hume (1711-76). He argued that debates about what “ought to be” are really about differences of personal preferences, subjective convictions or individual values. According to him, values were not to be considered equal to observable facts. Values were to be considered relative and illusive. We could therefore conclude that such view of values would mean that they vary between cultures, organizations and individuals.

Another well-known philosopher, Immanuel Kant (1724-1804), contributed his own view of morality (ethics) and those of people as moral agents. He believed that all rational adults can

decide for themselves what it is moral or not and that we know it innately. According to him, people do not need anyone else to decide for or tell them what is moral. In fact, Anderson (1996) states that the Kant's so-called "Categorical Imperative" was this: "Act always in such a way that what you intend at the same time can reasonably be expected to apply to every person without exception". (p.39) Furthermore, Briscoe (1994), highlights that Kant's advice to testing maxims was to imagine the effect of its opposite.

Anthony A. C. Earl of Shaftesbury (1671-1713), an English philosopher, has his own useful advice on this matter. He argued that human nature is filled with a *moral sense* - benevolent passions that give rise and inspire virtue and public interest. According to him, we, as human beings, are guided by reason to consider *the greatest number for the greatest good*. (Anderson, 1996, p.25)

In the same vein, a Swiss-born French philosopher, Jean-Jacques Rousseau (1712-78) had some other valuable advice. He believed that one should treat people as ends, not as means to an end (just as Kant had claimed). I argue that Rousseau's thinking aligns with those in the fundraising field who believe that donors should not be treated as walking wallets. In fact, in his work *The Emile*, Rousseau advised that the only moral lesson which is suited for a child - the most important lesson for every time of life - is this: *Never hurt anybody*. (p.98)

However, it was Jesus who, according to the Bible's Book of Matthew, provided the best-known Golden Rule among western fundraisers concerning ethics and ethical-decision making: "Always treat others as you would like them to treat you: that is the law and the prophets", (*The*

New English Bible, King James/Matthew 7:12) and “Love your neighbour as yourself”, (*The New English Bible*, King James/Matthew 22:39). It provides an ethical code that is receiver-centered or as some fundraisers would describe as donor-centered. It proclaims a belief that people have the right to just treatment, and a responsibility to ensure justice for others. It proclaims that the best way to solve conflicts of an ethical nature is to think of ourselves as part of one God, who loves and cares for all.

I will consider all of the above arguments and rules when conducting my research about the topic at hand. Furthermore, I will consider these arguments with a humanistic approach, one that is not only aligned with my own personal beliefs but those championed by fundraisers: by extending my sympathies to the whole human kind, for the common, public good. In summary, a humanistic approach is one that presents human beings as rational and humanistic, i.e. endowed with fellow-feeling, with a concern for the well-being of both own-self and of others, and for the common good. And man is considered primarily in his relations with other men rather than with deities. (Leoussi, 2000, p.71)

To situate the nature of ethical concepts related to the philanthropy and more specifically values within the fundraising field, I will define ethical concepts such as virtue, generosity, benevolence, respect and compassion, as they have been defined by various philosophers. Furthermore, I will illustrate these virtues with examples that relate to fundraising.

2.3.2 Virtues.

The *Oxford Dictionary of Philosophy* defines a virtue as a “trait of character that is to be admired: one rendering its possessor better, either morally, or intellectually, or in the conduct of specific affairs.” (p. 381)

Throughout history, various philosophers and authors have attempted to define this complex ethical concept. During classical times, Aristotle (384-322 B.C.) defined virtues as

... well-established character traits or dispositions to act, which have both intellectual and affective components. If placed on a continuum, the virtues fall between the extremities of deficiency and excess, with reason determining where the mean is. (Fisher, 2000, p.43)

Indeed, according to Aristotle, virtues need to be practiced and formed into habits. For example, a person who is generosity toward others not just through a one-time act of continuous acts of generosity would in time become a generous person. In time, the initial practice of the applications of virtues leads to refinement through self-conscious choices, one’s perception, reflection and understanding, which in turns leads to attainment of pleasure. Ultimately, Aristotle argued, humans pursue a virtuous life to be happy. (Aristotle, circa 340 B.C., p. 193-194) It is important to note that Aristotle viewed virtues in terms of a continuum, where a virtue is situated on a mean between the extreme of excess and the extreme of deficiency. For example, a virtue such as generosity would on the extreme excess mean be considered as wasteful and on the extreme deficiency as stingy. (Fisher, 2000, p.43)

During the eighteenth-century the above the meaning of virtue shifted from a cognitive concept to an emotional one. For example, David Hume (1711-76), offered a very different perspective

from Aristotle's. He argued that our moral assessments involve our passions, not our reason. In alignment with this core belief he defined virtues as:

every quality of the mind, which is *useful* or *agreeable* to the *person himself* or to *others*, communicates a pleasure to the spectator, engages his esteem, and is admitted under the honourable denomination of virtue or merit. (Hume, 1751, p.72)

In his definition, Hume highlighted and included the person directly involved, as well as those others, who were observing him. Furthermore, he viewed it as important to broaden this definition to the affective components such as observer's reaction to events.

Anthony Ashley Cooper, the Earl of Shaftesbury (1671-1713) also argued that virtue was an emotional concept but also as its 'natural good' (Shaftesbury, 1711, p. 177). In his book *Characteristics of Men, Manners, Opinions, Times*, Shaftesbury defined virtue as

a certain just disposition, or proportionable affection, of a rational creature, toward the moral objects of right and wrong. (Shaftesbury, 1711, p.177)

According to him, virtues were dependent on the 'moral sense'. More specifically, he argued that our knowledge of what is good depends on our feeling for the good.

Yet another philosopher, Immanuel Kant (1724-1804), defined the ethical concept of virtue in terms of struggle. To him, a virtue was a "moral strength of will" in overcoming temptations to transgress the law. (Kant, 1797, p.164) Similarly, for the ancient Greeks, fortitude was considered a cardinal virtue.²⁴

²⁴ See Plato's *Republic*, Book IV.

In more recent times, Robert C. Solomon, a well-known author in the management discipline, defined virtues not just as tendencies and traits of character but also as concrete actions and feelings. He described his views by using compassion as an example:

being compassionate may be a virtue, but I want to suggest that it is actually having and expressing compassion, even in a single instance, that counts. I do not want to thereby suggest that such sentiments are always good or good in themselves, without reference to the nature of the situation or the people involved. But I do want to emphasize, against many of the most prominent prejudices of both the history of morals and management theory, the importance of feeling, not as opposed to intelligent thought and action as an essential part of them. [...] Virtues are dispositions to have feelings as well as tendencies to perform any particular act or type of action or abstain from certain kinds of actions. (Solomon, 1998, p.518-519)

The broad spectrum of views that define virtues as an ethical concept, described above seem to involve the intellectual, affective components as well as action. These sampling of these vantage points will be addressed as they related to the specific virtues of generosity, benevolence, respect and compassion below.

2.3.2.a Generosity.

Generosity is a very important virtue that is very often discussed in fundraising literature. Aristotle, who is often quoted by those in the fundraising field, argued that “as a virtue, generosity is built into person’s character; and so provides a sturdy basis from which specific motives arise. Keeping in mind Aristotle’s definition of virtue as an ethical concept described above, generosity should be practiced within the rational mean – nothing in extremes. Generosity without limits would therefore not be considered a virtue. Also, as described in section 3.3.1, it must be addressed to the right people, at the right times, the right causes etc. To Aristotle, giving is a pleasurable and an important activity, described as follows, in a letter ascribed to him:

Giving and returning is that which binds men together in their living, as some give, others receive, while others again make a return gift for what they have received. (Hands, 1968. p. 32)

In the fundraising field, well-respected authors such as Henry A. Rosso, founder of The Fundraising School, defined fundraising [to fundraisers] in a way that aligns well with Aristotle's view of generosity as a pleasurable activity: "Fundraising is a gentle art of teaching people the joy of giving." (Rosso, 1991, p. 88) Furthermore, he cautioned that fundraisers must remember that giving is voluntary and that they must ensure long-term donor engagement and donor satisfaction that leads to increased philanthropy. In accordance with this perspective, fundraisers can be described as facilitators of the virtue of generosity.

2.3.2.b Benevolence.

Benevolence, another key virtue to those in the fundraising practice is defined by the *Oxford Dictionary of Philosophy* as a "general desire for the good of others, and disposition to act so as to further that good." (p.39) David Hume (1711-1776) wrote a great deal about benevolence, perhaps more than other philosophers. He counted benevolence as instinctive or natural. Furthermore, he considered benevolence to be one of the virtues for two reasons: others find it useful and people on the receiving end of the benevolence find it pleasing. Hume also argued that some benevolent actions are taken without any expectation of receiving something in return for the benevolent actions. (Hume, 1738)

It is true that fundraisers encounter benevolent donors who display altruistic benevolence of the highest degree. These types of donors may leave bequests that are not made known to the NPO

until after their death. Some other, similarly minded donors, routinely seek anonymity. They purposefully do not seek any recognition in exchange for their benevolence. However, there are cases where benevolence as defined by Hume, is not the case. For example, there are those donors who expect their name to be added to a donor wall or a building named after them, in return for their donation. In accordance with Hume's definition of benevolence, fundraisers should appeal to donor's caring, generous and altruistic side when stewarding – not to their pride, guilt, greed, snobbery, or vulnerability.

2.3.2.c Respect.

Respect is an important virtue in fundraising. It is so, because healthy, long-term relationships between fundraisers and their donors are based on mutual respect. There are many philosophers who have discussed the concept of respect. However, it was Immanuel Kant that offered a decisive view of concept of respect in his book *The Groundwork of the Metaphysics of Morals*, by arguing that each person has equal worth and deserves equal respect:

Now I say: man and generally any rational being exists as an end in himself, not merely as a means to be arbitrarily used by this or that will, but in all his actions, whether they concern himself or other rational beings, must be always regarded at the same time as an end. (p.95)

The specific key concept in Kant's moral philosophy, specifically as related to respect is described in the *Oxford Dictionary of Philosophy* as:

Respect is due to every rational being, and so must be distinguished from liking, or admiration, or even esteem. It is best understood through what it forbids, which is treating a person as a mere means to an end of one's own: ignoring their personhood or their humanity. (p.317)

Many NPOs frequently include Kantian declarations about the fundamental moral worth of individuals in their mission or value statements. In accordance with those formally articulated values, fundraisers ensure that they are communicated in the fundraising tools they use: in the grants, direct mail appeals, or web site text they write.

Another important aspect of Kantian concept of respect relates to ‘respect for individual differences’. These individual differences may come in many forms: they may be cultural, linguistic, gender, racial etc. Furthermore, respect in relation to individual donor’s privacy has also been articulated in law and in AFP’s *Donor Bill of Rights*, as illustrated at *Right VI* in Appendix 7.2.

Marilyn Fisher, in her book *Ethical Decision Making in Fundraising*, provided just such an example, one that also touches on an aspect of in-memoriam donation management:

Respecting someone’s particularity also means acknowledging the limits of one’s ability to imagine another’s place. How many of us feel insulted when, at a time of loss, someone without the same experience says, “I know how you feel.” They do not know how you feel, and pretending they do cheapens your pain. (p.71)

A third element of Kant’s concept of respect, deals with forbidding the treatment of people as mere means to an end. In accordance with this view, fundraisers should not view donors as ‘instant tellers’ or ‘walking credit cards’. They should not treat donors, as a tool or as a means, to be used or manipulated to accomplish their fundraising goals.

The above vantage points related to the concept of respect in fundraising were taken into account in this research.

2.3.2.d Compassion.

The concept of compassion has been defined in *The Concise Oxford Dictionary* as “pity inclining one to be helpful or merciful.” (p.191) Generally speaking, compassion involves regard for the good of other persons. Some, such as Lawrence Blum, author of a well-known essay titled *Compassion*, argued that compassion does not necessarily include beneficent action:

...compassion is often appropriate when there is a little or no scope for the subject's disposition to beneficence shows that compassion's sole significance does not lie in its role as motive to beneficence...The compassionate person's expression of concern and shared sorrow can be valuable to the sufferer for its own sake, independently of its instrumental value in improving his condition. (Blum, 1980, p.515)

How does compassion, with or without action, relate to fundraising? Again, it begins with their core values and their expression of those values in the cause they serve. The match between their personal values and those of the cause they serve has the potential to drive and stimulate their professional success. Compassion is an example of one virtue that is inspired and moved by this alignment. In the case of fundraisers, it can be expressed in a multitude of different ways and toward different stakeholders their NPO serves. Their first and primary stakeholders must always be the beneficiaries²⁵ they serve, as they are the reason for their NPO's existence. It is the compassion for the beneficiaries that fuels fundraiser's inner psychic rewards and fills them with that warm fuzzy feeling. It is difficult to pretend being 'pumped up' with the warm fuzzies about anything or anyone for any length of time, if there is no compassion. Donors and other stakeholders can feel it instinctively. Ultimately, compassion toward the beneficiaries has the

²⁵ The term 'beneficiaries' varies within the non-profit sector. Some nonprofits refer to their beneficiaries as clients, consumers, residents etc.

capacity to spur compassion for the donors. (Frequently, a NPO's beneficiaries are also its donors.) The compassion that a fundraiser feels and expresses becomes infectious. This is because all - fundraisers, beneficiaries and donors - seem to enjoy the warm glow resulting out of someone's expression of compassion toward them or their expression of compassion toward others. In turn, compassion helps to create a common bond of equality and unity of purpose, based on shared humanity.

2.3.3 Personal values in fundraising practice.

Considering the above-mentioned definition of philanthropy, fundraisers can be considered enablers of philanthropy. They ensure that good, public works become a reality for the benefit of all. O'Neil (1994) goes even further and describes fundraisers as moral trainers, who inculcate the virtues of generosity and responsibility in those with whom they work. These virtues are also claimed by Hume (1711-1776) as necessary in human beings.

It could also be said that values form the foundation of fundraising practices and ways in which fundraisers see the world. The same can be said of the value-laden way in which fundraisers see their practice. According to Jeavons & Burch-Basinger (2000), there are some who view it as a vocation or calling, to be engaged in work "for which one feels empowered, to which one feels drawn, and in which one feels directed by the Spirit of God" (p.6). Some others, such as Frederick Buechner (1969), have developed yet another definition of fundraising as a vocation: "as that place where our deep gladness intersects with the world's deepest need" (pp.31-32). He cautions those fundraisers who see their practice as a vocation that they should think as much about virtues and vices as about rules and consequences. His advice is to embrace moral

reflection about the good such fundraisers are accomplishing in their work and how that work is linked to the persons they wished to be.

On the other hand, there are fundraisers, who may not have a strong ethical sense and commitment. As Payton and Moody, two highly respected scholars in the field of philanthropic studies, have pointed out in *Understanding Philanthropy: Its Meaning and Mission*, (2008), "Fund-raising practitioners without a strong ethical sense and commitment tend to equate success with money raised - or more precisely, with their own income" (p.279).

My experience and literature review indicate that most fundraisers who have worked in the fundraising field for a considerable length of time, likely fall somewhere near the middle, between highly ethically oriented and money oriented, if not closer to the first extreme. This value-related factor that characterises most fundraisers, the values of the NPOs that employ them, the nature of the constituency they serve, likely all influence how interventions surrounding the management of in-memoriam donations are perceived. To this end, my research topic will explore and take into account the spectrum of values espoused by various persons involved in the fundraising practice: fundraisers and also myself as the inquirer.

2.3.4 Ethical codes in fundraising.

Aside from their personal values, members of the Association of the Fundraising Professionals (AFP) are also guided by its Code of Ethical Principles and Standards, adopted in 1964 and amended September 2007 – (see Appendix 7.4). There are many principles within this Code, however three may be considered as those that touch my chosen research topic:

- [...]
- demonstrate concern for the interest and well-being of individuals affected by their actions.
- value the privacy, freedom of choice, and interests of all those affected by their actions.
- foster cultural diversity and pluralistic values and treat people with dignity and respect.
- [...]

Similarly, they are also guided by *A Donor Bill of Rights* (1993), which the AFP helped develop in collaboration with three other organizations. This donor bill of rights has been adopted by numerous NPOs across U.S. and Canada (see Appendix 7.2). Its right #5 declares that donors have the right to appropriate acknowledgment and recognition. Both, the *AFP Code of Ethical Principles and Standards* (September, 2007) and the *Donor Bill of Rights* are built on the foundation of widely held values.

Anderson (1996), a well-respected author in the area of ethics of fundraising, argues that

Professional and agency codes of ethics play a role in sustaining system trust. A code gives the public a clear indication of what the profession or agency stands for; and what behaviours will not be tolerated. Codes cannot create trust when it is unwarranted, but they can give guidance and they can contribute to sustaining trust in an already trustworthy system. (p.84)

Others argue that ethical codes are not enough: “Ethics are more than a menu of promises and ideals. Ethics are meat and potatoes for consuming, digesting, and assimilating.” (Mason, 1993, p.30) Fundraisers are therefore urged to use ethical codes as starting points, ones that should be used to begin the process of reflection, discussion and finally refinement. These seem to be very

appropriate observations for a research topic such as mine, one that is grappling with a gray ethical area,

... where the choice is not between black and white, right and wrong, but between competing alternatives, both of which seem good. [...]the resolution and justification of conflicting or competing values goes to the heart of ethical decision-making. (Anderson, 1996, pg. 21)

Therefore, as the ethics of actions necessarily include respect for widely and socially accepted codes of conduct and for the inner reflection of the individual, all the factors discussed above are taken into account during the decision-making process.

2.3.5 Ethical decision-making frameworks for fundraisers.

In addition to the above-mentioned AFP *Code of Ethics* and its *Donor Bill of Rights*, my research has uncovered three existing ethical decision-making frameworks for fundraisers. The first was developed by Albert Anderson in his book *Ethics for Fundraisers*. He begins by outlining a set of ethical principles as exploratory probes that would guide one in the right direction:

[1] Respect the essential worth and well-being of every person ... [as illustrated in the following three concepts:]

- a. *Autonomy*. Regard every person as an autonomous agent, free to determine his/her destiny; treated as an end, not a means to an end, no person either capable or incapable of responsible decision should be exploited.
- b. *Privacy*: Accord every person the right to privacy and confidentiality in their affairs, save with their consent or the requirements of law for disclosure.
- c. *Protection*: Assume for oneself and encourage in others the responsibility to protect the worth and respect due others, with a readiness to limit actions that may jeopardize person's well-being.

[...]

[2] Develop beneficence [by]:

- a) *Serving the Good*: Advocate, support and serve worthy altruistic interests, the welfare of others, and the goal of a greater public good.

- b) *Charitable Intent*: Ensure the worthiness of charitable motives and volunteer efforts above other purposes that may serve personal and organizational interests.

[...]

[3] Build enduring, trustworthy relationships [using the following principles]:

- a) *Truth telling*: Communicate, convey, and record information truthfully, accurately, and completely; avoid misleading or deceiving.
- b) *Promise keeping*: Make and keep promises, agreements, and contracts that are consistent with organizational purposes.
- c) *Accountability*: Be accountable for the stewardship of donated and organizational resources, and be open to scrutiny by appropriate constituents.
- d) *Fairness*: Seek fairness and objectivity in arrangements that require the sharing of benefits and burdens, privileges and responsibilities.
- e) *Fidelity of Purpose*: In all relationships, be faithful to bonafide professional and organizational purposes; avoid or disclose apparently conflicting interests, inconsistency, and hypocrisy. (Anderson, 1996, pp.74-75) (Italics in original text)

As the next step, Anderson's model of ethical decision-making framework advocates use of the next three questions as a reflective consideration of the principles of respect, beneficence, and trust:

1. What seem(s) to be the ethical issue(s) - that is, what does one judge to be right or wrong in this situation?
2. What action(s) would seem to make the situation right - that is, what ought we do?
3. What ethical principle(s) and ultimate governing framework would justify the action(s)? (Anderson, 1996, p.76)

The second ethical framework advocated by Marilyn Fisher in her book *Ethical Decision Making in Fund Raising* provides three basic value commitments to help fundraisers construct stories about alternative ways of resolving ethical dilemmas:

1. The **organizational mission** that directs the work;
2. Our **relationships** with the people with whom we interact; and
3. Our own sense of **personal integrity**. (Fisher, 2000, p.21) (Bold in original text)

Fisher (2000) has provided a tool in the form of an Ethical Decision-Making Chart (see next page), and suggests that fundraisers use it to resolve ethical dilemmas by carrying out a conversation with themselves, “in which other voices are imagined and projected” (p.24).

Table 1 – Fisher’s Ethical Decision Making Chart

	1	2	3	4
How does this alternative promote or detract from the organization’s mission?				
Basic philanthropic values?				
How does this alternative affect long-term relationships with colleagues, donors, volunteers, and community members?				
In what ways does this alternative help or not help you develop into the person you want to become? How does it strengthen or weaken your own integrity?				

Source: Fisher, M. (2000). Ethical decision making in fund raising, pg. 25

In brief, she advises fundraisers to follow these steps:

- a) Try your best to ask yourself good questions;
- b) Place your dilemma within the three basic value commitments presented above;
- c) Gather all relevant data;
- d) Complete the chart by writing a few possible alternatives; and
- e) Include even alternatives with which you definitely disagree. (Fisher, 2000)

After working through the chart, she advises fundraisers to ask themselves the following for each alternative:

- How does this alternative promote or detract from the organization's mission? How does it promote or detract from basic philanthropic values?
- How does this alternative affect long-term relationships with colleagues, donors, volunteers, and community members?
- In what ways does this alternative help or not help me develop into a person I want to become? How does it strengthen or weaken my own integrity? (Fisher, 2000, p.25)

Fisher cautioned that her Ethical Decision-Making Chart is not a flowchart that will lead to an ethically correct decision but one that will allow fundraisers to choose the best choice among alternatives.

The third ethical decision-making framework was described by Barbara Marion in her article, *Decision Making in Ethics* (1994). The framework she described was developed by Michael Josephson, founder of The Josephson Institute of Advancement of Ethics, in 1988. (Josephson, 1988) This particular framework is based on a theory of tiered values:

1. ... [First tier values are] ... moral values [that are] the primary, unvarying bedrock rules of individual conduct that result from culture, experience and training....
2. [Second tier values are] ... those that we consciously and deliberately take to form our personal code of honor (sic) based on principles such as truth-telling, love of country, respect for others, protection of the weak, and tolerance....
3. [T]hird-tier values [are] the standards of professional practice by which we perform our duties as development practitioners. (Briscoe, 1994, p.51)

In order to facilitate ethical decision-making, Marion described 10 core ethical values developed by Michael Josephson: “1) Honesty; 2) Integrity, 3) Promise Keeping, 4) Fidelity and loyalty, 5) Fairness, 6) Caring for others, 7) Respect for others, 8) Responsible citizenship, 9) Pursuit of excellence and 10) Accountability.” (Briscoe, 1994, p.51)

Briscoe (1994) later added an eleventh value, *Safeguarding the Public Trust*, as a value for NPOs and their fundraising development professionals.

Similar to Marilyn Fisher’s framework, Josephson’s ethical values were designed with a roadmap to help one find the best ethical decision, as follows:

- **Clarify the problem.** Identify the driving forces and maintain objectivity.
- Identify the key, competing values at stake. Identify and rank the values at stake. Which of the organization's values are at stake?
- **Identify the players and stakeholders.** Who should have a role in the decision-making process? Consider the most vulnerable stakeholders.
- **Identify the most plausible alternatives.** Be sure to include the "less popular" alternatives.
- **Imagine the potential outcomes.** Discuss both short-term and long-term outcomes as well as best-case, worst-case scenarios.
- **Evaluate the potential outcomes.** Consider the positive and negative potential for each outcome.
- **Decide on a course of action.** Act thoughtfully and deliberately.
- **Test the decision.**
- **Share the decision with someone.**
- **Implement the decision.** Author encourages fundraisers to minimize the negative impacts on various stakeholders, demonstrating respect for their rights and privacy.
- **Evaluate the results or consequences.** Reviewing results and intended or unintended consequences provides additional learning opportunities in ethical decision making.
- **Modify policies and procedures.** Regularly review policies and procedures for consistency with organization's ethical values. (Petty (ed.), 2008, pp.208-209)

(For the activity ‘Test the Decision’, Donahue (1988) presented seven ‘C’s for ethical testing.)

This thesis, meaning the research undertaken, the findings analysed and the conclusions drawn, takes into account the breadth and depth of all three of the above fundraising decision-making frameworks. In the next section, I address the question of which methodology I propose to use to conduct this research.

3 Methodology

This section is devoted to a discussion of the research methodology as well as of the specific approaches and strategies of inquiry I chose to conduct the research. Specifically, the research employs a qualitative methodology²⁶, an interpretive approach²⁷ and an auto-ethnographical²⁸ strategy of inquiry. In the next three subsections, they are each, in turn, explained and reasons are given for their use. Moreover, I used triangulation²⁹ or multiple data-gathering techniques to reveal slightly different aspects of reality, add strength to my argument and ensure validity as well as reliability, to investigate the phenomenon at hand. These techniques included existing theory, interviews (including story gathering) and diary keeping. The research sample included fifteen interviewees of which nine were fundraisers from Canadian national NPOs and six were local fundraisers from local ones in Montreal, Ottawa and Toronto. NPOs varied in type. They included universities, hospitals (general and palliative care), international aid organizations, churches, and numerous health-focussed organizations. Only fundraisers with a minimum of five years in the profession and having significant experience in managing in-memoriam donations were selected as interviewees. Lastly, I also drew upon my own extensive

²⁶ See section 3.1 for more detailed discussion.

²⁷ See section 3.2 for more detailed discussion.

²⁸ See section 3.3 for more detailed discussion.

²⁹ Triangulation: Hayward & Sparkes argue that as a replacement for the word triangulation, interpretive researchers should prefer, and feel more comfortable with, the term corroboration, which denotes “the act of strengthening [an argument] by additional evidence (1975), p.253.

professional experience as a project manager and fundraiser. All of the above-mentioned factors provided representativity. The interview process continued until data saturation³⁰ was achieved.

3.1 Qualitative Methodology

For the purposes of the research, qualitative³¹ research methodology³² (rather than quantitative³³) was employed because it is well-aligned with my own personal values and beliefs as well as the chosen research problem. This alignment with qualitative research methodology “implies particular fundamental assumptions, particular reasons for doing research, particular beliefs about what types of data are the most worthwhile to collect, and decidedly different approaches to analyzing the data collected”. (Willis, 2007, p.19) However, it is understood that qualitative methodology provides a means of accessing unquantifiable facts, those that are more specifically related to the understanding of the meanings fundraisers give to management of in-memoriam gifts. Similarly, it also allows me to produce research that would broaden and deepen the collective understanding fundraisers have of themselves in relation to others in society.

³⁰ A point in the data coding process “when no new information seems to emerge ..., that is, when no new properties, dimensions, conditions, actions/interactions, or consequences are seen in the data” (Strauss & Corbin, 1998, p.136).

³¹ The term *qualitative* is defined as a world view, paradigm or framework for doing work in social sciences (Willis, p.7 and p.22); Indicates that the notion of *quality* is essential to the nature of things [...] quality refers to the what, how, when, and where of a thing – its essence and ambience. Qualitative research thus refers to the meanings, concepts, definitions, characteristics, metaphors, symbols, and descriptions of things. (Berg, p.3)

³² Methodology refers, within the context of qualitative research, to broad principles and guidelines that orient researcher’s work (Willis, p.229).

³³ The term *quantity* is elementally an amount of something...[...] quantitative research refers to counts and measures of things (Berg, p.3)

Authors who have written on the topic of qualitative research methodology, or more specifically on particular procedures, methods and techniques for collecting and analyzing data say that it is

... difficult to define precisely, as it is at best a pot-pourri of interpretive techniques. In general, several approaches including participant observation, ethnography, case studies, projective techniques, role plays, cartoon completion, contrived and unobtrusive observations and focus group interviews come under the label of qualitative research. (Das, 1983. p.301)

From the above mentioned qualitative research methods, those that I thought most suitable in furthering my research were employed.

3.1.1 Informal interviews and conversations.

Participants/fundraisers from nine Canadian national and six local NPOs were interviewed. They were asked seven open-ended questions to identify their values related to in-memorial donations. The conversation with each was permitted to happen naturally but all questions had to be asked. Follow up questions were posed and an effort was made to double-check answers where it proved necessary.

I recorded all interviews with a small recording device but in addition to that purposefully choose to write notes pertaining to the interview. I did so for several reasons. For one, it was a back up recording method, in case the recorder failed. Second, it allowed me to draw or record instantaneous conclusions, something that I could not do using the recorder. However, most importantly, I did so because I did not want my facial expressions to influence the responses.

The Université du Québec en Outaouais' Research Ethics Committee approved my research protocol.³⁴

3.1.1.a Specific interview questions.

For the purposes of this research, I asked the following specific interview questions:

1. Why did you become a fundraiser?
2. What values might help fundraisers provide accurate or prompt acknowledgment of in-memorial donations?
3. What values might help fundraisers provide adequate and appropriate recognition of in-memorial donors in a manner that is consistent with ethics and a sense of philanthropy?
4. What values might help fundraisers to better steward in-memorial donors?
5. What values might help fundraisers resolve the conflicts that arise in the situation of death/grief in the context of managing in-memorial donations?
6. Is there anything that you learned from managing in-memorial donations that improved you in your profession?
7. Do you have a story about an in-memorial donation you managed that you would like to share?

The answers to these questions inform the general questions, specific objectives and general objectives set out in Section 1 above.

³⁴ See Consent Form at Appendix 7.5 and Ethics Certificate at Appendix 7.6

Each interview lasted approximately 1 to 1 ½ hour long. This duration proved sufficient to ensure an understanding of the research topic at hand through the thoughtful reflections of the practitioners. A collaborative, informal approach was pursued. The fundraisers/practitioners interviewed were my peers, equals, colleagues. The aim was to produce results that reflected the real world, where responses of the participants were not idealized as a result of an approach that is too formalized.

The participants were each provided with an explanation of the purposes of my research prior to the interview.

3.1.2 Participants' narratives or stories.

In addition to the first six questions interview questions mentioned above, the last (the seventh) question was posed in order to gather at least one narrative or story, from each participant, related to in-memorial gift management. This collection served as an additional venue for more personal, collaborative and interactive relationships, ones that were flavoured with meanings, as well as moral and ethical choices fundraisers face in their common-place settings. This use of the narratives or stories as a mode of inquiry corresponded well to the integral components of the 'asks' fundraisers commonly employ. It is common knowledge, in the fundraising practice, that providing facts and statistics to potential donors, about those we serve, is good and useful – to a point. Use of only facts and statistics to obtain a donation are not enough. It is through references to real life and the telling of stories with passion that one reaches the 'tipping points' which evoke emotional responses and inspire donors to give. Authors who subscribe to auto-ethnography and its narrative mode of inquiry seem to agree:

Evocative stories activate subjectivity and compel emotional response. They long to be used rather than analyzed; to be told and retold rather than theorized and settled; to offer lessons for further conversation rather than undebatable conclusions; and to substitute the companionship of intimate detail for the loneliness of abstracted facts.(Denzin & Lincoln, (Eds.), 2000, p. 744.)

The inclusion of stories will allow the readers to identify with the characters, situations and relate them to their own lives. This was done with the intent to anchor the meanings and understandings better – for the long run. As in fictional writing, I selected from the repertoire of “internal monologue, dialogue among characters, dramatic recall, strong imagery, things like scene setting, character development, flashbacks, suspense and action.” (Denzin & Lincoln, (Eds.), 2000, p. 752.)

To ensure reliability of the chosen methodological approach I took my initial writing back to the interviewees, for comment and subsequent interpretations. In communicating with them, I also tried to assure them that it is ok to change their minds. If they had additional materials that would add to the study, I welcomed those, too.

3.1.3 Autoethnographical strategy of inquiry.

Since my research topic is focussed on describing a particular sub-culture from the perspective of the research participants, I have chosen to narrow my research strategy to ethnography and more specifically to autoethnography. At the outset, the difference between the two is important to define. Ethnography is defined as a research strategy that allows researchers to explore and examine the cultures and societies that are a fundamental part of the human experience (Murchison, 2010 p.4). ‘Ethnography is’ both a method for data collection and analysis, each

irrevocably mated to one another' (Rosen, 1991, p.1) 'It involves making observations (field notes) in an authentic or natural context. It is sometimes used to mean the same thing as the term fieldwork, and sometimes it means all the qualitative methods used to learn about culture[...] In this broad sense ethnography is an umbrella term for fieldwork, interviewing, and other means of gathering data in authentic (e.g. real world environments)', (Willis, p.235)

Both the ethnomethodological³⁵ and autoethnographical strategies of inquiry, frequently used to study organizational concepts and situations, stem from the interpretive paradigm. And while ethnography (or ethnomethodological approach) aims to understand another way of life from the native point of view, autoethnography connects the personal perspective of the researcher to the specific sub-cultural context. More specifically, autoethnography is described as:

... an autobiographical genre of writing and research that displays multiple layers of consciousness, connecting the personal to cultural. Back and forth autoethnographers gaze, first through an ethnographic wide-angle lens, focussing outward on social and cultural aspects of their personal experience; then, they look inward, exposing a vulnerable self that is moved by and may move through, retract, and resist cultural interpretations. (Denzin & Lincoln, p. 739)

Within the context of this strategy, building trusting relationships with the participants was important. My conversations with participants were interactive and held in an informal, real-world setting if at all possible (in addition to their offices). Only one was done over the phone. Furthermore, I shared my personal stories with the participants, reflecting in my personal diary on how my story changed as I heard their stories. However, I was careful not to let my story

³⁵ Ethnomethodology: a branch of sociology dealing with non-specialists' commonsense understanding of the structure and organization of society. (<http://www.merriam-webster.com/dictionary/ethnomethodology>)

overshadow theirs. Ultimately, my intent was to obtain and use stories to understand the common-place value-laden struggles to promote dialogue.

3.1.4 Personal diary keeping.

Throughout this research, I kept a personal diary. It served as a form of self-inquiry, to record how and why the interpretation was arrived at. It allowed me to look back and see how I evolved as a researcher, fundraiser and a human being. Furthermore, it allowed me to identify any personal potential biases or perspectives that are particular or unique to me. In the diary, I acknowledge my own instincts, intuitions, and curiosities as they pertain to in-memoriam donations and values of fundraisers and allow them to guide my interpretation. One of the purposes of this diary was to come to understand myself so that I could better understand the complex human realities of the fundraisers I interviewed.

While keeping a diary, I did not keep a daily but regular account of my ideas, thoughts, and feelings. Entries were made close enough to the time when events or activities occurred so that they recorded rather than distorted insights resulting from recall. A decision not to write daily or on particular days was made purposefully to avoid cyclical bias or irrelevant entries. In addition to my own ideas, thoughts and feelings I recorded existing public and private material related to the topic at hand, only to record my personal reactions, assessments of life and professional experiences.

My reflections in regards to the actual interview responses, participant-observation during the interview and short stories/narratives I collected were recorded in my written transcripts, the day of the interview, when my impressions were still fresh.

3.1.5 Participant selection.

The participant interview list was derived from a list of NPOs which offer in-memorial donations as one of their major fundraising options to the public at-large. Furthermore, only fundraisers, employed by the short-listed NPOs as qualified above, and with a minimum of five years in the practice, were considered as potential participants. Steps prescribed by the Université du Québec en Outaouais have been taken to ensure confidentiality and anonymity of the NPOs and their employees (fundraisers) and protect them from harm.

3.1.6 Data collection.

In order to collect data during the interview and story collection process, I used a recorder. The recordings of the interviews and related conversations were transcribed soon after each interview.

3.2 Interpretive Approach

As mentioned above, the qualitative framework or view of the world prescribes to certain foundational assumptions or the givens that are assumed to be true. To further my research, I chose one such approach, often utilized in social science research. It is called the interpretive approach. An interpretive approach to science is one that – simply put - has no theory of knowledge. Followers believe that ‘there is no particular right or correct path to knowledge, no

special method that automatically leads to intellectual progress' (Smith, 1983, p. 120). Multiple perspectives to knowledge and the subjective nature of (human) interpretation make this conclusion self-evident. To this end, I understand and believe that the research methods I have chosen to conduct my research are potentially fallible, rather than objective and universal.

Furthermore, those who prescribe to the interpretive point of view believe that social world of human beings cannot be understood in the same way as the natural and physical worlds. "Some of the philosophical foundations of interpretivism can be found in Immanuel Kant's *Critique of Pure Reason*, in which he argued that humans interpret their sensations, they do not directly experience the "out there" world as it is." (Willis, p. 6) In other words, humans are not things. Therefore, the objective, unmediated observation, while appropriate research approach for inanimate objects, should not be applied universally to humans. Research involving human beings requires a different approach, one such as the interpretive approach.

In summary, I agree with the above-mentioned foundational assumptions of the interpretivist approach. Within the context of my research I focus on what is meaningful to fundraisers/participants in this research. For example, I sought to find how fundraisers/participants develop, express and communicate meanings surrounding values and more specifically, values related to in-memoriam donations. I focussed on discovering universal laws or absolute truths surrounding values of fundraisers but on understanding values of multiple perspectives derived from practitioners/fundraisers within their specific context.

3.3 Data Analysis

As I gathered information and data procured through participant interviews and the narratives and stories they shared with me, I aimed to identify key themes or questions as they emerged. Those key themes or questions which appeared more frequently were categorized as important because they represented shared meaning of the group of fundraisers in this research. Simultaneously, I took note of any significant issues or challenges that emerged. I reflected on the challenges, questions and interview contradictions that emerged in my personal diary by reviewing recordings of interviews.

In order to realize productive and meaningful analysis, I ensured that the information and data collected was balanced between various methods: interview responses, personal diary keeping and collection of participant narratives/stories. The notes of what I observed, heard and experienced during these interviews were written in point form in an unobtrusive way and elaborated on in my personal diary that same day. In addition, I identified key categories, representing key ideas and variables, and link my data collection notes to them.

In my personal diary, I reflected on what I have learned. I prioritized and re-evaluated my research question and try to have any important questions that emerge answered.

Finally, I adapted my research plan to changing circumstances. For example, if some fundraisers I planned to interview were not available, I sought others, in accordance with the aforementioned criteria.

Once I developed a list of things I learned, I shared it informally with key research participants to allow participants to clarify or add to what I assessed to be critical findings. Through this informal sharing, I tested the validity of my research findings. The writing and editing of my research findings began in the midst of my research and was not done at the very end of my research.

4 Analysis and Interpretation of Data

4.1 Introduction to Analysis and Interpretation of Data

In the preceding three sections, I presented the problem to be explored in this thesis, the theoretical framework for the topic and the methodology I used to conduct my research and obtain data for interpretation and analysis. This section is devoted to the analysis and interpretation of the data. Taking each of the seven questions in turn, the responses provided by participants to each question are summarised. I also indicate whether the findings add anything of relevance to our current understanding of project management or fundraising practice.

4.2 Why did you become a fundraiser? Unveiling the inner values of practitioners

As a result of the context analysis technique, the following table reflects a summary of thematic responses to Question 1 of the interview.

Table 2 – Responses to Question 1

Question 1: Why did you become a fundraiser?
Theme 1: I have been called [by God] to the need.
Theme 2: Because I am a fundraiser (i.e. it is who I am, I was born this way).
Theme 3: I don't see myself as a fundraiser. I am more of an awareness raiser.
Theme 4: To help my family member and others.
Theme 5: Because I love people.
Theme 6: Because I believe in the mission of the organization.
Theme 7: I fell into the profession. I never heard of it before I got this job...
Theme 8: Because it is in line who I am. It aligns with my personal values.
Theme 9: Initial response: Because I was able to put my past skills to use. [Current belief] ...while most people dream of retiring, I do not...

4.2.1 Analysis and interpretation of Table 2.

This first question, “Why did you become a fundraiser?”, served the principle purpose, amongst others, of a means of informal introduction between the participant and me. As an interview technique, it was meant to begin the conversation, one that would just happen naturally and elicit an open-ended, broad and deep response about fundraisers and their values. For the purposes of this research, it was meant to obtain a greater understanding of the meaning (or reasons) behind the interventions of fundraisers who manage in-memoriam donations as well as to identify underlying values of fundraisers.

Why is it important to identify a fundraiser’s values? The public increasingly demand higher, if not the highest, ethical standards when it comes to donating precious funds in response to fundraising initiatives. Without the public’s trust there can be no successful and durable fundraising. As the adage goes, “fool me once, shame on you; fool me twice, shame on me.” Identification of fundraisers’ values, in other words, their core beliefs and principles, is therefore one of the key prerequisites that permit an NPO to address concerns surrounding ethics successfully.

The identification of values of fundraisers, however, is but a preliminary step towards this goal. Generally speaking, an NPO would be well-advised to strive for a convergence of values, namely values articulated in the mission statement, the values of fundraising team members (e.g. finance staff, communication/marketing staff, Web Master, etc.) and finally the values of the fundraisers themselves. The values of an NPO as articulated in its mission statement express organisational values that are meant to spark the interest and passion of donors, employees and

other stakeholders. Oftentimes, in addition to mission statements, NPOs also articulate their unique core values. It is important for the values of the second group, namely the fundraising team, to align with the NPO's values as it is responsible for management of various aspects of the fundraising cycle. Finally, the same can be said for the values of fundraisers for they are closest to donors; consequently, their efforts have the greatest potential to impact on fundraising success.

This first question and the research conducted thereunder are concerned exclusively with the identification of the values of fundraisers. It is assumed and understood that it is essential for there to be a convergence of the fundraisers' values, the values of the fundraising team and ultimately those of the NPO (as articulated in the mission statement or specified organizational values) with which they are associated. Once identified, defined, articulated, well-shared among employees and finally embedded, values have the potential to be the driving force that make employees, including fundraisers, overcome routine and difficult challenges. They have the potential to give meaning to an NPO's employee's life and work. Ultimately, they are reflected in everything that is done in the name of that NPO.

The question, 'Why did you become a fundraiser?', was therefore meant as a starting point in a series of questions related to values. More specifically, it was meant to obtain greater understanding of the meaning (or reasons) behind the interventions of fundraisers who manage in- memoriam donations. Furthermore, it was meant to identify the underlying values, core beliefs and principles important to fundraisers who are tasked with managing memoriam donations.

An analysis of responses to this question yielded the conclusion that most of the fundraisers who were interviewed were drawn to the practice because of their underlying sense of values. And while anecdotal writings indicate that most fundraisers ‘fall into the profession’,³⁶ there was no deeper probing surrounding this response. Reflections contained in the responses of those interviewed indicate that most had a very strong commitment to ‘doing good’ and of ‘contributing to society with their heart and soul’. They generally agreed that doing good made them feel good. It provided meaning to their lives: “While most people dream of retiring I do not,” said one fundraiser. Others added: “I feel like what I do every day makes a difference to people as opposed to the bottom line in the pockets of corporations,” or “I can’t imagine crossing the bridge into the ‘for profit’ sector world...that’s not me...that’s not who I am” or “I have been called to do this job”. Most fundraisers saw themselves as catalysts of change. “The impact of the changes in society (I facilitate) is just pure goodness.” Also, most of them also articulated in many and varied ways that they loved people: “I absolutely love people!” – said one. Others also added: “Ultimately, fundraisers have to be people persons,” and “If you choose to do fundraising I think that your focus should be on doing something for someone else.” Most also articulated that the mission of their organization and their practice was ‘in line with who they were’. One said: “To be a good fundraiser one needs to have the passion towards the cause. One needs to live the mission.”

³⁶ The expression ‘fell into fundraising’ seems to have many different meanings among those interviewed, ranging from ‘I did not have the fundraising skills and knowledge initially but my fundraising skills evolved’, ‘I fell into it by luck or sheer coincidence’; to ‘I had the skills applicable to fundraising but did not know it until a potential employer or friend recognized it’.

The responses of participants ranged between two extremes; on one extreme was one participant who indicated that she was born a fundraiser and on the other extreme, one who indicated that she ‘fell into fundraising’. Those responses of participants who fell between these two extremes clearly indicate that their underlying sense of values led them to become and cause them to remain fundraisers. For example, one participant who originally responded by saying that said that he fell into the profession later elaborated:

“I was a financial advisor and I worked with [Bank X] and [Bank Y] and the more...I tried to find my place where I would be fulfilled, the further and further I got away from my goal of finding that fulfillment.. .. It was really matter of that it became just about money for the sake of sales and I found that it was really somewhere where I did not want to be. ...according to my education I should have been happy and fulfilled and I found that the opposite was the case. I tried to find a way where I could keep some of the things I learned but also apply them in a way that really is.. ...more in line with who I am.”

After some initial discussion, several fundraisers also reflected on ‘why’ they became and remained fundraisers with responsibility for the in-memoriam program. One responded:

*“I think that the hardest thing to do is to do something for which the world holds little esteem. So if the world holds it in small esteem that is something worth doing. Do something good without anyone seeing it. I think that your approach to fundraising has to be like that”.*³⁷

In conclusion, fundraisers interviewed for the purposes of this research became and/or remained fundraisers because they were pulled toward it by their respective values. One might say that

³⁷ In-memoriam donations tend to be smaller than ‘major gifts’ or legacy gifts and for this reason the work of those fundraisers who manage them may not be ‘valued’ as much as those who manage other programs that generate higher donations.

they were driven to the 'profession' because it provided them with opportunities to act on their values. Those values, it seems, were not a matter of the head, but a matter of the heart. Furthermore, it also seems that older, more experienced fundraisers reflected on this question in a much deeper and broader way.

Keeping a personal diary while working on this thesis helped me reflect on why I personally became a fundraiser. One of these key reflections occurred when a young man contacted me wishing to raise funds for the NPO for which I worked. His story was exceptionally touching. This young man was determined to raise funds in memory of his classmate who chose to end his life. I could hear in his voice that he was getting so sad ...that he could not talk about his classmate for much longer. He switched topics suddenly. I concluded that this was because he was not able to 'go there' - to that place where it really hurt. I recognized that feeling. I knew that he was grieving...and in that moment I realized something else: I realized that it was my grief that led me to fundraising, too. I remembered that I changed my 'profession' to help my son, people like him and families affected by the syndrome that affects him. I remembered that this wish was born out of my grief, when I grieved the loss of the son that I would never have. Since then, I've been very sensitive to the pain of other's suffering. Before this experience, I never had that hypersensitivity. Raising funds was my way of relieving my pain, of helping, of doing good. It was healing. I was no longer a bystander; I was an active participant. All of this to say, that I realize now that my reasons for becoming a fundraiser were borne out of my grief. My subsequent readings and research surrounding grief for this thesis showed that grief has the potential and power to serve as an impetus that transforms people into more sensitive, loving and giving people. Many of my in-memoriam donors are very likely just such people. Today, I see

my chosen 'profession' as a calling to, amongst other things, help alleviate the grief of those I serve. I render a service to humankind and that has value to and meaning for me.

Two of the fundraisers I interviewed became fundraisers in order to help their family members and those who suffered from same illnesses. One fundraiser said: "It was a way to help my mother ...to help others and improve their quality of life." The other, whose son had a particular illness, became a fundraiser for an NPO that served children like his son because "the cause spoke to [him]" ..."it meant something to [him]".

4.2.2 Implications for the fundraising practice: the need for self-reflection.

The general objective behind this question was to obtain greater understanding of the meaning (or reasons) behind the interventions of fundraisers who manage in-memorial donations. Furthermore, it was meant to identify underlying values of fundraisers. What are the reasons that drive/inspire one to become a fundraiser? Are there values that drive one to become a fundraiser or a fundraiser tasked with managing in-memorial donations? This research has identified eight different reasons. Responses to subsequent questions provide an insight into values that were most likely important to them before they became fundraisers and those that that could have also been the underlying triggers for their respective decisions to become fundraisers.

What does this research bring to the fundraising practice that is new and valuable? Empirical evidence that captures reasons for becoming a fundraiser does not exist. Anecdotal writings claim that most fundraisers are 'accidental fundraisers'. This research provides a different and new layer to this claim. Fundraising, just like project management, is an emerging profession.

Neither is taught in grade school, high school or most undergraduate programs. However, in both cases, those who are in working in it currently, may have been engaging in some aspect of fundraising without knowing, all their lives. “I was always fundraising, even as a little kid” – said one respondent. Most fundraisers interviewed allude to becoming fundraisers because of the underlying sense of commitment to human kind. Their later responses to my specific value-seeking questions confirmed this. Even those who claimed in their response to this first question that they fell into the ‘profession’ seemed to have been attracted to it because their values matched those of the mission of the NPO seeking to employ them. One fundraiser summarized: “Ask yourself, what do I believe in? I think that fundraisers need to ask themselves that question. And if you believe in what you are doing, you can become a very good professional....And I think that if you chose to do fundraising your focus should be on doing good for someone else.”

It also seemed that some fundraisers did not reflect on this question before this interview and that the interview itself initiated a self-inquiry that developed during the interview and even after the interview was over. This prompted me to conclude: fundraisers will find value in reflecting - in getting to know themselves. Fundraisers, as practitioners in any other field, need to get to know themselves, in order to support their lifelong learning. Commitment to self-reflection, to getting to know oneself, can support dynamic lifelong learning that at its very best has the potential to conclude in ‘new wisdom’ and innovation, in everything they do, including in-memoriam donation management.

Self-reflection can also support informed ethical decision making through well-considered decisions and actions, by helping them to move beyond their 'fundraising' world and into the world as their donors see it. (This world may be very different from the one so familiar to them.) Furthermore, fundraisers need to self-reflect to get to know themselves, so that are not swayed by the fashionable opinions. They need to know themselves in order to stay true to their values and values of their NPO.

Ultimately, I believe that self-reflection has the potential to make fundraisers more effective fundraisers.

4.2.3 Implications for the project management discipline: fundraising as an important new and needed theme to address.

Within the project management discipline, much as with fundraising, there exist variations in knowledge, in areas of application and in practices across cultures. In spite of such variations, generally the project management profession has been described as follows:

Unlike the traditional professions, project management draws very little of its legitimacy by reference to its contribution to public good, to an ideal of social science, or by adherence to an overarching ethical code. Some would argue therefore that project management is actually more a 'commercialized profession' as it claims to exclusive expertise are indexed primarily upon technical ability, managerial competency and in particular the delivery of economic benefits by the project manager for his or her client. (Morris et al, (2006), p.711)

This assessment certainly seems true in the traditional sectors in which project management has been practiced: engineering, construction, IT etc. Furthermore, as discussed above in section 1.2.1.a, there are other critics who argue that the project management discipline lacks emphasis

on the human side, one that is inclusive of social conducts, defined by history, context, individual values, wider structural frameworks as well as ethics. They point out that the Project Management Institute (PMI®),³⁸ the Project Management Body of Knowledge (PMBok®)³⁹ and the related project management certification programs have “marginalized the project management experience to just the PMBoK prescription.

How does this compare to fundraising? A comparison of the Code of Ethics of the Association of Fundraising Professionals (AFP), the Donor’s Bill of Rights and related codes of ethics in NPO specialty areas and the Project Management Institute’s (PMI’s) Code of Ethics and Professional Conduct reveals that the values articulated by fundraisers are greater in number, clarity, depth. In addition, literature on the topic of ethics in fundraising is abundant. One may say that ethics is given greater prominence in fundraising than it is in project management.

Also, as evidenced by this research, the fundraising frontier has a clear and unequivocal commitment to ‘doing good’ and to serving the public through adherence to an overarching ethical code. It can be described as anything but “commercialized”. To this end, fundraising represents an emerging practice that could add a new dimension, a new area of application for the project management discipline. It has the possibility to enrich and expand project management discipline in more ‘human/social’ and altruistic directions not formerly explored.

³⁸ The Project Management Institute (PMI) is the world’s leading professional not-for-profit membership association for the project management profession, with more than half a million members and credential holders in 185 countries (<http://www.pmi.org/About-Us.aspx>)

³⁹ PMBoK does not mention ethics in relation to any competence field of project management (Helgadóttir, p. 744).

4.2.4 Conclusion: The importance of the human/social aspect of project management.

In order to address ethical decision-making and improve fundraising efforts it is important that NPOs strive for a convergence between their organizational values, fundraising team values and those of its fundraisers. The preliminary step toward this goal is an identification of the values of its fundraisers. An analysis of responses to the first question indicates that most participants were drawn to the fundraising practice because of their underlying sense of values. In other words, they were driven to fundraising because it provided them with opportunities to act on their values. Self-reflection was seen as critical in procuring the broader and deeper responses to this question. (Initial knee-jerk responses were negated through lengthy interviews/conversations that provided an impetus to self-reflection.) Other possible benefits of self-reflection such as dynamic lifelong learning, innovation, and the power of ‘knowing oneself’ in ethical decision-making were also identified.

The fundraising practice has the possibility to enrich and expand project management discipline in more ‘human/social’ and altruistic directions not formerly explored.

4.3 Values that enhance acknowledgement of in-memoriam donations

As a result of the context analysis technique, the following table reflects a summary of thematic responses to Question 2 of the interview and shows the values participants identified as those that would be helpful in providing accurate and prompt acknowledgement of in-memoriam donations:

Table 3 – Responses to Question 2

Question 2: What values might help fundraisers provide accurate or prompt acknowledgment of in-memorial donations?
Theme 1: Accuracy (verification with utmost attention to detail).
Theme 2: Compassion
Theme 3: Empathy/Caring
Theme 4: Sensitivity
Theme 5: Respect
Theme 6: Promptness (a commitment to speed up the acknowledgement process so that in-memorial donations are processed faster than other donations)
Theme 7: Donor-centric fundraising (Donor-centered fundraising is an approach to raising money and interacting with donors that acknowledges what donors really need and puts those needs first. (Burke, 2003, p.22))
Theme 8: Equality (commitment to treat all donors equally regardless of size of donation)
Theme 9: Accountability
Theme 10: Transparency
Theme 11: Integrity/Ethics
Theme 12: Perseverance
Theme 13: Being Organized
Theme 14: Dignity
Theme 15: Genuine
Theme 16: Confidentiality
Theme 17: Commitment to Cause
Theme 18: Professionalism (commitment to fundraising principles)
Theme 19: Obligation (to the donor)

4.3.1 Analysis and interpretation of Table 3.

Before asking Question 2 (“What values might help fundraisers provide accurate or prompt acknowledgment of in-memorial donations?”), I felt it important to preface the question by

reminding the participants that well-known authors in the fundraising field advise that donors be thanked in a very personalised way within 24 and 48 hours of receipt of a donation.

Once placed in that context, an analysis of responses to this question revealed that the area of acknowledgment of in-memorial donations produced in the respondents the greatest concern and the most frustration. There are two main reasons for this. First, donors mostly complain about the delay in acknowledging in-memorial donations. Second, they also complain about the errors contained in the acknowledgements. Both reasons have the potential to cause great emotional hurt to the donors and, in turn, to impact their decisions on which NPO to direct their future donations and possibly similar decisions of extended family and friends.

What are some of the specific reasons that cause these problems within an NPO? At some NPOs, it may be due to overlap of responsibilities between departments, such as between a department that handles the major giving program and the annual giving program. For example, there may be confusion as between the responsibilities for major in-memorial donations and any other type of major donation. Who is responsible for stewardship of such donors, a fundraiser who manages the in-memorial program or the fundraiser who manages major donations? If the responsibilities of an in-memorial program fundraiser end at a certain point and the responsibilities of a major program fundraiser take over, at what point in the donation cycle does this actually occur? It seems that this is a very delicate question, one that may require each NPO should determine prior to the receipt of such donations.

At other NPOs, donor frustration due to acknowledgement may be due to turnover in staff, which inevitably arrest communication or at least interrupt communication amongst staff and, in turn, between the NPO and the donor. At still others, it may be due to a failure to accurately record donor information or the names of the deceased. This leads to embarrassing and disastrous consequences when an NPO is unable to promptly and correctly communicate with the family.

The fundraisers interviewed for this research each conveyed that in-memorial donations ‘carry with them most sensitivity, most emotion’, and are ‘most delicate’ to manage. One fundraiser aptly concluded: “If you can’t handle them (in- memorial donors) with compassion, then you should not be talking to them at all”. Another clarified the need to be donor-centric: “We are not looking for cash. We are looking to remember the person who passed away.” Some others added that they managed in-memorial donations in a manner that was designed to decrease stress for the donors.

The participants, in the examples they gave to describe how they acknowledged in-memorial donations, mentioned values such as caring, compassion, empathy, accuracy, professionalism.

One described acknowledging in-memorial donations thus:

“I emphasize the personal response. My acknowledgements are personalized, hand-written. I recruit volunteers with good hand-writing to help me write the cards. Even the way I put the card in the envelope is important to me. I sign them myself...because it is all about presentation...that start-to-finish detail. I personally compose it and I hand-sign it. I do ‘Google’ searches...I search for obituaries to find accurate information (about the deceased).”

A number of participants noted that once in-memorial donations from one family become major donations that are designated to a specific purpose, there must be a strategic and deliberate effort to steward the donor family appropriately. This process would begin with timely and personal

acknowledgements, “a lot of listening” and working collaboratively with the donor family to identify a mutually agreed-to project/activity worthy of their funding and memory. Memoranda of Understanding (MOUs) were identified by multiple participants as imperative to formally and legally record both the wishes/intentions of the donor family and the NPO’s agreement to fulfill this wish/intent. The participants noted that MOUs were practical examples of the values they held dear: transparency, accountability, integrity/ethics, professionalism, and obligation (to the donors).

It is also important to mention the participants’ multi-layered commitment to the value of professionalism. This multi-layered commitment encompassed a commitment to life-long learning, to continuous personal and organizational improvement, and to collaborative work that recognizes and values input and feedback of stakeholders with complementary knowledge and skills. Examples of the commitment to the value of professionalism reflected in practical initiatives, such as establishing a collaborative relationship with funeral homes or planned/legacy giving professionals to develop a number of tools important to the success of any in-memorial program (i.e. in-memorial funeral home cards, charity on-line donation pages, on-line funeral home donation processing etc.)

With respect to the timing of thank-you calls, which is an integral element in the acknowledgment process, most participants indicated that they did not call major in-memorial donors to thank them for their donation. For some, this is explained by the fact that the NPO had not/does not receive major in-memorial donations. Most also indicated that for in-memorial donations received on-line, they did not call within 24 and 48 hours of its receipt. The

participants who felt the strongest about calling major in-memorial donors to thank them for their donation within 24-48 hours worked in the healthcare sector, specifically in nursing and palliative care. They were very firm in their belief that these donors should be called even in spite of the possibility that these donors may be grieving. “Even if they are crying, they will appreciate your call,” said one.

While research and literature on in-memorial programs seems to be sparse at best, the fundraisers interviewed for the purposes of this research were resolute in their view that in-memorial donations are critical entry points in the donor relations cycle. In their opinion, an in-memorial donation is a beginning of a relationship between an in-memorial donor and the fundraiser who manages the donation. An in-memorial donation provides an opportunity for the fundraisers to create the best first impression of the NPO/cause they serve. In the words of one, “There is a strategic element to them that leads me to ...hopefully build a bridge and contribute to a greater success of the organization”. Another participant, from a faith-based organization agreed with this, in his words: “If I try to do a good job acknowledging, it will bring more faithful to the church.” In other words, their conclusion and advice was not to look for the ‘goose that lay the golden egg’ (i.e. eggs in the form of major gifts) because that goose (i.e. donor) was already at the door waiting for someone to open the door. Those golden eggs had the potential to ‘hatch’, in their own good time, but only if stewarded properly.

4.3.2 Implications for the fundraising practice: fundraisers as helpers in dealing with grief.

It appears that the analysis and research relating to the responses to question #2 have resulted in one significant finding, one which is new and valuable to fundraising practice. Specifically, it is acceptable for fundraisers to call in-memoriam donors within 24 and 48 hours of receipt of major in-memoriam donations for the purpose of acknowledging the donation. Such calls, however, must reflect the values identified by the fundraisers (sensitivity, compassion, respect, professionalism, etc.)

The analysis and research also confirm what Sargeant, Shang & Associates have noted, namely that memoriam giving

... is an incredibly powerful form of giving, and non profits that provide this service add genuine value for certain categories of donors by doing so. Opportunities can also be created for secondary and subsequent gifts, respecting the genuinely distinctive nature of this form of giving. (Sargeant, Shang & Associates, 2010, p.403)

That is, the fundraisers interviewed for the purposes of this research confirm that in-memoriam donors, specifically, major in-memoriam donors, have the potential to bring in new volunteers and additional gifts to the NPO, so long as they are stewarded properly.

The values identified by the fundraisers as important in relation to this question can again be attributed to their view of fundraising as an endeavour that “renders a service to the humankind”. Can this be said about their act of acknowledgment? It sure can. Acknowledgement of a donation is in fact an acknowledgement of donor’s existence. It is also an expression of praise of their values and their generosity, as expressed through a major in-memoriam contribution to the

NPO. Furthermore, accurate and prompt acknowledgements allow fundraisers the opportunity to provide those who are grieving with a chance at a new beginning, a re-invention and, perhaps, even a new life. Simply put, for in-memoriam donors who may be lonely, scared, isolated, or forgotten, fundraisers can facilitate a closing of the door on grief and an opening of a new door.

4.3.3 Implications for the project management discipline: application yields improvement and innovation in fundraising and supports fundraiser's values.

The participant responses indicate that the biggest mistakes, most obvious examples of ineffective and inefficient donor service of in-memoriam donation management cycle, occur during the acknowledgement stage. Even within its own ranks, there are voices who are quite clear about general customer service being the NPOs' great weakness:

...Fundraising organizations, now, are among the most inept of businesses at the art of customer service. We have consistently undervalued it and underinvested in it. Our donors are more likely to experience efficient, friendly, and effective service at the hands of their favourite airline, bank, insurance company, or even McDonald's than they are at the hands of their favourite nonprofit. (Burnett, 2002, p.330)

The above assessment bears out the negligence within NPOs. When it comes to fundraising and specifically the acknowledgement of in-memoriam donations, could the project management discipline provide any assistance to remedy this problem? Could project management theory and practice help the fundraising practice eliminate errors, ensure accuracy and improve efficiency? Definitely. NPOs and their fundraisers would benefit from modernization of information management systems related to in-memoriam donations. Such modernization initiatives yield best results when they are managed as projects which include the following processes: planning, scheduling, monitoring, and control. In addition, current and modernised processing systems should be analyzed and evaluated based on feedback of internal and external stakeholders

(including fundraisers, members of the fundraising team and volunteers/donors). Also, in accordance with project management processes, organizational needs must be defined before an information management plan is developed. Piloting of such an information management project to iron out any glitches and make further improvements would also serve to improve the system.

The participant responses suggest that serious issues surrounding the acknowledgment of in-memorial donations need to be addressed and remedied. Empirical research in project management advises that self-reflection of individual project managers – in this case fundraisers, as well as reflection of the project team needs to be ‘encouraged by leaders and occur more frequently over the course of the project [the annual campaign] cycle, perhaps weekly or upon conclusion of each project milestone’ (Julian, 2008, p.56) and not once it is completed.

The above insights indicate that the fundraising practice provides fertile ground for introduction and expansion of project management theory and practice, for the purposes of continuous quality improvement and innovation.

4.3.4 Conclusion: the critical role of personal values for project management and fundraising respecting acknowledgement.

My knowledge of the fundraising practice and the project management discipline draw me to conclude that the project management discipline has many and varied ways to contribute to the field of fundraising. The area of in-memorial donation acknowledgments could use assistance of project management principles, processes, practices and tools to make great improvements (e.g. improvements in information management systems and commitment to self-reflection).

The investment in such improvements would improve quality of service and contribute to innovation efforts. Ultimately, it will allow fundraisers to stay true to their values.

4.4 Values that enhance recognition: respect, sensitivity and compassion

As a result of the context analysis technique, the following table reflects a summary of thematic responses to Question 3 of the interview and shows what interviewees identified as the most important values related to donor recognition:

Table 4 – Responses to Question 3

Question 3 - What values might help fundraisers provide adequate and appropriate recognition of in-memorial donors in a manner that is consistent with ethics and a sense of philanthropy?
Theme 1: Altruism
Theme 2: Sensitivity
Theme 3: Equality
Theme 4: Compassion
Theme 5: Sensitivity/Understanding
Theme 6: Donor-centric Fundraising
Theme 7: Privacy
Theme 8: Wisdom
Theme 9: Commitment (to organization and basic fundraising principles)
Theme 10: Respect

4.4.1 Analysis and interpretation of Table 4.

From the responses to Question 3, “What values might help fundraisers provide adequate and appropriate recognition of in-memorial donors in a manner that is consistent with ethics and a sense of philanthropy?”, it was evident that all participants provided recognition to their donors

in a variety of thoughtful and innovative ways. They articulated their belief that donor recognition was simply part of good donor stewardship and basic fundraising principles. As defined above in section 1.2.2.b, donor recognition is “the policy and practice of providing recognition to a donor by a personal letter, a public expression of appreciation, a published list of donors, or another appropriate way”. Some of the fundraisers were quite clear that when it comes to donor recognition, fundraisers should be guided by donor-centric values that are respectful of donor’s wishes. They cited examples of donors who did not want their names to be made public or instances where they did not want the in-memoriam card to be sent to the family of the deceased. “Respect their wishes if they say that they don’t want to hear from you again,” said one fundraiser. Respect for donor privacy was not just reiterated in terms of something that was important to the fundraisers because of their personal values but also because of their legal obligation related to Canada’s privacy laws.

Sensitivity and compassion were also cited as important values related to donor recognition. Fundraisers interviewed pointed out that in-memoriam donors may sometimes require months to decide what kind of recognition they might want for themselves or their deceased loved one. “It boils down to what the family wishes,” said one. “We need to have a more personal relationship with that donor to see if this is a one-time gift or to identify donor’s philanthropic needs,” said another. The commitment to sensitivity was further elaborated on by yet another fundraiser: “At a risk of losing a donation, you have to be more sensitive. Lose the donation if you have to. ...Don’t take any short-cuts... You have to look at yourself in the mirror and say - I did the right thing, the best thing.”

What about the question of commensurate recognition, in other words, the belief or practice in fundraising that the larger the gift, the greater the recognition? Philosophically, all interviewed fundraisers were quite firm in their belief that fundraisers should not provide recognition that distinguishes between the sizes of the gift. “If you choose to do fundraising, I think that your focus should be to do something for someone else...you should not differentiate between size of gifts”. “Pay attention to all donors because you never know where your next gift is going to come from,” added another fundraiser. To make his point and to articulate his belief that ‘one should not base the recognition level on size of gift’ one fundraiser told me the Biblical story of the widow’s mite, in which Jesus saw a poor widow throw two copper coins into the treasury box. According to the fundraiser interviewed, Jesus’ commendation pointed out that the poor widow put in more into the treasury box than all the other wealthy contributors who put coins into the treasury box out of their abundance. The widow’s two copper coins, according to Jesus, had greater value because they were all the widow had.

In practice, there is divergence from the values underlying the fundraisers’ philosophical beliefs and those described above. Most fundraisers indicated that their NPOs had a donor grading system that differentiated recognition in accordance with giving levels. For example, the higher the donation the more likely it would be for a donor to receive a phone call from the president of the organization.

4.4.2 Implications for fundraising practice: the need to tailor recognition in line with the values of all stakeholders.

With memorial giving it is important to remember that these individuals are not necessarily supporting the cause; they are giving as an expression of personal grief,

as a mechanism for coping, or simply because the family asks. It is therefore inappropriate to treat these individuals as regular donors. Memorial giving is not about the charity but about the donors and their memories. Understanding this is the key. (Sargeant, Shang & Associates, 2010, p.403)

The analysis and research relating to the responses to this question yield new findings relevant to the practice of fundraising. As some of the participants noted, in-memorial giving is intensely personal in nature and thus determining what would be appropriate and meaningful recognition for a major in-memorial donor takes much longer. There are two key reasons for this: 1) grieving donors require much longer for decision making and 2) the recognition is not focussed on the donor as much as it is toward remembering the loved one. This adds another layer to the already multi-layered path towards the discovery of appropriate and meaningful recognition. To begin, fundraisers must always find ways to make recognition of any donor intrinsic to the cause. They must also ensure that it has meaning to the donor and, even more importantly, ensure that it would respectfully and sincerely preserve the memory of the deceased. Off-the-shelf, one-size-fits-all recognition is simply considered not to be in good taste. Recognition should reflect the wishes of the family and its values. In general, when it comes to communication with in-memorial donors, the tone of the communication differs from all other donations. It must be gentler, comforting and in line with the values identified by the participants.

Although examples of recognition of major in-memorial donors are unique and varied, some tangible recognition of major in-memorial donors, as identified by the participants or noted in my diary are: Web-based Public Condolence Books; Book of Remembrances; Commemorative Plaques; In-Memorial Park Benches; Tree Planting; Sculptures of Loved Ones; Scholarships and Bursaries; Purchase of a hospital bed; etc.

4.4.3 Implications for project management discipline: the need to address ethics and philanthropy.

Research responses to question 3 (“What values might help fundraisers provide adequate and appropriate recognition of in-memorial donors in a manner that is consistent with ethics and a sense of philanthropy?”) do not yield new findings for the project management discipline. Recognition as understood in fundraising practice (e.g. naming of a building after a major donor) does not lend itself to project management. To take but an extreme example, one form of recognition that a project manager could conceivably give to a stakeholder (e.g. a developer) is a bribe, a kick-back, in the hope that such recognition would lead to a stronger relationship and future work. Bribes and kick-backs are forms of corruption that developed societies try to curtail and punish. This is why what works well in fundraising is not appropriate in project management.

4.4.4 Conclusion: Donor-centred, sensitive and mindful recognition of in-memorial donations.

The interviewees’ responses indicate that participants provided recognition to their donors in a variety of thoughtful and innovative ways. It was important to them that this recognition be donor-centric and in line with Canadian privacy laws. Furthermore, that determining the type of recognition a donor may want for themselves and their deceased loved one may take much longer to determine than recognition of other types of donors. Their conclusion is that fundraisers need to be sensitive to the possibility that the donors may be grieving and that decision-making under those circumstances is longer than usual. Finally, responses indicated

that donor recognition in accordance with giving levels exists at each NPO despite respondents claiming that they appreciated all gifts without regard to gift size.

There were no new findings relevant to project management discipline resulting from responses to question 3.

4.5 Values that enhance stewardship

As a result of the context analysis technique, the following table reflects a summary of thematic responses to Question 4 of the interview and shows what the interviewees considered the most important values related to donor stewardship:

Table 5 – Responses to Question 4

Question 4 - What values might help fundraisers to better steward in-memoriam donors?
Theme 1: Responsibility
Theme 2: Kindness
Theme 3: Empathy
Theme 4: Sympathy
Theme 5: Wisdom/sensitivity (toward those who are grieving)
Theme 6: Patience
Theme 7: Active (genuine) listening
Theme 8: Speed/Timeliness (in answering all donor questions)
Theme 9: Common Courtesy
Theme 10: Respect for Organizational Values
Theme 11: Respect for donor wishes (donor-centric values)
Theme 12: Gratitude (showing gratitude for support)
Theme 13: Integrity (informing donor of how their donation is used, i.e. in accordance with their wishes)

4.5.1 Analysis and interpretation of Table 5.

Responses to Question 4 (“What values might help fundraisers to better steward in-memorial donors?”) indicated that most of the fundraisers interviewed for the purposes of this research used the term ‘stewardship’ inaccurately, reflecting a mixture of confusion and lack of familiarity with the nuances of the definition. As noted above, stewardship is a concept closely related to relationship building; a concept that includes acknowledgement and recognition but in addition includes “the honouring of donor intent, prudent investment of gifts, and the effective and efficient use of funds to further the mission of the organization.” It seemed that this was the most misunderstood fundraising term. The responses elicited were therefore not as accurate or as comprehensive as would have otherwise been the case had the term been correctly understood. For example, one fundraiser remarked that “in-memorial donors require a fundraiser to educate donors before stewarding”. Her definition of stewardship placed the education of donors outside the realm of stewardship when, in fact, education of a donor is a critical and an essential component of stewardship.

It was evident from the interview responses that some participants were regurgitating the blanket belief, originating from anecdotal writings, that that in-memorial donors have no commitment to NPOs and that they are not to be stewarded. However, the participants whose NPOs received many in-memorial gifts, some of which were major in-memorial gifts, believed that there was a need to steward major in-memorial donors because stewardship has the possibility to develop committed volunteers, major gift donors and even legacy donors. They also commented that good stewardship takes time and money to have returns. It requires organizations to invest in the

program. Some also commented that fundraisers responsible for in- memoriam programs need to coordinate the stewardship of in-memorial donors with planned/legacy giving staff in order for bigger donations to follow the initial in- memoriam donation. Others commented that “there are points in life when people are open to change, such as birth of a child, ‘hitting rock bottom’ and dealing with a death of a loved one”. Those who experience a death of a loved one are often inspired to ‘do good’ by donating to or volunteering for a charity that has had some connection to their loved one. Some fundraisers considered these wishes to ‘do good’ as the donor’s/volunteer’s first step toward seeking a relationship with the organization and, hence, as a signal that the donor/volunteer needs to be stewarded well.

The fundraisers interviewed cited several examples of stewardship initiatives. They included keeping in-memorial donors advised of the latest organizational initiatives/accomplishments through newsletters, web site and national publications; allowing donors to create in-memorial pages for their loved ones; placing thank you phone calls and writing letters to major in-memorial donors and grieving families; inviting in-memorial donors and grieving families to events; and actively listening to the needs and wishes of the grieving families in order to be able to develop larger programs/initiatives funded by them. Some provided this advice:

“In terms of stewardship, I am an advocate of going slowly with the donors. With in-memorial donors I advocate going even slower. For a large donation, I drop off the receipt in person to get some face time with the donor. I let them put a name to a face and me put a name to a face, and it is the first of the opportunities that I might have to do some discovery and find out what was the ultimate motivation behind the donation. You have to respect the values of the organization you work for. For example, if your organization considers prospecting of parents of palliative care patients (children) unethical/inappropriate – don’t do it.”

Within the context of this stewardship-related response, the theme of ‘active or genuine listening’ came up most frequently. It seemed to be a value that was perceived as the key to good and ethical stewardship. The fundraisers said:

“Because you are busy...you have a lot of things going on and you’ve got this person on the phone who wants to tell you their life story and it is your job to listen. And sometimes, it is not high on your to do list, but you do it because it is the right thing to do.”

“Consider that every donor/every family are individual and different. Listen to their needs and really identifying with who they are and what they value and set up your individual program for them to ensure that you are meeting all of their needs.”

“Listen to understand the motivation of why somebody has given an in-memorial donation.”

“You have to love it when people come to talk to you...because it’s the most important thing you do.”

In addition to ‘active (genuine) listening’, the themes of ‘empathy’ and ‘sensitivity’ also featured as prominent responses. As one fundraiser articulated:

“This is important...because you know...we are not looking for the cash. We are looking to remember the person who has passed away. For me that is really important, especially if I have known the person over the years.”

Finally, one fundraiser commented that in order to succeed in stewarding of in-memorial donors, it is very important to hire staff with the same kind of thinking/values.

4.5.2 Implications for fundraising practice: application of values can impact the effectiveness of stewardship.

People have long been motivated to give in memory or tribute following someone's death, yet this type of fundraising remains underdeveloped in most of today's nonprofits. (Sargeant, Shang & Associates, 2010, p. 403)

The analysis and research relating to the responses to question 4 yield new findings relevant to the practice of fundraising. The responses make clear that in-memoriam programs may be said to be underdeveloped. They are so for a number of reasons. A survey report conducted by The Goldie Company in 2010⁴⁰ indicates that that the size and the resources available to the NPO may be the limiting factors to the stewardship methodologies. It may be that the NPO leadership does not understand stewardship or, for that matter, its significance over the medium and long terms. Consequently, they do not approve budgets and human resources that would allow fundraisers to properly steward major in-memoriam donations. Finally, it may partially due to the fact that the term stewardship is not fully and properly understood by NPOs. This is consistent with the finding of the participants' understanding of stewardship and with the attitude expressed by some who don't believe that in-memoriam donors could and should be stewarded. Those who understood the potential of effective stewardship of in-memoriam donors had great results.⁴¹

⁴⁰ *The Dodging Tough Times: How Stewardship Programs Can Make All the Difference* (2010)

⁴¹ Some of the fundraisers interviewed did point out that not every NPO for which they worked receives major in-memoriam donations and where there were none, stewarding in-memoriam donor who made smaller donations would not make sense.

Several fundraisers had very successful experiences in stewarding major in-memoriam donors. They indicated this stewardship process takes some time. Unlike the stewarding of in-tribute, general, and/or capital campaign donors, stewarding of major in-memoriam donors cannot be rushed due to the emotionally charged, delicate matter surrounding the original in-memoriam donation. Some of the examples of major in-memoriam stewardship took years to lead to other major gifts. And the reason for this has been attributed to grief: grieving family members need time to reflect on how best to honour their loved one. The examples of effective stewardship given by participants included listening and finding the best ways to find a match between the donor's and the institution's needs, maintaining contact in numerous ways, keeping the donor informed etc. The practitioners in the field described effective stewardship as, yet again, an application of fundraiser's values:

Effective stewardship is essentially the application of simple human values that have endured over time: dignity, respect, and creating feeling of community of trust for donors. (Metrick, 2005, p.41)

4.5.3 Implications for project management discipline: the need to increase emphasis on stewardship.

Long-term stewardship, which may span over years if not decades, is neither prominently featured nor expected in project management. After all, projects are unique, one-time efforts. It is their temporary nature that makes stewardship seem pointless. However, my diary reflections of working in a projectized organization for close to 20 years indicate that there are significant benefits to stewardship. I believe that what gave me an edge as a project manager was my skill at stewarding various internal and external stakeholders. I worked with hundreds of national and international stakeholders. It was simply impossible to remember all the details about each. I developed a tailor-

made database and recorded details about each. I put an effort into spending quality time getting to know each stakeholder, in and outside the office. I took time to showcase in real and tangible ways the good work our NPO performed. Over the years, the relationships I developed helped me to procure new projects, recruit experts faster and more effectively, obtain information that was oftentimes not known to others and, generally, get an advantage over other organizations in competition with my NPO for projects. I was stewarding project stakeholders without formal training and without any realization of the benefit such stewardship brings to the success of the project I was managing or to the long-term competitive advantage of my NPO.

Authors in the field of project management, (Bourne 2006, Flannes & Levin 2001, Milosevic 2003) indicate some alignment with my conclusion:

The success of project work is, at least in part, dictated by identifying various salient stakeholders, managing robust relationships with them, making decisions that satisfy stakeholder objectives and leveraging the resources necessary to achieve these objectives.

Stewardship, as understood by experienced and well-trained fundraisers, is practiced in the fundraising field at a very sophisticated level. Tools available to fundraisers to steward donors and/or manage donor and other stakeholder relationships are well-designed and comprehensive.

However, further research into how the two fields can complement and assist each other is warranted in order to conclusively determine that fundraising stewardship know-how, techniques, skills and tools would benefit project management.

4.5.4 Conclusion: Specific value-infused training of fundraisers in stewarding in-memorial donors is warranted.

In light of the above findings, the Association of Fundraising Professionals (AFP) would be well-advised to devote additional and improved educational and training sessions to its members in the principles and practices of stewarding in-memorial donors. Involvement of NPO leadership in those same educational and training sessions would also have the potential to improve stewardship efforts. Further empirical research specifically related to major in-memorial donor stewardship would also contribute greatly to improving current stewardship practices.

There may be a need for further research to determine the potential benefit to the project management field of the application of fundraising stewardship know-how, techniques, skills and tools.

4.6 Using values to resolve certain conflicts that arise in managing in-memorial donations

As a result of the context analysis technique, the following table reflects a summary of thematic responses to Question 5 of the interview and show what values the interviewees identified as the most important to resolve conflicts that arise in the situation of death/grief in the context of managing in-memorial donations:

Table 6 – Responses to Question 5

Question 5 - What values might help fundraisers resolve the conflicts that arise in the situation of death/grief in the context of managing in-memorial donations?
Theme 1: Sensitivity
Theme 2: Active-listening/genuine listening
Theme 3: Comforting
Theme 4: Being Personal
Theme 5: Compassion
Theme 6: Thoughtful
Theme 7: Respect
Theme 8: Trustworthiness

4.6.1 Analysis and interpretation of Table 6.

Question 5 (“What values might help fundraisers resolve the conflicts that arise in the situation of death/grief in the context of managing in-memorial donations?”) was not easily understood by most respondents. It required a more elaborate explanation, which was provided. They were reminded of a fundraising rule that advises: “the bigger the donation, the more prompt and personal the thank-you”. They were then asked to elaborate on the values that might be helpful in resolving the conflict between strict adherence to this rule and calling major in-memorial donors who were grieving. In most cases, respondents said that they did not make such thank-you calls for a variety of different reasons. Some fundraisers who were employed by smaller NPOs obtained their donations on-line without seeking and therefore obtaining telephone numbers of in-memorial donors. In those cases, making thank-you calls was not feasible. Others just did not make those calls believing that personal telephone calls to major in-memorial donors are not worth the investment. Some fundraisers said that they talked only to

in-memorial donors who contact them. Such calls were perceived as invitations for further engagement. Still others were quite clear in their belief that in-memorial donors, generally speaking, should never be solicited again. One fundraiser articulated a more donor-centric view, one that focussed on sensitivity as a core value:

“At this particular moment (at the time of grieving), it is more about the person than the money. At the risk of losing the money, or not having the money, show sensitivity. Lose the gift if too close to the heart and too emotional for the donor.”

Most participants said that, upon request, they provided lists of all those who made an in-memorial gift in honour of the deceased to the grieving family. For ethical reasons, donation amounts were kept confidential.

Participants working for NPOs providing palliative care and nursing services provided answers that differed considerably. One such participant said, “Palliative care patients seem more comfortable with their death than those around them”. It is not surprising then that the responses revealed that participants working in palliative care and nursing were the most comfortable talking to the grieving families. They made thank-you calls to major in-memorial donors and encouraged them. They found it appropriate to call the major in-memorial donors, thank them and offer condolences. “Calling is worth the time and effort. It is important.”, said one participant. “A ‘thank you’ in case of in-memorial donors is different”, said another fundraiser. “It should not be made with the same kind of effervescence as those made to other types of donors.” It was also felt that in hospital settings it was welcome and appropriate to allow families of the deceased to visit hospital rooms. This gesture was not just meant to provide support, express gratitude but also provide a sense of closure. Again, the fundraising rule, “the bigger the donation, the more prompt and personal the thank you”, was observed by participants

in other creative and ever more personal ways. 'Fragile' families or those in the state of grieving were accompanied to the room of the deceased. Some participants noted that in-memorial donors who made their donations over the phone were a little easier to steward later because the telephone conversation had provided a more personal connection.

Those whose responses supported the idea that in-memorial donors should be called promptly and thanked in a personal way were quite clear that those calls should not be made by impersonal telemarketing types but rather by experienced fundraisers who believe in true philanthropic values. They believed that such fundraisers would take the time to build a relationship with the grieving family. Some provided practical tips, such as "if the name of the donor is different from that of the deceased, ask:

"What was your relationship with the deceased, if you don't mind sharing....? ...This type of questioning will provide useful insights as most people do not make large donations lightly."

Their reasons for thanking major in-memorial donors in person or over the phone also included this: "Your relationship with the donor starts at different points and comes about for different reasons." The in-memorial donation is just one of those points and just one of the reasons why a donor may choose to donate to a particular NPO. It should not, therefore, be dismissed lightly. Those participants who were very much in favour of calling major in-memorial donors while the in-memorial donors may still be grieving said: "I have never seen this as a conflict. It makes people feel good. People are interested in hearing how their money was spent and they will welcome the call."

Among those interviewed, there were also those who were not on either side of the spectrum simply because they were not sure what to do:

“We don’t know if in-memoriams are a major growth area. We don’t know how to approach in-memoriam donors so we stay away from them and we keep going after major donors. We do this because it is easier to let in-memoriam donors fall off and wait until they make another gift on their own then to take the time and figure out a communication strategy that would make some sensitivity and the sales pitch and whatever we are doing that year.”

There were those who concluded that their or their front-line staff’s lack of experience with those who are dying or grieving may explain why their NPOs had not benefited to a greater extent from in-memoriam programs. Here is what one of them said:

“If I had that personal experience (of grieving) I would be able to pull that experience and have empathy....Someone who may be just like a clerk or a donations clerk...they probably don’t think past that...Death, grief and money are such polar opposites. I can go to as many seminars as I want on marketing and direct mail and it’s of no help and it does not prepare you...for someone on the phone crying in horror.”

There were eight different values that were identified as those that might be helpful to fundraisers to resolve conflicts that arise in the situation of death/grief in the context of managing in-memoriam donations. One fundraiser commented that it is not necessary to express these values in words but to demonstrate them through actions.

4.6.2 Implications for fundraising practice: value-laden insights can improve fundraising practice and results.

The analysis and research relating to the responses to question 5 provide some new insights and yield practical tips relevant to the practice of fundraising. The ethical dilemma of calling major in-memoriam donors to thank them for their gift within 24-48 hours of this gift being made was for many participants a thought-provoking one. Fundraisers are taught to make the thank-you

calls to major donors within 24-48 hours. However, no research or anecdotal writings have been completed in relation to in-memorial donors.

The first insight and practical tip is the need to prepare a script to assist in executing an in-memorial donor thank-you call. My diary writings reveal my reflection on phone call scripts and my conclusion that one is needed to facilitate in-memorial donor thank you calls. This conclusion, I note, is confirmed by seasoned lecturers and fundraising consultants (e.g. Ken Burnett) who advise fundraisers to make thank-you calls. On the scripting of a telephone call he writes:

Don't be afraid to prepare a detailed and comprehensive script. Scripting is just preparing what you want to say in advance. Like any publication or direct mail shot, what you want to say to potential donors will be more effective if it is carefully structured and well presented. A good fundraiser will use the script as a base, departing from it effortlessly as the need and the conversation dictates, returning to it when required to keep the focus of the call and avoid lengthy, expensive, and unproductive chats. (Burnett, 2002, p. 204)

And about the telephone call itself, he adds:

..always speak directly to donors [not spouses or other family members]...you have to say immediately who you are, you have to be patient and subtle, and you have to listen. Many donors welcome the chance to talk and will really open up to an interested caller, so the process can be taxing, if not exhausting....those donors who were telephoned far exceeded those who were not in interest and involvement – and contributions... (Burnett, p.206) (my clarification in square brackets)

It must be noted that Burnett's advice on the script and the phone call is not given in the context of in-memorial donations. As explained earlier, no research exists to date on making telephone calls to in-memorial donors. This analysis and research provides new insights in this regard. All fundraisers interviewed agreed that thanking in-memorial donors and speaking to them

cannot be done in the same way as with other types of donors. One fundraiser cautioned: "These calls are not to be done with the same effervescence." Most of the values identified in response to the above question do not necessarily apply to other donors (e.g. sensitivity, comforting, sensitivity, respect, being personal). Fundraisers working in the nursing and palliative care environments were most definite about the imperative of making the thank-you calls to in-memorial donors between 24 and 48 hours of the donation being made, in spite of the donor grieving. Also, as stated earlier this gesture is regarded not just as a way to provide support and express gratitude but also as an opportunity to provide a sense of closure to the in-memorial donors.

In addition to the above new findings, seasoned fundraisers cautioned that these calls should not be made by beginner fundraisers or those who have experienced death of a loved one. Nor should they be made by staff responsible for data entry of information respecting in-memorial donations. The reasoning follows. In-memorial donors are frequently first-time donors. An opportunity to cultivate this relationship for the long run should not be left to those without the professional and life experience and without fundraising skills and knowledge. The thank-you call is the first opportunity for a fundraiser to start a relationship with the donor. Such a conversation should explore donor values and allow further contact and long-term cultivation toward future involvement and gifts. The participants recognised that many of the in-memorial donors who donated did so because they were asked to donate by someone else. Those who had more experience went further and concluded that amongst the in-memorial donors there would be some who would be important to the NPO for the long-run so long as they were cultivated well.

In addition to the responses of participants, I will add here my own diary observations related to making in-memorial donation thank you calls. I have found it appropriate and useful to close my office door, and post a sign that says: "Making thank-you calls to in-memorial donors". This is to allow private time between the fundraiser and the donor and prevent surprise visits from other staff. I have also found it useful to develop a telephone call script. I have also found the need to go off the script, as advised by Ken Burnett above, and with considerable practice, I found that I need that script less and less.

To conclude, the interviewees' responses, especially those of seasoned fundraisers in nursing and palliative care, indicate that the in-memorial thank you calls should be made within 24-48 hours of the donation receipt. Making these calls was seen as a good, long-term investment in donor relationships. My diary reflections have resulted in personal observations that are very useful to me currently. However, further, practical exploration of the in-memorial thank you calls might better be addressed through a focus group.

4.6.3 Implications for the project management discipline: purposeful integration of ethical considerations has the potential to positively affect fundraising practice.

Project managers face ethical dilemmas of various kinds throughout the project cycle. In the case of the ethical dilemma presented in question 5, this would be the project manager of the annual campaign, i.e. the fundraiser. The fundraiser is the best person to facilitate a resolution for a number of reasons. She/he is the person closest to the issue and would therefore be able to

situate the topic and any lessons learned. The fundraiser is also the person responsible for the success of the annual campaign and adherence to their professional ethical codes and principles as well as organizational mission statements and values. These professional responsibilities provide the fundraiser with the mandate to act by championing a way toward the best possible resolution.

Useful ethical decision-making frameworks for fundraisers exist (see section 2.3.6) and could definitely be applied to this ethical dilemma – and ethical dilemmas faced by project managers in other practices or sectors. However, an annual campaign or ‘the project’ will most likely contain a whole series of ethical dilemmas. Resolutions to these dilemmas should not be left to luck, chance or high hopes, but planned for and mitigated deliberately and strategically. Interview responses to question 5 point to an annual campaigns management indicate no evidence of systematic management of ethics. Is there a way to do so by using project management knowledge, skills and tools?

Authors who concern themselves with project management in other sectors suggest that to make ethical considerations explicit, one needs to integrate them purposefully. They suggest that identification of generic stakeholder and ethical issues be first identified and then applied to Work Breakdown Structure (WBS),⁴² that outlines the objectives and deliverables to be performed, that is specific to the particular project environment (Dinsmore & Cabanis-Brewin,

⁴² Work Breakdown Structure (WBS) a deliverable-oriented hierarchical decomposition of the work to be executed by the project team to accomplish the project objectives and create the required deliverables. It organizes and defines the total scope of the project. (PMBOK, p. 452)

2005, p.229). I too, believe that application of such an initiative must take into account the nuances related to NPO sector, the fundraising practice and the organizational culture as well as capacity. However, I also believe that this kind of synthesis focussed on management of ethics between the fundraising practice needs and project management expertise may be fertile soil for further research. For example, it might be useful to see if application of ethics management knowledge, skills and tools from the project management discipline could have a significant impact on fundraising success. The advantage of utilizing the above-suggested project management knowledge, skills and tools could be multi-fold. It has the possibility to:

- help in better utilization of limited human and financial resources;
- address and improve stakeholder/donor satisfaction;
- improve efficiency and effectiveness of in-memoriam donation processing;
- improve overall fundraising efforts; and
- improve NPO's competitive advantage.

4.6.4 Conclusion: the project management discipline can assist fundraising practice in managing ethical dilemmas.

One of the major findings related to question 5 is that in-memoriam thank you calls should be made within 24-48 hours of the donation receipt. This was perceived as a good, long-term investment in donor relationships. Scripts related to in-memoriam donor calls were also perceived as a good practice, however, practical exploration of script making, wording, recording of data and other tasks might be better addressed through a focus group.

Ethical dilemmas presented in question 5, indicate that project management discipline has much to offer to improve the fundraising practice. For one, it provides valid arguments that resolutions to fundraising ethical dilemmas such as the one presented here must be championed by fundraisers (and not outsiders, or leadership). Second, it provides a specific example meant to improve ethics management by identifying generic stakeholders and ethical issues and subsequently to applying them to the Work Breakdown structure specific to the fundraising environment.

4.7 Improving as a fundraiser from lessons learned through managing in-memorial donations

As a result of the context analysis technique, the following table reflects a summary of responses to Question 6 of the interview and shows what interviewees learned from managing in-memorial donations that improved you in your profession:

Table 7 – Responses to Question 6

Question 6 - Is there anything that you learned from managing in-memorial donations that improved you in your profession?
Response # 1 - Learned to be more empathetic and sensitive to people who are grieving; For the donor, grieving time may be the time to do something positive, like donating to a good cause. It is an eye opening experience.
Response # 3 - I worked with funeral directors when creating new funeral home cards...I asked their feedback on what works and does not. I worked with other stakeholders such as priests and cemetery personnel to get their feedback, too. I also looked at funeral cards of other non-profits. At the end we ended up with something that reflected us (e.g. messages on card, such as 'Death is Not the End', or 'Blessed are Those Who Mourn Because They Will be Confronted'. Message on the card is an opportunity to express non-profit's values.
Response #4 - I learned to be more sensitive toward the donor. I had to take off the hat of a fundraiser and be more personal and human. And then I realized that needs to be true

everywhere. I now treat all donors, capital campaign, annual donors ...in respect to any kind of solicitation in that way.

I learned about the importance of educating, cultivating a relationship with and stewarding of donors.

I learned about being strategic and pro-active with donors as opposed to reactive, even though death is not something we plan for. We do not have control over it.

Appropriate stewardship can facilitate a development of an appeal from what began as a tragedy.

Promotion of in-memorial donations with funeral homes has to be done strategically. Board members and others who argue that this is not proper or that this is not philanthropy have to be educated about this. Death is not something we plan but you (as a fundraiser) still have to be strategic about it.

Response #5 - In-memorial donations helped me to be more comfortable to talk about death. In-memorial donations are the easiest way to deal with it. It gives you a good training ground to talk to donors who are still living, about the ultimate gift: a legacy gift.

It taught me to express empathy which became useful when relating to donors on other matters (e.g. turning down in-kind gifts).

Response #6 - I learned that in-memorial donations provide greater opportunities to get to know donors on a more personal level. Working closely with in-memorial donors provides me with a great sense of accomplishment.

I learned that in-memorial gifts can lead to planned gifts.

Response #7 - I feel that this is a key kind of giving, one that will lead to planned/legacy giving.

Response # 8 - I learned to take the time to get to know the donor family and learn as much as possible about the deceased. I learned how critical it is to find out what the deceased may or may have wanted. There is a need for a lot of meetings and a lot of listening.

Response #9 - I learned more from the individual donors than from the program.

Response # 10 - Did not learn anything from it.

I target in-memorial donors for planned giving. In-memorial donors also have to be frequent donors before they are targeted for planned giving.

Response #12

Response #12 - It helped me to become more patient, understanding and sympathetic.

I learned to convey condolences and genuinely feel when people experience someone who has passed away.

I learned how critical it is to respond in a timely fashion. I learned that delays can cause unnecessary stress and anxiety for the donor.

Response #13 - I learned to be donor-centric. With other programs (e.g. direct mail), you can treat people as a number...it sounds horrible but you look at your percentage and what your

response rate is...that's really at the end of the day what it comes down to...what I am judged on.

I am a better fundraiser because of it.

It is your chance to connect with the donors and be the spokesperson for the organization.

It made me more careful in my communication.

It made me more attune with my game...to sharpen my skills.

Mistakes in dealing with in-memoriam donors are more serious than those made within other fundraising programs. (Your boss will hear about it!)

I learned about mistakes in data entry and subsequent solicitations within one month of someone's death...we put out more fires with this program than any other...with upset people...makes you question how much energy to put into this program.

I learned that the in-memoriam program does not bring in as much as the direct mail program and that this is why it does not get the attention it should get.

Response #14 - I learned that an in-memoriam gift is made on emotion. They are true philanthropic gifts because we do not solicit for them.

I learned that we can market our in-memoriam program better. An organization can provide the opportunity.

Response # 15 - I learned to pay attention to detail and to be very sensitive;

I learned about the importance of have an accurate list and processing in a timely fashion;

I learned about being empathetic and caring.

4.7.1 Analysis and interpretation of Table 7.

The responses to Question 6 indicate that in-memoriam programs have spurred the respondents to reflect on their own values, and values of the NPOs that employ them. They also indicate that the in-memoriam program they manage has provided a great impetus for personal and professional growth. A lot of "on-the-job" and "on-site" learning is done. Personal development takes place, even if it is not overtly and consciously intended. Organizations could profit from this and value and recognize this by means of:

- sharing of experiences (one to another) through formal sessions of professional development;

- dedicating resources (time and money) to the professional development of fundraisers;
and
- encouraging practitioners to record and impart lessons learned through academic pursuits and conferences to other fundraisers.

4.7.2 Implications for fundraising practice: Managing in-memorial donations is good training for new fundraisers.

The analysis and research relating to the responses to question 6 provide an insight for the practice of fundraising. In-memorial donations may be a good training ground for beginner fundraisers. Management of in-memorial donations has the potential to teach fundraisers to be more empathetic, more sensitive, more human. In addition, it offers daily reinforcement of the importance of key technical skills such as accuracy and of written and oral communications. Learning the importance of good stewardship practices in the context of in-memorial donations (e.g. keeping track of what triggered the donation) may also prove to be a good training ground for those who might eventually work with legacy donors because it increases the comfort level associated with talking about death. However, beginner fundraisers should not be tasked with managing in-memorial donations without appropriate briefing, training and mentorship.

Some fundraisers have indicated that in-memorial donation giving can lead to legacy/planned giving. The extent to which it does varies with a number of factors, such as the knowledge, skills, aptitudes, attitudes and values of fundraisers; the internal capacity of NGO; the fundraising maturity of NGO; etc. So, where the right conditions are in place and good stewardship practices are applied, in-memorial donation giving has the potential to lead to

legacy/planned giving. This process of conversion from in-memoriam giving to legacy/planned giving may take many years.

There is quite a range of opinions among fundraisers as to the classification of in-memoriam programs. On the one hand, there are some NPOs that don't consider in-memoriam donations to be fundraising. This was evidenced by one NPO I contacted for the purposes of the research interview, and was told that in-memoriam donations were not considered fundraising because "they just came in" unsolicited. On the other hand, some participants considered in-memoriam donations integral components of fundraising as they are truly philanthropic gifts in that they are made without solicitation. Both theory and practice indicate that the former are just plain wrong. In-memoriam donations and the management thereof is indeed fundraising. The view that they were not to be considered fundraising indicates probably the unsophisticated fundraising nature of the NPO and the fundraisers employed by them.

4.7.3 Implications for the project management discipline: a greater emphasis should be placed on ethics and ethical decision making.

What do responses to question 6 ("Is there anything that you learned from managing in-memoriam donations that improved you in your profession?") bring to project management?

Some of the greatest construction projects in the history of the human kind have been in-memoriam projects: the Egyptian pyramids, the Taj Mahal, and the National September 11 Memorial and Museum. Project managers/architects of each of these in-memoriam projects required knowledge about and had a keen interest in the person/persons who the projects were

built to commemorate. They also required some knowledge about death, dying, grieving and associated rituals. Those interviewed for the purposes of this research indicated that management of in-memoriam donations taught them to be more sensitive, empathetic and comfortable about talking about death etc. It is the fleeting nature of life that provided them with more global insights:

“I learned to be more sensitive toward the donor. I had to take off the hat of a fundraiser and be more personal and human. And then I realized that this needs to be true everywhere. I now treat all donors, capital campaign, annual donors ...in respect to any kind of solicitation in that way.”

Indeed, the findings from this research suggest that when fundraisers are engaged in management of in-memoriam donations, they tend to be truer to their values, more authentic and more aware of ‘living in the moment’. The unarticulated conclusion that they have reached seems to be that the importance of death lies in this: it gives meaning to life. Death has a way of putting things in perspective.

Project managers who have had an opportunity to work on in-memoriam related projects would likely have come to this same conclusion. However, the vast majority of project managers never get to manage in-memoriam projects. This leads to other questions: “How can a project manager gain this wisdom and anchor it for life? How can a project manager put some distance between himself or herself and the overtly commercialized nature of project management in order to be truer to his or her values, be more authentic and be in the moment?” I believe at least a partial answer to these questions lies in the need to adjust and recalibrate the theory and practice of project management such that a greater emphasis is placed on ethics and ethical decision-making.

4.7.4 Conclusion: much may be learned from in-memorial donations.

The responses indicate that there is much to be learned from managing in-memorial donations. They inspired the fundraisers to reflect on their own values as well as the values of the NPOs that employ them. They also served as an important impetus for personal and professional growth. There are few opportunities for project managers in other sectors to learn from dealing with death, dying, grieving and associated rituals. In the absence of such opportunities, it becomes even more imperative for the theory and practice of project management to place a greater emphasis on ethics and ethical decision-making.

4.8 Interviewee’s stories about in-memorial donations

As a result of the context analysis technique, the following table reflects a summary of responses to Question 1 of the interview and refers to the stories interviewees told about managing in-memorial donations:

Table 8 – Responses to Question 7

Question 7 - Do you have a story about an in-memorial donation you managed that you would like to share?
Response #1 - This fundraiser did not have a story.
Response #2 - Told a story of colleague who passed away. “I will argue that every single person who exists in the organization today is here because of somebody else. I am here because of those people. I would like to remember them. So I am a walking in-memorial through having memories of so many people.”
Response # 3 - Told a story of Father McGuinn of a man who did simple, every day things to help others...that the respondent did not know about that perhaps many things that noone may know about...Saints do just those types of things...things that no one may know about. “We are called to be saints...Father McGuinn will probably never be declared a canonized saint by the Church.”

Response #4 - Fundraiser worked with a family whose donations helped to contribute to a purchase of a hospital bed. Family loved hearing how their donation was spent.

She continued working with a family of a deceased in order to turn that donation into an appeal. The impact of the donation was extended. "It was very special."

Response #5 - Told a story of a palliative care patient who asked her to take care of in-memoriam donations and help his wife in this regard once he was gone. It was difficult for her to deal with but realized this was not about her but about helping the family.

Response # 6 - Told a story of a woman whose son died of AIDS. Remembers her because it resulted in a larger legacy gift. Most of the time does not get to spend time with in-memoriam donors to build a relationship.

Response #7 - Told story of a young person who passed away in a car accident. During his life, this young man supported the organization's high school initiative. Fundraiser's strategic and deliberate cultivation process progressed from to plaque that was placed in a clinic to a scholarship donation. The scholarship fund has been named after their son has made an invaluable contribution to the organization and the cause it serves.

Told another story of a young boy who did not get a stem cell transplant fast enough. Lesson learned : steward in-memoriam donors properly because you don't know where it might lead...because depending on who that person knew they can get a lot of influential people involved...a network has been created that will further the cause.

Response #8 - Tells a story of two sisters, school girls who died in a car crash. Fundraiser built a relationship with the brother of the two sisters and eventually created an in-memoriam fund. Fundraiser is friends with the family to this day.

Second story tells of another school girl who died in a car accident. In this case, slow and deliberate cultivation process led to development of a proposal for the mother. It took a year and a half to put in place. It created a terrific community building among alumni, students and faculty. Fundraiser learned how important it is to listen to family members and find an appropriate fit. Communication done in writing has to be very clear.

Response #9 - Did not have a story to tell.

Response #10 - Told a story of the founder who was also and strong supporter of the cause. Fundraiser helped to organize the funeral service for this founder with power point presentation, songs, pictures etc.

Response #11 - Told a story of three donors (three elderly ladies) who donated \$5, \$10 and \$25 respectively. It took the fundraiser 25 minutes to take the donations down. Regardless of the size of the gift and the time it took to record them he viewed the donors equal to major in-memoriam donors.

Response #12 - Told a story of an in-memoriam donation that caused the organization to change/improve the way it processes in-memoriam donation. Organization had an extreme staff turnover and went through a database conversion. They had new people answering the phones, new people taking donations over the phone and a new system that was not working the way it should have. Because of this they implemented the following changes: A receptionist, who had

no quality time to spend with the donors, no longer takes in-memorial donations; donations are not re-routed to voice mail; in-memorial donation calls are re-routed to more than one staff member; staff received additional training; a card verification process was put into place to ensure accuracy (donations were entered by one person and verified by another); fundraisers type in donations instead of writing them down (to eliminate miss-reading of letters when written by hand). A computer screen with an on-line donation form is always turned on and used just to process in-memorial donations.

Response #13 - Told a story of an in-memorial gift given in memory of a former employee, a grandfather figure. Due to a clerical error, the wife was not thanked for the gift. She was not notified of any of the gifts. The wife was not thanked for 3 months. This happened because we did not have enough resources dedicated to the in-memorial program. This error resulted in more staff being dedicated to the program, a better verification system. 'It is much more of a program instead of an afterthought.'

'Before this happened I saw the in-memorial program as something that took me away from my real fundraising work. Now, I see it as really important and that even through the money is less that it is just more valuableto focus on the person than the money...

Response #14 - Told a story of in-memorial donations that came for a little girl, a palliative care patient. They were 'emotional' gifts.

Fundraiser remarked that a lot of donations received now are done en masse, on-line. The mailed in donations are dwindling. With the exception of major gifts, they are just transactions. Donations are transactional. The most successful in-memorial programs are obviously conducted at hospitals because these gifts are so emotional.

Response #15 - Told two stories, one of a gentleman, a former client who passed away. The organization received donations in his memory. The other story told of a young man whose death participated in-memorial donations to the charity. Those who donated were doing so in hope of a cure for people like this young man.

Also remembers families being very upset about not hearing that there were donations given in memory of their loved one in timely fashion.

4.8.1 Analysis and interpretation of Table 8.

For the purposes of this research I deliberately chose to let the interviewees tell a story⁴³ about in-memorial donations; a story of their own choosing, told in their own words. I did so because

⁴³ David M. Boje, a prominent academic, defines a story performance as an exchange between two or more persons during which a past or anticipated experience was being referenced, recounted, interpreted or challenged. (Boje, 1991, p.111)

I knew that story-telling had the power to impact learning/training, commitment, strategy, organizational change, leadership as well as fundraising efforts. Academic researchers recognize that ‘storytelling is a preferred sense-making currency of human relationships among internal and external stakeholders’. (Boje, 1991, p. 106) Story-telling is a common and very well known fundraising technique. Experienced fundraisers know that story-telling has the power to capture imagination, stir emotions and compel one to actions, including making a donation to a good cause. In fundraising, story-telling is considered “*essential*, not optional” (Ahern & Joyaux, 2008, p.239 italics in original). One particular entry in my diary illustrates the power of a story. In this particular case, a story is used to raise awareness of a particular cause:

Our expert on suicides told us that a mother whose son chose to end his life decided to address the public in the media and that this did more than 10 years of his university’s awareness raising efforts in mental health. And so it seems that it all once again comes back to the power of a story. (Diary entry: Feb. 19, 2010)

Similarly, this research provides stories that are just as powerful but meant to serve yet another purpose. Stories told by fundraisers related to in-memorial donations within the context of this research reveal the true nature, true values of the research participants. Choosing to tell one particular story over another is just that – a choice that reveals what values are most important. Furthermore, these stories were meant to create understanding of specific issues related to in-memorial donations. The original scripts of respondents’ stories represent unique perspectives arising in a specific context with great detail and clarity. For the sake of brevity, they have been edited and summarized above. To illustrate the power of a story within the context of in-memorial donation management, here is one such story/response in its entirety:

“A few years ago... It was[X Organization]... We received complaints from the family of the deceased over how our in-memorial donations were being handled. And the complaints really escalated and it was extremely stressful for everyone involved. And as a result of this really negative time and negative feedback, we made a positive change

within our organization to really improve our processes and while it was tough at the time, it really was beneficial because change happened that needed to happen for a while, but people were just not able to spend the time or were not willing to make the change or were not willing to see the importance of the change. I was relatively new to the organization at the time. We had extreme staff turnover, so we were dealing with a number of new staff members, we had done a database conversion, so basically, everywhere you looked, it was something new. And you know....new people answering the phones, new people taking phone donations, new system that was not quite working as we would like to have it at that time. So...hm...the results of this were that I have less to hear ...a number of changes that were made to our organization that were really positive changes. Our call distribution for phone-in donations was changed. Our receptionist used to take all the phone-in donations or the majority of them. She would send them to two other people in the organization and with call, upon call, upon call, she was not able to spend the time necessary with a donor...hm...to accurately get their information and to serve them properly ..hm..We changed so that she does not take donation calls. She distributes it to a wider number of staff members. And the second change was that we increased the training that they had. Everybody who takes an in-memorial or any donation phone call is trained on how to do it and we have standards in place that some may seem....Some may think it is overboard but it has really benefitted us in the last four years since this has happened. Select staff members were assigned to deal with all donations from...sorry all donations that were in memory of this one deceased person, a family who had called and had made many complaints about our processes. So that was a great improvement which relieved the work load from new staff members to a few long-term staff members who were a little more familiar and could deal with ...in a very special way.

Interviewer: *hm, hm...*

Interviewee: *It helped us to improve, increase our communication about all phone donations especially in-memorial donations that were taken over the phone. For instance, we were not allowed to ...or at that time it was put in place that no phone donations should go to voice mail. It must be accepted by a live person and you know, a number of steps were put in place that this is what the receptionist does to ensure that a live person speaks to anybody who makes ...wants to make a phone in donation call ...sorry, a phone in donation. And we put in place a card verification process. Actually, we put in place a whole verification process from the beginning of data entry through to everything so that every donation that was received was entered by one person and verified by a second person to ensure accuracy ...hm...and also for the cards that were going out to the family was entered by one person and verified by someone else. Another key change, as I understand from my colleagues, people were pushing for a while, but just was not implemented for a while, was the change in having staff members write donation forms versus type them. Because it's really easy to make an error. Is that an 'a' or a 'u', depending on how you write or print, they can look like either letter. So that was really key, which helped us to improve our donor services overall because we weren't upsetting donors and we weren't upsetting the family members with errors in our processes. Overall, this incident, which was really challenging for staff members and for management to deal with, ultimately helped our organization to implement change, to refine our processes and to make overall donor services and..more of a priority not just*

for in-memorial donations but for all donations and I am very pleased with the outcome that we saw.”

The above story makes the multi-layered issues related to ‘acknowledgement’ of donations clear and memorable.

To analyze these issues further I will focus only on this story (i.e. Response #12) and Response #13 because they illustrate the importance of several values found to be important to fundraisers in their earlier responses: accuracy, professionalism, promptness and commitment to being organized.

The respondents who recounted these stories have in fact shared knowledge that is a critical starting point for improvement in information management when processing in-memorial donations, including creation, capture, entry, manipulation, exchange, and storage of information. As a fundraiser, I already knew that issues related to management of information related to in-memorial donations are important. However, these stories illustrate the serious and complex nature of this issue with significant clarity. While hearing these stories, I experienced major ‘aha’ moments. To this day, I remember them and the shocks and uneasy feelings I experienced while hearing them. (And perhaps this indicates that I too, value accuracy in fundraising!) These were powerful stories – so powerful that I remembered and anchored them in my memory to this day.

We, as human beings, learn from our stories. We embark upon our collective path towards a better future based on the knowledge and wisdom of our fellow human beings, past and present.

This means, in the context of project management theory, that it is important to value and recognize how knowledge and wisdom can fill current and apparent voids in project management discipline and theory. When and if we do, project management discipline will be improved and enhanced such that it further contributes to the better future we are collectively pursuing.

4.8.2 Implications for fundraising practice: annual campaigns should be managed as projects.

The new finding (as discussed in Section 4.3.2) resulting from the story-related responses is this: the inadequate information management systems related to in-memorial donation processing is a serious issue. Annual campaigns ('the projects'), within which in-memorial donations fall, require information to be integrated, preserved, and leveraged throughout the project life cycle. This issue is so serious that NPOs would do well to improve their information management capabilities by developing

... a plan or method to improve how information is managed, that is, created, captured or entered, manipulated, exchanged, and stored" ...and use "all personnel, processes, policies, and technologies to define and comprise the information infrastructure in order to coordinate the use of information from the time it is created until it is no longer useful and eliminated. (Back & Moreau, 2001, p. 12)

Potential benefits of making this change and implementing it as a project in its own right would be manifold: reduction in data entry errors, increase of donor satisfaction and loyalty, increase in the efficiency of donation processing, resulting in budgetary savings; reduction in paper work; improvement in the NPO's brand in eyes of public and, in turn, increase in donations.

Here, fundraising practice badly needs the theory and practice of project management to achieve such improvement. Such an information management project would require the coordination of

resources, time management processes, and an agreed upon method of evaluating its success. It would also require the NPO to manage this process by establishing and monitoring project costs, schedules, and quality – while always keeping organizational values in mind!

4.8.3 Implications for the project management discipline: story-telling can enhance the ethical dimension.

The respondents did not provide any examples of in-memoriam donation stories that would directly related to the project management discipline. It seems that story-telling plays an insignificant role as a value teaching/transfer tool or vehicle in the theory or practice of project management. Empirical research on this topic is non-existent. Again, this reiterates the criticism of those who say that project management prescribes too closely to the golden triangle of time, cost, and quality. And yet, the ethical dimension of project management requires one to make value choices throughout the project management cycle (e.g. should I shorten the project timeline and risk project quality in order to stay within budget?) Yet, stories, those full of sensory details, have the potential to clarify abstractions and anchor values important in the project management profession. Story-telling by professors who teach project management, by those who conduct research in project management and finally by the project managers has the potential to add much to the ethical dimension of project management and profession as a whole.

4.8.4 Conclusion: Story-telling, a frequently used fundraising technique, can enhance the project management discipline.

Story-telling is a powerful technique frequently used in fundraising practice to capture imaginations, stir emotions or compel one to action. Facts and statistics simply do not move

donors to donate, only powerful stories that touch the heart do. Story-telling also helps to clarify abstract concepts, anchor meanings and assign value and significance to events, and thereby illustrating in the most powerful way the values story tellers hold dear. This technique has the potential to enrich the project management discipline, especially in transferring knowledge related to the ethical dimension of project management.

5 General Analysis

This section analyses the entries I recorded in a diary I kept throughout the period I conducted research and interviews.

5.1 Diary Analysis

For the purposes of my research, I explored the topic using three different research methods: I explored the current state of scientific research, interviewed 15 fundraisers who manage in-memorial donations and kept a diary for the purpose of triangulation. Keeping a diary was a very different and creative way to explore and analyze this topic in a more comprehensive manner.

- Reading about death and grieving and subsequently reflecting on them in my diary created in me a greater sense of comfort about dealing those who are grieving. I also visited funeral homes, cemeteries, and watched movies/videos that focussed on death and grieving. This, too, helped me in a similar way. Finally, making a concerted effort to listen and reflect on conversations with those who were grieving also gave me a greater sense of comfort with the topic.
- “Experiencing death of a loved one can act as an inspiration/spark that has the potential to transform people into do-gooders and volunteer fundraisers.” This conclusion, which resulted from self-reflection precipitated by diary keeping, helped me realize to what extent this was true in my case, for the participants and for others I encountered. These inspirations were probably true before I started keeping this diary. However, after some reflection, I was far more cognisant of this fairly frequent phenomenon.

- Keeping a diary helped me to understand myself. I realized that I came to this research with my own set of values resulting from my own gender, cultural and linguistic background. Without an exploration of my own values and experiences I would not have been able to develop a deeper understanding of others, such as the respondents who were interviewed and whose values and experiences were different from mine.
- Keeping a diary helped me realize some of the common mistakes made when talking to those who are grieving, for example, saying: “I know how you feel”.
- After some reflection in my diary, I concluded that scripting a conversation with a grieving donor maybe a useful starting point. It was useful for me to draft a script, one that was open to change in time and during each conversation. For me, this was a useful starting point.
- The reflections in my diary helped me learn that death is routinely denied, displaced, or held at arm’s length. Furthermore, it helped me delve deeper into the topics of death, grieving and values related to them. It helped me to probe into ‘why’ certain things happened or why they were considered important and not just that they were considered important.
- I learned that messages to the grieving families help donors give focus and shape their own personal responses. This realization made me conclude that an NPO with a fundraising software package allowing grieving donors to leave such messages, are in this way also providing a public service to the donor.
- My diary reflects the development of my ideas, thoughts and feelings about values, death and grieving over the course of my research. As these topics are timeless and vast, my learning about them will continue throughout my life.

- My diary helped me to explore ways to improve as a fundraiser and as a human being.
- Values are traits or qualities that are considered worthwhile; they represent an individual's highest priorities and deeply held driving forces. Values are visible through actions people take, not their talk.
- Organizational values must be defined. Once defined, values have to be supported and nurtured. Values have the power to impact every aspect of an organization, including its project management efforts. This is why project management theory should include greater emphasis on ethics and ethical decision making.
- Virtues are considered to be an ethical concept that universally expresses the highest merit, which human nature is capable of attaining. They involve intellectual, affective components as well as action.
- I expect that fundraising practitioners and the NPOs in general could benefit from my research. The wide-range of practical as well as theoretical vantage points confirmed by the qualitative exploration and triangulation of data (existing theory on the topic at hand, interviews of fundraising practitioners, and my professional experience) provide options for improvement, that would make in-memoriam donation management a more humane experience.

6 Conclusion

6.1 Succinct Answers

In this section, I provide succinct answers to my general research questions, to the specific objectives of my research and to the general objectives of my research.

6.1.1 Succinct answers to general research questions.

The thesis poses certain general research questions. They are listed in subsection 1.1.3. In this subsection, I provide a summary of answers that the research I undertook provides for each of the general research questions.

- i. What values inspire fundraisers to become fundraisers? The interview responses indicate that fundraisers are inspired to become fundraisers by the following values: a commitment to ‘doing good’, a commitment to ‘rendering a service to human kind’, a satisfaction with the opportunity provided by an employer to do a job in which they are permitted to ‘live one’s values’.
- ii. How do fundraisers treat in-memoriam donors (and surviving families)? Do they treat them as donors of a lesser value; as donors whose value does not warrant the expenditure of one’s time and effort? Most of the fundraisers interviewed indicated that the in-memoriam donors and their surviving families are treated with a great deal of sensitivity, respect and compassion. It is also evident that those with greater experience in fundraising practice see the potential of in-memoriam donors. According to them, major in-memoriam donors have the

potential, with appropriate stewardship, to become committed volunteers, major donors and even legacy donors. In sharp contrast, those fundraisers who dismiss in-memorial donors as being donors who do not warrant the expenditure of the fundraiser's time and effort are invariably the fundraisers who have the least experience with in-memorial donors.

- iii. To what extent do fundraisers provide in-memorial donors (and surviving families) the respect, service and compassion they deserve? With few exceptions, fundraisers indicate that they show exceptional respect and compassion to in-memorial donors. The service provided to these same donors may not be given at such a high level owing to limited human and financial resources of the non-profit sector.
- iv. Is there anything that can be learned from managing in-memorial donations that can improve the work of a fundraiser in his/her chosen 'profession'? Interviewees' responses indicate that there is a lot that can be learned from managing in-memorial donations that can improve a fundraiser in his/her chosen 'profession'. For example, fundraisers can learn to be more empathetic, sensitive and authentic; be more donor-centric; be more strategic and pro-active with donors; be more proactive rather than reactive (even in case of death for which planning is difficult) with other stakeholders (e.g. funeral homes). Moreover, fundraisers can learn to regard in-memorial donors as potential volunteers, major donors and legacy donors and to appreciate the importance of being accurate when recording and processing donations, etc.

- v. What values do fundraisers see as important, i.e. specifically those that relate to in-memorial donors? There are many values related to management of in-memorial donors that fundraisers regard as important. They include the following: responsibility, kindness, empathy, sympathy, patience, sensitivity, active/genuine listening, speedy/timeliness (in processing donations), common courtesy, respect for organizational values (while being donor-centric), gratitude, integrity, comforting, being personal, compassion, thoughtful, respect, trustworthiness, (donor) privacy, equality etc.

6.1.2 Succinct answers relating to specific objectives.

My research had certain specific objectives. They are canvassed in section 1.2.4. In this subsection, I confirm that the research met these specific objectives.

1. What values might help fundraisers provide accurate or prompt acknowledgment of in-memorial donations? The interviewees' responses indicate that the following values might help fundraisers provide accurate or prompt acknowledgement of in-memorial donations: accuracy, compassion, empathy/caring, sensitivity, respect, promptness, donor-centric fundraising and equality.
2. What values might help fundraisers provide adequate and appropriate recognition of in-memorial donors in a manner that is consistent with ethics and a sense of philanthropy? The research findings indicate that the following values might be helpful to fundraisers in providing adequate and appropriate recognition of in-memorial donors in a manner that is consistent with ethics and a sense of philanthropy: altruism, sensitivity, equality,

compassion, understanding, donor-centric fundraising, privacy, wisdom, commitment (to organization and basic fundraising principles) and respect.

3. What values might help fundraisers to better steward in-memorial donors? The interviewees' responses indicate that the following values might help fundraisers better steward in-memorial donors: responsibility, kindness, empathy, sympathy, wisdom/sensitivity, patience, genuine listening, speed/timeliness, common courtesy, respect for organizational values, respect for donor wishes, gratitude and integrity.
4. What values might help fundraisers resolve the conflicts that arise in the situation of death/grief in the context of managing in-memorial donations? The research findings indicate that the following values might be helpful to fundraisers in resolving the conflicts that arise in the situation of death/grief in the context of managing in-memorial donations: sensitivity, active-listening, comforting, being personal, compassion, thoughtful, respect, trustworthiness.

6.1.3 Succinct answers relating to general objectives.

My research had certain general objectives. They are canvassed in section 1.1.2. In this subsection, the thesis confirms that the research met these general objectives.

- A. obtain a greater understanding of meanings (or reasons) behind the interventions. This research provided a greater understanding of meanings (or reasons) behind interventions. For one, it illuminated the context of in-memorial donations as an area of fundraising that requires the highest commitment to 'doing good' and 'rendering of service' to human kind. Also, in-memorial donors require a commitment to certain values not found as important in other fundraising approaches, such as empathy, compassion,

patience (practiced at a much higher level) etc. Furthermore, death and grieving provide opportunities for in-memorial donors to 'do good' by donating to or volunteering for a NPO, to reinvent themselves, and to start anew.

- B. explore a topic that may provide impetus for broader exploration and perhaps improvements, in the way in-memorial gifts are managed. This research points to some key findings related to broader exploration and further improvements. For example, acknowledgments of in-memorial donation require broader exploration, perhaps through focus groups in specific sectors and by modernization of information management systems. Further education, training of NPO leadership and fundraisers as well as empirical research specifically related to major in-memorial donor stewardship would also contribute greatly to improving current stewardship practices.
- C. propose some guidelines intended to improve effectiveness of fundraisers and service delivery to in-memorial donors. The research findings indicate that most experienced fundraisers (in NPOs where in-memorial donations are frequent) agree that thanking donors within 24-48 hours is warranted. Drafting of telephone scripts as tools used to assist in thank you calls are useful starting points. In-memorial donations should not be processed by novice fundraisers without appropriate briefing, training and mentorship.
- D. contribute to the emerging theory of project management in the fundraising field. The research findings indicate that the project management discipline has a lot to offer to fundraising practice, specifically in relation to in-memorial donation management: modernization of information management systems to improve acknowledgements of in-memorial donations; ethical considerations can and need to be integrated into the

annual campaigns purposefully through identification of generic stakeholder and ethical issues that are first identified and then applied to the Work Breakdown Structure (WBS).

6.2 Limits of Research

- As with any qualitative exploratory study, it is possible that in my study, which is based on interviews of 15 fundraisers, I could have been influenced by a particular predisposition affecting the generalization of the small scale study. To mitigate this possibility, I used the triangulation technique (conciliation of autoethnographic reflections, interviews and theoretical framework).
- Responses of participants necessarily evidence a degree of subjectivity when they recall and interpret their own experiences.
- Before conducting the interviews, I made it known to the respondents that I too was a fundraiser. There is a possibility that this knowledge had an influence on the people being interviewed and in this regard may have distorted the findings.
- My research included fundraisers who worked for local and national NPOs located in 3 Canadian cities: Ottawa, Montreal and Toronto. It is possible that wider geographic scope may have resulted in different findings. My research findings may be local (Canadian), rather than universal.
- Interviews conducted for the purposes of this research were conducted during the months of January to June 2011. Therefore, data that has emerged during this relatively short-time did not provide a variation in time. If the interviews were conducted over a longer-time frame it is possible that different data could have emerged.

6.3 Future Research Avenues

In this subsection I identify worthwhile avenues for future research suggested by this thesis.

6.3.1 Values of fundraisers - impact on perception of organizational ethics.

Most of the empirical research conducted into the fundraising practice has focussed on the donors and on NPOs. Very little research has focussed on fundraisers. It is possible that the personal values of fundraisers, specifically those who manage in-memoriam donations, as identified in this research, may act as reference points for NPOs during the hiring process, or may be incorporated into training of novice fundraisers and finally, may be factors that could –at some level - impact the public’s perception of the ethics of a given organization.

6.3.2 Value-focussed hiring practices in fundraising.

It might be useful to explore hiring practices of NPOs when recruiting fundraisers who manage in-memoriam programs. Specifically, it might be useful to see if the values articulated as important in the findings are deliberately sought, discussed or evaluated during the recruitment. Similarly, it might also be useful to see who is being hired to manage in-memoriam donations. For example, one might uncover useful findings by asking: Have the fundraisers being hired experienced death of a loved one, and, if so, what impact has it had on them? Are they experienced or inexperienced fundraisers? Are they being compensated at a lower or higher level than colleagues managing other programs? Do they hold more or less important sounding titles? Answers to these questions may in themselves indicate to what extent in-memoriam donations are valued within the NPOs.

6.3.3 Exemplary practices in specific NPO settings.

My research has included respondents from various types of NPOs: universities, hospitals (general and palliative care), international aid organizations, religious NPOs, health organizations etc. It might be useful to further this research to implement specific suggestions such as improvements in information management related to in-memoriam donations in, for example, the general, palliative care or children's hospitals. The sheer numbers of in-memoriam donations may be able to produce findings that are specific to those settings. Also, government-funded NPOs, such as hospitals, may be able to develop unique, leading-edge and exemplary practices that smaller NPOs are not able to afford. Such practices could later be used by smaller NPOs as models that could perhaps be tailor-made to their specific circumstances and settings.

6.3.4 Can project management assist fundraising in ethics management?

Examples provided in this thesis suggest that NPOs could improve in ethics management. They could do so by identifying generic stakeholders and ethical issues, then apply them to the Work Breakdown structure specific to the fundraising environment. Further exploration would be useful to see whether or not this application of ethics management knowledge, skills and tools from the project management discipline could have a significant impact on fundraising success.

6.3.5 Can fundraising stewardship expertise improve project management?

Similarly, research to explore whether or not the application of fundraising stewardship know-how, techniques, skills and tools to project management may be warranted.

6.4 New Findings to the Project Management Discipline

The following is a summary of new findings that might be useful to the project management discipline:

- Application of project management to the fundraising practice has the potential to take project management discipline into a more ‘human/social’ and altruistic direction heretofore untried and unexplored. (eg. Fundraising practice places greater emphasis on ethics and ethical decision-making than project management.)
- Greater application of project management to fundraising practice has the potential to further quality improvement and innovation in fundraising practice (eg. applications related to information management and management of annual campaigns as projects)
- Story-telling has the potential to enrich the project management discipline, especially in transferring knowledge related to the ethical dimension of project management.
- An adjustment and recalibration of project management theory and practice may be warranted in order to place greater emphasis on ethics and ethical decision-making.

6.5 Final Reflections

When I first explored the idea of researching this particular topic, I asked my colleague, another fundraiser, to tell me what she thought about it. First, there was silence. Then she began with: “You know that I am your friend, right?” After I simply responded with an “aha”, she

continued: “You know that these people are dead? This is it. They are D.E.A.D. You are not going to get anything out of them.... So what is the point of doing this [research]?” My colleague’s comments reflected the dominant view of in-memoriam donations in fundraising literature, as ‘second class’ donations, those that are not worthy of a fundraiser’s time and effort.

My research findings indicate that this topic had much more to offer than commonly thought. It had much more to offer than even I imagined. Indeed, in-memoriam programs seem to be the foundation, or the ‘Alpha and the Omega’, of the fundraising practice. To the donors, in-memoriam donations, offer a new beginning, a new start in life, a reinvention, a chance to simply ‘do good’. To the NPOs, they bring in new, unsolicited donors, some of whom, with appropriate stewardship efforts, have the potential to become volunteers, major donors or even legacy donors. Finally, to the fundraisers, in-memoriam donations provide opportunities to hone their fundraising knowledge and skills and to be inspired by true philanthropic donors. Ultimately, in-memoriam donations offer fundraisers a chance to show, in real and tangible ways, the values they hold dear.

This thesis and research leads me to conclude that the application of project management would benefit fundraising practice, particularly as it relates to in-memoriam donations. Fundraising is an emerging ‘profession’. As it continues to develop, it will borrow that which is useful from other disciplines in order to further the ends of fundraising. One discipline from which it will undoubtedly borrow is project management. Why? Because it needs to. This thesis and research indicate some specific areas related to in-memoriam donation processing that could utilize project management theory, knowledge, skills and tools to allow the NPOs to more efficiently

and expeditiously achieve their fundraising objectives. For example, project management discipline can assist the fundraising practice by modernization of information management systems to improve creation, capture, entry, manipulation, exchange, and storage of information related to acknowledgements of in-memoriam donations. Also, the empirical research in project management indicates that self-reflection by individual project managers, as well as reflection by the project team, need to be encouraged by leaders and need to occur more frequently over the course of the project cycle (perhaps weekly or upon conclusion of each project milestone; not only after the project is completed). This practice has the potential to improve systems/services, encourage innovation and provide intrinsic motivations for employees to do better. Furthermore, project management has the requisite know-how and tools to improve management of ethics within the context of annual campaigns. It purposefully and strategically integrates ethical considerations through the identification of generic stakeholder and ethical issues and then the subsequent application of the Work Breakdown Structure (WBS) and then the requirement that resolutions to fundraising ethical dilemmas be championed by fundraisers (and not outsiders, or leadership).

Put another way, application of project management to fundraising, and more specifically to in-memoriam donation processing, has the potential to improve the quality of donation processing, to strengthen relations with donors, to improve an NPO's competitive advantage and its fundraising success (i.e. by stewarding in-memoriam donors to committed volunteers, major donors or legacy donors).

This thesis also points to the reverse, where aspects of fundraising practice could serve to improve and benefit the project management discipline. How? By utilizing the expertise and strengths of fundraising practice. The application of fundraising practice to project management would enrich and expand project management discipline in a different direction, one that is more 'human/social' and altruistic. This is the strength and expertise of fundraising practice. Moreover, the central focus of ethics within the fundraising practice, including story-telling (one of its well-known fundraising techniques), has the potential to enrich the project management discipline, especially in transferring knowledge related to the ethical dimension of project management.

In conclusion, this thesis makes several things clear. Firstly, it is clear that fundraising practice would benefit from the application of project management discipline to it. Secondly, project management, were fundraising practice to be applied to it, could similarly be enriched. It would expand in non-traditional and unconventional directions and include more of an emphasis on ethics. Lastly, and importantly, the thesis makes clear that further research could be undertaken to promote the synthesis and collaboration between the project management discipline and the fundraising practice.

7 Appendices

Appendix 7.1: Project Management Institute Code of Ethics and Professional Conduct

Project Management Institute Code of Ethics and Professional Conduct

CHAPTER 1. VISION AND APPLICABILITY

1.1 Vision and Purpose

As practitioners of project management, we are committed to doing what is right and honorable. We set high standards for ourselves and we aspire to meet these standards in all aspects of our lives—at work, at home, and in service to our profession.

This Code of Ethics and Professional Conduct describes the expectations that we have of ourselves and our fellow practitioners in the global project management community. It articulates the ideals to which we aspire as well as the behaviors that are mandatory in our professional and volunteer roles.

The purpose of this Code is to instill confidence in the project management profession and to help an individual become a better practitioner. We do this by establishing a profession-wide understanding of appropriate behavior. We believe that the credibility and reputation of the project management profession is shaped by the collective conduct of individual practitioners.

We believe that we can advance our profession, both individually and collectively, by embracing this Code of Ethics and Professional Conduct. We also believe that this Code will assist us in making wise decisions, particularly when faced with difficult situations where we may be asked to compromise our integrity or our values.

Our hope that this Code of Ethics and Professional Conduct will serve as a catalyst for others to study, deliberate, and write about ethics and values. Further, we hope that this Code will ultimately be used to build upon and evolve our profession.

1.2 Persons to Whom the Code Applies

The Code of Ethics and Professional Conduct applies to:

1.2.1 All PMI members

1.2.2 Individuals who are not members of PMI but meet one or more of the following criteria:

- .1 Non-members who hold a PMI certification
- .2 Non-members who apply to commence a PMI certification process
- .3 Non-members who serve PMI in a volunteer capacity.

Comment: *Those holding a Project Management Institute (PMI®) credential (whether members or not) were previously held accountable to the Project Management Professional (PMP®) or Certified Associate in Project Management (CAPM®) Code of Professional Conduct and continue to be held accountable to the PMI Code of Ethics and Professional Conduct. In the past, PMI also had separate ethics standards for members and for credentialed individuals. Stakeholders who contributed input to develop this Code concluded that having multiple codes was undesirable and that everyone should be held to one high standard. Therefore, this Code is applicable to both PMI members and individuals who have applied for or received a credential from PMI, regardless of their membership in PMI.*

1.3 Structure of the Code

The Code of Ethics and Professional Conduct is divided into sections that contain standards of conduct which are aligned with the four values that were identified as most important to the project management community. Some sections of this Code include comments. Comments are not mandatory parts of the Code, but provide examples and other clarification. Finally, a glossary can be found at the end of the standard. The glossary defines words and phrases used in the Code. For convenience, those terms defined in the glossary are underlined in the text of the Code.

1.4 Values that Support this Code

Practitioners from the global project management community were asked to identify the values that formed the basis of their decision making and guided their actions. The values that the global project management community defined as most important were: responsibility, respect, fairness, and honesty. This Code affirms these four values as its foundation.

1.5 Aspirational and Mandatory Conduct

Each section of the Code of Ethics and Professional Conduct includes both aspirational standards and mandatory standards. The aspirational standards describe the conduct that we strive to uphold as practitioners. Although adherence to the aspirational standards is not easily measured, conducting ourselves in accordance with these is an expectation that we have of ourselves as professionals—it is not optional.

The mandatory standards establish firm requirements, and in some cases, limit or prohibit practitioner behavior. Practitioners who do not conduct themselves in accordance with these standards will be subject to disciplinary procedures before PMI's Ethics Review Committee.

Comment: The conduct covered under the aspirational standards and conduct covered under the mandatory standards are not mutually exclusive; that is, one specific act or omission could violate both aspirational and mandatory standards.

CHAPTER 2. RESPONSIBILITY

2.1 Description of Responsibility

Responsibility is our duty to take ownership for the decisions we make or fail to make, the actions we take or fail to take, and the consequences that result.

2.2 Responsibility: Aspirational Standards

As practitioners in the global project management community:

2.2.1 We make decisions and take actions based on the best interests of society, public safety, and the environment.

2.2.2 We accept only those assignments that are consistent with our background, experience, skills, and qualifications.

Comment: Where developmental or stretch assignments are being considered, we ensure that key stakeholders receive timely and complete information regarding the gaps in our qualifications so that they may make informed decisions regarding our suitability for a particular assignment.

In the case of a contracting arrangement, we only bid on work that our organization is qualified to perform and we assign only qualified individuals to perform the work.

2.2.3 We fulfill the commitments that we undertake – we do what we say we will do.

2.2.4 When we make errors or omissions, we take ownership and make corrections promptly. When we discover errors or omissions caused by others, we communicate them to the appropriate body as soon

they are discovered. We accept accountability for any issues resulting from our errors or omissions and any resulting consequences.

2.2.5 We protect proprietary or confidential information that has been entrusted to us.

2.2.6 We uphold this Code and hold each other accountable to it.

2.3 Responsibility: Mandatory Standards

As practitioners in the global project management community, we require the following of ourselves and our fellow practitioners:

Regulations and Legal Requirements

2.3.1 We inform ourselves and uphold the policies, rules, regulations and laws that govern our work, professional, and volunteer activities.

2.3.2 We report unethical or illegal conduct to appropriate management and, if necessary, to those affected by the conduct.

***Comment:** These provisions have several implications. Specifically, we do not engage in any illegal behavior, including but not limited to: theft, fraud, corruption, embezzlement, or bribery. Further, we do not take or abuse the property of others, including intellectual property, nor do we engage in slander or libel. In focus groups conducted with practitioners around the globe, these types of illegal behaviors were mentioned as being problematic.*

As practitioners and representatives of our profession, we do not condone or assist others in engaging in illegal behavior. We report any illegal or unethical conduct. Reporting is not easy and we recognize that it may have negative consequences. Since recent corporate scandals, many organizations have adopted policies to protect employees who reveal the truth about illegal or unethical activities. Some governments have also adopted legislation to protect employees who come forward with the truth.

Ethics Complaints

2.3.3 We bring violations of this Code to the attention of the appropriate body for resolution.

2.3.4 We only file ethics complaints when they are substantiated by facts.

***Comment:** These provisions have several implications. We cooperate with PMI concerning ethics violations and the collection of related information whether we are a complainant or a respondent. We also abstain from accusing others of ethical misconduct when we do not have all the facts. Further, we pursue disciplinary action against individuals who knowingly make false allegations against others.*

2.3.5 We pursue disciplinary action against an individual who retaliates against a person raising ethics concerns.

CHAPTER 3. RESPECT

3.1 Description of Respect

Respect is our duty to show a high regard for ourselves, others, and the resources entrusted to us. Resources entrusted to us may include people, money, reputation, the safety of others, and natural or environmental resources.

An environment of respect engenders trust, confidence, and performance excellence by fostering mutual cooperation — an environment where diverse perspectives and views are encouraged and valued.

3.2 Respect: Aspirational Standards

As practitioners in the global project management community:

3.2.1 We inform ourselves about the norms and customs of others and avoid engaging in behaviors they might consider disrespectful.

3.2.2 We listen to others' points of view, seeking to understand them.

3.2.3 We approach directly those persons with whom we have a conflict or disagreement.

3.2.4 We conduct ourselves in a professional manner, even when it is not reciprocated.

Comment: An implication of these provisions is that we avoid engaging in gossip and avoid making negative remarks to undermine another person's reputation. We also have a duty under this Code to confront others who engage in these types of behaviors.

3.3 Respect: Mandatory Standards

As practitioners in the global project management community, we require the following of ourselves and our fellow practitioners:

3.3.1 We negotiate in good faith.

3.3.2 We do not exercise the power of our expertise or position to influence the decisions or actions of others in order to benefit personally at their expense.

3.3.3 We do not act in an abusive manner toward others.

3.3.4 We respect the property rights of others.

CHAPTER 4. FAIRNESS

4.1 Description of Fairness

Fairness is our duty to make decisions and act impartially and objectively. Our conduct must be free from competing self interest, prejudice, and favoritism.

4.2 Fairness: Aspirational Standards

As practitioners in the global project management community:

4.2.1 We demonstrate transparency in our decision-making process.

4.2.2 We constantly reexamine our impartiality and objectivity, taking corrective action as appropriate.

Comment: Research with practitioners indicated that the subject of conflicts of interest is one of the most challenging faced by our profession. One of the biggest problems practitioners report is not recognizing when we have conflicted loyalties and recognizing when we are inadvertently placing ourselves or others in a conflict-of-interest situation. We as practitioners must proactively search for potential conflicts and help each other by highlighting each other's potential conflicts of interest and insisting that they be resolved.

4.2.3 We provide equal access to information to those who are authorized to have that information.

4.2.4 We make opportunities equally available to qualified candidates.

Comment: An implication of these provisions is, in the case of a contracting arrangement, we provide equal access to information during the bidding process.

4.3 Fairness: Mandatory Standards

As practitioners in the global project management community, we require the following of ourselves and our fellow practitioners:

Conflict of Interest Situations

- 4.3.1 We proactively and fully disclose any real or potential conflicts of interest to the appropriate stakeholders.
- 4.3.2 When we realize that we have a real or potential conflict of interest, we refrain from engaging in the decision-making process or otherwise attempting to influence outcomes, unless or until: we have made full disclosure to the affected stakeholders; we have an approved mitigation plan; and we have obtained the consent of the stakeholders to proceed.

Comment: A conflict of interest occurs when we are in a position to influence decisions or other outcomes on behalf of one party when such decisions or outcomes could affect one or more other parties with which we have competing loyalties. For example, when we are acting as an employee, we have a duty of loyalty to our employer. When we are acting as a PMI volunteer, we have a duty of loyalty to the Project Management Institute. We must recognize these divergent interests and refrain from influencing decisions when we have a conflict of interest.

Further, even if we believe that we can set aside our divided loyalties and make decisions impartially, we treat the appearance of a conflict of interest as a conflict of interest and follow the provisions described in the Code.

Favoritism and Discrimination

- 4.3.3 We do not hire or fire, reward or punish, or award or deny contracts based on personal considerations, including but not limited to, favoritism, nepotism, or bribery.
- 4.3.4 We do not discriminate against others based on, but not limited to, gender, race, age, religion, disability, nationality, or sexual orientation.
- 4.3.5 We apply the rules of the organization (employer, Project Management Institute, or other group) without favoritism or prejudice.

CHAPTER 5. HONESTY

5.1 Description of Honesty

Honesty is our duty to understand the truth and act in a truthful manner both in our communications and in our conduct.

5.2 Honesty: Aspirational Standards

As practitioners in the global project management community:

- 5.2.1 We earnestly seek to understand the truth.
- 5.2.2 We are truthful in our communications and in our conduct.
- 5.2.3 We provide accurate information in a timely manner.

Comment: An implication of these provisions is that we take appropriate steps to ensure that the information we are basing our decisions upon or providing to others is accurate, reliable, and timely.

This includes having the courage to share bad news even when it may be poorly received. Also, when outcomes are negative, we avoid burying information or shifting blame to others. When outcomes are positive, we avoid taking credit for the achievements of others. These provisions reinforce our commitment to be both honest and responsible.

- 5.2.4 We make commitments and promises, implied or explicit, in good faith.
- 5.2.5 We strive to create an environment in which others feel safe to tell the truth.

5.3 Honesty: Mandatory Standards

As practitioners in the global project management community, we require the following of ourselves and our fellow practitioners:

5.3.1 We do not engage in or condone behavior that is designed to deceive others, including but not limited to, making misleading or false statements, stating half-truths, providing information out of context or withholding information that, if known, would render our statements as misleading or incomplete.

5.3.2 We do not engage in dishonest behavior with the intention of personal gain or at the expense of another.

Comment: The aspirational standards exhort us to be truthful. Half-truths and non-disclosures intended to mislead stakeholders are as unprofessional as affirmatively making misrepresentations. We develop credibility by providing complete and accurate information.

APPENDIX A

A.1 History of this Standard

PMI's vision of project management as an independent profession drove our early work in ethics. In 1981, the PMI Board of Directors formed an Ethics, Standards and Accreditation Group. One task required the group to deliberate on the need for a code of ethics for the profession. The team's report contained the first documented PMI discussion of ethics for the project management profession. This report was submitted to the PMI Board of Directors in August 1982 and published as a supplement to the August 1983 *Project Management Quarterly*.

In the late 1980's, this standard evolved to become the Ethics Standard for the Project Management Professional [PMP[®]]. In 1997, the PMI Board determined the need for a member code of ethics. The PMI Board formed the Ethics Policy Documentation Committee to draft and publish an ethics standard for PMI's membership. The Board approved the new Member Code of Ethics in October 1998. This was followed by Board approval of the Member Case Procedures in January 1999, which provided a process for the submission of an ethics complaint and a determination as to whether a violation had occurred.

Since the 1998 Code was adopted, many dramatic changes have occurred within PMI and the business world. PMI membership has grown significantly. A great deal of growth has also occurred in regions outside North America. In the business world, ethics scandals have caused the downfall of global corporations and non-profits, causing public outrage and sparking increased government regulations. Globalization has brought economies closer together but has caused a realization that our practice of ethics may differ from culture to culture. The rapid, continuing pace of technological change has provided new opportunities, but has also introduced new challenges, including new ethical dilemmas.

For these reasons, in 2003 the PMI Board of Directors called for the reexamination of our codes of ethics. In 2004, the PMI Board commissioned the Ethics Standards Review Committee [ESRC] to review the codes of ethics and develop a process for revising the codes. The ESRC developed processes that would encourage active participation by the global project management community. In 2005, the PMI Board approved the processes for revising the code, agreeing that global participation by the project management community was paramount. In 2005, the Board also commissioned the Ethics Standards Development Committee to carry out the Board-approved process and deliver the revised code by the end of 2006. This Code of Ethics and Professional Development was approved by the PMI Board of Directors in October 2006.

A.2 Process Used to Create This Standard

The first step by the Ethics Standards Development Committee [ESDC] in the development of this Code was to understand the ethical issues facing the project management community and to understand the values and viewpoints of practitioners from all regions of the globe. This was accomplished by a variety of mechanisms including focus group discussions and two internet surveys involving practitioners, members, volunteers, and people holding a PMI certification. Additionally, the team analyzed the ethics codes of 24 non-profit associations from various regions of the world, researched best practices in the development of ethics standards, and explored the ethics-related tenets of PMI's strategic plan.

This extensive research conducted by the ESDC provided the backdrop for developing the exposure draft of the PMI Code of Ethics and Professional Conduct. The exposure draft was circulated to the global project management

community for comment. The rigorous, standards development processes established by the American National Standards Institute were followed during the development of the Code because these processes were used for PMI technical standard development projects and were deemed to represent the best practices for obtaining and adjudicating stakeholder feedback to the exposure draft.

The result of this effort is a Code of Ethics and Professional Conduct that not only describes the ethical values to which the global project management community aspires, but also addresses the specific conduct that is mandatory for every individual bound by this Code. Violations of the PMI Code of Ethics and Professional Conduct may result in sanctions by PMI under the ethics Case Procedures.

The ESDC learned that as practitioners of project management, our community takes its commitment to ethics very seriously and we hold ourselves and our peers in the global project management community accountable to conduct ourselves in accordance with the provisions of this Code.

APPENDIX B

B.1 Glossary

Abusive Manner. Conduct that results in physical harm or creates intense feelings of fear, humiliation, manipulation, or exploitation in another person.

Conflict of Interest. A situation that arises when a practitioner of project management is faced with making a decision or doing some act that will benefit the practitioner or another person or organization to which the practitioner owes a duty of loyalty and at the same time will harm another person or organization to which the practitioner owes a similar duty of loyalty. The only way practitioners can resolve conflicting duties is to disclose the conflict to those affected and allow them to make the decision about how the practitioner should proceed.

Duty of Loyalty. A person's responsibility, legal or moral, to promote the best interest of an organization or other person with whom they are affiliated.

Project Management Institute [PMI]. The totality of the Project Management Institute, including its committees, groups, and chartered components such as chapters, colleges, and specific interest groups.

PMI Member. A person who has joined the Project Management Institute as a member.

PMI-Sponsored Activities. Activities that include, but are not limited to, participation on a PMI Member Advisory Group, PMI standard development team, or another PMI working group or committee. This also includes activities engaged in under the auspices of a chartered PMI component organization—whether it is in a leadership role in the component or another type of component educational activity or event.

Practitioner. A person engaged in an activity that contributes to the management of a project, portfolio, or program, as part of the project management profession.

PMI Volunteer. A person who participates in PMI-sponsored activities, whether a member of the Project Management Institute or not.

Appendix 7.2: A Donor Bill of Rights

A Donor Bill of Rights

PHILANTHROPY is based on voluntary action for the common good. It is a tradition of giving and sharing that is primary to the quality of life. To assure that philanthropy merits the respect and trust of the general public, and that donors and prospective donors can have full confidence in the not-for-profit organizations and causes they are asked to support, we declare that all donors have these rights:

I.

To be informed of the organization's mission, of the way the organization intends to use donated resources, and of its capacity to use donations effectively for their intended purposes.

II.

To be informed of the identity of those serving on the organization's governing board, and to expect the board to exercise prudent judgement in its stewardship responsibilities.

III.

To have access to the organization's most recent financial statements.

IV.

To be assured their gifts will be used for the purposes for which they were given.

V.

To receive appropriate acknowledgement and recognition.

VI.

To be assured that information about their donations is handled with respect and with confidentiality to the extent provided by law.

VII.

To expect that all relationships with individuals representing organizations of interest to the donor will be professional in nature.

VIII.

To be informed whether those seeking donations are volunteers, employees of the organization or hired solicitors.

IX.

To have the opportunity for their names to be deleted from mailing lists that an organization may intend to share.

X.

To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.

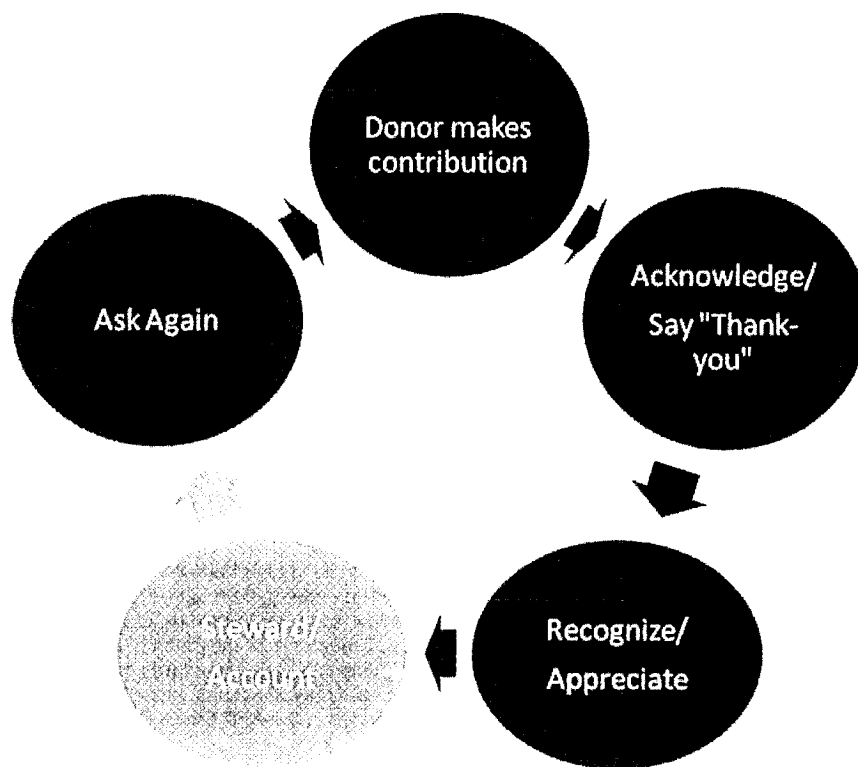
DEVELOPED BY

AMERICAN ASSOCIATION OF FUND RAISING COUNSEL (AAFRC)
ASSOCIATION FOR HEALTHCARE PHILANTHROPY (AHP)
COUNCIL FOR ADVANCEMENT AND SUPPORT OF EDUCATION (CASE)
ASSOCIATION OF FUNDRAISING PROFESSIONALS (AFP)

ENDORSED BY

(INFORMATION)
INDEPENDENT SECTOR
NATIONAL CATHOLIC DEVELOPMENT CONFERENCE (NCDC)
NATIONAL COMMITTEE ON PLANNED GIVING (NCPG)
COUNCIL FOR RESOURCE DEVELOPMENT (CRD)
UNITED WAY OF AMERICA

Appendix 7.3: Donor Relations Cycle



Source: Hendricks, J.L. (2008). *Effective Donor Relations*. pg. 5

Appendix 7.4: AFP Code of Ethical Principles and Standards



AFP Code of Ethical Principles and Standards

ETHICAL PRINCIPLES

Adopted 1964; amended Sept. 2007

The Association of Fundraising Professionals (AFP) exists to foster the development and growth of fundraising professionals and the profession, to promote high ethical behavior in the fundraising profession and to preserve and enhance philanthropy and volunteerism.

Members of AFP are motivated by an inner drive to improve the quality of life through the causes they serve. They serve the ideal of philanthropy, are committed to the preservation and enhancement of volunteerism; and hold stewardship of these concepts as the overriding direction of their professional life. They recognize their responsibility to ensure that needed resources are vigorously and ethically sought and that the intent of the donor is honestly fulfilled.

To these ends, AFP members, both individual and business, embrace certain values that they strive to uphold in performing their responsibilities for generating philanthropic support. AFP business members strive to promote and protect the work and mission of their client organizations.

AFP members both individual and business aspire to:

- ◆ practice their profession with integrity, honesty, truthfulness and adherence to the absolute obligation to safeguard the public trust
- ◆ act according to the highest goals and visions of their organizations, professions, clients and consciences
- ◆ put philanthropic mission above personal gain;
- ◆ inspire others through their own sense of dedication and high purpose
- ◆ improve their professional knowledge and skills, so that their performance will better serve others
- ◆ demonstrate concern for the interests and well-being of individuals affected by their actions
- ◆ value the privacy, freedom of choice and interests of all those affected by their actions
- ◆ foster cultural diversity and pluralistic values and treat all people with dignity and respect

- ◆ affirm, through personal giving, a commitment to philanthropy and its role in society
- ◆ adhere to the spirit as well as the letter of all applicable laws and regulations
- ◆ advocate within their organizations adherence to all applicable laws and regulations
- ◆ avoid even the appearance of any criminal offense or professional misconduct
- ◆ bring credit to the fundraising profession by their public demeanor
- ◆ encourage colleagues to embrace and practice these ethical principles and standards
- ◆ be aware of the codes of ethics promulgated by other professional organizations that serve philanthropy

ETHICAL STANDARDS

Furthermore, while striving to act according to the above values, AFP members, both individual and business, agree to abide (and to ensure, to the best of their ability, that all members of their staff abide) by the AFP standards. Violation of the standards may subject the member to disciplinary sanctions, including expulsion, as provided in the AFP Ethics Enforcement Procedures.

Member Obligations

1. Members shall not engage in activities that harm the members' organizations, clients or profession.
2. Members shall not engage in activities that conflict with their fiduciary, ethical and legal obligations to their organizations, clients or profession.
3. Members shall effectively disclose all potential and actual conflicts of interest; such disclosure does not preclude or imply ethical impropriety.
4. Members shall not exploit any relationship with a donor, prospect, volunteer, client or employee for the benefit of the members or the members' organizations.
5. Members shall comply with all applicable local, state, provincial and federal civil and criminal laws.

6. Members recognize their individual boundaries of competence and are forthcoming and truthful about their professional experience and qualifications and will represent their achievements accurately and without exaggeration.

7. Members shall present and supply products and/or services honestly and without misrepresentation and will clearly identify the details of those products, such as availability of the products and/or services and other factors that may affect the suitability of the products and/or services for donors, clients or nonprofit organizations.

8. Members shall establish the nature and purpose of any contractual relationship at the outset and will be responsive and available to organizations and their employing organizations before, during and after any sale of materials and/or services. Members will comply with all fair and reasonable obligations created by the contract.

9. Members shall refrain from knowingly infringing the intellectual property rights of other parties at all times. Members shall address and rectify any inadvertent infringement that may occur.

10. Members shall protect the confidentiality of all privileged information relating to the provider/client relationships.

11. Members shall refrain from any activity designed to disparage competitors untruthfully.

Solicitation and Use of Philanthropic Funds

12. Members shall take care to ensure that all solicitation and communication materials are accurate and correctly reflect their organizations' mission and use of solicited funds.

13. Members shall take care to ensure that donors receive informed, accurate and ethical advice about the value and tax implications of contributions.

14. Members shall take care to ensure that contributions are used in accordance with donors' intentions.

15. Members shall take care to ensure proper stewardship of all revenue sources, including timely reports on the use and management of such funds.

16. Members shall obtain explicit consent by donors before altering the conditions of financial transactions.

Presentation of Information

17. Members shall not disclose privileged or confidential information to unauthorized parties.

18. Members shall adhere to the principle that all donor and prospect information created by, or on behalf of, an organization or a client is the property of that organization or client and shall not be transferred or utilized except on behalf of that organization or client.

19. Members shall give donors and clients the

opportunity to have their names removed from lists that are sold to, rented to or exchanged with other organizations.

20. Members shall, when stating fundraising results, use accurate and consistent accounting methods that conform to the appropriate guidelines adopted by the American Institute of Certified Public Accountants (AICPA)* for the type of organization involved. (* In countries outside of the United States, comparable authority should be utilized.)

Compensation and Contracts

21. Members shall not accept compensation or enter into a contract that is based on a percentage of contributions; nor shall members accept finder's fees or contingent fees. Business members must refrain from receiving compensation from third parties derived from products or services for a client without disclosing that third-party compensation to the client (for example, volume rebates from vendors to business members).

22. Members may accept performance-based compensation, such as bonuses, provided such bonuses are in accord with prevailing practices within the members' own organizations and are not based on a percentage of contributions.

23. Members shall neither offer nor accept payments or special considerations for the purpose of influencing the selection of products or services.

24. Members shall not pay finder's fees, commissions or percentage compensation based on contributions, and shall take care to discourage their organizations from making such payments.

25. Any member receiving funds on behalf of a donor or client must meet the legal requirements for the disbursement of those funds. Any interest or income earned on the funds should be fully disclosed.



Appendix 7.5: Consent Form

Consent Form

Thesis Title: Exploring the Values of Fundraisers: The Case of In-memorial Donations

Researcher: Branka Gudelj, Candidate for Master's in Project Management, Department of Administrative Sciences, Université du Québec en Outaouais.

Purpose of the Research: With this form I am inviting you to participate in the above-referenced research, with the purpose of exploring the values of fundraisers in relation to in-memorial donations.

I have contacted you as you are a fundraiser in a non-profit organization who is responsible for management of in-memorial donations as one of your non-profit's fundraising approaches/methods that is available to the public at large. Only fundraisers, employed by the short-listed non-profits as qualified above, and with a minimum of five (5) years experience in the profession, will be considered as potential participants.

How will the study be conducted and how will the participants be involved?

Your participation would consist of an interview by using seven (7) open-ended questions. Your interview will be recorded and last approximately 1 hour. Only audio equipment will be used to record the interviews. If necessary, there will be follow up questions to seek clarifications. Your answers will be accepted in their entirety and at no time will I amend them or subject to an evaluation.

The following are (7) open ended questions that would put to you in the interview.

1. Why did you become a fundraiser?
2. What values might help fundraisers provide accurate or prompt acknowledgment of in-memorial donations?
3. What values might help fundraisers provide adequate and appropriate recognition of in-memorial donors in a manner that is consistent with ethics and a sense of philanthropy?
4. What values might help fundraisers to better steward in-memorial donors?
5. What values might help fundraisers resolve the conflicts that arise in the situation of death/grief in the context of managing in-memorial donations?
6. Is there anything that you learned from managing in-memorial donations that improved you in your profession?
7. Do you have a story about an in-memorial donation you managed that you would like to share?

Confidentiality:

All information you supply during the interview will be held in confidence, your name will not appear in any report or publication of the research. Your name will never be disclosed, quoted or referenced. No information that would allow someone to trace the identity of a participant will be disclosed when the results of this research are disseminated.

The data collected and this form consent will be stored under key in the office my thesis advisor (professor Ana-Maria Davila-Gomez, *Université du Québec en Outaouais*) and the only person that will have access to it is me, Branka Gudelj and my thesis advisor. Confidentiality will be provided to the fullest extent possible by law. The data will be preserved for a period of 5 (five) years and will only be used for the purposes described in the present document. After this period, all data will be destroyed.

Voluntary Participation:

Your participation in this research is voluntary. You are absolutely free to participate, or not, to withdraw at any time without prejudice. In case of withdrawal, I would destroy all data that I would have obtained from your participation.

Withdraw from Study:

You can choose to withdraw from the study at any time, for any reason, if you so decide. Your decision to stop participating, or to refuse to answer particular questions, will not affect your relationship with the researcher, *Université du Québec en Outaouais*, or any other group associated with this project. In case of withdrawal, I would destroy all research data that I would have collected as a result of your participation.

Potential Harm, Injuries, Discomforts or Inconvenience:

The risks associated with your participation are minimal and I undertake to put in place all the means necessary to reduce them and mitigate the risk. The interview will take place at time and place of your convenience. You will have a choice of not answering any questions or withdrawing at any time.

Benefits of the Research and Benefits to You:

The direct benefit that is expected from this research is to advance knowledge in the area of values of fundraisers who are responsible for management of in-memoriam donations. No monetary remuneration will be provided.

Dissemination of Results: The results will be disseminated in my master thesis that will be available at the library of the *Université du Québec en Outaouais*, as well as at scientific conferences and in scientific articles.

Research Approval:

This research has received the approval of the Committee for Research Ethics of this university (*Université du Québec en Outaouais*) on January 25, 2011.

Questions About the Research:

Should you have any questions concerning this research topic, kindly contact the researcher, Branka Gudelj at (613) 748- 6009, or (613) 745-7750, ext. 224, or email: gudelj@rogers.com. Should you have any question concerning any ethical aspects of this research project, kindly contact Prof. André Durivage, President, Committee for Research Ethics, of the *Université du Québec en Outaouais* at (819) 595-3900, ext. 1781.

Legal Rights and Signatures:

I, _____, consent to participate in “Exploring the Values of Fundraisers: The Case of In-Memoriam Donations” conducted by Branka Gudelj. I have understood the nature of this study and wish to participate. My signature on this form signifies that I clearly understand the information respecting my participation in this research project and indicates that I accept to participate. It does not signify that I am accepting to waive my rights and save harmless the researcher from her legal or professional responsibilities. Having understood the foregoing information respecting my involvement in this research project I hereby sign, indicating that I freely accept to participate. This form is signed in duplicate and I retain one copy.

Signature: _____
Participant

Date: _____

Signature: _____
Branka Gudelj, Researcher

Date: _____

Appendix 7.6: UQO Ethics Certificate

Notre référence : 1321

CERTIFICAT D'APPROBATION ÉTHIQUE

Le Comité d'éthique de la recherche a examiné le projet de recherche intitulé :

Projet : Exploring the Values of Fundraisers : The Case of In-memoriam Donations.

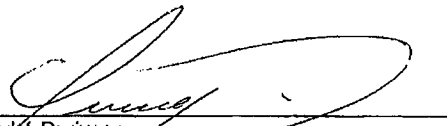
Soumis par: Madame Branka Gudelj
Étudiante
Département des sciences administratives
Université du Québec en Outaouais

Financement:

Le Comité a conclu que la recherche proposée respecte les principes directeurs de la Politique d'éthique de la recherche avec des êtres humains de l'Université du Québec en Outaouais.

Ce certificat est valable jusqu'au **19 janvier 2012**.

Au nom du Comité,


André Durivage
Président
Comité d'éthique de la recherche

Date d'émission : Le **19 janvier 2011**

List of Tables

Table 1 Fisher’s Ethical Decision Making Chart59

Table 2 Responses to Question 175

Table 3 Responses to Question 286

Table 4 Responses to Question 394

Table 5 Responses to Question 499

Table 6 Responses to Question 5107

Table 7 Responses to Question 6116

Table 8 Responses to Question 7.....122

List of Figures

Figure 1 Interrelationship of values-based philanthropy, development and fundraising 38

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