WHAT INFLUENCES THE DYADIC RELATIONSHIP BETWEEN THE NONPROFIT CEO AND BOARD CHAIR THAT DRIVES FUNDRAISING AND MISSION

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MBA MBus (Research)

Submitted in fulfilment of the requirements for the degree of

Doctor of Philosophy

School of Accountancy

Faculty of Business and Law

Queensland University of Technology

2023

Keywords

Abstract

This thesis explores what influences the dyadic relationship between the nonprofit CEO and board chair to determine how that relationship drives fundraising. It adapts Leader-Member Exchange Theory to examine this important leadership dyad in organisations that are pivotal to communities internationally, yet under researched. Charitable organisations are prolific and contribute more than $190 billion (ACNC, 2022a) to the Australian economy, where this research took place, with fundraising being a major contributor of funds for numerous organisations. In Australia, 64 per cent of the population donate to these organisations as evidenced by ranking 4th in the World Giving Index, globally (CAF, 2022). Fundraising enables these organisations to meet mission and increase community impact in the myriad of sub-sectors (e.g., education, relation, health, human services). These organisations benefit from the shared leadership of the CEO and board, which also includes the shared leadership of fundraising.

The phenomenon of fundraising leadership has been discussed by fundraising practitioners over decades, but few academic authors have explored fundraising leadership in depth. This thesis incorporates evidence from the document analysis, interviews and focus groups to illuminate the CEO-board chair relationship. It adds empirical evidence that the CEO-board chair relationship is key to supporting fundraising in the organisation and has the capacity to drive fundraising if CEO and board chairs independently and jointly lead fundraising and the board is actively involved in fundraising. The research considers:

- What influences a CEO's effectiveness in working with a nonprofit board to drive fundraising and mission?

- What influences a nonprofit board's effectiveness in driving fundraising and mission?

- What supports the dyadic CEO-board chair relationship in driving fundraising and mission?

This study contributes to theory, practice, and policy. Theoretical implications include suggesting the extension of LMX to LLX (Leader-Leader Exchange) where,

in a fundraising context, both leaders (CEO and board chair) are acknowledged as leaders and the focus is on that relationship leading fundraising. For practice, this study identifies influences on the CEO–board chair relationship and recommendations for CEO and board member recruitment, providing a basis for recruiting fundraising leaders. For policy, the Nonprofit Board Bill of Rights may empower board members to better support and drive fundraising and is a starting point for boards and organisations in Australia and beyond.

As a result of this research, it can be asserted:

- The dyadic CEO-board chair relationship <u>can</u> drive fundraising and mission and is more important than the individual CEO and board role

- Fundraising oriented leadership by the CEO plays a core role in driving effective fundraising, and

- Fundraising oriented leadership by the board also is needed to drive fundraising effectively.

This thesis fills a gap in nonprofit leadership knowledge with new insights being gained through evidence and application of Leader-Member Exchange Theory, and existing knowledge being solidified. For charity leaders, the value of the CEO-board chair relationship is recognised and its impact on fundraising and then mission is understood as more beneficiaries and community services result through better fundraising leadership and mission fulfilment.

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List of Abbreviations

A	Agree
ACNC	Australian Charities and Not-for-profits Commission
ACPNS	Australian Centre for Philanthropy and Nonprofit Studies
AFP	Association of Fundraising Professionals (US)
ATO	Australian Tax Office
BC	Board chair
CEO	Chief Executive Officer
CI	Convergent interviewing
D	Disagree
DGR	Deductible gift recipients
EI	Emotional intelligence
FIA	Fundraising Institute Australia
FG	Focus group participant
FR	Fundraising
ICDA	Institute of Company Directors Australia
ICNPO	International Classification of Nonprofit Organisations
IOF	Institute of Fundraising (UK)
KPI	Key performance indicator
LLX	Leader–Leader Exchange
LMX	Leader–Member Exchange Theory
PD	Position description
RQ	Research question
SET	Social Exchange Theory

Acknowledgements

Throughout my PhD journey, there are many people who shown interest and encouraged me, and my thanks go to each person.

My supervisors and favourite dyad, Adjunct Associate Professor Wendy Scaife and Professor Cameron Newton, guided and supported my learning – especially where my academic prowess was lacking.

My colleagues in the Australian Centre for Philanthropy and Nonprofit Studies (ACPNS) provided not just support and guidance but a culture of learning around philanthropy, fundraising and the nonprofit sector. The sector is unique and so important to people in Australia and abroad, caring and supporting families, individuals, particularly those who are vulnerable because of changing times. I am ever so grateful for being part of the ACPNS community of learning.

COVID-19 presented challenges for students worldwide, but my journey was accelerated due to travel restrictions. My student peers became colleagues as we shared our journeys together.

Fundraising professionals in Australia and overseas showed continual interest and understood the significance of my research.

Insight and wisdom were gained through the many CEOs, board members and chairs who took part in my studies. With their generosity of spirit, the research was made possible.

Professional editor Dr Judy Gregory provided copyediting and proofreading services, according to the guidelines laid out in the university-endorsed national 'Guidelines for editing research theses'.

My family have always shown interest and encouragement, even though some things 'fundraising' are still a mystery to them – as with many in the community. Special thanks to my grandchildren, who were looking forward to calling me 'Dr Grandma.

Chapter 1: Introduction to this study

A great CEO–board chair relationship is fundamental to great fundraising outcomes: *board chair (BC)*

1.1   INTRODUCTION AND BACKGROUND TO THE STUDY

This thesis explores leadership in the nonprofit sector, specifically in charities where fundraising is an important income stream. In particular, it examines the dyadic relationship between the two leaders of the organisation in relation to fundraising, conceptualising the relationship between the nonprofit CEO and board chair that drives fundraising and mission. This study investigates influences on that relationship that either drives or supports fundraising with the aim of providing much-needed evidence that explicates that unique relationship. Better fundraising and leadership outcomes that can inform the nonprofit sector are important research topics. While governance is led by the board chair with board members, operationally, the organisation is led by the CEO. Both are leaders, with shared responsibilities and joint vision for the organisation to raise funds and meet mission.

The nonprofit sector is vast, experiencing many challenges. The research was conducted during an added time of economic and operational stress – during the first years of COVID-19. 'The COVID-19 pandemic meant the need for sustained support was never felt as keenly as it was in 2020' (ACNC, 2021). The Australian Charities and Not-for-profits Commission (ACNC) also reported that many charities were no longer able to operate as previously, with some embracing technology, others paring back services, and some reducing activities or not conducting any services at all.

In Australia, competition for the charity dollar increases daily (ACNC, 2021), and COVID-19 added fresh challenges to the economic landscape for businesses including nonprofit organisations. Until 2020, more organisations were emerging with worthy intentions of solving community needs; but now, many charities are struggling to survive, with government resources being offered to assist financial sustainability, staff retention and regulatory compliance (ACNC, 2021; ATO, 2020; Australian Government, 2020). Many of the 60,112 registered charities (ACNC, March 2023) face funding crises perennially, with limited or no steady funding, resulting in more

fundraising from the community being developed (Kamaria & Lewis, 2009; Katz, 2005). Sector challenges were exacerbated by COVID-19 as funding sources slowed or ceased for many charities, causing numerous charities to change, reduce or discontinue operations for varying periods (ACNC, 2021). Change in the nonprofit community is often called for, with international research and publications (Breeze, 2016; Ingram, 2009) advocating governance guidelines and management improvements to ensure sustainability.

The economic importance of the nonprofit sector in Australia is widely recognised and well documented (Nel de Koker, 2022). The charity sector, in particular, plays a significant role in the Australian economy, contributing more than 8.5 percent gross domestic product. The 9th Australian Charities Report (2021) stated that charities registered with the ACNC employed 1.42 million people, almost 10.5 percent of all employees in Australia, approximately equivalent to the retail trade industry. Despite the size of the sector, financial constraints, competition, funding model changes and compliance burdens have resulted in putting charitable organisations and their leaders under pressure (Nel de Koker, 2022).

Australia has lagged in concrete changes from regulatory review. The ACNC was established in 2012 as the first national, independent regulator of charities, and took six national inquiries over two decades to eventuate (McGregor-Lowndes & Wyatt, 2017). A recent appraisal of these inquiries found many of their recommendations remain unimplemented. McGregor-Lowndes (2023) noted, 'In these reports alone, I counted over 160 recommendations, with 21 implemented, 113 unimplemented, and 33 partial or no longer applicable implementations'. Many of these recommendations referenced fundraising. In similar vein, Scott (2014) drew attention to internal and external issues requiring attention to drive organisational performance, particularly in relation to fundraising, which in many organisations enables mission fulfilment and community impact.

In Australia, charity leaders face a unique regulatory and legislative environment in the nonprofit sector. This has resulted in confusion within the complexity of regulatory compliance between the charity as an entity and the director as an individual (Ramsay & Webster, 2017; Teele Langford & Anderson, 2022). Accountability and transparency confusion stems from the many layers of reporting to federal, state, and local agencies resulting in a heavy burden of compliance requiring financial and

human resources (Nel de Koker, 2022). The ACNC, mindful of these demands on organisations, indicates its mission is to reduce this administrative 'red tape' burden while supporting the health of the sector and help charities understand their obligations (ACNC, 2021; Lekamge, 2020). While the nonprofit sector enjoys tax concessions, accountability for these benefits and for funds secured by organisations, trust is questioned by some for effectiveness of charity operations (Lekamge, 2020).

Authors have discussed these dilemmas with some offering remedies with the aim of reducing these burdens on leaders. Lekamge (2020) describes the need for ACNC reform to ensure better accountability and transparency suggesting technology (e.g., Blockchain) can be used to assist this. A review of the ACNC is suggested by Teele Langford and Webster (2023) that would result in a new national charitable structure, particularly assisting with compliance burdens of small organisations that consist of more than half of all charitable organisations in the sector (ACNC, 2022a). How ever this confusion and complexity is addressed, volunteer directors have great responsibilities and are called to account just like directors in other sectors (Nel de Koker, 2022; Teele Langford & Webster 2023). Nel de Koker (2022) continues to question if this burden of compliance amid complexity and confusion is too much for volunteer directors, reducing the interest of potential directors needed in the sector. There is a clear need to ensure that charity legal frameworks are not inconsistent or complex, imposing undue compliance costs and dissuading volunteering (Teele Langford, 2023).

Volunteers play an important role in the nonprofit, charity workforce and its leadership. More than half of charities are operated solely by volunteers (ACNC, 2022a). Board directors are most often volunteers providing competence, capability, and passion, contributing knowledge, skills and relationships (Nel de Koker, 2022) and yet are challenged with increased responsibilities in a complex environment (Ramsay & Webster 2017).

From a fundraising leadership perspective, layers of regulatory knowledge and compliance requirements are compounded for paid leaders (CEOs) as well as volunteer leaders (board directors) depending on the type of fundraising conducted by the charity and its regulatory body. Attracting and recruiting paid and volunteer charity leaders can be a challenge, requiring skills, knowledge, and expertise to navigate the regulative environment, demonstrating trust, accountability and transparency to regulators, the

community and those who donate. This added complexity of fundraising legislation explains the importance of examining job advertisements for CEOs and board members to ascertain whether organisations are aware of these skills and if they recruit accordingly.

Unity of leadership is even more in demand, given that trust in fundraising has fractured in some quarters in Australia and beyond, often fuelled by media stories speculating about fundraising costs, administration procedures and governance issues (ACNC, 2021; IOF, 2018; UK Charity Commission, 2018). Australians support charities they know and trust, with trust being a key decision driver (Furneaux & Wymer, 2015; Lekamge, 2020). In this environment, nonprofit leaders with their boards work together to meet their mission and build public confidence in fundraising for their cause. Internally, literature also highlights trust as an important factor in the CEO–board chair relationship (Freund, 2017; Hoye & Cuskelly, 2003; Piotrowski, 2004; Sargeant & Shang, 2016).

Considering all these sector challenges, there is a need to explore the dyadic relationship between the CEO and board chair. Reviewing charity fundraising leadership can drive better fundraising results, assist organisations to meet their mission in the community and conceptualise this important relationship. This thesis does this by examining job advertisements of both leaders, mindful of skills required to navigate a complex and confusing environment, interviewing dyads to discover relationship issues, and conducting focus groups to refine thinking, through the lens of Leader–Member Exchange Theory (LMX) because it focuses on relationships and exchange.
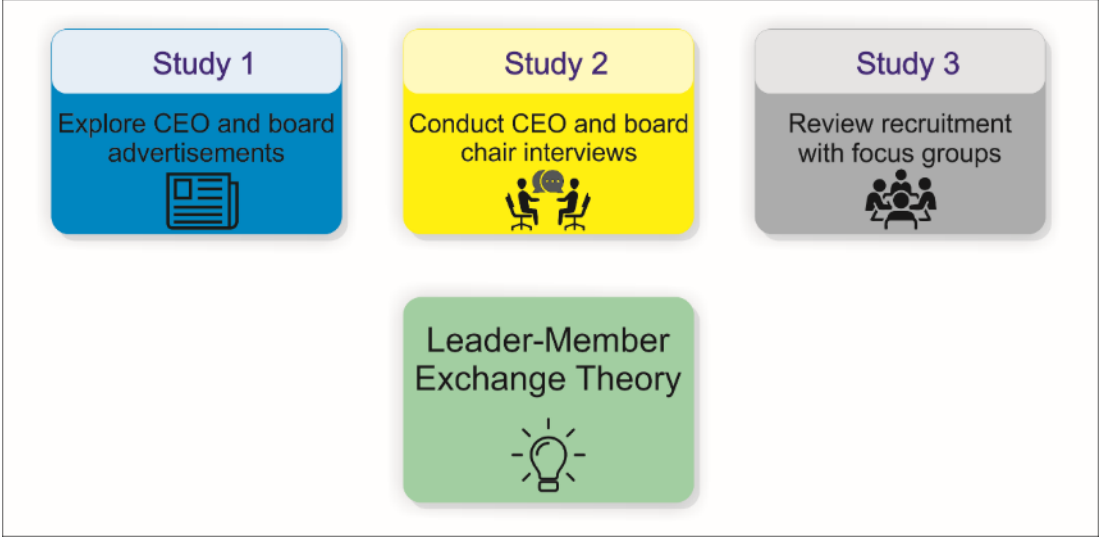
This study contributes to a critical need in the nonprofit sector for a theoretical base to understand fundraising and the leadership principles surrounding fundraising. The increasing challenges and complexity of the sector demand sound leadership partnerships, and the current theory base remains anecdotally reliant. Out of 1,008 articles published in three key journals over the past five years, only 18 have included 'fundraising' in the title and *none* refer to 'fundraising leadership'. There are a limited range of fundraising theories and new evidence-based knowledge is required.

Nonprofit organisations must advertise to attract strong leadership and lead organisations through sector challenges. Recruitment advertisements often use various organisational leadership titles, for example General Manager, National Director, Executive Director, and Executive Officer, depending on the structure of the organisation and reporting relationships. For consistency and currency, the title of Chief Executive Officer (CEO) is applied in this research, as CEOs manage the whole business, and the term is often used in nonprofits to describe the leadership position, its responsibility, and its reporting function to the board (ICDA, 2022).

This link between nonprofit leaders (CEOs) and their boards, working together to fulfill the mission of the organisation, is well recognised as a core component of fundraising leadership (Bell & Cornelius, 2013; Sargeant, Shang & Day, 2018). Scott (2014) and others have reinforced the imperative of a strong working relationship between fundraising leaders, CEOs, and boards in organisations, often critical to sustainability (Cohen, 2008; Harrison & Murray, 2012; Joyaux, 2011; Scaife, Williamson & McDonald, 2013; Tempel, Seiler & Burlingame, 2016). However, evidence about boards working with CEOs to support fundraising, and potential gaps in this relationship, tends to be more anecdotal. Related studies suggest relevant factors, such as CEOs and board members with different past experiences, fundraising knowledge levels, willingness, or unwillingness to work together, or the board holding unrealistic expectations that could never be fulfilled (Jaskyte & Holland, 2015; Wang, Fung & Lam, 2012). Important aspects of the nonprofit leader–board relationship are connected not only with mission alignment but the sharing of a system of beliefs, values and ethical standpoints (Stirratt, 2019).

To confirm a seeming gap in literature relating to the CEO–board chair relationship, a review of topical areas follows this chapter, including literature canvassing nonprofit leadership, CEO leadership, board leadership and the shared

leadership approach between the CEO and board. Leadership in a nonprofit environment is important to understand because of the unique nature of the sector and the diverse challenges experienced (ACNC, 2021). Comparisons to the for-profit sector have been drawn, and Chapter 2 discusses the important differences contributing to the distinctive nonprofit sector. General leadership principles can guide, but it is the context of nonprofit leadership that can often confront. CEO leadership is discussed because the community recognises the CEO as the organisation leader (Balser & McClusky, 2005; Cornelius, Moyers & Bell, 2011; Herman & Heimovics, 1990). Board leadership likewise is important because governance standards legally recognise the board collectively as the organisation leader. However, the shared leadership approach combines the CEO as the operational leader of the organisation and the board as the governance leader, so understanding this shared leadership is vital for a holistic view. Significantly, with little evident change in nonprofit leadership approaches around fundraising, this research takes a novel approach to examining such leadership. It draws upon LMX and leadership theories, each helping to explain the CEO–board chair relationship in both the nonprofit and fundraising context, potentially recognising the equal leadership roles of both parts of the leadership dyad.

1.2 THEORETICAL AIMS

Using Social Exchange Theory (SET) and LMX, this study contributes to extant CEO–board relationship literature by proposing and exploring what type of relationship between the CEO–board chair dyad is vital in driving fundraising and mission. The key theoretical aim of the study is to extend LMX to offer for the first time a new understanding of the CEO–board chair relationship in charitable organisations. This application is also unusual as it is a leader–leader scenario, and only a handful of previous studies have adopted this approach with LMX.

Leadership theories and styles have featured variously in academic and practice-based fundraising literature (e.g., Joyaux, 2011; Sargeant & Shang, 2017), particularly identifying transformational and servant leadership as styles where fundraising is successful (Sargeant et al., 2018); however, a link to the relationship between the CEO and board chair using these types of leadership theories is still to be established, and there may be other leadership theories at play.

As nonprofit leadership is being explored in this study in the context of fundraising and mission, it is noted that academic focus has been lacking in relation to fundraising itself. Fundraising has often borrowed theories used in adjacent disciplines, for example marketing theory (Sargeant & Jay, 2014), relationship management theory (Waters, 2008), strategic management theory (Scott, 2014) and communication theory (Waters, 2011). Thus, this study has the capacity to extend theory to be applied to fundraising and bring new elements to LMX itself to embrace the fundraising context and dyadic relationships.

New insights result in new theoretical concepts. As introduced above, LMX refers to leader–member exchanges, implying one person is a leader and the other person is a follower. The opportunity for this study is to grow the theory into an adaptation of LMX, to Leader–Leader Exchange (LLX), recognising both CEOs and board chairs are leaders. Readers may note that LLX is referred to from time to time in this thesis; however, LLX is presented not as a theory on its own, but as an adaptation or extension of LMX. Additionally, the word 'exchange' is often used throughout this thesis, reflected in SET, LMX, LLX and marketing and fundraising contexts. This indicates the strong link of exchange and communication between leaders, donors, supporters and, significantly for this thesis, the CEO–board chair relationship.

The board chair is the governance leader of the organisation, delegating the operational leadership to the CEO; both have significant leadership responsibilities. The study delves into this relationship, questioning each dyad member about how they view this 'leadership relationship' – who a leader is, of what and when. Sometimes in fundraising, CEOs take the lead; at other times, the board may take the lead, depending on their fundraising experience and knowledge. For example, a CEO might be regarded in other research as subordinate to the wishes of the board and the board chair, and at any time is both a follower and a leader in that relationship; that has not been captured clearly in other studies. For clarity and to add to the body of knowledge, it is suggested that the theory base of LMX be extended and adapted to a leader–leader concept.

1.3 RESEARCH AIMS AND CONTEXT

A literature scan yields various studies on corporate leadership focusing on board activity, board member behaviours and board evaluation methods (Bernstein, Buse, & Bilimoria, 2016; Brown, 2007; Brudney & Murray, 1997; Wang, Law, Hackett, Wang & Chen, 2012). Literature concentrating on nonprofit leadership is slowly increasing, yet as demonstrated, limited studies focus on the board relationship with the CEO and mostly refer to broad issues of management and board outcomes (Burns, 2018; Harrison & Murray, 2012; Leroux & Langer, 2016; Routhieaux, 2015). Less attention has focused on the board chair–CEO relationship (Neustrom, Carlin, Kimmelman & Mool, 2012; Walters, 2020). Consensus in the relationship between the CEO and board chair in the fundraising context has received little academic attention (Sargeant et al., 2018; Scaife, Williamson & McDonald, 2014; Scaife et al., 2013). Consequently, this study focuses on this neglected niche of nonprofit leadership behaviour. In terms of practice, the research could ignite change in the nonprofit sector after decades of often underperformance by providing evidence of beneficial CEO–board chair relationships that drive, grow, and sustain fundraising and mission. These relationships directly influence service delivery and community impact and build a case for calling out dysfunctional CEO–board chair relationships that inhibit fundraising and impede organisational development. The additional influences at play between boards, board chairs and CEOs are sought.

As mentioned, leadership and governance of a charitable organisation is a joint activity, as required by the regulatory requirements in Australia (ACNC Governance Standards). Therefore, it is beneficial to understand the influences in this leadership and how this relationship affects various aspects of the organisation. The CEO ensures resources such as internal systems and staffing are allocated and has the authority to remove barriers inhibiting impactful fundraising. In relation to fundraising, literature confirms that CEO leadership is critical (Bell & Cornelius, 2013; Scaife, Crittall, McDonald & Williamson, 2016; Scaife et al., 2013; Scott, 2014) and without leadership, fundraising does not progress successfully. The CEO reports most immediately to the board chair and could be thought of as the gatekeeper for the organisation, where the board is either somewhat insulated from or engaged with fundraising and fundraisers. However, as boards approve organisational budgets, including budgets to grow fundraising to meet the mission of the organisation, the

CEO has an integral relationship with the board chair to ensure the successful running of the organisation. Scott (2014, p. 100) illustrated the relationships in charitable organisations integral to fundraising success (Figure 1.1). This research builds on Scott's study to investigate in depth the key relationship between the CEO and board chair that drives fundraising and mission. In so doing, the CEO and board chair relationship is highlighted in this study – the relationship that is pivotal in leading an organisation. By delving deeper into this relationship, new guidance for the sector will emerge, potentially impacting fundraising and mission in the sector.
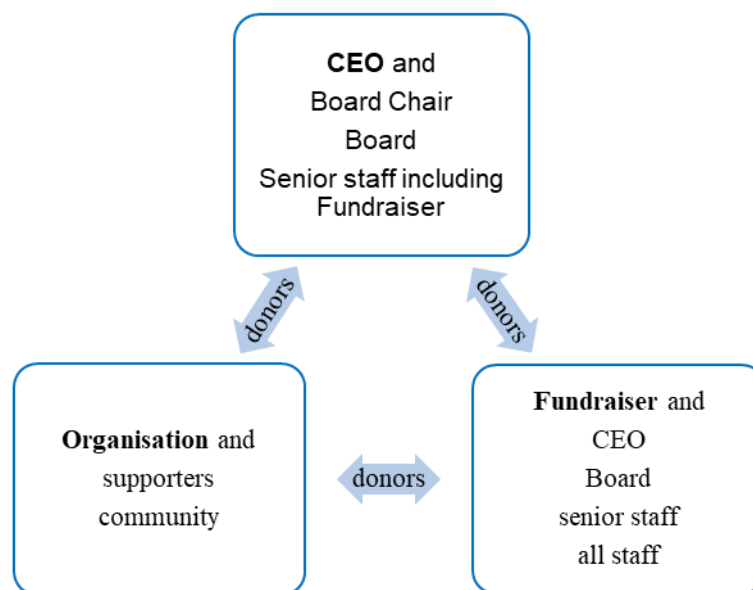
Figure 1.1: Relationships in successful organisations key to fundraising success

Authors such as Bell and Cornelius (2013) and Sargeant, Shang et al. (2018) confirm that CEOs and boards working together is a key component of organisational fundraising leadership. Bell and Cornelius (2013) suggest a culture of shared leadership can enhance an organisation's resilience and adaptability and help it navigate turbulence and uncertainty. Sargeant, Shang, et al. (2018), in a qualitative study of successful fundraising organisations, find that the board and executive leadership in Australia play a strong role in supporting the fundraising function and facilitating success. This study extends this thinking.

While there has been progress in international research on CEO–board relationships (Kakabadse, Kakabadse, & Barratt, 2006; Koskinen & Anna-Maija,

2016; Mathews, 2019a; Neustrom et al., 2012; Stewart, 1991), many unanswered questions remain as to how this affects fundraising and mission.

1.4 MOTIVATIONS

Relationships are a key focus of this study in the context of the CEO and board chair relating to fundraising. Relationships in fundraising are more often discussed in connection with donors (Sargeant, 2001; Scott, 2014; Shaker & Nelson, 2021), but also the media (Franks, 2018) and celebrities (Kelly, Morgan, & Coule, 2014). As outlined earlier and in Figure 1.1, focusing on a key relationship in the organisation is the aim of this study, particularly appreciating that donors, staff and volunteers respect leadership and have high expectations of it, as the researcher has experienced. Burnett (2002) offers a definition of relationship fundraising as 'the special relationship between a nonprofit and each supporter … care for and develop that bond and to do nothing that might damage or jeopardize it' (p. 38). This study focuses on the special relationship between the CEO and board chair and explores how to develop and maintain that bond to drive fundraising and meet mission.

While LMX underpins this research, there is a critical need for a theoretical base that recognises and understands key fundraising relationships that can support and drive fundraising outcomes. Gaps in literature relating to fundraising leadership, based on the new adaptation of LMX to LLX, has the potential to inspire key leadership dyads to re-examine or examine for the first time the basis of their relationship and the desired outcomes. Fundraising has long been dependent on practitioner guidance around tools and techniques, where theoretical foundations have been absent.

Three studies work together to examine the CEO–board chair relationship and recruitment strategies from both dyad member perspectives. Qualitative methodology is appropriate to question current recruitment practices and terminology for these key dyads. Semi-structured interviews provide in-depth exploration with dyads to determine how they see their relationship driving fundraising and meeting mission. Focus groups refined and articulated the shared CEO–board relationship and provided strong direction for recruitment of dyads that would impact fundraising and community outcomes.

Australian studies in fundraising have been scant and this study responds to this information need.

1.5 RESEARCH QUESTIONS

The specific research questions (RQs) flowing from this background are:

RQ1: What influences a CEO's effectiveness in working with a nonprofit board to drive fundraising and mission?

RQ2: What influences a nonprofit board's effectiveness in driving fundraising and mission?

RQ3: What supports the dyadic CEO–board chair relationship in driving fundraising and mission?

Each RQ contributes different elements. Study 1 (Document analysis) provides insight into marketplace recruitment and documented expectations of effective CEOs and board members. The CEO–board chair relationship is explored in Study 2 (Interviews), including leadership styles. Study 3 (Focus groups) reviews results from Study 1 and interview data from Study 2 in recommending the ideal wording to recruit CEOs and board members in relation to fundraising and descriptors of their role. Figure 1.2 depicts how each study contributes to respective RQs.
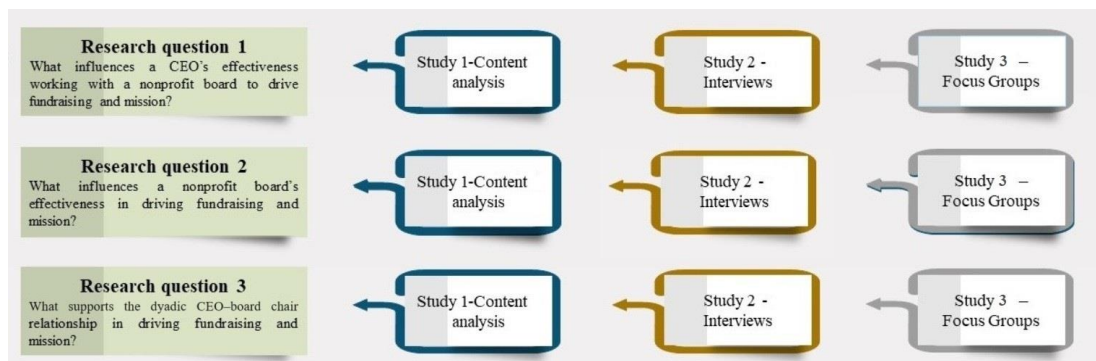
Figure 1.2: RQs and their study fit

Collectively, the three RQs provide empirical data on the CEO–board chair relationship relating to fundraising and recruitment guidance to secure each dyad.

1.6 RESEARCH APPROACH

This investigation into the dyadic CEO–board chair relationship fits into the constructivist paradigm and is exploratory in nature, applying document analysis and qualitative methodology in a sequential multi-method case study approach (information on this approach has been expanded in Chapter 3). Constructivism views social reality as subjective and co-constructed through human experience (Peters,

Pressey, Vanharanta, & Johnston, 2013; Ramoglou & Tsang, 2016), as in this study. The ontological position of constructivism maintains that knowledge is constructed by the human minds of scientists, and it opposes the idea there is a single methodology to generate knowledge (Chandra & Shang, 2017). The RQs progressively respond to the study topic to build an understanding of the phenomena.

The term 'factors' is used in this thesis from time to time, and when used does not have the same meaning as in quantitative methodology. Literature often refers to 'factors' in qualitative and quantitative enquiry. The meaning of 'factors' refers to aspects described in an 'explicit way' and in a qualitative sense. Readers will note that 'factors' is used in this thesis in a qualitative sense and not a quantitative sense.

As forecast earlier, the research consists of three studies employing a document analysis (Study 1), a qualitative approach with interviews in Study 2, followed by a different qualitative methodology, focus groups, in Study 3. Study 1 explores the Australian market through CEO and board recruitment advertisements. The ensuing research section (Study 2) is structured as a multiple case study analysis involving 44 board chairs and CEOs of 22 community-based nonprofit organisations in Australia. Study 2, an exploratory study, sought the influences on the CEO–board chair relationship from CEO and board chair perspectives using semi-structured interviews. CEOs and board chairs from the same organisation were interviewed separately to obtain independent views. Study 3 involved three groups with 20 interdisciplinary experts in the roles of CEOs and/or board members. These interdisciplinary experts together provided a review of recruitment data and developed a 'more comprehensive understanding' of the phenomenon (Keestra, 2017, p. 121) as they expressed individual and collegial reflection. Figure 1.3 illustrates the key components of each study.
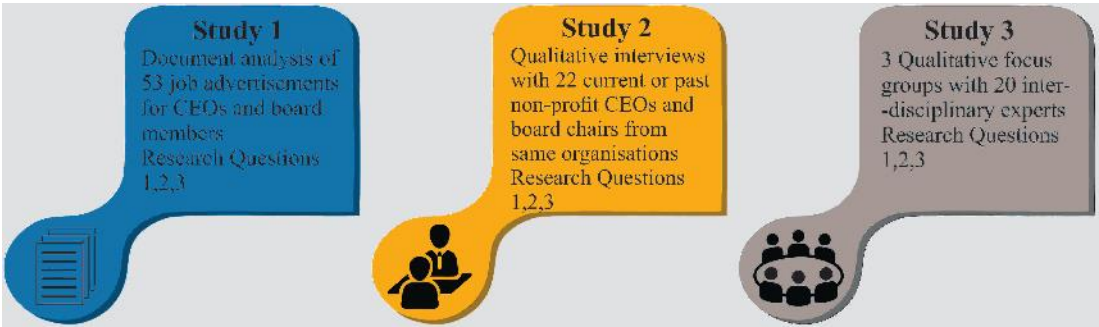
Figure 1.3: Overview of studies

1.7 RESEARCH SIGNIFICANCE

The research has significance for theoretical knowledge and charitable organisation practice, with new knowledge emerging. As outlined, Scott (2014) reported on internal and external factors that drive fundraising effectiveness and laid the foundation for this study where significant nonprofit board issues are researched in more depth. The researcher has a personal interest in both nonprofit leadership and fundraising leadership, and this research combines both concepts. The Scott (2014) study described dysfunctional organisations from a board point of view (p. 112) as having 'poor governance', 'boards having focus on irrelevant issues to the main organisation purpose', 'arrogance around knowledge of fundraising', and 'an unworkable relationship between the CEO and board chair'. Further, preliminary recommendations for governance and leadership (p. 115) included 'ensuring there are appropriate lines of communication between the board and staff' (primarily, the CEO). These are important aspects of the CEO–board chair relationship and provide the impetus for this deeper study. Scanning nonprofit literature, as in the next chapter, endorses this call for a focus on the relationship between the CEO and board chair as a lynchpin for leadership and a mechanism for change. LMX underpins the understanding of relationships, and, in this study, the CEO–board chair relationship is in focus. This method will allow theory and evidence to reinforce the CEO–board chair relationship and, in a practical sense, to impact charitable organisations in their approach to successful fundraising. By finding the key influences in this relationship that drives or inhibits fundraising success and mission, CEOs, boards, and sector leaders will be challenged to re-examine the CEO–board chair relationship in their organisations so fundraising can thrive, and mission can be fulfilled. This new understanding and research has potential to increase sector productivity and support more beneficiaries of the various charitable organisations active today and into the future. Given the sector's wide reach and diversity, improving its efficiency and effectiveness, particularly around fundraising effectiveness, will have broad benefits both in Australia and beyond. The Productivity Commission report (2010) highlighted the variety and scope of the nonprofit sector, with many organisations fundraising to various degrees.

Considering the lack of fundraising leadership literature, Scott (2014) added to this literature by exploring organisational factors that drive fundraising effectiveness

in Australian health charities; after completing the study, it was clear there were deeper issues to be explored. Scott (2014, p. 172) introduced the concept of the Fundraising Effectiveness Framework (Figure 1.4) that highlighted extraorganisational factors and intraorganisational factors in relation to fundraising. Intraorganisational factors are those that organisations develop to be effective at fundraising, including governance (the board), the role of the CEO and key relationships, as mentioned earlier. This study builds on that framework with a new aspect of fundraising effectiveness contributing to a body of knowledge in fundraising leadership.

Figure 1.4: Fundraising Effectiveness Framework

Given organisational leadership has been anecdotally such an ongoing problem in the sector, it is surprising that most of the work around it has been by reflective practitioners and consultants, and largely ignored by academia. Organisational fundraising leadership has lacked a theoretical lens and by methodically, in a measured way, looking at what theory can add to understanding fundraising leadership, change may be possible through this research. Extending LMX towards LLX and adding new elements from fundraising may also assist other leadership scholars to learn from this context of fundraising.

1.8 CONTRIBUTIONS OF THIS STUDY

New insights into a theoretical base for researching fundraising and its leadership is key to the study, leading to a conceptualisation of the CEO–board chair

relationship. Fundraising has long borrowed marketing and other theories. This study offers an adaptation of LMX to LLX, combining theoretical aspects of leadership with fundraising impetus, recognising that CEOs and board chairs are both leaders of the organisation in an almost equal partnership.

Contribution to practice may include:

- Recruitment wording describing the CEO–board relationship that organisations can aspire to and recruiting accordingly

- Resting on LMX principles, a description of the relationship of the CEO–board chair relationship in relation to fundraising, which differs from other nonprofit CEO–board relationships

- Recruitment descriptors for CEOs, board members and a board member with fundraising experience, all relating to fundraising.

A further contribution of the research involves organisational policy. Responsibilities of board members have been documented in many quarters; however, this study offers a data-driven document outlining privileges of board members in relation to fundraising.

1.9 SUMMARY AND THESIS OUTLINE

This chapter has presented the background and context for the research aims and outlined the interplay of the three studies within the research, describing the theoretical and practical opportunities for new understanding and new theoretical applications. An overview of relevant theory underpinning the research has been discussed and the significance of the research considered. Finally, an outline of the remainder of the document is presented (Figure 1.5).
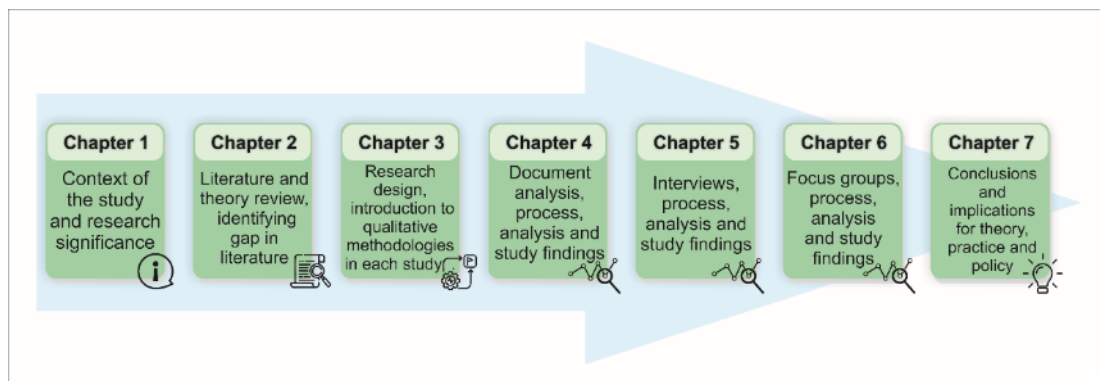
Figure 1.5: Outline of thesis chapters and content

Chapter 2 reviews literature in the nonprofit sector from the perspective of nonprofit leadership, the CEO, the board and shared leadership of the CEO and board. The chapter also reviews theoretical perspectives from the backdrop of SET and LMX in the context of transformational and servant leadership theories and styles. Chapter 3 outlines the research design, methodology and studies in more detail. It should be noted that some studies refer to fundraising as one word and others as two words. US studies often refer to 'fund raising' (Lasher & Cook, 1996; Nicholson, 2007). Australian studies refer to 'fundraising' (Harris, 2001; Scaife et al., 2013) like UK studies (Breeze, 2016; Sargeant & Shang, 2017).

Chapters 4 (Document analysis), 5 (Interviews) and 6 (Focus groups) provide the context of each study, analysis, and findings, with emergent themes examined and explored. Chapter 7 presents conclusions and implications of the research specifying new understandings for theory, practice, and policy.

Chapter 2: Literature and theory review

2.1 INTRODUCTION

In this chapter, leadership literature is scanned to offer the theoretical basis underpinning the focus of the study: the CEO–board chair relationship driving fundraising. Leadership is often a contextual matter; therefore, it is also important to consider what the nonprofit context creates for leaders who work within it. Firstly, a review of the literature relating to nonprofit leadership is presented because the study is specific to the nonprofit sector and arguably sectors differ. The review then considers the dyadic purpose of the study: the CEO perspective and the board perspective. Next, studies are presented exploring the shared leadership of the CEO and board and the theories that have underpinned this intersection. Finally, pertinent theories are discussed to introduce the conceptual framework for the study, specifically SET and LMX, along with relevant leadership theories, such as transformational leadership and servant leadership. A final summary helps the reader to understand the implications of the chosen literature and introduces the following chapter's discussion of the research designed to add to the knowledge base. Gaps in the literature have been identified and, therefore, this chapter proposes three research questions to respond to these gaps.
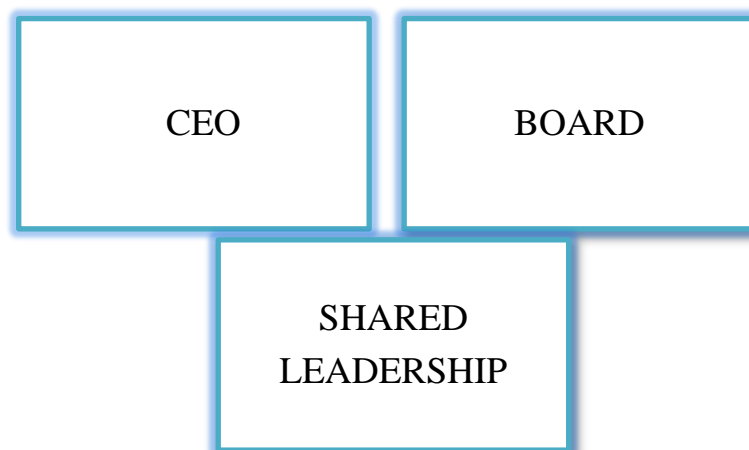
2.2 NONPROFIT LEADERSHIP

Classic fundraising authors offer wide-ranging definitions of leadership in the nonprofit context, pointing to the need to coalesce through further research the critical aspects of such leadership. Joyaux (2011), for instance, states, 'Leadership means the willingness and ability to lead and influence others' (p. 126). Because fundraising is an emergent discipline (Breeze & Scaife, 2016) rather than one steeped in decades of empirical research, the views of such reflective practitioners are now being tested more stringently. Introducing fundraising as a funding source and fundraising leadership into the nonprofit context brings further challenges for leaders. Concepts such as fundraising dependency (Zappalà & Lyons, 2006) emerge in examining why some nonprofit organisations are more reliant on fundraising as a revenue source than others. All functions in the organisation require leadership and adding fundraising leadership may be unfamiliar to experienced leaders in other sectors. Fundraising leadership between the CEO and board chair is the key concept in this thesis.

The literature highlights diverse aspects of nonprofit leadership. Nonprofit study is a relatively new discipline and the interdisciplinary nature of nonprofit scholarship and research approaches have led to confusion (Schneider, 2006) because scholars from different disciplines may not have been familiar with what constitutes quality research in other disciplines. Early scholars, such as Bass and Stogdill (1990), highlight aspects integral to leadership, such as influencing relationships, power differentials, persuasion, influence on goal achievement, role differentiation, reinforcement, initiation of structure and perceived attributions. Scaife, Williamson, et al. (2014) implicitly point to this thinking about the important relationship between the CEO and board in achieving organisational leadership from a fundraising context. As charitable organisations, indeed most organisations, require joint leadership of the CEO and board, shared leadership is a strong factor in organisational success, as identified in literature (Burns, 2018; Routhieaux, 2015; Zhang, 2013).

Amid continuing social change, the need for developing future nonprofit leaders also has been highlighted (Cornelius et al., 2011). The authors suggest organisations plan with care for leadership succession, advance the understanding of nonprofit financial long-term sustainability and diversify the professional development options available to CEOs including strategic planning. The need for integrated strategic planning in nonprofits has been stressed too (Reid, Brown,

McNerney & Perri, 2014) and underscored the inclusion of reporting on strategic approaches to funders.

Nonprofit professionalisation studies (Stewart, 2014; Valeau, 2015) raise issues of heightened emphasis on organisational performance, increased leadership autonomy, voluntarism and institutional entrepreneurship as mainstays in a complex environment. The first systematic review of nonprofit organisations becoming business-like explains the researcher's difficulty in grasping the unique challenges of the sector even with the ever-growing attention from management and organisational studies (Maier, Meyer & Steinbereithner, 2016).

Innovation has been a recurrent concept in nonprofit organisations (Chatman & Cha, 2003; Jha & Jha, 2013; King & Anderson, 1995; Langer & Leroux, 2017). Researching leadership, organisational culture and their effect on innovation has yielded cultural consensus around values that may inhibit innovation (Jaskyte, 2004). Shin and McClomb (1998) established the link between innovation and nonprofit leadership, stating that top leaders of nonprofit human service organisations play important roles in facilitating organisational innovation and noting innovation is dependent upon leaders developing effective management skills and leadership styles. Thus, nonprofit leaders need to create and manage an organisational climate promoting creativity and innovation (Allen, Smith & Da Silva, 2013). Participative leadership directly promotes workplace innovation and can foster a healthy climate (McMurray, Islam, Sarros & Pirola-Merlo, 2013). Brimhall (2019) continued this concept and suggests nonprofit leaders who engage others in critical organisational processes, such as inclusion and affective commitment, can help foster an inclusive culture leading to increased innovation, employee job satisfaction and increased nonprofit performance.

Learnings from the for-profit sector can be applied in the nonprofit sense (Grimm, 2010; Horobiowski & Beebe, 2004; Viader & Espina, 2014), as scholars describe successful leaders who apply different approaches to achieve strategic objectives. For example, Grimm (2010) describes, in a US context, some of the approaches that enable leaders to move their followers and organisations towards a new vision. Various traits of leaders are highlighted, such confidence, purpose, courage, ethical fitness and setting priorities, all being familiar to the successful leader who knows when to adapt these traits.

Parallels and contrasts have been drawn between the for-profit and nonprofit

sectors, with scholars seeking clarity about outstanding features of the nonprofit sector and the need for research within it. Where the for-profit term is self-explanatory, various terms exist to describe the nonprofit sector, for example, charitable sector, independent sector, voluntary sector (acknowledging the significant input that volunteers make to the sector), tax-exempt sector, NGO (non-government organisations) and social economy, each highlighting a different aspect of the sector (Salamon & Anheier, 1992). These authors expand on the difficulty with the 'nonprofit' term, in that it 'emphasises the fact these organisations do not exist primarily to generate profits for their owners, but these organisations sometimes do earn profits' (p. 128). For nonprofit employees, 'intrinsic motivation is an important aspect of job choice motivation for individuals in the nonprofit workforce' (Word & Park, 2015, p. 91) and wage equity is more apparent across the earnings of employees of nonprofit organisations than of for-profit organisations (Leete, 2000). Accountability of nonprofits has been questioned, with Valentinov (2011) highlighting that organisations are accountable to multiple stakeholders, such as regulators, donors, clients and beneficiaries. Corporate (or for-profit) accountability can refer to contractual arrangements, which justify actions and financial reporting that stakeholders, including owners and shareholders, can base their decisions upon (Swift, 2001).

People are often more familiar with for-profit boards and the sorts of relationships existing there. Observing typical organisation structures of both types of entities illustrates some simple differences (Figures 2.1 and 2.2, compiled for this thesis). Differences are particularly evident in the top tier of the hierarchies (i.e., shareholders for corporate entities), as well as the functions, for example, fundraising, in nonprofits.
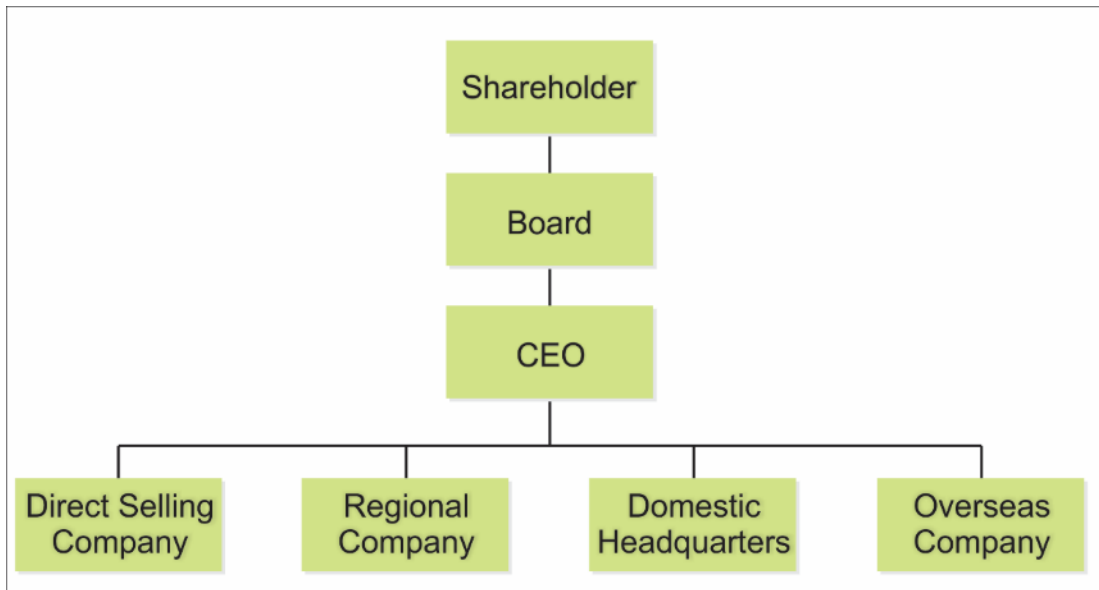
Figure 2.1: Typical for-profit organisation chart
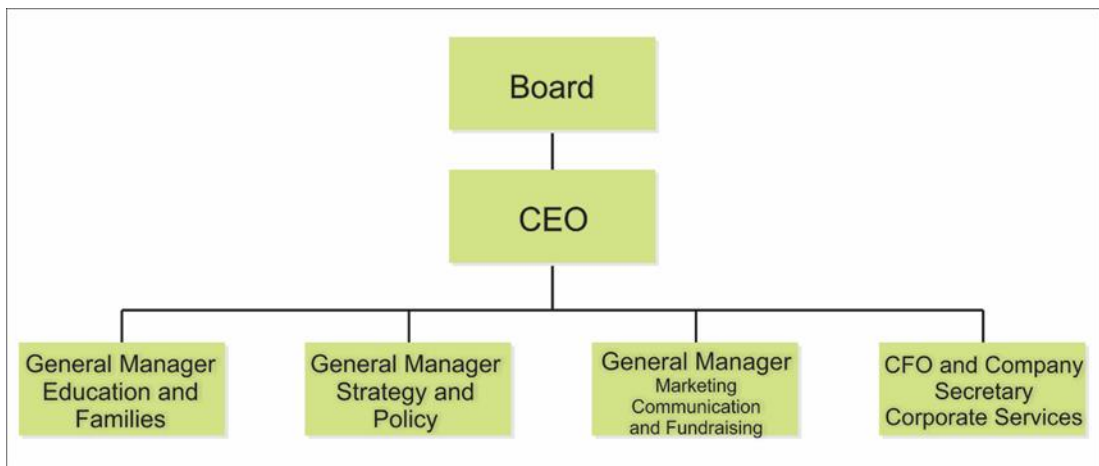
Figure 2.2: Typical nonprofit organisation chart

A more detailed comparison of for-profit and nonprofit organisation features is provided by Thumma and Marshburn (2016), where major differences are compared in relation to ownership, funding, mission and participants (Table 2.1).

Table 2.1: Major differences between for-profits and nonprofits

Feature	For-profits	Nonprofits
Ownership	Shareholders, limited partners, sole proprietors	A community asset
Funding	Owners voluntarily purchase its ownership interests	Supporters voluntarily fund by donations
Income	Provision of goods or services	Revenue generation from provision of goods or services with other individuals or organisations

Mission	Best provider of whatever it provides to make money for the owners	Create a community or public benefit and secure enough funding to continue the work of the organisation
Participants	Employees incentivised by compensation	Employees are compensated by a combination of monetary compensation and the reward of helping others. Their work typically is leveraged by a larger number of volunteers who are compensated by the reward of helping others
Benchmark of success	Where the organisation makes a profit and how much, which is either distributed to the owners or reinvested	Whether the nonprofit organisation can sustain itself and continue to serve the community

As mentioned, much can be learnt from the for-profit sector, despite structural and missional differences. Just as for-profit studies have examined organisational leadership (Dulebohn, Bommer, Liden, Brouer, & Ferris, 2012) and particularly CEO–board relationships (Kakabadse et al., 2006), nonprofit literature and fundraising leadership literature has not explored to the same capacity potentially distinctive leadership relationships.

As much as literature is discussed in the next section from the CEO, board and shared leadership points of view in nonprofit organisations, it is evident that nonprofit fundraising leadership literature is lacking. As mentioned earlier in this thesis, fundraising literature is scarce, and fundraising leadership literature is rare. This gap in literature is what this thesis helps to fill.

Research into the for-profit sector has featured in literature for decades, ranging from company law (Wells, 2018), structures and restructuring (Gaughan, 2010), product research, innovation and ethics (Stahl, Chatfield, Ten Holter & Brem, 2019), management and safety (Kasperson, 2019), corporate reputation (Comyns & Franklin-Johnson, 2018), corporate responsibility (Werhane, Freeman & Dmytrivey, 2017), product performance in markets (Lakatos, 2013), computer animation (Sito, 2013) and numerous other topics. There is some counterpoint with the nonprofit sector and some contrast; while there may be some overlap, we need to consider contexts and view nonprofit research, and particularly this study, as fresh and less explored. It is clear the nonprofit sector is a niche area where research has not been completed to the same degree.

In contrast to the broad picture, what role and complexity does the literature portray for CEO leadership in nonprofits? The leadership of CEOs is reviewed next considering literature from corporate and nonprofit contexts.

2.2.1 Organisational leadership by the CEO

2.2.1.1 The CEO as operational leader

CEOs are the recognised operational leaders of organisations (O'Regan & Ghobadian, 2004; Rodin, 2010), notwithstanding that the leadership of organisations is a shared leadership of the CEO with the board (Freiwirth, Burns, Gifford, Hiland & Beck, 2017; Yip, Twohill, Ernst & Munusamy, 2010). Nonprofit CEOs are perceived as centrally responsible for outcomes and provide leadership for their boards (Herman & Heimovics, 1990). The challenge for for-profits and nonprofits is to have an effective CEO–board chair relationship and employ appropriate strategies for successful leadership. Cohen (2008) identifies six building blocks of lasting CEO–board leadership: leadership, relationships, communication, selection, measurement, and flexibility. It is important to know which skills differentiate nonprofit CEOs from others, particularly when fundraising is added into the funding mix. Some literature is discussed on CEO fundraising leadership; however, this thesis contributes to the need for more knowledge.

2.2.1.2 Characteristics of CEO leadership

Table 2.2: Nonprofit CEO leadership skills across key studies

Skill, competency or characteristic	Detail	Applicable study or article
Characteristics of fundraising leaders	Abilities, values, people skills, aptitudes.	Harris, 2001
Level 5 leaders	Blend of extreme personal humility with intense will.	Collins, 2001
Characteristics in relation to fundraising	Understanding of mission, organisational growth strategies and fundraising; required abilities of stakeholder management, fundraising articulation to the board and organisation strategy; willingness to encourage and be involved in fundraising; familiarity with or willingness to learn business models, fundraising principles, organisational efficiency measures.	Scott, 2014
Competencies required at different points of organisational development	Builder, thinker, mentor, storyteller, innovator, connector, steward.	Arundel & Clutterbuck, 2017

Required skills	Technical, conceptual, and interpersonal skills.	Kearns, Livingston, Scherer, & McShane, 2015
General leadership competencies	Leading the organisation, leading others, leading oneself; context-specific competencies e.g., specific skills; core values and beliefs.	Landles-Cobb & Karlins, 2017
Managerial competencies	Emotional quotient, communications skill, relationship building, financial, strategic planning, human resources, and fundraising.	Tyler, 2018
Critical competency	Strategic intelligence-based plans.	Kirilov, 2019

The literature reveals much about general and nonprofit CEO leadership skills, as Table 2.2 details. From the Level 5 leader characteristics of Collins (2001) to the later competencies (Arundel & Clutterbuck, 2017), consistent referral is made to mental aptitude as well as more apparent role characteristics such as innovator, connector and steward.

A more recent focus for organisations has been strategy, for example Kirilov (2019), who concentrated on the strategies nonprofit leaders use to develop plans for performance improvement based on strategic intelligence. This study resulted in findings that emphasise the use of strategic intelligence-based plans to guide their organisations through rapidly changing environments, compete successfully and sustain the delivery of high-impact goods and services to the public and communities they serve.

General leadership skills of CEOs have been documented, however, the additional skills indicated in Table 2.2, relating to fundraising, add more complexity when fundraising is added to the mix of responsibilities. Management capabilities are discussed more in the next section, followed by various fundraising aspects required by nonprofit CEOs leading charitable organisations; reporting on existing studies clearly opens a gap for studies in an Australian context.

2.2.1.3 Managerial capabilities of CEO leadership

Some organisational leaders suggest an effective fundraising leader must be a good manager as this sets the individual apart from those focused only on skill development (Gurdjian, Halbeisen & Lane, 2014; Kamaria & Lewis, 2009). Nonprofit managerial capabilities were explored by Bish and Becker (2016), who found there was an emphasis on personal knowledge and experience (i.e., self-awareness, discipline, knowledge and strategic thinking), commitment to the nonprofit sector, and

synergy with the values of the organisation. Organisations being 'strongly led but under-managed' have been asserted by Stid and Bradach (2009, p. 35) who found leadership skills rated higher than management capabilities. Other authors reflect this concern (Meehan & Jonker, 2017), concluding that nonprofits need to excel in all areas of nonprofit leadership and management. Australian leaders have been reported as having 'significant focus on managing the organization to allow fundraising to succeed' (Sargeant et al., 2018, p. 43). Management abilities were identified in the Scott (2014) study, such as risk management and relationship management.

Scanning the relevant US job advertisement market in 2005, Ahmed (2005) aimed to identify the required competencies and job duties of CEOs with the objective of assessing their relevance and adequacy in dealing with the challenges then existing in the sector. Of those listing educational requirements, a majority sought a degree in academic areas related to the nonprofit sector. Fundraising experience was the most common requirement under experiences, with fundraising also being listed as a major duty. A later, similar study (Kamaria & Lewis, 2009) agreed with Ahmed's (2005) findings and reported the nonprofit sector utilised top-level general management to address fiscal management dynamics. Fundraising experiences and skills were emphasised and listed as the key responsibility of top-level general management. The study also concluded that organisations needed effective managers, good strategic management systems (supporting managers), motivated staff and adequate financial resources to drive success. Additionally, formal educational requirements were emphasised, with over 77 per cent of job advertisements listing bachelor's degree and above as a selection criterion. Later US studies in this area have not been uncovered. There is a clear gap in the Australian context for a similar study or one that builds on the US study.

2.2.1.4 CEO critical to fundraising success

Overall, research relating to CEOs in a fundraising context has revealed the importance of leadership characteristics and skills, management capabilities, the CEO's experience and job duties relating to fundraising. Within the US education sector, Nicholson (2007) sought to understand the unique behaviours and characteristics paramount to successful fundraising in the academic arena. This study concluded that, among other increases, the amount of financial support increased as education leaders developed a better understanding of transformational, transactional,

and transformative leadership theory, therefore endorsing the understanding of fundraising not being a transactional occurrence but transformative for an organisation and its mission. Figure 2.3 depicts the four forces involved in higher education presidential fundraising and the role of the CEO (Nicholson, 2007, p. 50). This thesis endorses this model from the CEO perspective and seeks to explore additional roles (and relationships) of the CEO with the board chair, board and organisation.
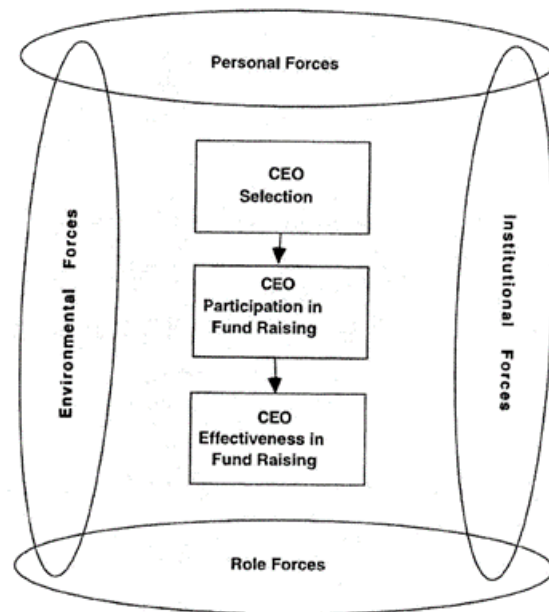
Figure 2.3: Four forces model of presidential fundraising in higher education

Two studies provide insight into CEO behaviour and learning. Group learning about fundraising leadership of CEOs was a feature of an Australian longitudinal study (Scaife, Crittall & McDonald, 2015) which found that commitment, openness, and success lay in the willingness of individuals to participate and the diversity of organisations whereby no one was in direct competition to others. A critical finding identified a community of practice for CEOs was an important ongoing tool for improving fundraising and other nonprofit organisation outcomes. 'Systems thinking' was a behaviour of CEOs and team leaders in UK who led exceptional nonprofits with substantial increases in their fundraising income (Sargeant & Shang, 2016). As CEOs lead many facets in organisations, Sargeant and Shang (2016) emphasised the need for having the right people involved in fundraising and getting those people the right training. Trust in the CEO and the CEO's vision were important, as well as the CEO leading and becoming involved in fundraising. A gap in knowledge is evident, where

more detailed characteristics of CEOs from charitable organisations could be explored, potentially finding leadership traits that may set them apart from other leaders.

Leadership styles and being 'fit for purpose' continue to be discussed in the literature. Transformational leadership style (Bass, 1985) involves leaders operating on a deeply held set of personal values. Continuing the concept of nonprofit leadership styles, Eicher (2017) found heads of schools utilised both transformational and transactional leadership behaviours and characteristics, as well as delegating leadership tasks, thus achieving maximum success in their fundraising efforts.

Unfortunately, not all CEOs can adapt to fundraising. The stress of fundraising is cited by many CEOs as the number one cause of burnout and even a reason for leaving the sector entirely (Rovner & McKee, 2017). Emerging leaders often stated fundraising as one of the job responsibilities for which they feel least prepared. Leaders of colour reported feeling less ready for fundraising than white respondents, and social change leaders who felt powerful in other circumstances were often resistant to engaging in fundraising (Rovner & McKee, 2017). Yet, literature demonstrates the leadership of the CEO is critical to fundraising and organisation success (Scaife et al., 2013; Scott, 2014). It is a significant concern that CEOs feel unprepared and stressed about engaging in fundraising (Rovner & McKee, 2017).

Research in Australia and beyond has not yet explored in depth the way the CEO works with the board chair to drive fundraising and mission, and how this relationship may increase fundraising and impact on mission. Recruiting and training a CEO who is involved in fundraising and leadership is important and critical to fundraising success (Scaife et al., 2013; Scott, 2014). The next section addresses CEO succession planning – so CEO-led fundraising can continue.

2.2.1.5 CEO succession planning

As CEOs are critical to success, including fundraising success, and hence are critical to mission outcomes, various studies have addressed the importance of CEO succession planning (Boykins, 2019; Bozer, Kuna & Santora, 2015), a sometimes difficult and challenging area for nonprofit organisations with limited resources. Succession planning is a universal organisational process that tends to be disruptive (Grusky, 1960). Often a leadership crisis ensues as emerging leaders fail to receive the development they need to grow their skills (Deaton & Douglas, 2013). CEO–board

relations, comprehensive succession management and aligning succession-based efforts with strategic planning all highlight the difficulty with CEO succession planning (Gothard & Austin, 2013). The absence of a systematic approach to strategic succession planning inhibits a smooth leadership transition and the board of directors is critical to the process of developing a strategic plan for succession according to Boykins (2019). Boards and CEOs are recommended to implement plans to reinvigorate their employee advancement and recognition (O'Reilly, 2019).

Another aspect of CEO leadership and succession planning is remuneration and compensation of leaders, often considered a difficult area for discussion in nonprofits when all efforts are centred on mission outcomes. Rewarding CEO leadership success, linked to strategy and organisational outcomes (including fundraising), is discussed rarely in Australian studies but often in US studies, as the next section details.

Remuneration of CEOs has been raised in some quarters, especially in relation to executive turnover, however, literature is scant in this area, certainly in Australia. There have been suggestions that compensation and turnover are linked and are thought by some, for example, Yawson, (2019), to be a consideration in CEO succession planning. US nonprofit studies traditionally indicate that both turnover and compensation of CEOs are significantly related to financial performance (Brickley & Van Horn, 2002) and the salaries of nonprofit executive directors depend heavily upon the organisation's size, recognising there are broad differences across segments of the sector (Oster, 1998). Bonuses are common in many US nonprofits and these bonuses are positively associated with profitability, competition from other nonprofits, firm size, available cash, and use of compensation, consultants, and committees; bonuses are negatively related to board oversight, donations and grants (Balsam & Harris, 2018). No evidence has been uncovered to link CEO remuneration with turnover in Australia, and it is considered these issues are outside the scope of this thesis.

Predictions of a worldwide nonprofit leadership crisis and shortage of CEOs extending over one to three decades feature in literature (McKee & Froelich, 2016; Sargeant & Day, 2018; Stewart, 2016) and various remedies are suggested. Elements of governance quality and internal development were found to be useful (McKee & Froelich, 2016), while outside forces cause nonprofits to do business differently, requiring different leadership (Sargeant & Day, 2018).

It is apparent from the literature that succession planning is an important process, as is CEO recruitment. Leadership development, identified as being important above, is considered in the next section more deeply.

2.2.1.6 Leadership development

As noted above, the literature is explicit about leadership training to encourage preparation for nonprofit leadership; however, many organisations do not invest in leadership training, because they are cautious of the return on investment (Gurdjian et al., 2014). Return on investment can range from a low negative to over 200 per cent (Avolio, Avey & Quisenberry, 2010). Failure to invest in leadership and organisational services to beneficiaries puts the entire mission at risk (Kramer & Nayak, 2013). These authors found that CEOs who effectively work with their senior leadership teams and boards to develop their next generation of leaders result in organisations that build their capacity to develop future leaders. However, often leadership programs fail (Gurdjian et al., 2014) because organisations do not capitalise on the development of their leaders and do not produce enough leaders with the right capabilities. Nonprofit leaders require an extensive, multi-faceted skill set to perform in the complex environment in which nonprofit organisations operate – some skills are already acquired, and others require training (Tyler, 2018).

Literature has pointed to various aspects of the CEO role, from leadership characteristics and styles to managerial capabilities, CEO responsibility in fundraising, succession planning challenges and learning development options for future leaders. There are still many unanswered questions about what could influence a CEO's effectiveness in driving fundraising and mission, particularly in an Australian context. Also unanswered is how to recruit such leaders and set them up for a successful relationship with the board and board chair.

How does literature address the board component of the nonprofit shared leadership relationship, particularly in relation to fundraising? As discussed next, the board plays a pivotal role in the nonprofit organisation.

2.2.2 Board working with the CEO in leading the organisation including fundraising

2.2.1.1 Context

Many studies relate to board characteristics and general activity. Board leadership is critical in nonprofits from a governance stance (BoardSource, 2017) and in the fundraising context (Freiwirth et al., 2017), but literature is largely silent on board influences in the relationship with the CEO that drives fundraising and mission. The next sections outline studies focusing on various aspects of nonprofit organisational leadership from the board perspective, including governance theories.

2.2.2.2 Board chair leadership

Perceptions of board chair leadership and impact were explored from the perspective of those who interact with chairs, for example, board members, CEOs and stakeholders (Harrison & Murray, 2012). Board chairs work with CEOs to lead organisations while forming relationships that take the organisation through a changing environment (Neustrom et al., 2012). Sometimes this relationship suffers from role ambiguity (chairpersons and CEOs), which is related to organisational design, satisfaction with organisation communication and tenure (Schulz & Auld, 2006). However, Mathews (2019a) found that nonprofit CEOs and board chairs reported diverse leadership perceptions and varying accounts of inter-dyadic role congruence, ambiguity and conflict. Preparation for such board roles is often lacking, particularly for board chairs (Freiwirth, 2017). Freiwirth, Burns et al. (2017), reported almost half of their study sample stated they did nothing specific to prepare to become chairs, while the other half followed an intentional process.

Board chair leadership in a fundraising context is generally unexplored. This thesis may assist in clarifying board chair leadership and uncover board chair leadership roles in a fundraising context.

The next section considers board performance and how it contributes to organisational effectiveness. Board performance in this sense is just as important as organisational performance.

2.2.2.3 Nonprofit board performance and organisational effectiveness

Nonprofit board effectiveness has been reported in various ways, including how board effectiveness influences organisational effectiveness positively (Herman &

Renz, 2008; Mwenja & Lewis, 2009; Renz & Herman, 2016) even though it is not clear how this occurs. Interactions in the boardroom matter and are generally positively associated with both board chair and CEO perceptions of board effectiveness (Van Puyvelde, Brown, Walker & Tenuta, 2018). As early as 1996, Green and Griesinger (1996) found a significant relationship between board performance and organisational effectiveness. The board activities most strongly correlated with organisational effectiveness were: policy formation, strategic planning, program monitoring, financial planning and control, resource development, board development and dispute resolution (Green & Griesinger, 1996). Brown's (2000) study of nonprofit human services organisations concurred, adding that board recruitment strategies appear critical for improving board performance.

Other aspects of board effectiveness and performance feature in nonprofit literature. Boards active in strategic decision-making enhance the performance of their organisations (Zhu, Wang & Bart, 2016). Human (including boards), financial and social capital all contribute to organisational performance, as reported by Brown, Andersson and Jo (2016). Board effectiveness can be a significant predictor of an organisation's financial health (Hodge & Piccolo, 2011; Parker, 2003). This relationship between the CEO and board was perceived to be associated with effective board performance (Hoye & Cuskelly, 2003). Results revealed that four elements of the board–executive relationship were perceived to link with effective board performance: board leadership, trust between the board and the executive, the control of information available to the board, and responsibility for board performance. Again, trust emerges as an important element in the CEO–board relationship.

2.2.2.3.1 Board effectiveness

Other board effectiveness characteristics were reported in the literature. BoardSource (2017) highlighted characteristics such as providing guidance and support to the CEO, the board's understanding of its roles and responsibilities, and the extent to which the board is adaptable in the face of changes in the environment. To achieve board effectiveness, board members need to have the time, skills and experience to do the job; have clear board roles and responsibilities; share a common vision (board and management) of how to achieve their goals; and periodically review how they (board and management) work together (Cornforth, 2001). Contributing to

these findings, Wright and Millesen (2008) established that training and feedback can decrease this role ambiguity. Even with training, nonprofit governance continues to suffer from unclear conceptions of the division of board–CEO labour (Marx & Davis, 2012). Understanding board roles can have a direct effect on board effectiveness (Jaskyte & Holland, 2015) and boards continue to struggle with their identities, roles and functions. There is little suggestion in the literature that times have changed.

Contemporary views of the role of the CEO and board chair require attention and exploration, highlighting the need for clarity and mutual understanding between the CEO and board. Questions are unanswered about the CEO's role towards the board, the board's role in working with the CEO, and CEO–board chair relationship and how that may drive fundraising and mission. While board performance and organisation have been discussed in the literature, still lacking is the application to a fundraising context.

2.2.2.3.2 Board assessment and evaluation

Board assessment and evaluation studies assist with board effectiveness (Nicholson, Newton & McGregor-Lowndes, 2012; Northrop, 2018). Nicholson, Newton, et al. (2012) highlighted how the perception of board objective clarity, appropriate skills mix, resource availability and psychological safety are positively and significantly associated with measures of board management and organisational performance. Evidence suggests (Northrop, 2018) that boards need a governance committee and an established assessment process, as well as a plan for cultivating diversity; these all impact on board and organisational effectiveness.

Working in partnership with the CEO, boards can provide powerful models for others and show how to lead and govern effectively (Zhu et al., 2016). They can intentionally take effort to understand their constituencies' concerns, set standards and goals for their own performance and then hold themselves accountable for these goals (Holland, 2002). Board members tend to monitor in ways that reflect their professional or personal competencies, rather than in ways that identify measures indicating progress towards mission-related goals and initiatives (Miller, 2002). Ambiguous rules of accountability for CEOs and boards, and unclear measures of board performance, inhibit smooth partnership performance between the CEO and board.

As Bernstein, Buse, et al. (2016) sum up, the nonprofit sector needs effective boards, and some literature confirms that effective boards achieve effective organisations. An effective relationship between boards and CEOs could help achieve that. This thesis could contribute to understanding how CEOs, boards and the CEO–board chair relationship could work together to achieve better outcomes, particularly in a fundraising context. Aspects of nonprofit board governance are reviewed next as governance is an important board role to understand and a function that supports the organisation.

2.2.2.4 Governance

Corporate governance refers to the systems and processes put in place to control and monitor an organisation (AICD, 2018, p. 8, Cornforth, 2012, p. 1121) and good governance is reflected in the good behaviour and judgement of those who have the responsibility of leading an organisation (Bird, 2001). In the context of a community with declining trust in nonprofits and an ever-changing regulatory environment (Prakash & Gugerty, 2010), nonprofit governance is at a critical point.

2.2.2.4.1 Governance theories

Nonprofit leadership involves governance according to accountability and ethical standards (ACNC, 2021). Given that nonprofit leadership relates to trustees or boards in Australia, literature pertaining to governance theories relating to boards is reviewed. The relationship between management and governance is strong and according to Tricker (1984): 'if management is about running business, governance is about seeing that it is run properly' (p. 7). Governance is the prime responsibility of the board of directors and governance theory informs the role of boards, their accountability and responsibility. This thesis focuses on the relationship between the representation of management (CEO) and the representation of governance (board chair), so governance literature and theories are worth noting.

Governance theory is discussed in literature in a variety of ways. Board governance, as defined by Hough, McGregor-Lowndes & Ryan (2005) is 'the systems and practices by which boards direct and control entities' (p. 4). Major theories on board governance were surveyed by Hough, McGregor-Lowndes, et al. (2005) and categorised according to their relationship to the disciplines of economics, management, sociology, psychology, politics, history, and theology. Several

governance theories are applicable to the nonprofit sector, and this study in particular, that is examining the relationship between management (CEOs) and boards (board chairs), even though some theories may be more suited to for-profit circumstances as well (Tricker, 1990). For this literature review, four governance theories are discussed as they relate to this thesis and are dominant in nonprofit literature: agency theory, stewardship theory, stakeholder theory and resource-dependency theory. Table 2.3 follows the discussion of these theories, indicating studies or articles relating to them.

2.2.2.4.1.1 Agency Theory

Used often in nonprofit literature, agency theory (Jensen & Meckling, 1976; Fama & Jensen, 1983) is concerned with the 'principal-agent problem' where principals connect agents to act on their behalf in the interests of principals (Hough et al., 2005). Recommendations from Agency Theory flow to include formal systems of control, budget controls and limitations, audits, and incentive systems, all aligning the interests of principals. Difficulties arise when the interests of both parties are not aligned. Research on CEO-board relations describes interactions in several ways, including power, control, involvement, and vigilance, among others. Studies grounded in agency theory portray the relationship between a board and CEO in a more adversarial manner (Boyd, Haynes & Zona, 2011). A UK study examining the extent of governance, government funding and chief executive officer characteristics' influence on executive compensation (Nguyen & Soobaroyen, 2022) found that greater board diversity and the existence of a nomination committee are positively associated with CEO compensation. Applying agency theory, study results also showed that a reliance on government funding and CEO's nonprofit work experience, together with the presence of a finance expert on the audit committee was negatively associated with CEO compensation. Boyd, Haynes, et al. (2011) provide reflection on the CEO-board chair relationship explored in this thesis, as the CEO could be considered as the agent of the board (the principal).

2.2.2.4.1.2 Stewardship Theory

Some authors note (Davis, Schoorman & Donaldson, 1997; Donaldson & Davis, 1991) that stewardship theory could be viewed as an opposite theory to agency theory, as it suggests that stewards are motivated to act in the best interest of their principals.

The executive, as a steward, makes decisions that are in the greatest interest of the whole organisation (Davis et al., 1997). Stewardship simply means placing the long-term interests of a group (individual or group of people) ahead of their own goals and own best interests (Hernandez, 2012). The author further states that stewardship involves 'the extent to which an individual willingly subjugates his or her personal interests to act in protection of others' long-term welfare' (p. 174). Stewardship theory involves the trust of directors, their professionalism, loyalty, and willingness to be concerned for the interests of others and that board accountability is relevant to stewardship theory; and accountability is necessary (Keay, 2017). Opposite responses, comparing executive and board responses in effecting organisational governance, were observed by Saj (2013) in an Australian community service case study using stewardship theory. While board members and executives worked closely together, the board was more concerned with financial performance and greatest risk to the organisation and the executive more with service performance. The study found that board members and executives crossed traditionally designated roles, sharing leadership and governance underpinned by organisational policies, processes, and structures, highlighting the issue of management involvement in governance, and linking nonprofit governance with stewardship theory and accountability. Once again, reflection on stewardship theory literature provides impetus for investigation in this thesis on the responsibilities and behaviours of the CEO and board.

2.2.2.4.1.3 Resource-dependence Theory

Some studies claim that resource-dependence theory (Akingbola, 2013; Pfeffer & Salancik, 1978) is suited to the nonprofit sector as it focuses on the problem of resource sustainability for nonprofits. The theory deems that organisational survival is dependent on the organisation creating, acquiring, and maintaining its sources of support (Hough et al., 2005). This theory has also been criticised for a narrow emphasis on resources and disregards other environmental challenges on nonprofits and their boards (Miller-Millisen, 2003). Tuwey and Ngeno, (2019) explored board leadership in a Kenyan study and investigated whether CEO optimism moderated the link between board leadership and innovation in the financial sector. Findings agreed with the resource-dependence theory, in that the board of directors are providers of crucial resources and that sincerity and impartiality from board members are important aspects of leadership, useful for innovation. The study also revealed that CEO

optimism improves the association between the board member's behaviour and support for innovation. This thesis explores the CEO-board chair relationship that can influence resources provided to charitable organisations and theory literature highlights the responsibility of the board in this role.

2.2.2.4.1.4 Stakeholder Theory

Freeman (1984) argued that boards should be aware of their impact on key stakeholder groups and should be receptive and reactive to the interests of stakeholders. Stakeholder theory also states that the role of the board is to ensure greatest value is generated for the benefit of all stakeholders, reporting frequently to stakeholders on pertinent matters to various stakeholder groups (Hough et al., 2005). Two studies provide examples of stakeholder theory, involving accountability of nonprofit leaders to their stakeholders. Hansen (2021) examined the multiple stakeholders in the fundraising process (the organisation, donors, beneficiaries, broader constituency, and the community) taking into account the interests of these various groups and individuals who can affect or be affected by the activities of the organisation. The act of intentionally identifying, prioritising, charting claims, engaging with, and monitoring stakeholders offers nonprofit leaders a proactive means of associating fundraising efforts with the mission, values, and long-term strategy of the organisation. The second nonprofit study (Schubert & Willems, 2021) recognised that leaders make judgements about the potential influence of their stakeholders and make deliberate choices about which stakeholders they personally represent while making decisions for the organisation. Decisions also vary greatly between board members and managers. Both these studies show the accountability of leaders to stakeholders and suggest the complexity of relating to them. This thesis considers particular stakeholders (donors and supporters) and the response of the CEO and board in relation to them, particularly in a fundraising leadership context.

Examples of these four theories used in literature are provided in Table 2.3.

Table 2.3: Examples of governance theories and studies

Theory or perspective	Applicable study or article
Agency theory	Bernstein, Buse, et al., 2016; Boyd, Haynes, et al., 2011; Combs, Ketchen, Perryman & Donahue, 2007; Fama & Jensen, 1983; Hough, McGregor-Lowndes, et al. 2005; Jensen &

	Meckling, 1976; Nguyen & Soobaroyen, 2022; Turbide & Laurin, 2014; Van Puyvelde, Caers, Du Bois & Jegers 2016; Van Puyvelde, Caers, Du Bois & Jegers, 2012
Stewardship theory	Bruni-Bossio & Kaczur, 2022; Davis et al., 1997; Donaldson, 1990; Donaldson & Davis, 1991; Hough, McGregor-Lowndes, et al. 2005; Keay, 2017; Saj, 2013
Resource-dependence theory	Akingbola, 2013; Betzler, 2015; Callen, Klein & Tinkelman, 2010; Herman & Heimovics, 1990; Hough, McGregor-Lowndes, et al. 2005; Malatesta & Smith, 2014; Miller-Millisen, 2003; Pfeffer & Salancik, 1978; Suárez & Hwang, 2013; Tuwey & Ngeno, 2019; Verbruggen, Christiaens, Reheul & Van Caneghem, 2015
Stakeholder theory	Abzug & Webb, 1999; Aulgur, Black & Coventry, 2021; Freeman, 1984; Hansen, 2021; Hough, McGregor-Lowndes, et al., 2005; Maxwell, & Carboni, 2014; Schubert & Willems, 2021

While not considered the primary theories as a basis for this thesis, aspects of the CEO-board chair relationship certainly are reflected in these governance theories.

2.2.2.4.2 Board motivations

Nonprofit board member motivations can often come into play. Board members, most often, are not paid for their involvement and member motivation to take on organisation challenges without compensation is under-researched. Posner (2015) studied the behaviours of paid leaders (e.g., CEOs) and volunteer leaders (e.g., boards) and reported that it takes more energy and effort to involve volunteer leaders in the organisation, in part because they have their own motivations rather than the motivation of being paid, as with staff and employees. Generally, nonprofit board directors are influenced by an agenda and their motivations that can be differentiated from the influences upon director activity in the corporate sector (Steane & Christie, 2001).

2.2.2.4.3 Board power and models of operation

Governance literature focuses on two key research areas: the power of boards and board models of operation. The power of the board is an important feature in the nonprofit sector, largely neglected in studies regarding positive and negative influences of the background characteristics of board members, organisational and environmental variables, and board and organisational effectiveness (Murray, Bradshaw & Wolpin, 1992). A cooperative power relation model was introduced by Jäger and Rehli (2012), specifying the concept of checks and balances between the

board chair and CEO. Several studies reported on the models of operation that boards use. Decades ago, it was determined that a conscious effort to improve the board does result in change (Brudney & Murray, 1997). However, an organisation should develop its own unique model for how its board ought to operate, based on an understanding of the organisation's environment, history, set of personalities and culture. Within complex environments such as nonprofit organisations, too little attention has been paid to board processes and change and how the board and organisation is influenced by contextual and historical factors (Cornforth, 2012).

2.2.2.4.4 Role-based governance

Boards have adopted various role-based governance models over decades, which facilitate and/or limit their powers 'to direct, control and regulate activities' in organisations (Tricker, 1984). Theories, such as resource-dependence, stakeholder, agency, or stewardship (discussed earlier in this chapter), offer insights into board behaviours, for example, how boards monitor, judge and influence organisational performance (Hough et al., 2005). However, Brown and Guo (2010) note that theoretical frameworks attributed to nonprofit boards neither encapsulate all the roles accredited to nonprofit boards nor provide a useful tool to explain why certain practices are widespread. According to Miller-Millesen (2003), no one theory incorporates all nonprofit board responsibilities; nor is there a 'one-size fits-all model of board governance because context arguably influences behavior' (p. 523). Hoye and Inglis (2003) warn it is difficult to get the right balance between executives and boards in a governance model, as on some occasions roles were more dominated by boards, board chairs or executives. An Australian/Dutch study into board roles found mixed support of outside directors' independence, or leadership by an independent chair improves monitoring, the reason lying in the 'boardroom dynamics associated with outside directors' cognitive conflict with the CEO and the chair's leadership of the board' (Veltrop, Bezemer, Pugliese & Nicholson (2021, p. 207). Considering these role-based governance issues, this thesis adds support to the roles that CEOs and boards play in the fundraising leadership context.

2.2.2.4.4.1 Understanding and interpreting board roles

Literature suggests that governance practices influence board performance (Jackson & Holland, 1998). Ostrower and Stone (2010) contribute to this thinking noting board roles influenced board effectiveness which contributes to organisational effectiveness. Board members' understanding of their roles and responsibilities affects external board performance (Bernstein, Buse & Slatten, 2015) and focus should be on the practical, not the theoretical, implications of board member roles and responsibilities (Bernstein et al., 2015). Board training and professional development can help the understanding of board roles. Bernstein, Buse, et al. (2015) researched fundraising involvement from a board point of view and stated fundraising was significantly impacted by board members' understanding of their roles and responsibilities. Further, Bernstein, Buse, et al. (2015) used BoardSource survey data in their US study, and delineated board governance practices into two aspects: activities within the boardroom e.g., financial oversight and strategic planning and actions beyond the board room e.g., fundraising, community relations and recruiting new board members (Bernstein & Davidson, 2012). Ongoing and comprehensive board training (or professional development) is advocated by some authors (Bernstein et al., 2015; Zimmermann & Stevens, 2008). Studies encourage boards to engage in activities that explore group dynamics through interactions, group discussion and learning to work together (Bernstein et al., 2015; Brennan, 2022; Pugliese & Zattoni, 2012; Zimmermann & Stevens, 2008). Brennan (2022) referred to this process as team production theory, where directors and managers act as a team. Once again, this thesis contributes to literature focusing on board roles in the fundraising leadership context, challenging behaviours internally and externally of board members, working with the CEO.

Role ambiguity and role identification are also discussed in literature as challenges for board members. Role clarity is directly associated with board members' contribution to the board and ends ambiguity, affecting performance outcomes (Dougherty & Hoye, 2011). Differences in board members' understanding of their role can lead to different perceptions of their accountability. Induction and ongoing professional education are suggested as tools to inform and remind directors of their role and accountabilities (Elms & Nicholson, 2020). These authors also recommend recruiting directors who appear to have strong identification with the role of director, evidenced in their commitment to governance training and professional development.

These contextual differences include fundraising leadership. Questions for the board about governance, its leadership role, the board chair role and leadership in a fundraising sense have remained unanswered. In exploring influences on the CEO–board chair fundraising leadership role, these governance questions may be answered.

In Australia, some resources have been developed to assist boards with their processes, modes of operation, and community and regulatory expectations (AICD, 2018). Some guidelines are provided for board composition and roles in Australia (ACNC, 2022b), but literature relating to succession planning for boards is limited, as discussed in the next section.

2.2.2.5 Board composition and succession planning

Board composition and succession planning may have a direct impact on board planning, decision-making and outcomes for organisations. Studies such as Abzug and Galaskiewicz (2001) found that trustees with college education, managers and professionals continued to have significant representation on nonprofit boards. The findings also suggested that nonprofit boards serve the purpose of representing different identities and/or interest groups in the community. A framework for succession planning has been offered and provides several recommendations for third-sector organisations (Elkin, Smith & Zhang, 2012). The composition of a board can impact decision-making in the hiring and ongoing employment of the CEO (Zorn, DeGhetto & Ketchen, 2019). These authors found board directors who are part of the hiring process tend to have an overly 'rosy' view of the person selected. Moreover, if the organisation is performing poorly, a board with more directors who helped hire the current CEO will tend to increase the CEO's pay more and is less likely to dismiss the CEO than a board with fewer such directors. This problem is reduced if the board has highly experienced directors among its ranks.

2.2.2.5.1 Board composition and recruitment

Two studies from Australia provide more insight regarding board composition. Steane and Christie (2001) found that nonprofit boards prize knowledge and loyalty to the sector when considering board composition. They also found that nonprofit boards possessed greater diversity than boards in the corporate sector, with more women as directors than corporate boards and a greater proportion of directors from minority groups, reflecting changes in community values. Much was revealed in the Cornish

(2009) study about board recruitment and board composition and how these aspects apply to non-executive directors in nonprofit organisations. Cornish (2009) found a combination of senior executive and corporate governance experience significantly enables non-executive recruitment appointments. Other skills attractive to hiring organisations were generalist skills that employ strategic thinking, business acumen/experience, educational qualifications, passion, networking capability and personal recommendation of 'fit'. The initial recruitment processes, such as job descriptors and person descriptors used by nonprofit organisations to identify the key attributes required, revealed that often considerable effort is put into assessing the required attributes of the positions to fill board vacancies, prior to commencing the selection process. Cornish (2009) however, found that most board appointments were made by word of mouth and, despite some lack of transparency, nonprofits continue to use this method of recruitment and selection.

These studies on board composition and succession planning raise issues about the Australian board recruitment process. This thesis could answer some of these questions around board recruitment in relation to fundraising leadership and how that could be incorporated into overall board recruitment and candidate selection (particularly candidates who can contribute to driving fundraising and mission of the organisation).

The next section considers culture from the board perspective and specifically a culture of philanthropy, which relates to board's understanding of fundraising (Scott, 2014) and promoting this understanding as it relates to the resources and values of the organisation.

2.2.2.6 Culture of philanthropy

Turning to fundraising and philanthropy, two pieces of literature stand out and bring insight into board views as well as board responsibility. The Bell and Cornelius (2013) US study brought international focus on the board, CEO and staff responsibilities involved. The study found that leading and resourcing fund development was a shared responsibility for the board, CEO and staff alike, in order to create the cultures and systems supporting fundraising success. Findings also revealed that everyone (including boards) promotes philanthropy and can articulate a case for giving. A definition of a culture of philanthropy is 'a set of organisational values and practices that support and nurture development within a nonprofit

organisation' (Bell & Cornelius, 2013, p. 3). In the ideal nonprofit organisation, fund development is viewed and valued as a mission-aligned program of the organisation, hence the responsibility of the board to capture it as such and 'to be genuinely welcoming of philanthropy' (Sargeant et al., 2018, p. 65).

2.2.2.6.1 Culture and organisational effectiveness

The links between development culture (culture of philanthropy) and nonprofit organisational effectiveness were examined by Langer and Leroux (2017), with results suggesting that nonprofit CEOs see organisational culture as more than a phenomenon to be experienced and see a positive and significant relationship between developmental culture and how effective their organisation is at performing activities generally. Hence, the role of the board is to set a culture of philanthropy as a value that is understood and activated by all in the organisation. Philanthropic orientation is another term bringing new meaning to a culture of philanthropy. Coined by Sargeant in 2018, the term refers to an organisational culture that welcomes a variety of philanthropic income sources. It also recognises the unique nature of philanthropy, and the central role stewardship can play in an organisation in acknowledging fundraising support. When an organisation adopts a philanthropic orientation, it is more likely that fundraising is embedded in the organisation's core and everyone (including boards) will see fundraising as their responsibility (Sargeant et al., 2018). A different type of pride is also present in an organisation where a philanthropic orientation is embedded. Pride is exhibited by leaders and frontline service staff who know the organisation can attract philanthropy and is able to deliver services because of that. With this orientation, everyone supporting fundraising will have fundraising in their job descriptions and, according to Scott (2014) and Sargeant, Shang et al. (2018), money (from fundraising) and mission are the same notion.

Philanthropy can be a major focus for nonprofit organisations in Australia as well as the US. The One Hundred study of US leaders in philanthropy (Omnicom Group, 2019) reported that collaboration, technology, and philanthropy can have an impact for social change, requiring all leaders to develop such skills to equip their organisations for great mission impact.

Despite these studies focusing on a culture of philanthropy, still unanswered are the questions of how it influences the board's effectiveness in driving fundraising, how

important it is in the CEO–board chair relationship, and how this culture influences the way fundraising is driven through the relationship.

Indeed, many aspects of board fundraising leadership are still to be explored. Some studies as above (Omnicom Group, 2019; Sargeant et al., 2018) have mentioned board chair leadership, board performance and organisational effectiveness, governance, board composition and succession planning. Studies about the culture of philanthropy (Crumpton, 2016; Yoon, 2014) provide aspects of fundraising leadership from the board, but this thesis may expose important influences on the board's effectiveness and the key CEO–board chair relationship that may drive fundraising in the organisation, resulting in the organisation becoming more effective in a fundraising context and impacting both the mission and beneficiaries.

It is unsurprising that more fundraising research has not been completed. There has not been a critical mass of fundraising researchers around the globe, therefore, fundraising research in academic circles is limited in comparison with some areas of nonprofit studies. This is slowly changing, despite prolific industry reports focusing on fundraising activities and techniques. So much has been unexplored in the fundraising space, including fundraising leadership, as referred to earlier. Therefore, it is no surprise there are genuine gaps in knowledge.

Shared nonprofit leadership of the CEO and board are considered in literature and involve various influences. This literature is reviewed next to reveal its significance.

2.2.3 Shared leadership – the CEO and the board

The principle of shared leadership in nonprofits primarily refers to the CEO and board working together (Freiwirth et al., 2017; Yip et al., 2010). When shared leadership works well, the organisation functions better within a supportive environment and enabling climate (Freund, 2017). Using this rationale, this thesis brings fundraising and mission fulfilment into the mix and examines the shared leadership of the CEO and board chair specifically in a fundraising context.

2.2.3.1 Shared leadership and partnership

An increasing number of studies of the board–CEO relationship in the nonprofit sector focus on the concepts of 'shared leadership' and 'partnership'. Harrison and Murray (2012) offer theoretical perspectives on board chair leadership

effectiveness and practical suggestions to increase it. Recognising the skills of the CEO and understanding the responsibilities of the board were critical for appropriately assigning the various functions. Teamwork should be the ultimate goal of the board and staff in order to move the organisation towards fulfilling its mission (Leduc & Block, 1985; McClusky, 2002; Tecker & Fidler, 1993). Shared leadership represents a promising practice for enabling greater adaptability, leadership development and stakeholder engagement (Freund, 2017). In this study, a number of key enabling conditions for shared leadership are proposed, including supportive environmental factors (mindsets and cultures, practices and processes, and roles and structure) that can promote an enabling climate of psychological empowerment, trust, safety and common purpose. Organisational attributes and capabilities facilitate performance (Brown et al., 2016). The quality of people associated with the organisation, including the board, is important in supporting performance. This study showed that organisational performance can increase by raising the frequency of advice and counsel interactions between CEOs and directors.

2.2.3.1.1 Culture of shared leadership

A culture of shared leadership (between the CEO and board) can enhance an organisation's resilience and adaptability and help ensure its ability to navigate turbulence and uncertainty (Routhieaux, 2015). Burns (2018) however, questions whether this shared leadership or partnership can increase the board's engagement and lead to better nonprofit results because there are so many variables – mainly in relation to the experience and involvement of different board members. The relationship is not so simple to establish and maintain. This complexity of nonprofit leadership is underscored and reveals influences on the board chair's and CEO's leadership role perceptions (Mathews, 2016), as discussed earlier. Mathews (2016) revealed new dimensions in these roles, identifying potential influences of individual characteristics on the board chair and CEO. The CEO and board relationship is 'negotiated' and develops over time in response to contextual changes (Cornforth & Macmillan, 2016). The CEO's dominance in the shared leadership correlated with organisational and board characteristics, chairperson's characteristics, degree of involvement in the management of the organisation, and the extent of formal and clear role definitions (Iecovich & Bar-Mor, 2007).

Finally, although board behaviour tends to align closely with the CEO's preferences for involvement in administration and management tasks (Leroux & Langer, 2016), there is a greater disconnect between board behaviour and the CEO's preferences for involvement in mission-setting and oversight duties. This provides more challenges for the CEO in shared leadership and significant opportunity for this thesis to delve into dyadic relationships between the CEO and board chair that will illuminate the relationship in a fundraising context and provide guidance to others.

How does the literature describe this partnership in relation to the CEO and board working together in fundraising and leadership? This study focuses on leadership that relates to driving fundraising, so how these aspects work together is reviewed next.

2.2.3.2 Fundraising and leadership

A strong fundraising/leadership accord in attitudes towards fundraising has been highlighted as important (Scaife et al., 2014). This implies that the board and CEO should be working as a team, as recognised by several researchers in this area (Lord, Day, Zaccaro, Avolio & Eagly, 2017; Scaife et al., 2013). Organisational leadership from the CEO and board is seen as a prerequisite for fundraising to excel (Scaife et al., 2014). Some board members view their responsibilities, especially fundraising, as associated with board diversity (Daley & Marsiglia, 2001). Diversity issues focus on the involvement of groups that have not traditionally been engaged, including low-income people, clients, ethnic minorities and inexperienced board members. Diversity was valued by some respondents, tolerated by others and its value questioned by some. A diverse board should reflect the interests of an organisation and the community it serves (Guo & Musso, 2007). Diversity on boards has benefits for organisations and their fundraising, as Sargeant, Shang et al. (2018, p. 46) note: 'higher diversity has been associated with better organizational performance … but … only if the diversity mirrors the profile or needs of key stakeholder groups or the needs of the organization (e.g., growing giving from particularly communities)'.

Increasing academic interest in fundraising and leadership has been shown in more recent times (Sargeant et al., 2018; Scaife et al., 2014; Scaife et al., 2013; Scott, 2014). Sargeant, Shang, et al. (2018) highlighted the importance of boards in fundraising support and engagement, finding that successful organisations appear to be those who enjoy the CEO's involvement in the fundraising process and where genuine expertise in this domain is present on the board. Nonprofit boards are

appointed for governance, strategy and advocacy (Taliaferro, 2013) and fundraising runs across all three areas, requiring meaningful engagement with staff from all board directors. Effective leadership at board level can drive the cultural change required to transform organisations with board, staff and donors all working together (Sargeant et al., 2018). Sargeant et al. (2018) add that often such leaders develop this cultural change as it was 'far removed from this ideal' when they commenced their appointment (p. 35).

Research relating to CEO–board shared leadership involves general relationship factors (Cornforth & Macmillan, 2016), culture (Sargeant et al., 2018), role perceptions (Mathews, 2019b) and behaviours of both CEO and boards towards each other (Posner, 2015). The next section addresses the board–CEO relationship in more depth.

2.2.3.3 Board–CEO relationship

Various research has been completed in the for-profit and nonprofit sectors regarding the board–CEO relationship. Organisational effectiveness is at stake when this relationship is weak, or worse, dysfunctional (Hiland, 2008). Cornforth and Macmillan (2016) showed how this relationship is 'negotiated' and develops over time.

2.2.3.3.1 Communication and cooperation

Cooperation and communication are key between the CEO and board, according to the literature. Interactions between CEOs and their boards are a prominent focus of management and strategy research (Boyd et al., 2011). A strong CEO–board relationship is built on open communication between both parties, including a spirit of cooperation (Smith, 1989). Smith further highlights that agreements are required on the goals of the organisation, which are developed by the CEO and agreed by the board. The relationship between the CEO and the board of directors is of central importance (Shen, 2003) and boards need to focus on CEO leadership development early in the CEO tenure.

2.2.3.3.2 Trust

Trust is another element in the CEO–board relationship (Piotrowski, 2004). In this case study, the CEO stood down from the position for several reasons, among

them communication issues and trust. For example, the board was holding meetings and sharing emails without the CEO's knowledge. As a result, board training was conducted with a governance consultant to educate and avert a similar situation.

2.2.3.3.3 Trust and power

Trust and power were examined in the for-profit arena by Zhang (2013), aiming to reduce relational risks by boards and achieve better board performance. Two effective mechanisms to reduce these risks were found to be: control over the CEO and board trust in the CEO. Using a theoretical model where 'board power over the CEO reduces opportunistic behaviour … and board trust in the CEO strengthens confidence in the collaboration between the board and CEO' reduced relation risks between boards and CEOs achieved a positive result (p. 752).

2.2.3.3.4 Goal achievement

Having an agreed understanding about monitoring organisational goals was rated as important in a study by Miller (2002). Miller found that ambiguous rules of accountability and unclear measures of performance can influence nonprofit board members to monitor in ways reflecting their professional or personal competencies. Using agreed measures would indicate progress towards mission-related goals and initiatives.

In an illuminating way for this thesis, Neustrom, Carlin et al. (2012) explored the phenomenon of the CEO and board chair relationship using the theoretical framework of LMX. The findings suggest that the Quality of the Relationship (Deluga,1998) has a direct impact on board behaviour and positive relationships can be developed through training in relational and behavioural skills. While this study did not have fundraising as its major focus, it provides an example where deliberate enhancement options in the CEO–board chair relationship were studied. No comparable Australian research is available. It is useful to question whether the findings produced by Neustrom, Carlin et al. (2012) could be built on to bring new elements to LMX from the fundraising context.

A culture of philanthropy was discussed earlier from the board perspective; in the next section, culture will be reviewed from the shared leadership perspective.

2.2.3.4 Culture

Culture is defined as a layered phenomenon composed of inter-related levels of meaning, ranging from those mostly invisible (such as guiding assumptions and values) to those that are observable (otherwise known as artefacts) (Schein, 1985). Literature on culture acknowledges that organisational culture is a shared leadership function between the CEO and board (Crumpton, 2016; Yoon, 2014). How the organisational climate (or culture) could influence a nonprofit's ability to secure funding was studied by Johnson (2014), who noted that nonprofit organisational climate varied at many organisations, making further conclusions a challenge. A model of organisational culture and effectiveness was developed by Denison and Mishra (1995), indicating that two traits of organisational culture – involvement and adaptability – are indicators of flexibility, openness and responsiveness, and are strong predictors of growth. Consistency and mission, two other culture traits, were indicators of integration, direction and vision, and were better predictors of profitability. The research concluded that culture could be studied as an integral part of the adaptation process of organisations and specific culture traits may be useful predictors of performance and effectiveness. Some of these traits could be used to consider the generation of funds in the organisation that would extend the mission and outcomes.

2.2.3.5 Culture and fundraising

Two Australian studies relating to fundraising bring important findings. Sargeant, Shang et al. (2018) found evidence of a significant focus on culture, managing board relationships, and the appointment and retention of a world-class fundraising team. Reporting on exceptional fundraising success, the study identified two aspects of culture that seem to be of critical importance in allowing outstanding fundraising to flourish: a learning culture and innovation to lead best practice in the sector (p. 4). Agreeing with these findings, the Jump on Board study (2019) stated the single most significant barrier to change when it comes to transforming the role of nonprofit boards in fundraising is culture, and the board must play a role (with the CEO) in driving cultural change.

2.2.3.5 Studies and theories in shared leadership

Prior research, in summary, has drawn on many different theories that have underpinned the shared relationship between the CEO and board. There is no one

theory that has been applied; for example, Role Theory, Stewardship Theory and Governance theories have all been applied. Considering these numerous theories, SET, LMX and leadership theories involve aspects related to fundraising leadership and appear to apply best to the research, as discussed more fully in the next section.

The next section provides insight into theoretical approaches used in studies, particularly nonprofit studies, and identifies theories that most logically underpin research that seeks to better understand the CEO–board chair relationship.

2.3 PERTINENT THEORIES

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┌──────────────────────────┐
│   LEADER-MEMBER          │
│   EXCHANGE THEORY        │
│   (LMX)                  │
└──────────────────────────┘
┌──────────────────┐  ┌──────────────────┐
│  TRANSFORMATIONAL│  │    SERVANT       │
│   LEADERSHIP     │  │   LEADERSHIP     │
└──────────────────┘  └──────────────────┘
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Earlier in this chapter (Section 2.2.2.4), nonprofit leadership literature was reviewed from the perspective of the CEO, the board and the CEO–board shared partnership. Considering the research aims of this study and the apparent important dyadic relationship between the CEO and board chair, LMX offers a useful theoretical lens. In this case, of particular importance is the understanding of the CEO–board chair relationship that drives fundraising and mission; this is clearly an exchange process between the CEO and board as leaders of an organisation. Understanding this relationship in the fundraising context is applicable, as fundraising is an exchange between donors and organisations – with CEOs and boards ideally playing significant roles in that process. Role Identification Theory (Finkelstein & Brannick, 2007; Thoits, 2012) suggests that the greater the commitment to an identity, the higher that identity is placed within an individual's preferential order. Talent Management Theory (Gallardo-Gallardo, Nijs & Dries, 2015; Sparrow & Makram, 2015) suggests maximising the talents of employees as a source of sustainability. Both theories were considered as potential underpinning theories for this study; however, both focused on

the individual, rather than the relationship context offered by LMX. This section provides impetus to support LMX as the dominant theory for the study. Nonprofit literature also supports leadership theories that may explicate the CEO–board chair relationship, specifically transformational leadership and servant leadership. The next section discusses these three theoretical underpinnings and how they apply to the study. Finally, the theoretical contribution of the study is described.

2.3.1 Social Exchange Theory (SET)

SET (Emerson, 1976; Drezner, 2009) can be understood as a frame of reference whose focus is the exchange of valued actions through social processes. It was developed by George Homans and Peter Blau (Blau, 1964) in the 1960s. SET's scope is defined by an assumption that a resource will continue to flow only if there is a valued return (or exchange) contingent upon it (Emerson, 1976). The theory views exchange as a social behaviour that may result both in economic and social outcomes (Lambe, Wittmann & Spekman, 2001). Cropanzano and Mitchell (2005) focus on relationships where actions are exchanged and rewarded, encouraging researchers to consider applying SET principles into management science, and acknowledging that the accord of social exchange is trust and commitment.

SET has been applied to research exploring a wide range of organisational contexts, including marketing (Shiau & Luo, 2012; Tanskanen, 2015), management (Birtch, Chiang & Van Esch, 2016; Yin, 2018) and communication (Kim, Kankanhalli & Lee, 2018) – all of which have an association with fundraising. In a fundraising context, SET has been used in many studies, including explaining the fundraising process (Lasher & Cook, 1996), exploring donor motivations and influences of prosocial behaviour (Drezner, 2009; Kelly, 2002; O'Connor, 2019) and the arts–sponsorship relationship (Tyrie & Ferguson, 2013).

Using SET as a framework, many studies have examined workplace relationships. Tan, Zawawi and Aziz (2016) studied organisational commitment while Wu and Lee (2017) focused on empowering leadership in the workplace. Some authors contend that SET requires an update from traditional thinking (Chernyak-Hai & Rabenu, 2018; Cooper-Thomas & Morrison, 2018) while Porter (2018) argues that SET is a flexible theory able to adjust to more modern workplace situations and relationships.

Two studies provide a backdrop of CEO and board chair relationship enquiry, both in the US context. The Walters (2020) study examined the CEO–board chair relationship using SET, arguing the success of an organisation can, in part, be attributed to the working relationship between the CEO and board chair. Neustrom, Carlin et al. (2012) used the LMX extension of SET to examine the CEO–board chair relationship in troubled times. Reflecting on the results of both studies and acknowledging that neither study related to income streams including fundraising, LMX appears to more readily focus on the dyadic CEO–board chair relationship that drives fundraising and mission in the Australian context. Focusing on the fundraising context may provide an opportunity for a new theoretical adaptation of LMX to the concept of LLX by recognising the role of both leaders.

2.3.2 LMX

2.3.2.1 LMX and leadership theories

LMX is an extension of SET because it can be defined as a relationship-based approach to leadership that focuses on the two-way (dyadic) relationship between leaders and members (Graen & Uhl-Bien, 1995). In this thesis, the intention is to focus on the two organisational leaders: the CEO and the board chair. In this case, the board (chair) is the 'leader', and the CEO is the 'member', even though both are leaders in their own right. The relationship comes about because the CEO is appointed by the board and reports to the board chair. Even though the CEO may have a team under their leadership, for the study purposes and in reality, the board chair is the leader and the CEO the member. However, LMX arguably could be extended or adapted in a fresh way to involve 'leader'–'leader' adaptation, recognising the leadership roles of both the CEO and board chair that operate in a fundraising context.

LMX emphasises the leadership process of the interaction between leaders and members (Graen & Uhl-Bien, 1995) and, in this case, can be applied to the CEO and board chair. The theory asserts that leaders have a unique relationship with each member, rather than one leadership style or method – as discussed later under leadership theories (Section 2.3.3). Leadership on a dyadic level refers to an effective relationship between leader and member or, in this case, between two leaders, based on mutual trust, respect and commitment (Bauer & Erdogan, 2015). These are effective elements of SET, as discussed earlier. The quality of these leader–member exchange relationships influence the other's responsibility, decisions, access to resources and

performance (Deluga, 1998). LMX differs from other leadership theories because most leadership theories focus on leader behaviours and treat followers as passive recipients, while LMX focuses on dyadic exchanges which are more focal to organisational outcomes (Wang, Law, Hackett, Wang & Chen, 2005).

The four stages of LMX are depicted and described by Graen and Uhl-Bien (1995, p. 226) as follows (Figure 2.4). Stage 3 refers to the development and building of effective leadership relationships.

Stage 1 Vertical dyad linkage

Validation of differentiation within work units

(Level of analysis: Dyads with work unit)

Stage 2 Leader-Member Exchange (LMX)

Validation of differentiated relationships for organisational outcomes

(Level of analysis: Dyad)

Stage 3 Leadership making

Theory and exploration of dyadic relationship development

(Level of analysis: Dyad)

Stage 4 Team-making

Competence network investigation of assembling dyads into larger collectivities

(Level of analysis: Collectivities as aggregations of dyads)

Figure 2.4: Stages in development of LMX

The goal of LMX is to explain the effects of leadership on relationships, and, in the case of this study, on the dyadic relationship between the CEO and board chair. According to the theory, leaders form strong, trusting, emotional and respect-based relationships with some members of a team, but not with others (Bauer & Ergoden, 2015). For the CEO–board chair relationship, this study has an opportunity to probe influences and explore results and repercussions on various parties.

The findings from Dulebohn, Bommer et al. (2012, p. 1717) are indicated in Figure 2.5. Leader and follower characteristics are shown, as well as interpersonal relationship outcomes. The figure also specifies contextual variables, including LMX measures, and signals the consequences of the characteristics. This model provides this

thesis with notions that could be tested in the LLX concept with the CEO–board chair relationship in the fundraising context.

Follower Characteristics
- Competence
- Agreeableness
- Conscientiousness
- Extraversion
- Neuroticism
- Openness
- Positive affectivity
- Negative affectivity
- Locus of Control

Leader Characteristics
- Supervisor's expectations of followers
- Contingent reward behavior
- Transformational Leadership
- Extraversion
- Agreeableness

Interpersonal Relationship
- Perceived similarity
- Affect/Liking ingratiation (supervisor reported)
- Ingratiation (subordinate reported)
- Self promotion
- Assertiveness
- Leader trust

LMX

Contextual Variables
- LMX measure used
- Work setting
- Participant's location
- Cultural dimensions

Consequences
- Turnover intentions
- Actual turnover
- Overall OCB
- Job performance
- Overall organizational commitment
- Affective commitment
- Normative commitment
- General job satisfaction
- Satisfaction with pay
- Procedural justice
- Distributive justice
- Empowerment
- Perceptions of politics
- Role ambiguity
- Role conflict

Figure 2.5: LMX antecedents and consequences theoretical framework

2.3.2.2 Development of LMX

LMX has developed over many decades and gained momentum in the 1990s (Graen & Uhl-Bien, 1995; Schriesheim, Castro & Cogliser, 1999) when it was highlighted as a relationship-based approach to leadership. Liden, Sparrowe and Wayne (1997) also examined the progression of the theory, explaining that LMX is determined by several antecedents, influences and a wide range of individual and organisational outcomes. Support was provided for a new multidimensional measure of the construct based on reciprocation in social exchanges. LMX excellence was introduced (Schyns & Day, 2010), which involved high-quality LMX, high leader–member agreement, and high group consensus in LMX quality, also finding that context can enhance or hinder the development of LMX excellence. LMX constructs are presented in Table 2.4, with study examples. These constructs are referred to throughout Chapters 5 and 7 of this thesis as the dyadic CEO-board chair relationship is explored.

Table 2.4: LMX constructs with example studies

LMX constructs	Studies
Quality of relationships	Deluga (1998); Burns & Otte (1999); Yu & Liang (2004); Day & Miscenko (2016); Kakkar (2019)
Trust	Scandura & Pellegrini (2008)
Satisfaction	Aggarwal, Chand, Jhamb & Mittal (2020)
Emotional intelligence	Tucker, Jimmieson and Bordia (2020)
Mutual trust, respect, commitment	Bauer & Erdogan (2015); Neustrom, Carlin, Kimmelman & Mool (2012)
Mutual trust, respect, liking	Graen & Uhl-Bien (1991)

Since the inception of LMX, several studies have shown that the dyadic relationship quality develops quite early and remains generally stable through the life of the relationship (Graen & Uhl-Bien, 1995; Liden, Wayne & Stilwell, 1993; Wilson, 2015). The LMX development process is heavily influenced by affect, contributing towards the growth of Mutual Trust, Liking and Respect (Graen & Uhl-Bien, 1991). Some of the determinants of LMX include perceived similarity and liking between leader and member, expectations from each other, leader delegation and member performance (Bauer & Green, 1996; Liden et al., 1993). More recent literature on the development of LMX relationships used longitudinal design and growth-curve modelling to demonstrate, for example, that 'extraversion and leader agreeableness influence initial levels of Relationship Quality (Deluga, 1998) at the initial interaction, whereas leader and member performance influence the development of the relationship over time' (Nahrgang, Morgeson & Ilies, 2009, p. 256).

LMX, while praised as a useful lens, has been criticised in some circles for its potential to alienate some subordinates, failing to account for the effects of group dynamics and social identity and not providing specific advice on how leaders can develop High-quality Relationships (Deluga, 1998: Power, 2013). Other authors have challenged this notion and extol the virtues of the theory's ability to help understand leadership relationships (Neustrom et al., 2012) and how LMX allows for an examination of relationships in a larger network (Liden et al., 1997). While no theory is faultless in its application, LMX is well suited to understanding the dyadic CEO–board chair relationship, possibly linking to transformational and/or servant leadership that provide additional elements of understanding. However, LMX may be lacking in

this study context, allowing for the adaptation and development of a LLX concept, as forecast earlier and discussed in Section 2.3.1 of this literature review.

There are potential influences on the CEO–board chair relationship of the individual (board chair) and the group (board). The next section considers LMX from the individual perspective.

2.3.2.3   LMX and the role of the individual

LMX underpins many studies that examine individual relationships. The early work of Phillips and Bedeian (1994) found the LMX model suggested leaders may develop different types of relationships with different members of the same work groups and can be depicted on a continuum ranging from high to low quality. Quality of relationships was a focus of additional studies, for example Deluga (1998), Burns and Otte (1999), Yu and Liang (2004), Day and Miscenko (2016), and Kakkar (2019) – all from slightly different dimensions. Further studies explored Trust (Scandura & Pellegrini, 2008), culture (Rockstuhl, Dulebohn, Ang, & Shore, 2012) and relationships developing over time (Nahrgang et al., 2009). Higher levels of LMX have also been associated with higher levels of Satisfaction, engagement, and psychological empowerment, with lower levels of stressors leading to low psychological withdrawal behaviour (Aggarwal, Chand, Jhamb, & Mittal, 2020). As found by Tucker, Jimmieson and Bordia (2020), leader–member exchange was highest when both employees and supervisors were high on emotional intelligence (EI).

2.3.2.4   LMX and group influence

Studies on LMX also have highlighted many considerations for leadership practice and group influence. Using meta-analysis, significant positive relationships were found between LMX and job performance, Satisfaction with supervision, overall satisfaction, commitment, role clarity and member competence within teams (Aggarwal et al., 2020; Hwang, Kim & Shin, 2020; Martin, Guillaume, Thomas, Lee & Epitropaki, 2016). Higher LMX has also been significantly related to lower levels of group-level turnover intentions and role conflict (Gerstner & Day, 1997; Harris, Wheeler & Kacmar, 2011) which are important considerations in organisational leadership. Other studies (Ilies, Nahrgang & Morgeson, 2007; Jha & Jha, 2013; Lloyd, Boer & Voelpel, 2017) review the Relationship in terms of the Quality of leader–member exchange and citizenship (Deluga, 1998), showing support for the moderating

role of the target of citizenship behaviours on the magnitude of the LMX–citizenship behaviour relationship of groups.

Examples of studies where LMX has featured in research are provided in Appendix A, which illustrates the variety of studies using LMX relating to fundraising themes. Many studies are from sectors other than nonprofit; however, these sectors include management, business, and education, which are all integral aspects of the nonprofit sector. Hence, the context is applicable as nonprofits need to conduct their organisation as a business (Maier et al., 2016).

This thesis explores the relationship between the CEO and board chair, and, considering that the board chair and board have governance responsibilities, reviewing LMX studies relating to governance is apt and discussed next.

2.3.2.5 LMX and governance

From a governance perspective, a standout study from Neustrom, Carlin, et al. (2012) in the nonprofit sector provides insight. This qualitative study aimed to explore the relationship of CEOs and board chairs of nonprofit organisations experiencing a turbulent environment and factors contributing to relationship development. Using LMX, six patterns were found to be an integral part of the relationship, affecting board behaviour both positively and negatively: communication, trust, mission, vision, direction, and respect. The Quality of the Relationship (Deluga, 1998) has a direct impact on board behaviour (see Figure 2.6, Neustrom et al., 2012, p. 158). Findings also confirmed that positive relationships can be developed through training of relational and behavioural skills. The study reiterated what had emerged in past studies concerning the complementary functions, the balance of power and the influence of the two roles. A good relationship was based on Trust, Respect (Bauer & Erdogan, 2015), and a desire to help each succeed and develop, emphasising the importance of shared beliefs and values. In contrast, a poor relationship was attributed to differences in vision for the future of the organisation and its goals. A strong relationship between the board chair and the CEO created good governance from a high-performing board.

There are many synergies here for the current study exploring whether these findings can influence successful fundraising to achieve mission. In particular, this thesis draws on the findings in Figure 2.6. Further elements could potentially apply in the fundraising context.
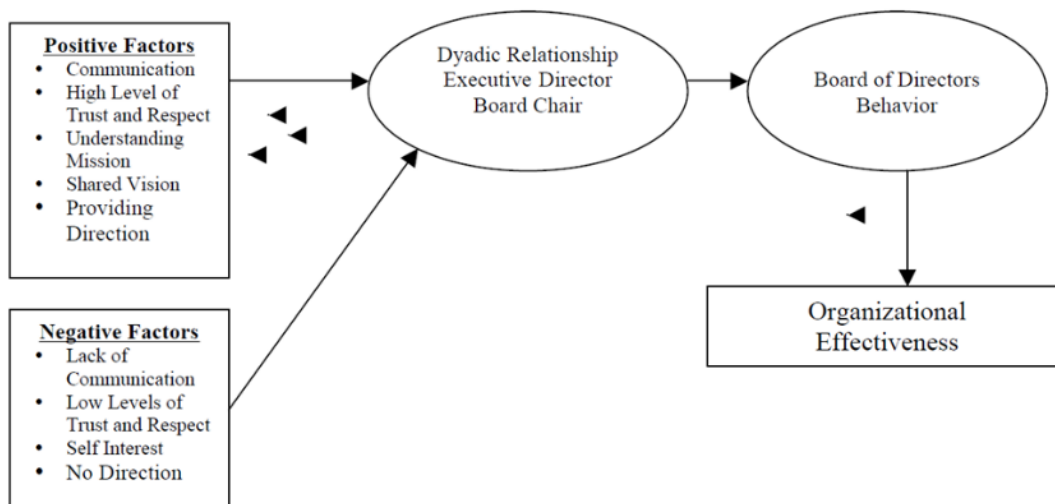
Figure 2.6: Emerging pattern of positive and negative factors in relationship

It is worth considering how other leadership theories and styles come into play when exploring organisational relationships. Amid many theories and perspectives, two prominent theories emerge from nonprofit literature (Sargeant et al., 2018): transformational leadership and servant leadership.

2.3.3 Leadership theories

A multi-theory approach is appropriate where qualitative methodology is used because it allows a multi-lens view of phenomena and a broader assessment of the quality and rigour of conclusions and inferences (Collins, Onwuegbuzie & Johnson, 2012; Creswell & Plano Clark, 2007). Leadership theories have changed over the decades, with some elements remaining stable and other thinking introduced to recognise societal changes and identify other leadership elements (Offerman & Coast, 2018). While there are many leadership theories and perspectives, as detailed in Table 2.5, two theories stand out as most relevant to fundraising and particularly to the relationship between the CEO and board chair in terms of its leadership: transformational leadership and servant leadership. Each theory is discussed.

Table 2.5: Examples of leadership theories and perspectives

Theory or perspective	Applicable study or article
Contingency Perspective	Fiedler, 1966
Path-Goal Leadership Theory	House, 1971
Behavioural Perspective	Hersey & Blanchard, 1982
Competency/Trait Perspective	Kirkpatrick & Lock, 1991
Transformational Perspective	Bass, 1990
Servant Leadership Theory	Spears, 2010

Authentic Leadership Theory	George, 2003
Adaptive Leadership Theory	Heifetz & Linsky, 2003
Relational Leadership Theory	Uhl-Bien, 2006
Complexity Leadership Theory	Uhl-Bien, Marion & McKelvey, 2007

2.3.3.1   Transformational leadership and LMX

Transformational leadership (Bass, 1990) is defined by Sullivan and Decker (1998) as a leadership style concentrating on making revolutionary change in organisations through allegiance to the organisation's vision (Sargeant et al., 2018). A parallel can be drawn to the nonprofit sector, where change is brought about through fundraising success, fulfilling mission, and achieving community impact.

Many studies suggest encouraging outcomes from transformational leadership. Transformational leadership was positively related to performance at the team and organisation levels (Gang, Oh, Courtright & Colbert, 2011) and transformational leaders use a visionary and creative style of leadership that inspires employees to be more innovative and inventive (Nielsen, Randall, Yarker & Brenner, 2008). These are all important aspects for nonprofits and specific studies in nonprofits complement these findings (Gregory, 2019; Jaskyte, 2004; Kammerhoff, Lauenstein & Schütz, 2018).

Performance is related to a transformational approach to fundraising (or development) built on a compelling vision that is communicated clearly (Curry, Rodin & Carlson, 2012). Brimhall (2019) added inclusion and commitment as key factors for how leaders look to increase nonprofit performance – including driving fundraising success.

Much research has explored and applied transformational leadership and LMX, including management studies (Krishnan, 2004), education studies (Power, 2013; Wang et al., 2005) and human resources studies (Tse, Huang & Lam, 2013). While the leader style may be transformational, most studies apply LMX to understand the behaviours associated with relationships. This type of approach applies in this study by exploring the leadership styles of the CEO and board chair, their influence on the CEO–board chair relationship and understanding the relationship itself using LMX to drive fundraising and mission.

Criticism of transformational leadership has been expressed by some authors (Antonakis & House, 2002; Yukl, 2009), including whether it accounts for the most important aspects of leadership and whether significant leader styles are omitted from the theory. However, other studies (Gregory, 2019; Sargeant et al., 2018) apply the theory and relate its capacity as suitable and applicable to their situation.

2.3.3.2 Servant leadership and LMX

Another leadership style that has featured in nonprofit literature applying LMX is servant leadership (Allen, Winston, Tatone & Crowson, 2018; Irving, 2005; Silvers, 2010). Servant leadership theory is described as the action of serving first – of wanting to serve first – resulting in being a great leader (Greenleaf, 2008) and leading by example. Similarly, Spears (1993) applied servant leadership to board trustees, requiring them to choose to act as servants to their institutions, to affirm the CEO leadership and work in a shared leadership model, as discussed earlier. The model shown Figure 2.7 (Farling, Stone & Winston, 1999, Figure 4, p. 52), which is designed to be read from the bottom to the top, illustrates the development of servant leadership thinking, showing its basis on the variables of vision, influence, credibility, trust and service, which are identified in academic and popular press literature sparking from the thoughts and writings of Greenleaf (1974).
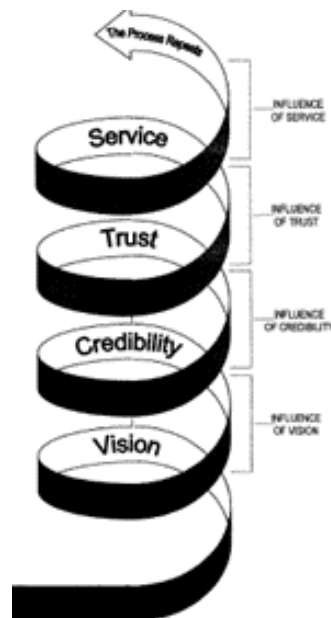
Figure 2.7: Servant leadership variable model

Literature continues to focus on servant leadership, including studies in the nonprofit sector. Patterson (2003, p. 10) identified 'agapao love', commonly known as the love of humanity, as the cornerstone of servant leadership construct (see the model in Figure 2.8). This model details how the servant leadership constructs work together, beginning with the applicable virtues of agapao love and ending with service. Patterson (2003) suggests servant leaders demonstrate agapao love, then act with humility and altruism – in ways that are visionary for followers, trusting, empowering, and demonstrating service. The constructs of love and service apply to the nonprofit sector and underpin the mission and vision of many organisations. According to literature, Dennis and Bocarnea (2005) were the first to present an instrument to measure the servant leader constructs identified by Patterson (2003), resulting in five factors (empowerment, love, humility, trust and vision) being supported as a measure of servant leader effectiveness.
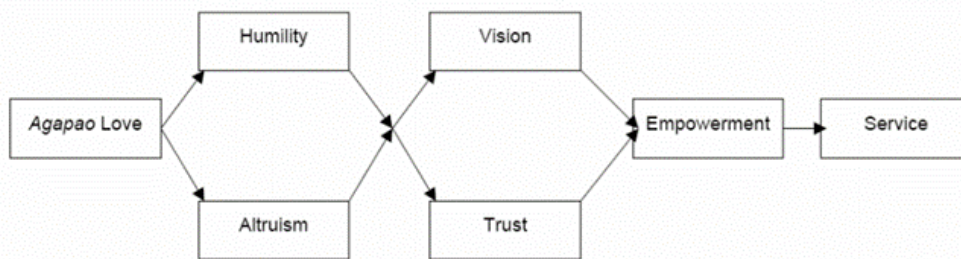
Figure 2.8: The model of constructs

2.3.3.2.2 Servant leadership and organisational effectiveness

Some studies link servant leadership and organisational effectiveness by enhancing the follower experience. Servant leaders foster organisational citizenship by culture building and structural initiatives (Ebener & O'Connell, 2010). These authors also concluded that, by building servant-oriented organisations, an overall improvement in organisational performance would result as leaders foster the growth and development of others. Findings from Parris and Peachey (2013) agreed with this concept, determining servant leadership is a viable leadership theory; however, they still question whether servant leadership theory is significantly distinct, viable and valuable for organisational success. The authors set out to explore the mechanisms, outcomes and impacts of servant leadership. The study revealed that there is no

consensus on the definition of servant leadership; servant leadership theory is being investigated in a variety of contexts, cultures, and themes. There are multiple measures used to explore the theory, as evidenced in other literature (Russell & Gregory Stone, 2002; Sargeant et al., 2018; Sarros, 2002), and servant leadership helps organisations and improves the wellbeing of followers. A complementary study (Liden, Wayne, Liao & Meuser, 2014) contended that servant leaders propagate servant leadership behaviours among followers by creating a serving culture, which directly influences organisational performance and enhances individual attitudes and behaviours.

2.3.3.2.2 Proactive behaviours and team cohesion

Studies exploring servant leadership and LMX in organisations are a recent focus, considering servant leadership was developed as early as 1974 (Greenleaf). Authors such as Barbuto and Hayden (2011) and Newman, Schwarz, Cooper and Sendjaya (2017) explored servant leader dimensions and influences with LMX in the management context. Applying LMX to investigate relationships and servant leadership, two studies explored proactive behaviour and team cohesion with performance, both using structural equation modelling. Mostafa and El-Motalib (2019) found that servant leadership was positively related to LMX, which had a significant positive connection with proactive behaviour. Chiniara and Bentein (2018) endorsed Greenleaf's early work and found that servant leadership boosts team cohesion and, in turn, team cohesion strongly enhances team task performance and service.

Therefore, the literature provides examples where leadership styles such as servant leadership are applied synergistically with LMX (Appendix A), mainly exploring relationships and resonating with this thesis.

2.3.3.3   Summary of leadership theories

In summary, leadership theories and styles have featured in academic and practice-based fundraising literature in past and more recent times (e.g., Joyaux, 2011; Sargeant & Shang, 2017), particularly identifying transformational and servant leadership as styles where fundraising is successful (Sargeant et al., 2018). However, a strong link to the relationship between the CEO and board chair using these types of leadership theories is still to be established. This study explores this link, building on what is known about transformational and servant leadership and applying LMX focusing on the fresh context of the CEO–board chair relationship that drives

fundraising and mission. This study examines the dyadic relationship between the CEO and board chair using LMX to determine if and where influences of transformational or servant leadership affect that relationship. This fresh approach brings new knowledge to the nonprofit sector, potentially guiding fundraising, and organisational development with a new adaptation of LMX, leaning towards the development of LLX concept as discussed next.

2.4 LMX TO LLX

In readings, only brief mentions of 'LLX Theory' occur. While this 'theory' does not have a depth of literature and its concepts are not tested or deeply explained, resonance with the fundraising context is strong and, therefore, is something to consider in exploring the CEO–board chair relationship in this thesis.

Few studies have focused on extending LMX in a leadership context, but two studies stand out. Extending LMX to dual leadership was studied in the US by Vidyarthi, Erdogan, Anand, Liden and Chaudhry (2019), drawing on relative deprivation theory to study the level of alignment or misalignment between two leader relationships and the implications for employees' job Satisfaction (Aggarwal et al., 2020) and voluntary turnover. Vidyarthi, Erdogan, et al. (2019) found employee outcomes were affected by the Quality of the Relationship (Deluga, 1998) with both leaders and a lack of alignment with each leader, leading to asymmetric outcomes dependent on the frequency of communication. The moderating role of LLX was studied in US by Herdman, Yang and Arthur (2017), also drawing on relative deprivation theory and testing the hypothesis 'that the quality of a leader's LLX relationship will moderate the mediated relationship between LMX differentiation, group-level teamwork, and team effectiveness' (p. 1498). Herdman, Yang, et al. (2017) found that LLX was a moderating condition of LMX differentiation in work groups, focusing on the quality of LLX relationships. However, no clear definition or outline of LLX is offered, apart from referring to leadership roles – that is, more than one leader – that may have been affected by the quality of their relationships.

The key elements of LMX focus on the importance of relationships and communication that supports those relationships. The elements of mission, vision, power balance, expectations and agreeableness are all aspects of LMX, as discussed earlier, and lend themselves to the adaptation of LMX to an LLX concept where the dyad members are both leaders, relating to each other. LMX can help us to understand

the LLX dyadic relationship because of similar LMX elements, such as Mutual Trust and Respect (Bauer & Erdogan, 2015). However, a clearer understanding of LLX adaptation is needed in the literature and this study could contribute to this broadened conceptual work, linking two leaders rather than one leader and one member. The context of this thesis is two leaders – the CEO (organisational leader) and the board chair (governance leader) – but they are seen as two distinct leaders in a relationship with full exchange.

The key principle of LMX is described by Babič (2014, p. 62) as 'leaders develop different types of exchange relationships with their followers and the quality of the relationship that is developed alters the impact on outcomes of this leader and member exchange'. Similarly, two leaders in this study develop exchange relationships, with the outcomes of their exchange influencing the Quality of their Relationship (Deluga, 1998) – which not only impacts their own relationship but potentially impacts outcomes for the organisation in terms of fundraising and meeting mission. LMX may be lacking in the study context in that it refers to leader and member, however, this allows for adaptation to an LLX context where both are leaders and no one person is 'the member'.

A variety of leadership styles from nonprofit literature further unpack some of the elements of servant leadership, as discussed earlier, including democratic and collaborative styles (particularly highlighting relationships) and exchange. As stated by Gastil (1994, p. 953), democratic leadership is defined as the execution of three purposes: sharing responsibility among the group, empowering members in the group, and assisting the group's decision-making process. Those in these groups participate in these functions, 'regularly exchanging the roles of leader and follower'. Synergies continue, with collaborative leadership style in an interconnected world these days being a necessity rather than an option (Osula & Ng, 2014). Lawrence (2017) refers to leaders working in collaboration with each other in a participatory process, applying the characteristics of shared responsibility, mutual respect and effective communication through dialogue where responsibility for leadership is shared among the group membership (p. 89), signifying exchange and relationships as key features. The characteristics of democratic and collaborative leadership clearly emphasise the importance of exchange and relationship, both relating strongly to LMX and potentially adapting to an LLX concept.

2.5 POTENTIAL THEORETICAL CONTRIBUTION OF THE STUDY BASED ON LITERATURE REVIEW

A multi-theory approach is employed in this study. LMX and leadership theories help in understanding the dyadic CEO–board chair relationship that drives fundraising and mission. A key theoretical contribution of the study, as highlighted, is to extend LMX in the nonprofit fundraising context and specifically find influences on the relationship that drive fundraising and mission. Fundraising leadership is a complex phenomenon, and existing theories can guide new insights to the dyadic relationship between the CEO and board chair to grow fundraising and mission.

Using the broader framework of LMX, this study contributes to extant CEO–board chair relationship literature by proposing and testing the type of relationship between the two leaders that is vital in understanding fundraising, being involved in fundraising and supporting fundraising through the role of each dyad member. Often, the Quality and type of Relationship (Deluga, 1998) in relation to fundraising can directly affect the fundraising outcomes of an organisation, leading to mission fulfilment. It is the goal of this study to determine what influencers in this relationship affect fundraising and mission positively and negatively.

It is expected the research may extend LMX to include new elements relating to fundraising leadership, resulting in the adaptation of LMX towards LLX. LMX has not been applied to fundraising leadership. Fundraising lacks a wide theoretical base and, as discussed earlier, often borrows theories from other disciplines. As a result of extending LMX to understand and explain the dyadic CEO–board chair relationship that drives fundraising and mission, others may learn from this context and be able to increase the impact of their fundraising on mission. New learning, new theoretical applications and new evidence may be offered to the sector. Fundraising needs a broader theoretical base, and this study responds to this call.

2.6 CHAPTER 2 SUMMARY AND SYNTHESIS

Arising from the literature review, the CEO is seen as the organisational leader (Rodin, 2010) and many studies have revealed characteristics for this role (e.g., Arundel & Clutterbuck, 2017) and managerial capabilities of the leader (Meehan & Jonker, 2017). There is an understanding in the literature that the CEO is critical to fundraising success (Sargeant et al., 2018; Scaife et al., 2016; Scott, 2014) and

measures should be taken for CEO succession planning (Boykins, 2019) and leadership development (Townsend, 2019). Numerous studies discuss the role of the board in nonprofit organisations (BoardSource, 2017; Harrison & Murray, 2012; Mathews, 2019a) and acknowledge that board performance and organisational effectiveness are linked (Herman & Renz, 2008; Mwenja & Lewis, 2009). Governance and culture are two primary board activities (AICD, 2018; Bell & Cornelius, 2013) and board composition and succession planning are important to the organisation (Cornish, 2009; Steane & Christie, 2001). The shared leadership of the CEO working with the board features in literature as a partnership (Harrison & Murray, 2012). Boards have a role to play in relation to fundraising (Scaife et al., 2014) and the CEO–board chair relationship is an important one (Hiland, 2008). The chapter discussed theories used by researchers in shared leadership studies and then transitioned into deeper theoretical literature.

This chapter has detailed the theoretical approach of the research, presenting literature from the nonprofit and for-profit sectors to understand and acknowledge past and current thinking that has established theoretical evidence and helped identify a gap in the literature the research attempts to fill. Salient leadership theories such as transformational and servant leadership form a backdrop to understand the influences on the dyadic CEO–board chair relationship. LMX has potential to describe the dyadic CEO–board chair relationship that drives fundraising and mission. Clearly, there is a gap in the literature describing the important nonprofit leadership relationship that drives fundraising and mission and details the leadership influences on that relationship. Applying fundraising elements to LMX may extend theoretical knowledge and provide new thinking in nonprofit circles.

Significantly, the literature review indicates that studies have not focused on the CEO–board chair relationship that drives fundraising and mission. New evidence-based knowledge is required, particularly in the Australian context. The closest study (Neustrom et al., 2012) using the theoretical framework of LMX provides insight into the US nonprofit sector; however, a more refined view of the CEO–board chair relationship in an Australian and fundraising context has been lacking and this is where this study responds. It is possible that findings from this research will have transferability to other countries and other contexts. The fundraising context

contributes to LMX, adding new elements and providing a new or adapted theoretical base for nonprofit leadership involving fundraising organisations.

This is the base of literature that exists. This is what is known about CEOs and boards leading organisations, and particularly charitable organisations. Literature does speak of the CEO–board chair relationship in various studies, as mentioned within this literature review. There are gaps, as highlighted through the literature review. In particular, there are fragments on CEO and board effectiveness, but it is not complete and not in a fundraising context. There could be additional considerations for organisations and their boards that underpin the raising of funds and providing impact in the community through their mission. Literature is broad in its description of the CEO and board chair working together and largely silent on the CEO and board chair leading fundraising and mission. This thesis responds to a need for a closer focus to find influences on the dyadic relationship between the nonprofit CEO and board chair that drives fundraising and mission. Consequently, three RQs emerge that are unanswered in current literature.

The prime research question for this thesis is to explore influences on the dyadic CEO–board chair relationship in driving fundraising and mission. Mission is alongside fundraising because they both work together and are synonymous in nonprofit organisations, as mentioned earlier.

Building on such studies as Ahmed (2005), Dulebohn, Bommer et al. (2012) and Neustrom, Carlin et al. (2012), this research has the potential to bring new knowledge and a fresh approach to the Australian context of nonprofit leadership – particularly fundraising leadership. Based on this intention, three RQs emerge to respond to this research need:

RQ1: What influences a CEO's effectiveness in working with a nonprofit board to drive fundraising and mission?

RQ2: What influences a nonprofit board's effectiveness in driving fundraising and mission?

RQ3: What supports the dyadic CEO–board chair relationship in driving fundraising and mission?

Each component of the relationship should be addressed. Therefore, RQ1 considers the CEO, RQ2 explores the board, and RQ3 studies the two-edged relationship after considering each single part of the relationship.

The next chapter discusses the design of the research to examine aspects from this literature review. Chapter 3 discusses each study sequentially in relation to the methodology of each study and describes the type of research required to unpack these questions by explaining the chosen research design.

Chapter 3: Research design

3.1   INTRODUCTION

Earlier chapters introduced the research and discussed pertinent literature relating to nonprofit leadership and specifically the dyadic CEO–board chair relationship in nonprofit organisations. The theoretical approach has been discussed in literature relating to LMX and leadership theories, such as transformational and servant leadership, which may elucidate the relationship. This chapter introduces the research design and the three methods applied in the studies. It identifies tools and instruments that assisted the research and justifies their use. It then provides details of participants in the study and the means of data analysis and concludes with ethical considerations and potential limitations. Figure 3.1 illustrates the main components of the research studies, indicating the three phases of the sequential, multi-method case study approach by which the research was implemented. In this thesis, phases are represented as studies.
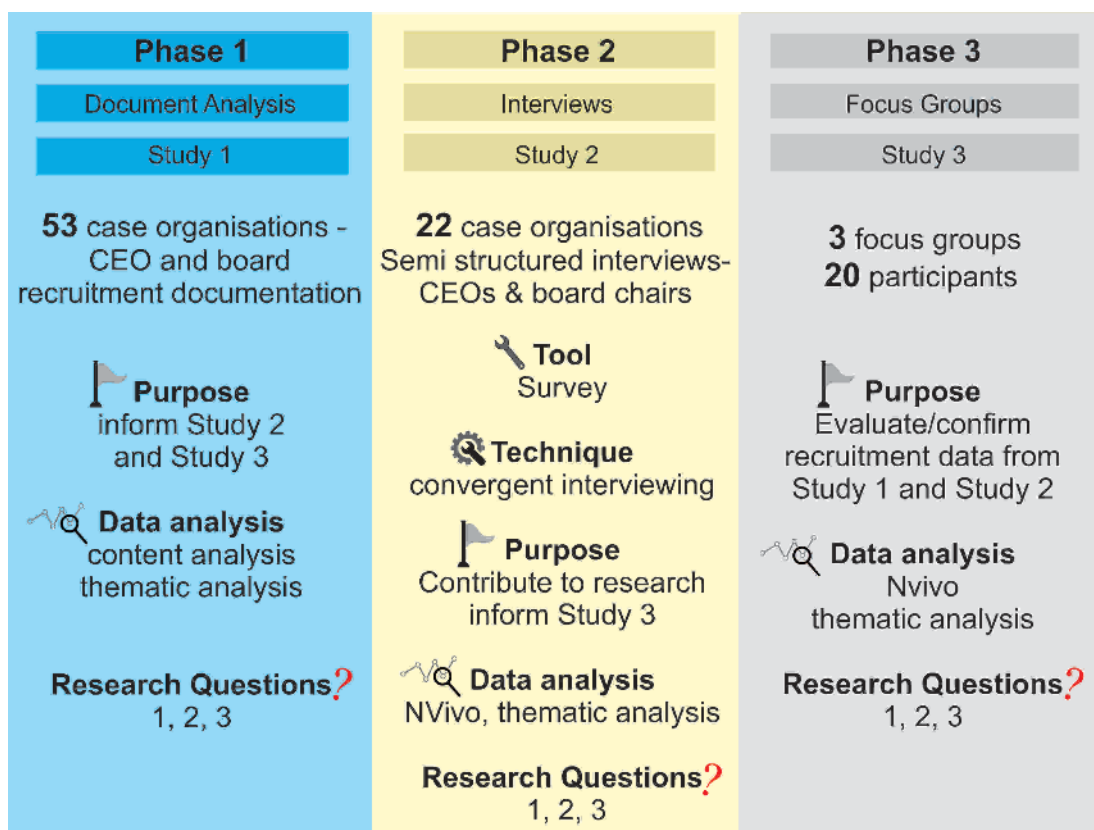
Figure 3.1: Three phases of the study referred to Study 1, Study 2 and Study 3

The research design described in this chapter will unpack RQs arising from the literature review. Three RQs have emerged:

RQ1: What influences a CEO's effectiveness in working with a nonprofit board to drive fundraising and mission?

RQ2: What influences a nonprofit board's effectiveness in driving fundraising and mission?

RQ3: What supports the dyadic CEO–board chair relationship in driving fundraising and mission?

3.2 METHODOLOGY

As Figure 3.1 details, this research uses a constructivist paradigm to investigate the dyadic CEO–board chair relationship in a sequential, multi-method case study approach using qualitative methodology through document analysis (Study 1), semi-structured interviews (Study 2) and focus groups (Study 3). This approach allows the combination of different methodologies in a logical sequence of inquiry from data collection to interpretation. Mixed-methodology contexts allow researchers to actively compare and utilise the strengths of mixed methods to advance understanding (Allen, Walden, Dworkin & Javdani, 2016). The approach also allows for data interpretation by participants, thereby assisting data analysis.

The ontological position of a constructivist paradigm is appropriate in understanding the complexity of social phenomena. Baets (1999) defends the situational character of learning in the constructivist paradigm as a construction mechanism that starts at the individual level with learning as a construction process. According to Walker (2003), the constructivist approach assumes that individuals impose meaning on the world. Constructivists believe all humans can construct knowledge in their own minds through a process of discovery and problem-solving. Constructivism emphasises the role of qualitative methods as a means to interpret, explore and discover new concepts, constructs, theories and frameworks or models, and tends to promote a 'flexible' way of conducting qualitative research (Coviello, 2014). The popularity of constructivism as a perspective in epistemology has increased in recent years. The ontological position of constructivism maintains that scientists construct knowledge, and it opposes the idea there is a single methodology to generate knowledge (Chandra & Shang, 2017). Constructivist studies typically use

broad, open-ended questions posed by the researcher to elicit detailed responses from participants that highlight their views of the phenomena being studied. Crotty (1998) identified the following assumptions of constructivism: meanings are constructed by individuals as they engage with the world they are interpreting, individuals engage with and make sense of their world based on historical and social perspectives that are dictated by culture, and meaning is always generated by social influences based on interaction with a community. Through this research and the ideas and constructs from individuals, an understanding of the social phenomenon of the CEO–board chair relationship ensues. As a result of the chosen qualitative methods, the data indicate new concepts, theories and models for a fresh approach to fundraising leadership in the nonprofit sector, as discussed in later chapters.

This study draws on LMX and theoretical leadership perspectives with the aim of understanding the dyadic relationship between the CEO and board chair, exploring what more a board can do to support the CEO and the organisation in driving fundraising and mission and vice versa.

The challenge for the sector is to grow resources and explore influences where a CEO and board chair work together well to increase impact in the community. Literature such as Bell and Cornelius (2013) and Lord, Day, et al. (2017) continue to identify obstacles within the sector in finding able leaders empowered to lead. The purpose of Phase 2 of the design is to identify these obstacles and recommend ways to eliminate or minimise them for better organisational and sector growth, providing new knowledge for the sector.

3.3 DOCUMENT ANALYSIS (STUDY 1): RQS 1, 2, 3

The purpose of the document analysis (Study 1) was to provide insight into the marketplace job advertisements and expectations of effective CEOs and board members. The document analysis (Study 1) showed what the market sees as key factors in recruiting CEOs and board members in a fundraising context. The analysis of data from 53 CEO job advertisements and corresponding position descriptions (PDs) added current market perspectives to the CEO and board chair relationship around fundraising, including qualities of perceived effective CEO fundraising leaders and their board relationship. Similar numbers and content of job advertisements for board members were also collected and analysed for contrast and similarities with CEOs. The criteria for organisation selection were that fundraising is a recognised source of

revenue, the organisation receives online donations, and donations are facilitated by their website. These demonstrate that the organisation is keen to attract and able to facilitate basic donations.

For the document analysis (Study 1), data from job advertisements and PDs were drawn from online sources, including prominent websites such as Ethical Jobs (www.ethicaljobs.com.au) and Pro Bono (www.probonoaustralia.com.au), where nonprofit organisations and recruitment agencies advertise concurrently. Recruitment agencies confirmed that organisations no longer rely on print advertisements solely, and newspaper and print advertisements for CEOs and board members are rare. Recruitment agencies also 'head hunt' for CEO positions and some board positions; however, this type of recruitment was not included in data collection because it is a different process conducted more subjectively.

CEO and board member job advertisements were analysed using content analysis. Content analysis often draws on content from two sources of data (Bowen, 2009) where documents are frequently agendas, minutes, or manuals, or in this case, advertisements, and PDs. The context of the documents was also considered, including identifying who wrote the documents and for what purpose (Robson & McCartan, 2016). In this setting, the organisation may have written the documents itself or engaged a recruitment agency. Analysis included PD details such as leadership skills and expertise, required education levels, fundraising leadership expected, strategic management aptitude and nonprofit experience – with a particular focus on similarities and differences in the data. The literature spotlighted professional development, succession planning, staff retention, strategic thinking and board and organisational performance. These aspects, therefore, were also sought in the data. Coding categories were derived directly from the data. A summative content analysis was also used, involving counting, and comparing key words, followed by the interpretation of the underlying context (Hsieh & Shannon, 2005).

Content analysis has been applied in a variety of fundraising studies. Communication channels such as Twitter (Merry, 2014), Facebook (Agozzino & Fleck, 2016; Bender, Jimenez-Marroquin & Jadad, 2011; Bronstein, 2013; Thoren, Metze, Bührer & Garten, 2013) and public radio (Bentley, 2020) have been examined. Many studies focus on issues and how communication was used in relation to these and suggest that fundraising was used either as a sideline (Bronstein, 2013) or a main

focus (Bender, Jimenez-Marroquin & Jadad, 2011; Hong & Lee, 2018, 2019). Other studies are directed at fundraising techniques such as direct marketing (Gregory, 2014), fundraising letters (Ritzenhein, 1998), online donations (Waters, 2007), pledge donations (Bentley, 2020), face-to-face street fundraising (Humalisto & Moilanen, 2019) and events (Driessens, Joye & Biltereyst, 2012). Only one study was found on fundraising strategy (Shulthoni & Saad, 2018). A few studies concentrate on media generally, including many communication channels (Champion, Berry, Kingsley & Spence, 2016; Weberling, 2012) and various social media channels (Auter & Fine, 2018; Gao, 2016; Garczynski, 2016). Separately, websites were studied as a fundraising tool by charities (Ingenhoff & Koelling, 2009; Waters, 2007). No further studies were uncovered synonymous with the context of the document analysis (Study 1), so this is a fresh addition to the body of knowledge.

The study is unique in collecting and analysing data for CEOs and board member recruitment in Australia. No other studies of a similar design have emerged that closely examine the qualities of CEOs and particularly board members being sought in the marketplace. Cornish (2009) reported on board recruitment, stating that 'word of mouth' or social circles (Cornish, 2013) was the most favoured recruitment method (Cornish, 2009). The findings from Study 1 formed a backdrop for reflection and testing of concepts in Study 2, which involved probing interviewees to discover relationship and leadership reasoning.

3.4 INTERVIEWS (STUDY 2): RQS 1, 2, 3

Qualitative, in-depth interviews have been used extensively in social research. The opportunity to meet participants and question them in a conversational manner uncovers views and experiences and facilitates the participant's perspective on the phenomenon of interest (Marshall & Rossman, 2014).

Before the increased development of internet-associated technologies in the

2000s, face-to-face interviews were often considered the major means of scholarly interview (Novick, 2008; Opdenakker, 2006). Discussion continues on the merits or otherwise of telephone interviews, highlighting the difficulty of experiencing visual cues – something that has been overcome to a large extent with online interviews. Online research methods have facilitated access to participants in various geographical locations (Deakin & Wakefield, 2014). Cooper (2016) points to the versatility of online interviews, as do others who highlight satisfaction with other means of communication such as Skype (Deakin & Wakefield, 2014; Mirick & Wladkowski, 2019). James and Busher (2012) refer to online interviews as being selected only when the means can be justified. COVID-19 restrictions did justify this approach for this study, as face-to-face interviews were almost impossible and online familiarity was common.

Interviews have been used abundantly in fundraising studies. Two areas that have attracted numerous studies are the education sector (Eicher, 2017; Jarvis & Mishra, 2020; Morse, 2013; Nicholson, 2007; Nyman, Pilbeam, Baines & Maklan, 2018) and fundraising leadership in various sectors (Abernathy, 2014; Sargeant et al., 2018; Sargeant & Shang, 2013, 2016; Scott, 2014; Tempel & Duronio, 1997). Some studies focus on types of fundraising activity (Breeze & Jollymore, 2017; Eikenberry, 2008; Nehls, 2011; Scaife, McDonald & Smyllie, 2011) while strategy, theory and development were studied, often in league with fundraising leadership (Alborough, 2017; Love, 2018; Mack, Kelly, & Wilson, 2016; McGee & Donoghue, 2009; Scherhag & Boenigk, 2013). Despite the number of studies employing interviews and focusing on fundraising leadership, no similar studies to the current thesis were uncovered that focused on the fundraising leadership role of the CEO and board chair.

The interview component of this research (Study 2) is structured as a multiple case study analysis involving 44 board chairs and CEOs from 22 community-based nonprofit organisations in Australia. As Baxter and Jack (2008) state, 'Qualitative case study methodology provides tools for researchers to study complex phenomena within their contexts' (p. 544). Studying the dyadic relationship of the board chair and CEO in multiple case studies potentially provides relatively easy access to both participants and potential to build trusting relationships with the organisation and its leaders (Marshall & Rossman, 2014). As most interviews were held online, individually, there was an extra challenge to build a trusting relationship with the organisation and its leaders. Each interview provided opportunity to yield rich data and each person in the

CEO–board chair dyad was aware of the participation of the other person in the dyad and mindful of their input. This methodology has been used successfully in the nonprofit context. For example, Golensky and Deruiter (2002) studied three mergers of nonprofit organisations in US. Mathews (2019b) researched 17 single cases of board chairs and CEOs of nonprofit organisations in US, with the findings revealing new dimensions regarding board chair and CEO leadership role perceptions and an understanding of inter-dyadic dynamics. This study focuses on the CEO–board chair relationship that drives fundraising and mission.

A qualitative approach was applied to explore influences underpinning the *CEO* perspective on their relationship with the board chair. The approach was also used to explore influences underpinning the *board chair* perspective on their relationship with the CEO. A semi-structured interview process was used to collect data, applying convergent interviewing (CI) (Dick, 1990), which highlighted 26 issues or recommendations of high importance to interviewees. Using purposive sampling, 44 interviews took place with current and past CEOs responsible for driving fundraising and mission and board chairs with recognised ability to support and grow fundraising and mission. Even though each CEO and board chair was from the same organisation, interviews were conducted individually as was the approach in Rapaport and Doucerain's (2021) study of couple relationships. Interviews of 45 minutes to one hour were recorded using Zoom technology, transcribed using Trint, and analysed thematically using NVivo software. It was a deliberate intention to interview dyads from the same organisation to delve into the relationship of each dyad member with each other. One international study featured interviews with CEOs and board chairs from different organisations (Neustrom et al., 2012) and chose to interview CEOs who had worked with the same board chair for at least six months, and board chairs who had worked with the CEO for at least six months. Other studies (Stewart, 1991; Kakabdse et al., 2006; Koskinen & Anna-Maija, 2016) purposefully interviewed dyads from the same organisations, as with this study, and found openness and trust with such interviews.

In-depth information from interviewees was obtained and analysed (Hesse-Biber & Griffin, 2013). Semi-structured interviews took place with elites – that is, influential, well-informed, having expertise (Marshall & Rossman, 2014) and being leaders of their organisations. Large amounts of reflective data were collected that

would not have been possible through limited questionnaires or other types of quantitative studies. Open-ended questions allowed the interviewer to gain a deeper understanding of issues (Jacob & Furgerson, 2012; Thornhill, Saunders & Lewis, 2009) and valuable insights through contextually rich data (Mack, 2005). Even though interviews were recorded, effective and focused listening allowed for responsive questioning (Rubin & Rubin, 2005), particularly as most interviews were held online.

Important aspects of qualitative methodology are described by Petty, Thomson and Stew (2012) and focus on confirmability, dependability, credibility, and transferability. Care was taken to ensure all of these aspects were responded to when collecting, transcribing and analysing data. The research achieves reliability through consistency in procedure (Kirk & Miller, 1986) and keeping to strict interviewing conventions to avoid interviewer bias. Additionally, the researcher was mindful of not adding or influencing data from the existing body of knowledge or intuitive factors. Interviews were conducted in a quiet online space, allowing for quality recording (Jacob & Furgerson, 2012), open communication and confidentiality.

3.4.1 Data sample
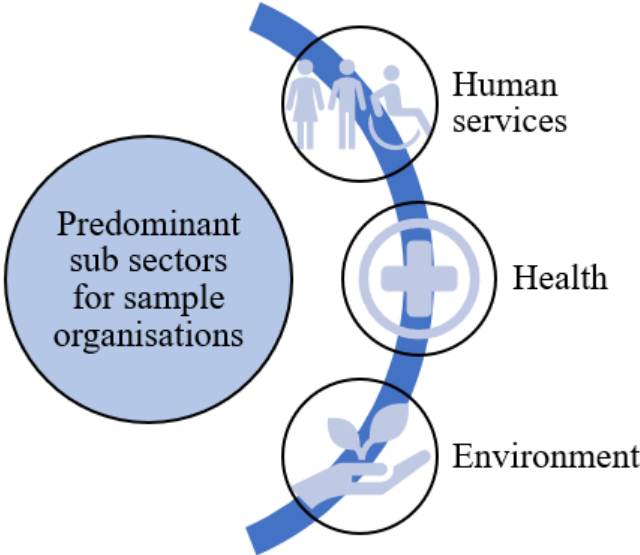
Figure 3.2: Main sub-sectors to draw sample organisations

Purposive sampling is appropriate to allow organisations and participants to be selected according to their relevance of the study (Petty et al., 2012). Purposive sampling is chosen according to some common criteria (Guest, Bunce & Johnson,

2006) and in this case, organisations were in the nonprofit sector, raising funds. Many organisations participating in the research were from human services, health, and the environment sectors because of their large or increasing organisational importance to the nonprofit sector (Figure 3.2).

In relation to sample size, Boddy (2016) argues that different types of studies require different ranges of interviews and case studies, being aware of the population size and segments within that population. With this in mind, the initial goal for the number of organisations participating in the research was considered to be approximately 20. The criterion for qualitative sampling is not the sample size, but rather several organisations with contrasting situations (Cochrane, Dick, King, Hills & Kavanagh, 2017) and this eventuated (as discussed in Section 5.3.3). Fusch and Ness (2015) suggest a small study will reach saturation more rapidly than a larger study and data saturation is reached when there is enough information to replicate the study and no new information is collected. Twenty-two organisations provided sufficient data, reaching data saturation as the sample was completed.

A sample of organisations was drawn from those invited to participate in the study via email or social media and those:

- Conducting fundraising with unpaid governance boards – self-rated on fundraising effectiveness using a self-assessment tool (survey)
- With non-government appointed boards in sectors, for example human services (15.8% of registered organisations), health (10.9%) and environment (2.5%) according to ACNC (2021) data. Human services and health sectors were chosen because of the proliferation of organisations, their use of fundraising as an income source and their focus on costs. The environment sector was also included because of the growth in the number of organisations in this area. Despite the large number of organisations in these sectors, study involvement mostly depended on the willingness and availability of both CEOs and board chairs in those organisations.
- Located in various geographic locations around Australia where CEOs and board chairs were both available for interview.
- Varying in size, location, and reliance on fundraising income, according to ACNC data.

3.4.2 Pre-interview self-assessment tool (survey)

Fundraising benchmarking, in Australia and internationally has developed over decades, and was formally introduced through fundraising consultancies such as Global Philanthropic and US fundraising software companies like Bloomerang. Benchmarking firstly concentrated on fundraising techniques (Sargeant, Jay, & Lee, 2008) and communication channels (Sargeant & Jay, 2003) and still does. For-profit companies offering these services have increased, however, often a financial commitment is required to access these services which may prove prohibitive for many small or medium-size nonprofits.

A limited number of academic articles focus on fundraising benchmarking. Traditionally, fundraising practice has centred on financial figures while nonprofit management has concentrated on financial ratios to determine whether fundraising activities operate effectively and efficiently (Dougherty, 2022; Erwin, 2013; Golden, Brockett, Betak, Smith, & Cooper, 2012). Comparing fundraising performance can be a useful means of comparing program results, costs of fundraising and fundraising viability (Golden et al, 2012). As Erwin (2013) points out, 'fundraising can sometimes be one of the more troublesome aspects of management for nonprofit organizations' (p.24).

Benchmarking has value for fundraisers, managers and boards in the nonprofit sector who aim to produce sustainable and predictable financial returns for their organisations, while minimising the costs involved in fundraising (Aldrich, 2009; Dougherty, 2022). Smith (2005) summed up benchmarking by stating 'The value of benchmarking is its use as a management tool to improve fund-raising performance' (p. 49), which in turn influences service delivery and community impact. In this study, we turn to fundraising practitioners like Mallabone and Balmer (2010) to provide an easy benchmarking tool that has value for any size organisation and its leaders to evaluate overall fundraising leadership and fundraising effectiveness that participants can relate to, participate in and learn from.

A survey tool adapted from the widely used Fundraising Audit Handbook (Mallabone & Balmer, 2010) was employed so each dyad member (CEOs and board chairs) could individually self-evaluate the fundraising effectiveness of their organisation. There is no academically validated tool for this purpose, however, practitioners widely use this tool internationally. The results guided the interview

questions and informed the researcher about the organisation and its stance on fundraising. The tool consisted of 10 practice statements and took approximately 10 to 15 minutes to complete. Interviewees completed the tool prior to the interview. Interviewees evaluated their organisation from strongly disagree (1) to strongly agree (5) from two standpoints: 'Do we operate this way?' and 'Should we operate this way?' (benchmark). Organisations with responses from CEOs and board chairs were then totalled, averaged together and placed on a continuum from 1 to 5 in both sections to show fundraising effectiveness. However, averaging totals was found to be less useful because it focused on meaningless averages alone, and this particular action was abandoned in preference to comparing responses from each dyad member. An example practice statement is 'The board monitors the performance of our fundraising/development program so that timely interventions/adjustments are possible'. Using this adapted, well-used, objective tool that measures fundraising effectiveness, high fundraising effectiveness was indicated where both dyad members designated 4s and 5s in their response to 'Do we operate this way?'. Low fundraising effectiveness was indicated where both dyad members designated 1s and 2s for the same question. The best indication of low fundraising effectiveness or concern with fundraising leadership was when either dyad member filled in 1s and 2s or 'did not know' on any one question. These responses were probed during the interview.

The audit tool (Mallabone & Balmer, 2010) was developed to assist organisations and their leaders with fundraising. It evolved from a gap recognised between the expertise and competency of fundraising leaders and board expectations of them. The intent of the tool is to explore better ways to conduct business, support business improvement, guide decision-making about where to start with fundraising, and identify priorities (Scott, 2014).

From the audit tool (Mallabone & Balmer, 2010) particular practice statements from eight modules were selected for the CEO and board chairs to self-rate the organisation from their own perspective on fundraising effectiveness (Scott, 2014). Each of the audit modules were based on commonly accepted competencies and fund-development training programs. A full audit of fundraising effectiveness, as recommended by Sargeant and Shang (2017), was not appropriate as a precursor for interviews, so main topics consistent with their recommendations were selected.
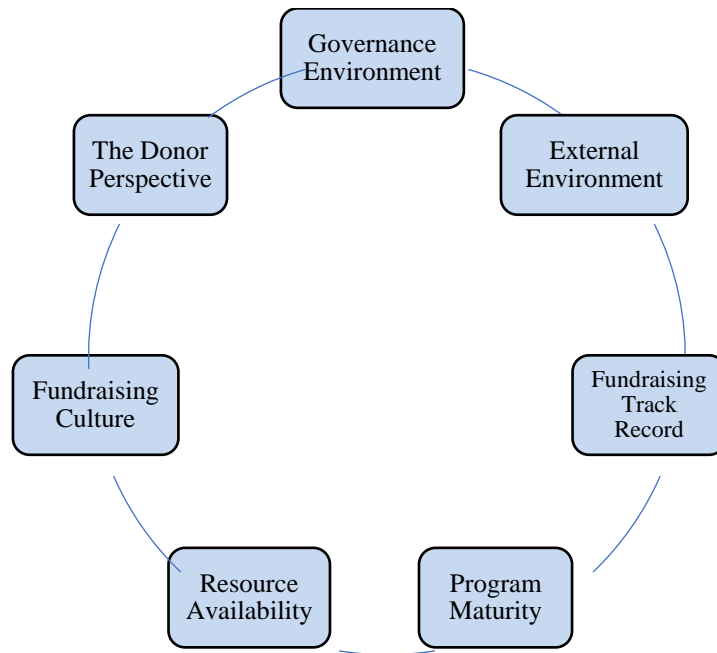
Figure 3.3: Source modules for practice statements

Practice statements were selected from the following modules (Figure 3.3): Governance Environment (Statement 1), External Environment (Statement 3), Fundraising Track Record (Statements 4, 6 and 7), Program Maturity (Statement 5), Resource Availability (Statements 8 and 9), Fundraising Culture (Statement 2), The Donor Perspective (Statement 10) – seven of the eight modules, so a wide variety of fundraising concepts were offered. A practice statement was not selected from the Constituency Analysis module as it contained many operational aspects that both participants were unlikely to be aware of and components did not directly relate to any of the RQs.

The selected practice statements provided an overall evaluation of the organisation's fundraising effectiveness, the relative importance of fundraising or development in the overall revenue streams of the organisation, general indicators of support for fundraising and how successfully the various elements are integrated into one program. The adapted tool, now referred to as 'survey' indicates an overall view of that organisation's fundraising effectiveness (Do we operate this way?) comparing to benchmarking (Should we operate this way?).

The survey was prepared online (Qualtrics) and used online by all participants, with each receiving an anonymous link. No participants requested a paper version of the tool. The software allowed for completion on various devices, including mobile

phones, with participants confirming that the survey was easy to complete. Completion usually took approximately 10 minutes. Qualtrics software allowed viewing by the researcher, to ensure completion by participants prior to interview. Following all interviews, easy analysis of the data was enabled by the online tools provided through the program.

3.4.3 CI

CI was coined by Dick (1990) to describe the means of narrowing down the research focus when rich and detailed information is gained through in-depth interviewing. Riege and Nair (2004) describe CI as highly suitable for exploratory, inductive research, which explains why the technique was suitable for Study 2. With such a mass of data collected through interviewing, CI assisted the researcher to identify the key issues pertinent to the subject being studied (Rao & Perry, 2003). Rao and Perry (2003) also state that CI is an efficient mechanism for data analysis after each interview, by refining content. In responding to interview questions, participants identify a central thought or statement to which other participants are invited to explain their disagreements or agreements; in so doing, they are helping to interpret the data collected (Cochrane et al., 2017). This study resulted in 26 statements offered by CEOs and board chairs. Other participants were invited to agree or disagree with these statements and explain their reasoning. To aid with the recording of information, a table was formulated (as discussed in Section 5.4.2 as suggested by Driedger, Gallois, Sanders and Santesso (2006, p. 1149).

3.4.4 Data analysis

To prepare for data analysis, interviews were transcribed (with minor editing) soon after the interview was conducted. The researcher became intimately familiar with the data (Marshall & Rossman, 2014) by being immersed in the data, re-reading and examining it, searching for key words, locating repetitive topics and quotes (to be anonymised), and examining theory-related material (Ryan & Bernard, 2003). A thematic analysis took place using NVivo software with emerging coding. Thematic analysis is a search for themes that emerge as being important to the description of the phenomenon (Daly, 1997). Codes are grouped to create a smaller number of themes that distil the key issues identified by the researcher; relationships between themes are noted and a thematic map of the data is developed (Petty et al., 2012). Patterns and themes quickly emerged, allowing for conceptual frameworks to be identified

(Cochrane et al., 2017). Themes were carefully matched with RQs, responding to the research problem. Areas where participants converged and diverged with each other's views were noted (Guba, 1978), with interviewing and probing for influences on these factors. CI assisted with analysis and further exploration to identify views that converged and diverged, seeking repetition where participants emphasised important points that related to themes.

Further analysis took place by matching survey data with interview data. A more holistic view of the CEO–board chair relationship evolved when comparing interview data – for example, of a beneficial CEO–board chair relationship that drives fundraising and mission – with ratings from both dyad members about the effectiveness of fundraising in the organisation fulfilling its mission. Analysis was conducted case by case (organisation) to gain a fuller understanding of each organisation.

3.4.4.1 Errors of commission and omission

Errors of commission and omission are defined by Lavrakas (2008). Errors of commission are called 'false positives' from time to time and refer to situations where someone or something is wrongly included for consideration when they should not have been. Conversely, errors of omission are called 'false negatives' when someone or something is excluded when they or it should have been included.

Errors of commission and omission can occur on several levels. To avoid an error of commission, interviewees were screened to ensure participants matched the CEO and board chair roles, represented the same organisation, and were both available for interview and eligible for data collection. It was also important to ensure that only the CEO and board chair completed the survey and no one else from the organisation. Clear instructions were provided, which stressed the need for completion prior to interview. These instructions were often clarified with others, including those who helped facilitate the interviews (e.g., Executive Assistants). Another error of commission may occur if people are being interviewed over the telephone, as it may be uncertain whether the correct person is being interviewed. This situation was avoided with online technology, allowing for online face-to-face interviews, and three in-person interviews. An error of omission may occur when a respondent may be unable to understand the eligibility criteria, survey or interview questions or may even

decide not to complete the assessment. The researcher ensured that respondents had this understanding, and all completed the assessments to the best of their knowledge (Lavrakas, 2008). Rapport was built with each interviewee to promote positive interpersonal interaction, cooperation and Trust (Scandura & Pellegrini, 2008), to ensure information was accurate, plentiful, and focused on the research aims (Abbe & Brandon, 2014). The interview guide assisted the researcher with keeping the interviewee focused on research emerging themes and issues. So much information may be offered that errors of commission, not relating to the CEO role or the relationship between the CEO and board chair, may be presented. The researcher guided the interview, so these errors were avoided, even though it was challenging from time to time. Data were analysed to categorise interviewee interpretations to ensure there was a clear differentiation of the individual person, their role and their other relationships, so that the focus was on the CEO and board chair relationship that drives fundraising and mission. Procedures were in place to ensure errors were kept to a minimum.

Finally, an analysis comparing recruitment interview data in Study 2 with data collected in the document analysis (Study 1) was made. The data from Study 1 indicated the marketed requirements for a CEO and board member. Data were then compared with the interview data and inferences were drawn. Interviews were conducted in two ways (a) focusing on CEO data and analysis, and (b) focusing on board chair data and analysis. All interviews used a qualitative approach employing in-depth interviews with dyad members from the same organisation and used CI to gain consensus on key points. Responses to questions were analysed in three ways: they were compared between dyad members in the same organisation, CEOs were analysed as a group, and board chairs were analysed as a separate group. Participants were asked to provide their PDs and recruitment advertisements; however, very few had access to this documentation – because of their longevity in positions or documentation was not current. Because of limited documentation received, it was not included in the analysis.

3.5   FOCUS GROUPS (STUDY 3): RQS 1, 2, 3

Focus groups have been chosen as a qualitative method of data collection in the social sciences for decades and have been viewed as an impartial, special form of group conversation (Wirtz, Brockmeyer, Langanke, Skaletz-Rorowski, Kayser &

Köhler, 2021). A focus group is a qualitative data collection method where the moderator (or researcher) and several participants meet as a group to discuss a given research topic (Mack, Woodsong, MacQueen, Guest & Namey, 2005). In these groups, participants can exchange ideas on specific topics, share their opinions and experiences, and debate issues. Researchers guide and moderate discussion in a semi-structured fashion, using a question guide. More than a discussion between people, focus groups enable exchanges between participants, usually in a face-to-face situation (Mansell, Bennett, Northway, Mead & Moseley, 2004).

The advent of COVID-19 and related travel and interpersonal communication restrictions meant a reconsideration of how focus groups could contribute to Study 3, as potential participants were spread across the country. The researcher looked for another way for participants to take part in the study in a group fashion, so that earlier study findings could be reviewed, discussed, and debated. Applying internet software within the focus group environment was not a new development, though it brings different challenges to researchers and participants. O'Connor and Madge (2003) discuss a review of the study design and the challenge of developing rapport with the group in a virtual venue. They refer to a combination of 'sensitive, ethical handling of both the research process and the data to overcome problems inherent in any interviewing situation' (p. 133). As COVID-19 repercussions progressed worldwide, researchers and participants became more familiar and often more comfortable in the online environment. Indications were that online facilitation would be accepted by potential participants and appropriate for interaction. The topic was not controversial or deeply personal, and this also meant the online approach was feasible.

New technology platforms, for example Webex (https://www.webex.com), Teams (https://www.microsoft.com/en-au/microsoft-teams) and Zoom (https://zoom.us/), have continued to develop, allowing online focus groups to gain favour and use. The online environment created opportunities to invite participants who were previously difficult to involve, meaning 'groups with new and different compositions' became possible (Stewart & Shamdasani, 2017, p. 48). One study that reviewed researcher and participant evaluation of Zoom (Archibald, Ambagtsheer, Casey & Lawless, 2019, p. 1) found that even though some participants experienced technical difficulties, 'most described their interview experience as highly satisfactory' and rated their experience above other alternative interviewing mediums,

including face-to-face. Researchers and participants, including those in focus groups (Study 3), seek a tool that is relatively easy to use, cost-effective, has security options, allows accessibility through various devices, and aims at 'diverse and geographically dispersed populations' (Gray, Wong-Wylie, Rempel & Cook, 2020, p. 1292). As the COVID-19 timeline continued, studies emerged endorsing the online focus group format as a valuable and productive tool, facilitating a safe environment, more diverse participation and more convenience (as opposed to travel requirements) when conducted with a skilled researcher and reliable internet connection (Gray et al., 2020; Richard, Sivo, Orlowski, Ford, Murphy, Boote & Witta, 2021; Wirtz et al., 2021).

The focus groups (Study 3) took place after the document analysis (Study 1) and interviews (Study 2) and reviewed their recruitment findings. Both previous studies had indicated recommendations for recruitment documentation, and outlined skills, experience and abilities for CEO and board recruitment. The results of the previous studies provided a framework where participants could review, recommend and co-design recruitment wording for CEOs and board members.

Focus group participants were drawn from interdisciplinary experts, CEOs, and board members from various organisations in disparate parts of Australia. Some participants came from the pool of interviewees, while others responded to social media posts or interview invitations where a CEO or board chair was unable to participate in interviews.

The timing of these focus groups stands as another data collection point, serving as a second phase for Study 1 and concluded data collection for the research. Focus groups generally are composed of 7 to 10 people; however, focus groups in the nonprofit sector have proven more productive with fewer participants to allow more interaction and discussion of views, as recommended by Marshall and Rossman (2014). These groups are valuable because participants can generate impressions of programs or documents and create group interaction to produce data and insights that would be less accessible without the interaction (Morgan, 1988). Focus group moderators can seek elaboration by probing with more specific questions without disrupting conversation flow (Stewart & Shamdasani, 2017). These authors compare online and face-to-face focus groups and conclude that online focus groups have now become more accepted, allowing for an expansion of the geographic range of participants and more diverse groups. Coding was utilised to analyse data, drawing out trends to illuminate standout emerging themes and suppositions. The main purpose of

the focus groups was to gather comments and suggestions on recruitment documentation for CEO and board positions, highlighting the CEO–board relationship that will drive fundraising and mission. Focus groups were recorded online using Zoom, transcribed by Trint, and analysed using NVivo with coding developed through a thematic analysis.

Focus group methods have been applied in a variety of fundraising studies. Studies centred on fundraising in numerous contexts, including strategy, techniques, and stakeholder engagement. Focus groups have been used to examine fundraising strategies (Hall, Jones, Andrews & Cridland, 2013), ethics (MacQuillin & Sargeant, 2019), online fundraising (Lin & Huang, 2017), communication with those participating in fundraising (Best, 2014; Sargeant, 2001) and fundraising as an activity (Lloyd, 2018). Fundraising events, appeals and campaigns feature highly (Bhati & Eikenberry, 2016; Breeze & Dean, 2012; Filo, Fechner & Inoue, 2020; Filo, Lock, Sherry, & Huynh, 2018; Merchant, Ford & Rose, 2011; Taylor & Kaminski, 1997; Worland, 2020). Also prominent is fundraising engagement with donors and various types of stakeholders such as alumni (Torres Bernal & Mille, 2013) and volunteers (Dubé, 2005). Various facets of direct marketing are studied, such as branding (Clarke, 2009; Díaz-Restrepo, Balcombe, Fraser, Smith & Veríssimo, 2021), targeting specific audiences (Drumheller & McQuay, 2010) and the relationship dynamics between marketing and fundraising (Najev, 2014). Most studies centred on styles of fundraising and those involved in fundraising. The number of focus groups conducted in these studies ranged from three (Lin & Huang, 2017) to thirteen (Merchant et al., 2011), so the current study with three focus groups was in accepted range. However, no studies were uncovered from a 'fundraising leadership' angle, synonymous with the use of focus groups in Study 3.

3.6   ETHICS AND LIMITATIONS

To ensure that bias did not influence the analysis of all qualitative data, a percentage of data were coded by two raters: the researcher and one person with qualitative research experience for whom the purpose of the study was of interest but otherwise unknown. Major initial differences in coding were discussed and rationalised between the raters to reach agreement. Differences in coding related to different wording of broad codes rather than specific wording of sub-codes, with agreement being reached after discussion. The resulting kappa coefficient between the

two raters was 1 *(K=1)*, complete agreement, for all comparisons (Kvalseth, 1991; Cohen, 1960).

Interviews (Study 2) and focus groups (Study 3) met the criteria for QUT ethical approval. Documentation was reviewed by the University Human Research Ethics Committee to ensure the proposed research was to be conducted ethically, in compliance with the National Statement on Ethical Conduct in Human Research 2007 (updated 2018). Prior to Study 3 and based on a review of data from Study 1 and Study 2, the question guides for the focus groups were reviewed, as indicated in the data analysis (Section 6.8). Consequently, an ethics variation was submitted and approved. All ethical protocols were adhered to in the recruitment of interviewees and the collection and management of data. Organisations were required to agree to their information being used in the research, and all did so. Information sheets were supplied to all participants and consent forms were all signed by interviewees.

Limitations of the research include generalisations to sectors not included in the research, although similarities of situations and relationships are noted. Other methodologies for example, quantitative methodology, may complement the data with future studies, thereby accessing a wider sample; this approach was not used in this research study. Time periods of data collection for each study varied from those anticipated. Data collection for the document analysis (Study 1) was completed in December 2019; interviews (Study 2) were completed in September 2021 and the focus groups (Study 3) were completed in December 2021. Study 2 was delayed because of the time required for document analysis (Study 1). Focus groups were arranged as soon as interviews were completed. Figure 3.4 illustrates the timing of data collection for each study.

Figure 3.4: Data collection timeline

3.7   CHAPTER SUMMARY

This chapter has provided a detailed review of the research including the methodology of document analysis (Study 1), the qualitative nature of Study 2 (incorporating the technique of CI) and finally the focus group qualitative methodology of Study 3. The samples in each study have been discussed and ethical considerations outlined, referring to later chapters for more detail.

This research has the capacity to influence the nonprofit sector by informing organisations of the pinnacle relationship between the CEO and board chair that drives fundraising and mission. Impact in the community can be increased as organisations focus on raising more funds to support mission and impact. If fundraising is to thrive and grow in charitable organisations, the CEO–board chair relationship needs to be understood, so influences and principles can be recommended and applied to other organisations, enabling them to grow fundraising and advance their missions – and this is what the study design set out to fulfill.

The following chapters discuss in detail each study as it occurred, providing results for overall conclusions and Key Findings with implications for theory, practice, and policy.

Chapter 4: Document analysis in relation to CEO and board recruitment (Study 1)

4.1 INTRODUCTION TO THIS STUDY
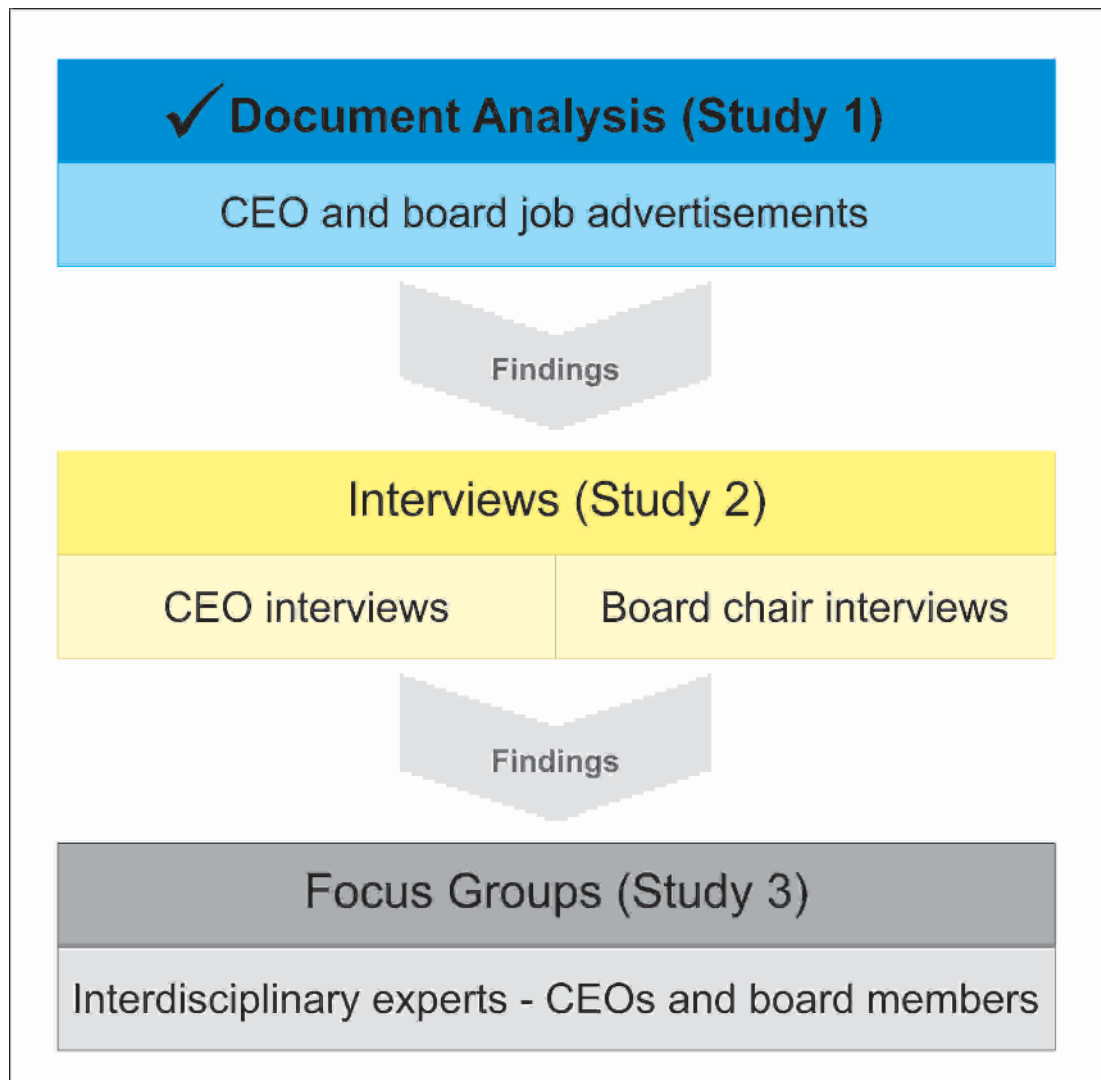
Do organisations believe CEOs and board members need to know some elements of fundraising as they join an organisation? One way to find out is to look at documents relevant to board and CEO recruitment. Accordingly, my research begins with a document analysis (Study 1).

The purpose of this first study was to collect job advertisements and PDs for CEOs and board members and discover if and how fundraising is related to these positions. This step sought key words relating to fundraising in CEO and board member job advertisements (for brevity referred to from now as 'CEO and board job advertisements').

The chapter is structured in two sections:

- Section 1: Major criteria for recruiting nonprofit leaders in Australia in organisations where fundraising and mission are important

- Section 2: Emerging issues from the data analysis to be tested in Study 2 (Interviews) and Study 3 (Focus groups).

Fifty three CEO and board PDs and recruitment advertisements were reviewed for fundraising-related key words. This content analysis was deemed to indicate the marketed requirements for CEOs and board members, as advertised by organisations relying on fundraising income. The findings from the content analysis contribute to answering RQs 1, 2, 3 and are presented later in the chapter (Section 4.3.4):

RQ 1: What influences a CEO's effectiveness in working with a nonprofit board to drive fundraising and mission?

RQ 2: What influences a nonprofit board's effectiveness in driving fundraising and mission?

RQ 3: What supports the dyadic CEO–board chair relationship in driving fundraising and mission?

As identified in Chapter 2 (Section 2.1), literature refers to nonprofit strategy leadership (Taliaferro, 2013; Boyd et al., 2011), CEO characteristics (Ahmed, 2005; Harris, 2001) and the CEO–board relationship (Bell & Cornelius, 2013; Sargeant et al., 2018), all in a fundraising-related context. The document analysis supports these concepts and highlights their use in the recruitment context.

This chapter contains tables that capture and present large amounts of qualitative data. Consequently, there are many tables, allowing readers the option to deep dive in the actual data on specific points.

In summary, this chapter reports on the content analysis, findings, implications for theory and practice, and implications for ensuing studies (2 and 3).

4.2 NONPROFIT FUNDRAISING LEADERSHIP RECRUITMENT LITERATURE REVEALING A GAP IN KNOWLEDGE

Literature is scant in relation to nonprofit CEO recruitment, though some studies have been uncovered in relation to CEO recruitment and fundraising. Townsend (2019), in a US study, focused on board members' participation in CEO recruitment, highlighting experiences in fundraising, development of fundraising strategies, and CEOs creating a vision towards fundraising success as being the main concerns. A fundraising track record was noted by Stewart, Adams, McMillian and Burns (2021) as being a priority where boards were hiring CEOs. Other studies focused on board recruitment, with some finding that fundraising experience or skill was valuable (Lysakowski, 2002), but less important than other skills (Cornish, 2009). This study, therefore, responds to the call for more nonprofit literature, especially pertaining to CEO and board recruitment relating to fundraising – a critical activity to many organisations in their quest for sustainability (ACNC, 2021). This study is a fresh addition to the body of knowledge.

The chapter now proceeds to report on the content analysis, with findings that indicate recruitment documentation for CEOs and boards lay the foundation for exploring the CEO–board chair relationship that drives fundraising and mission.

4.3 MAJOR CRITERIA FOR RECRUITING NONPROFIT LEADERS IN AUSTRALIA WHERE FUNDRAISING IS IMPORTANT

Key words	Thematic analysis	Document purpose
Document placement	Data collection	Data analysis
Findings	Implications for theory and practice	Data contributing to RQs
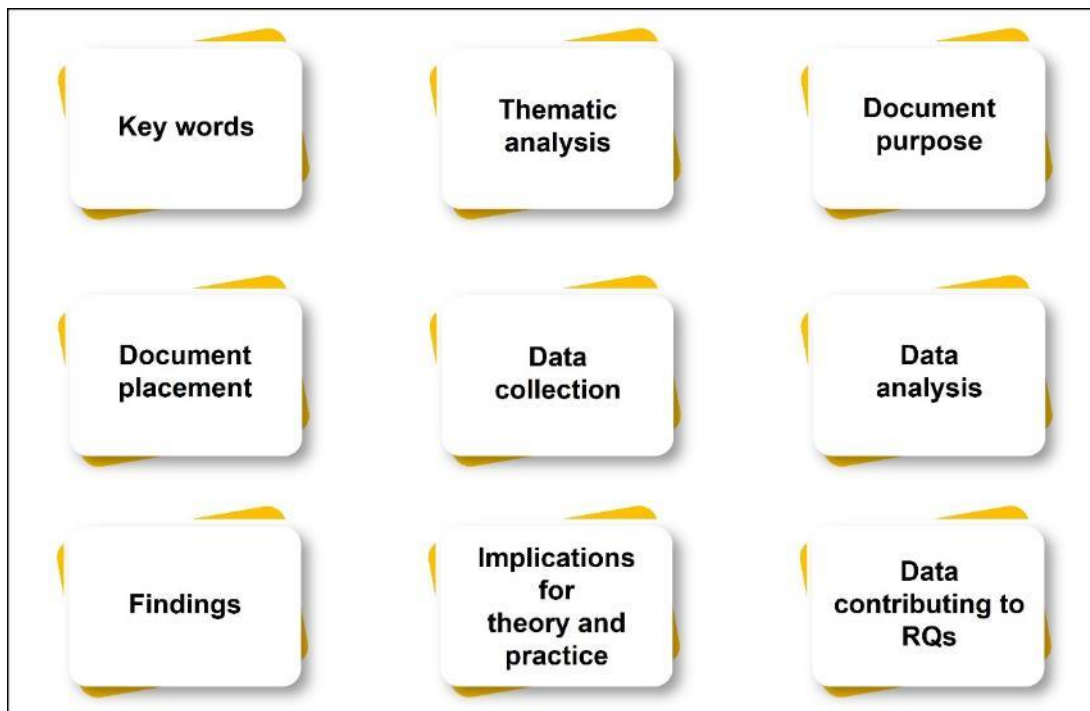
As outlined, this content analysis draws on two types of documents: recruitment advertisements and PDs for CEOs and board members. It sought to uncover the major criteria organisations use when recruiting nonprofit leaders in Australia where fundraising and mission are important, indicated by fundraising reliance of the organisation (ACNC data). Key words focus on fundraising aspects of these roles, such as 'fundraising', 'leadership', 'relationships' and 'working with the board on fundraising'. The analysis sought qualities of perceived effective CEOs, their board relationship, board leadership and the board–CEO relationship, all in a fundraising context. Categories were established and data counted, followed by a thematic analysis to interpret emerging themes as presented later in this chapter (Section 4.4).

The documents or sources of evidence (Bowen, 2009) in CEO and board job advertisements are twofold: a short promotional document outlining the main role requirements of a position, known as recruitment advertisements, and a longer, more detailed PD, which describes the role in more detail (including its relationships, responsibilities, and accountabilities). The purpose of the two documents is to articulate the best case to be placed in the most advantageous location to attract the most suitable candidates according to a recruitment budget. Due to the growth of

digital recruitment sites, organisations are increasingly using these forms of promotion and outreach.

4.3.1 Data collection

4.3.1.1 Data collection plan
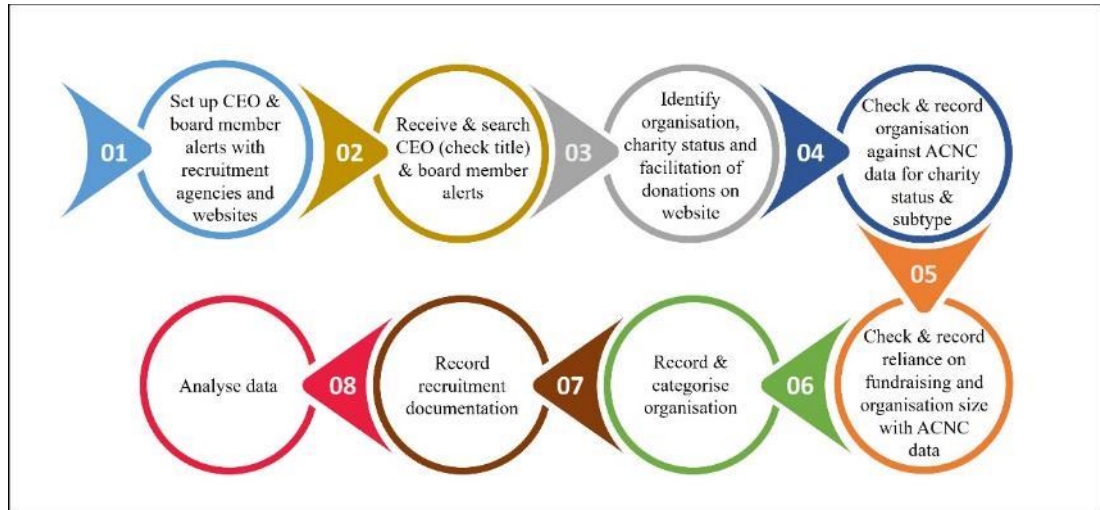
Figure 4.1: Study 1 data collection plan

As Duncan (1987) reiterates, content analysis sampling must be representative of the universe from which it is drawn. Literature is vague about the number of documents which is representative of that universe, but 40 to 50 job advertisements were anticipated as a starting point. Reducing numbers to manageable dimensions (Robson & McCartan, 2016) is useful as long as over time and through applicable sources, it is representative. A random sample was sought in the universe of nonprofit charities for both CEO and board advertisements, ensuring that organisations included met further criteria for both CEOs and board members. Organisations were included where fundraising was a recognised revenue stream, donations were facilitated through the organisation website and the organisation received basic donations. The data were to be collected over a period sufficient to achieve these job advertisements, estimating it would take more than one year. To ensure data collected were accurate, websites of organisations and ACNC registrations were checked to ensure selection criteria were met. The data collection plan explains the process that occurred (Figure 4.1).

CEO and board alerts were set up on recruitment agency websites like Windsor Recruitment and Hudson Recruitment, and third-party recruitment websites. These agencies are the main such agencies in Australia. Hard copy newspapers were not

considered useful sources of data because recruitment advertising is mostly online and print advertising would be reproducing advertising already online. Additionally, regular job e-newsletters were subscribed to including Fundraising Institute Australia (FIA) and Christian Ministry Advancement (CMA). Selected jobs were recorded with their internet links for the PD and job advertisement and both documents saved for future use and analysis.

Search sites were set up with alerts with third-party operators, like Seek and Ethical Jobs. Many recruitment agencies also advertise through these third-party operators. On some occasions, these websites are the prime promotion site used directly by organisations.

4.3.1.2 Data collection process

Data collection ran from August to December 2019. Digital advertising was the most successful means of collecting data for both board and CEO positions, through websites such as Ethical Jobs and Probono Careers. On occasion, recruitment agencies withheld PDs and the names of organisations, so these advertisements were not included in the data. Early data collection involved Seek; however, Ethical Jobs and Probono Careers sites were far more useful and were checked weekly. Where some recruitment agencies advertised through Ethical Jobs and Probono Careers, links were provided to websites where PDs and organisation names were provided (for example, FIA, People for Purpose, CMA, Brooker, Cantlie, Fisher Leadership, NGS Global, Grey Matta Solutions and SACS). All organisation websites and ACNC registrations were checked to ensure the organisation met the selection criteria.

4.3.1.3 Data collection completed

Documentation from organisations was grouped for analysis, separated into board and CEO roles, resulting in 53 organisations for each group. Within the board positions, 11 were board chair roles and four were treasurer roles. It was expected that wording would be tailored to these positions, but that was not the case. Geographically, the Australian states of Victoria and Tasmania were often grouped together by organisations, so they are represented accordingly. CEO and board documents were segmented by location of services performed and charity subtypes, as designated by the ACNC charity search. According to the *2013 Charities Act*, 14 charity subtypes are designated (ACNC 2018, p. 19) and described (ACNC, 2018, p. 20). While some

organisations were registered under one subtype, some were designated with more. Organisations with three or more subtypes were grouped under 'MULT'.

Referring to Table 4.1, the most prolific location of services was Victoria/Tasmania (20) and Australia (14). Like CEO positions, most organisations were segmented under 'public benevolent institutions' (12) and MULT (11). Other than specific board roles, for example, chair of the board and treasurer, documentation stated 'board directors' or 'board members' in the subject headings. Some recruitment documentation was for multiple board roles seeking specific skills such as 'fundraising expertise' or 'marketing experience'. Board member PDs were available for approximately 50 per cent of advertised positions initially collected. Only recruitment documentation where the PD was available was used in the study.

Table 4.1: All organisations recruiting board members (53)

Location	No. organisations	Subtype abbreviation	No. organisations	Subtype groups	No. organisations
Australia	14	CUL	3	SPW EDU	1
Aust + NZ	2	ANI	1	SPW HEA	1
Aust + OS	5	MULT	11	HEA HPC	2
NSW	8	HPC	4	POL ANI	1
QLD	2	PBI	12	POL HEA	1
VIC/TAS	20	HEA	4	POL ENV	1
ACT	1	ENV	2		
SA	1	SPW	4		
		PHR	1		
		OTH	4		
Total	**53**				

In the CEO sample (Table 4.2), most prolific organisations were grouped under NSW (18), Victoria/Tasmania (15) and Australia (9) entities. The type of organisational services were most often 'public benevolent institution' (15) and 'advancing social or public welfare' (11). Data collection focused on the strict terminology of the title of the organisation leader, 'Chief Executive Officer', reflecting the degree of responsibility and relationship to the governance board. Other leadership

terminology was discounted, such as Executive Officer, Executive Director, or National Director, to minimise conflicts of roles and provide consistency of role expectation.

Table 4.2: All organisations recruiting CEOs (53)

Location	No. organisations	Subtype abbreviation	No. organisations	Subtype groups	No. organisations
Australia	9	CUL	2	CUL ENV	1
Aust + OS	2	ANI	1	HEA HPC	2
NSW + OS	1	MULT	9		
SA + OS	1	HPC	3		
OS	2	PBI	15		
NSW	18	ENV	2		
QLD	3	SPW	11		
VIC/TAS	15	EDU	2		
SA	2	REC	1		
		OTH	4		
Total	**53**				

In relation to organisation size for data comparison, it is prudent to consult ACNC charity registration searches to use as a benchmark because all organisations are measured by the same scale. ACNC (2018) categorises organisations into various sizes according to annual revenue that consists of fundraising and bequests. Those sizes applicable to the sample are:

- Small organisations (less than $250,000 annual revenue)
- Medium organisations (more than $250,000 annual revenue but less than $1 million)
- Large organisations ($1 million annual revenue or more).

Overall, ACNC (2018, p. 3) states that average reliance on fundraising for all organisations registered with ACNC is 6.8 per cent; however, this figure includes organisations (according to ACNC designation) that were very small and very large – and outside the sample of this study. Therefore, for the organisations in this sample, average reliance on fundraising for small, medium, and large organisations is 25.6 per

cent. This comes into play when analysing and comparing data. In the 53 *board* roles in the sample, 17 (32%) relied on fundraising more than the average of 25.6 per cent. Of these, four organisations (8%) had *no key words* and 13 (25%) had some key words. In the 53 *CEO* roles, all organisations with no key words relied on fundraising for less than 25.6 per cent of their funding. However, 22 (42%) organisations *did* rely on fundraising more than 25.6 per cent. This could imply that the more reliant an organisation is on fundraising, the more key words are involved. However, this does not necessarily appear to be the case, as the analysis unfolds.

Key words were a prime consideration for this study. 'Fundraising' was the most important key word, as it is crucial to RQs. Organisations often refer to 'philanthropy' and 'development', so these were included also. Other words associated with fundraising were gleaned from the literature review, noting that the CEO and board chair is a shared leadership role (Bell & Cornelius, 2013; Burns, 2018; Zhang, 2013), and the board develops a relationship with the CEO, with the two roles working together and leading the organisation and fundraising. There is often a fundraising or development board committee that monitors fundraising activities and donor activity, recognising that donors are often key to the ongoing sustainability of organisations. Relationships are also a key part of fundraising, with literature highlighting that the CEO and board relationship is important (Cornforth & Macmillan, 2016), as are relationships with donors and supporters (Scott, 2014). In this chapter and future chapters that refer to the content analysis, where key words were mentioned in a document, these documents are referred to as 'pieces of evidence' or just 'evidence'.

4.3.2 Content analysis as a method in this study

Content analysis is a flexible method for data analysis (Elo & Kyngäs, 2008) and, in this instance, the content analysis fills a gap in nonprofit literature by analysing CEO and board recruitment advertisements, determining, and presenting data for future research in Studies 2 and 3. The sources of evidence are advertisements and PDs. Documents were mostly written by the organisation and sometimes by a recruitment agency. Analysis sought PD details such as leadership skills and expertise, required education levels, expectations of fundraising leadership, strategic management aptitude and nonprofit experience, noting similarities and differences in data. As literature pointed to the importance of professional development (Cornelius, Moyers & Bell, 2011), succession planning (Boykins, 2019), staff retention (Aguina,

2019), strategic thinking (Cornish, 2009) and board and organisational performance (Renz & Herman, 2016), these aspects were sought in the data also. Coding categories were derived directly from the text data. A summative content analysis was used for the analysis, which involves counting and comparisons, usually of key words or content, followed by interpreting the underlying context (Hsieh & Shannon, 2005).

4.3.3 Board role analysis and findings

The sample of board roles for analysis consisted of 53 organisations where job advertisements and PDs were available. All organisations relied on fundraising as an income source, with some relying on it more than others. In this sample, 17 (32%) organisations relied on fundraising more than the average of 26.5 per cent. *However, there appears to be no association in the degree of fundraising reliance and numbers of relevant key words.* Advertising for 47 (89%) of these roles was written by the organisation and 6 (11%) were written by a recruitment agency. Future research could investigate recruitment agency use and whether reasons included sufficient in-house expertise, cost, satisfaction with low-cost advertising providers or other factors to find candidates.

Table 4.3 presents the key words used and number of times they were used in the board sample. The code refers to the context of key words according to the code book (Appendix B).

Table 4.3: Organisations recruiting board members with key words and code

Key words	Board code	No. used
Working with CEO + fundraising	-	0
Relationship with CEO + fundraising	-	0
Leader + fundraising	-	0
Relationship + fundraising	1	3
Fundraising or development	2	34
Philanthropy or philanthropic	3	24
Committee + fundraising or development	4	5
Donors or supporters	5	9

Three sets of key words resulted in *no mentions* in the board sample in relation to fundraising. However, words such as 'working with the CEO', 'relationship with the CEO' and 'leading the organisation' were used in a broader context, just not specifically mentioned in relation to fundraising. Advertisements referred to day-to-day operations being led by the CEO, and the board–CEO relationship being a partnership. Positive working relationships with board members and organisation staff were also referred to. *A key realisation is that these terms ('working with the CEO', 'relationship with the CEO', 'board–CEO leadership partnership') were never used in relation to fundraising, even when the organisation had a high reliance on fundraising.* This is the opposite to literature review findings that showed the link between nonprofit leaders (CEOs) and their boards; working together is well recognised as a core component of fundraising leadership (Bell & Cornelius, 2013; Sargeant et al., 2018). It would seem that theory and practice do not meet. Is there an assumption that all activities including fundraising, are covered under these terms? Do organisations not value fundraising and consider it less important to mention these words in relation to fundraising? Only further research in CEO interviews and board chair interviews (Study 2) will illuminate this situation.

Further analysis examined organisations with no key words and organisations using some key words, categorised by size to ascertain whether organisation size and reliance on fundraising influences the use of key words in recruitment advertising.

4.3.3.1 Sample board organisations with no key words

Of the total sample of 53 organisations for board roles, 20 (38%) contained no key words. Of these, 16 (80%) were less reliant on fundraising income than the average organisation, but significantly four (20%) received *more* than 25.6 per cent of their income from fundraising. In each of these four organisations, fundraising income represented more than 40 per cent of total income. Figure 4.2 presents all organisations with no key words, according to organisation size.

Figure 4.2: Board roles in organisations with no key words, comparing fundraising reliance with organisation size (20)

From the sample of 20 organisations with *no key words*, it is surprising and significant that these organisations with some reliance on fundraising revenue recruited board members with no fundraising evidence whatsoever. Most organisations in the sample were large organisations, with 18 (90%) having no requirement for fundraising evidence in their recruitment. Even if organisations receive funding from other sources, especially if they are large, fundraising income still contributes to meeting the goals of those organisations. Where fundraising reliance is more than the average of 26.5 per cent, why is 'fundraising' *not mentioned* at all? Reasons may include existing expertise, lack of understanding and knowledge of fundraising, other skills having a higher priority on the board agenda or the inability to source board members with fundraising experience or skills. These reasons could be explored in future research.

4.3.3.2 Sample board organisations with key words

The remaining sample *with* key words is 33 (62%) organisations where eight (24%) organisations (24%) were small, six (18%) were medium and 19 (58%) were large. The following graph plots fundraising as a percentage of total revenue (y-axis) against numbers of mentions of fundraising evidence in job advertisements (x-axis). The maximum number of pieces of evidence for any organisation was seven. Of the sample, 13 (39%) organisations were reliant on fundraising income more than the

average of 25.6 per cent. Figure 4.3 presents all organisations in the sample, showing fundraising as a percentage of total revenue compared to numbers of recruitment evidence.
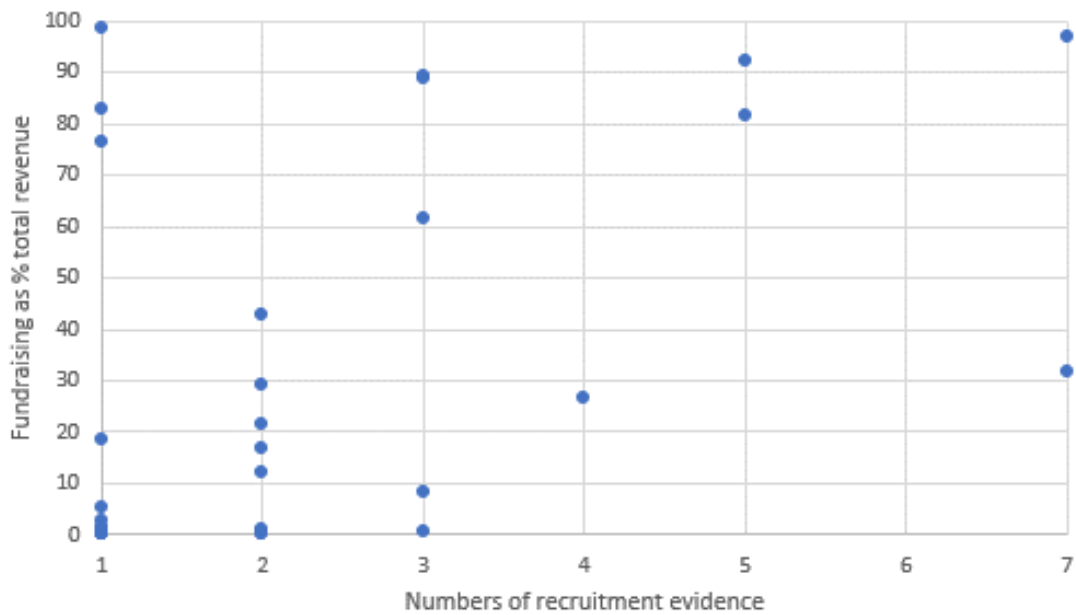
Figure 4.3: Board roles in all organisations comparing fundraising reliance with recruitment evidence (33)

Three organisations (of 33) that rely greatly (more than 76%) on fundraising income provide *little evidence of fundraising requirement* for recruitment. Most organisations provide two or more pieces of evidence for recruitment, even though their reliance on fundraising varies. Referring to Table 4.3, there *is no requirement* for board members to build a relationship with the CEO in relation to fundraising and there is *no requirement* for board members to build fundraising relationships with CEOs. The literature relates many studies focusing on shared leadership (Harrison & Murray, 2012; Routhieaux, 2015); however, from *this* sample, it is never mentioned in relation to fundraising. Could it be that shared leadership exists in theory but not in practice? There is evidence that this relationship exists in relation to fundraising, but this sample is quite different. Scaife, Williamson, et al. (2013) reported on the shared responsibility of the board and CEO (and organisation staff), however, 75 per cent of CEOs related that board engagement in fundraising was lacking. Theory is often accepted by boards but not put into practice, and a dilemma is presented in this study for those seeking shared leadership. There is some evidence that organisations are looking for board members to build fundraising relationships (but not with CEOs).

This bears out the difficulty that exists in the sector where there is a breakdown in the process of developing fundraising with *boards not implementing theoretical evidence into practice*. This is also consistent with the Scaife, Williamson, et al. (2013) study, which found that no board members were briefed on fundraising prior to taking their place on the board. Data suggest that some organisations are seeking board members to be part of a fundraising or development committee of the board. Data also suggest that some organisations are seeking board members who can communicate and engage with supporters and donors. From a board perspective, *there is no practical evidence to indicate that boards are working with CEOs, building relationships with CEOs, and leading the organisation – all relating to fundraising*. Only nine (27%) organisations provide three or more pieces of evidence, not even one-third of the sample. One organisation relied on fundraising income almost 100 per cent and yet only one piece of evidence was found, compared to another organisation of similar reliance where seven pieces of evidence were found. *There is a large discrepancy in the marketplace of fundraising evidence, despite the size of the organisation and its reliance on fundraising*.

Focus groups discussed organisation size in relation to fundraising skills and are reported in Chapter 7 (Section 7.3.1.3.1).

4.3.3.3 Sample board organisations with no key words

Appendix B provides a code book for classifying key words in recruitment evidence, and groups the classification of skills, experience and responsibilities for board recruitment as outlined in the organisational documentation. The following analysis refers to Table 4.3 (Section 4.3.3), where key words are displayed according to the code book, indicating how many times the key words were used in the whole sample. Some key words were not mentioned in any documentation and according to literature these phrases signify the relationship between the CEO and board. Noteworthy is that 'working with the CEO', 'relationship with CEO' and 'leading' are all phrases that have been mentioned in the documentation, however, were not mentioned in relation to fundraising.

4.3.3.3.1 Code 1: Relationship building

Sample documentation contained a few (three) mentions of 'relationship + fundraising'. Having skills and experience in relationship building was emphasised in

relation to communication, fundraising strategy, and involvement. Evidence suggests '*skills, experience and understanding of fundraising relationship development*' is a recommendation for future board recruitment documentation.

4.3.3.3.2 Code 2: Fundraising or development

Mentioning 'fundraising' was a common occurrence. Sometimes, especially for university fundraising, 'development' was a common and synonymous term, meaning 'fundraising' or 'developing fundraising'. Either of these terms was used 34 times. Another term often used in university fundraising is 'advancement', however, this was not found in any documents. According to Code 2, 'skills and experience in fundraising or development' were desirable. On some occasions, board members were expected to 'assist', 'manage' or 'contribute' to fundraising, using normally operational terms rather than governance terms such as 'attend', 'advise', 'participate', 'be involved', 'expertise' and 'support'. Small organisations without many staff may require board members to be more involved operationally than medium or larger organisations that have staff employed in fundraising roles. Evidence, according to governance terminology, suggests '*experience or expertise in fundraising; support for fundraising and the ability to advise with fundraising*' is a recommendation.

4.3.3.3.3 Code 3: Philanthropy or philanthropic

Many mentions (24) of 'philanthropy' or the adjective 'philanthropic' abound in the documentation. On some occasions, 'fundraising' and 'philanthropy' were mentioned together, indicating 'fundraising' is associated with 'philanthropy'. Conversely, when philanthropy is used independently there may be a disconnect and misunderstanding of the process of fundraising. According to Code 3, philanthropy is used in relation to relationships, networks, communities, and partnerships, expecting a board candidate would possess these arrangements. Skills, strengths, and stature characteristics are often mentioned, expecting candidates to have acquired these attributes. Evidence suggests candidates require '*philanthropy experience, and skills to nurture philanthropic, relationships, networks and partnerships*'.

4.3.3.3.4 Code 4: Fundraising or development committee

Some documentation (five mentions) referred to candidates being a member of a fundraising or development committee. Code 4 refers to this committee being associated with marketing, partnerships and requiring active participation. This suggests candidates would be required *'to be an active member of a fundraising sub-committee of the board'* as a recommendation.

4.3.3.3.5 Code 5: Donors or supporters

Donors or supporters are an integral part of fundraising or philanthropic endeavours, expressed by nine mentions in the documentation. Code 5 refers to candidates required to 'advocate for and represent donors' and 'communicate, engage, connect and participate with donors'. Other mentions involve 'identifying and cultivating relationships with donors' and 'experience and skills with major donors'. This suggests candidates would be required to possess *'experience or ability to develop skills to engage with donors and participate in cultivating relationships'* as a recommendation.

From reviewing key words and the phrasing that organisations use, emerging themes are clear in identifying the requirements of board members in relation to fundraising. Candidates require skills and background as indicated in Table 4.4.

Table 4.4: Fundraising skills and background for board recruitment

Skills and background
Fundraising relationship development
Fundraising principles
Supports required for fundraising
Strategic and technical advice on fundraising
Philanthropic relationships, networks and partnerships
Engagement with donors, cultivating relationships

As clear from the documentation as these emerging patters are, these will be tested in CEO and board chair interviews (Study 2) and finally in focus groups (Study 3).

4.3.4 CEO role analysis and findings

The sample of CEO roles for analysis consisted of 53 organisations, the same as the board roles. All CEO roles contained PDs accompanying job advertisements,

with some PDs providing much detail, particularly about fundraising aspects of the role. All organisations had fundraising as an income source, with some relying on that source more than others. Advertising for 35 (66%) of these roles was written by the organisation, compared with 47 (89%) of board roles. CEO advertisements were more inclined to be written by recruitment agencies: 18 (34%) compared to six (11%) with board roles. Only more research would explore reasons between CEO and board role advertising, however, cost with agencies may have been a factor, as discussed earlier, with the CEO role perhaps justifying the cost because of the operational leadership of the organisation.

Considering organisation size, according to the ACNC designation, all CEO organisations were small, medium, or large – similar to the board sample. Accordingly, the average reliance on fundraising for small, medium, and large organisations together is 25.6 per cent. Of this sample, 22 (42%) organisations relied on fundraising *more* than the average of 25.6 per cent. However, *there is no association between reliance on fundraising and pieces of fundraising evidence, similar to the board sample*.

Key words in the CEO sample were similar to the board sample, as most included 'fundraising' or substituted 'development' for 'fundraising', deleting the board role in the fundraising or development committee. Table 4.5 presents the key words used and their frequency of use in the whole sample with the corresponding code from the codebook (Appendix C).

Table 4.5: Organisations recruiting CEOs with key words and code

Key words	CEO code	No. used
Working with board + fundraising	5	5
Relationship with board/board chair + fundraising	-	0
Leader + fundraising	6	14
Relationship + fundraising	1	7
Fundraising or development	2	90
Philanthropy or philanthropic	3	53
Donors or supporters	4	88

All key words were used *more often* in the CEO sample, with only one phrase, 'relationship with board/board chair and fundraising' achieving *no results*. Significant numbers of key words were used for other phrases, with 'fundraising' or 'development' (90) and 'donors' or 'supporters' (88) almost equal. The number of mentions of 'donors' or 'supporters' is substantial, as fundraising involves them and does not occur without them. This number also compares favourably with board roles, as only nine mentions of 'donors' or 'supporters' were recorded. *Why are donors mentioned significantly more in the CEO sample but not in the board sample*? Should donors be as important to board members as to CEOs? This question is for future research.

In recruiting CEOs, most key words were well used in most categories. Unlike the board sample, 'working with the CEO plus fundraising' and 'leading fundraising' were *often mentioned*. There appears to be a *reluctance to acknowledge there is a relationship with the board/board chair in relation to fundraising* even though literature supports that view (Bell & Cornelius, 2013; Sargeant et al., 2018). Once again, theory does not meet practice and this CEO–board relationship involving fundraising is probed in Study 2 interviews. A thematic content analysis will shed further light on key word phrasing, detailed later in this chapter (Section 4.3.4.3).

The analysis continued to assess organisations with no key words and then organisations with key words up to 17 mentions, all categorised by size and comparing fundraising reliance. Comparisons with the board sample were also made.

4.3.4.1   Sample CEO organisations with no key words

Of the total sample of 53 organisations for CEO roles, seven (13%) contained no key words, which is noticeably fewer than the 20 (38%) in the board sample. Of these, all were less reliant on fundraising than average organisations. Figure 4.4 presents all organisations with no key words, according to their size. It should be noted that the y-axis (vertical) has been adjusted as all organisations were less than 14 per cent reliant on fundraising income. This sample with no key words compares 'favourably' with the board sample.
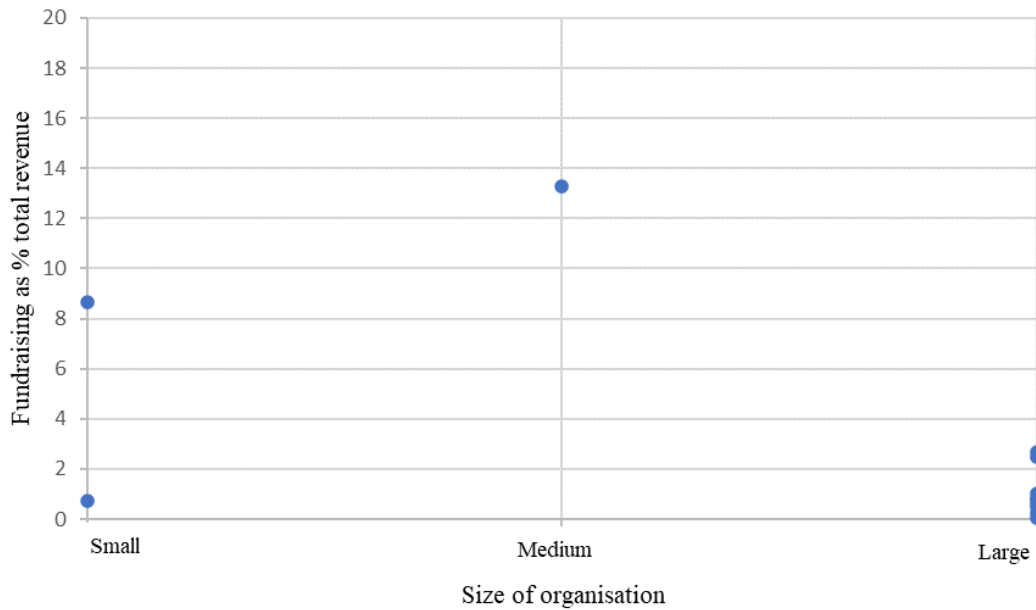
Figure 4.4: CEO roles in organisations with no key words, comparing fundraising reliance with organisations size (7)

Even though the number of organisations with no key words was small (seven, 13%) and the reliance on fundraising was less than the average for organisations (25.6%) fundraising still played a role and helped meet mission. With a smaller percentage of fundraising income in four of these large organisations, there were still large amounts of dollars involved, contributed by large numbers of donors who would be important to the organisation.

4.3.4.2   Sample CEO organisations with key words

The remaining sample with key words is 46 (87%) organisations where three organisations (6%) were small, 12 (23%) were medium and 31 (58%) were large. The following graph depicts fundraising reliance (y-axis) compared to recruitment evidence (x-axis). The maximum number of pieces of evidence for any organisation was 17, markedly increased from the board sample maximum of seven. Figure 4.5 presents all organisations in the key word sample, indicating fundraising reliance compared with recruitment evidence.
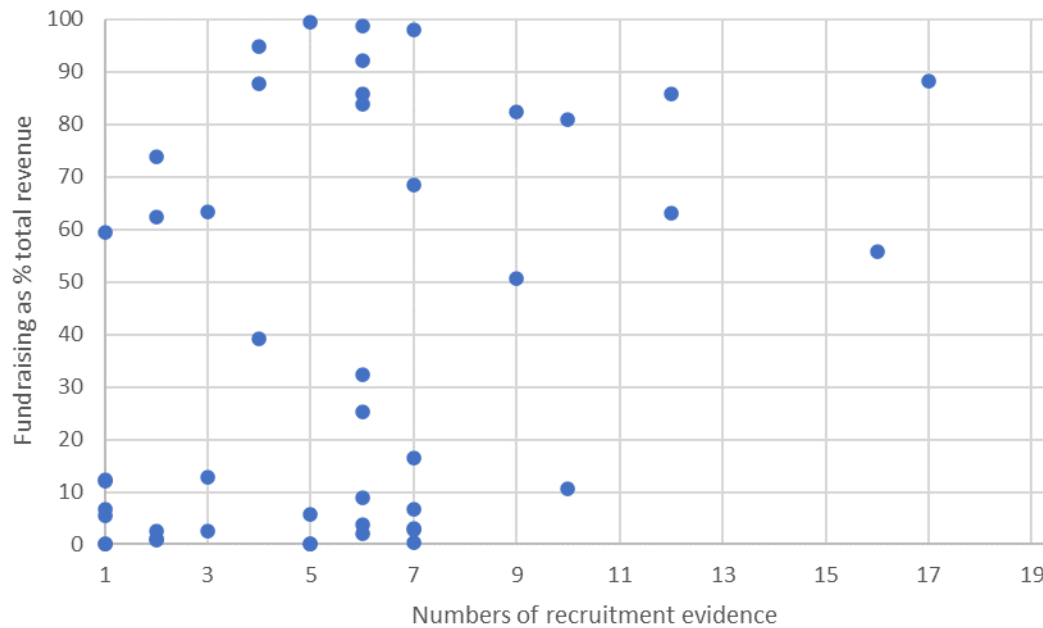
Figure 4.5: CEO roles in all organisations comparing fundraising reliance with recruitment evidence (46)

Most organisations had two or more pieces of recruitment evidence irrespective of the size of the organisation and its reliance on fundraising income. Many organisations with low fundraising reliance still have recruitment evidence, with one organisation having 10 pieces of evidence. Seven (15%) organisations with fundraising reliance of 50 per cent or more have nine pieces of evidence. Twelve (26%) organisations with more than 80 per cent fundraising reliance had four or more pieces of evidence. *Therefore, there is no apparent association between reliance on fundraising and pieces of evidence.* At least every organisation in the sample had at least one piece of evidence. There is much evidence to suggest CEOs require skills in fundraising, development or philanthropy, and communication and engagement with supporters and donors. There is *no evidence* that building relationships with boards or board chairs in a fundraising context is important, however, recruitment advertisements and PDs do refer to this relationship in a general way. Organisations may imply this occurrence or not acknowledge this, allowing for further exploration with CEOs in interviews (Study 2).

As mentioned earlier, focus groups discussed organisation size in relation to fundraising skills and are reported in Chapter 7 (Section 7.3.1.3.1).

All 31 organisations required at least one piece of evidence, with most (19, 61%) requiring three or more pieces of evidence. Organisations relying on fundraising

for 80 per cent or more of their funding require at least five pieces of evidence, signifying that fundraising is important to the organisation and CEOs with fundraising skills are needed. Many organisations that rely on fundraising for up to 20 per cent of their funding still required one or more pieces of evidence, with eight of those organisations requiring at least five pieces of evidence. *It is clear that fundraising evidence is important to large organisations in this sample*. It is not clear that the more a large organisation relies on fundraising, the more pieces of evidence are required. However, comparing these organisations to board job advertisements, there is quite a contrast in fundraising evidence required. In the board sample, three pieces of evidence was the maximum evidence requirement. In the CEO sample, 12 pieces was the maximum, with many organisations requiring a minimum of three pieces.

4.3.4.3 Thematic content analysis

Reviewing the themes in the key word phrasing is an important element in analysing CEO advertisements, and grouping the classification of skills, experience and responsibilities of CEOs is useful to determine what is required of CEOs. Table 4.5 provides the key words used in the CEO job advertisements content analysis and the numbers of times they were mentioned. Just as a code book was developed for board advertisements, a new code book was developed in light of CEO recruitment evidence, which was quite different from board evidence (Appendix C). Codes 1 to 6 were developed; however, as there were no mentions of 'relationship with board/board chair' plus 'fundraising', a code explanation was not developed. These codes were only developed along fundraising concepts.

4.3.4.3.1 Code 1: Relationship building

Sample documentation contained seven mentions of 'relationship' plus 'fundraising'. While key external relationships are recognised as sponsors, partners, donors and bequestors, a more *active* skillset is required of CEOs, different from that of board candidates. CEOs are required to build fundraising relationships with sponsors and partners while guiding the fundraising team to leverage relationships. CEOs are expected to manage and develop relationships with major donors, emerging donors, bequestors and potential benefactors. Evidence suggests that *'build and manage key fundraising relationships with donors, partners and bequestors'* is a requirement for CEO candidates.

4.3.4.3.2 Code 2: Fundraising or development

'Fundraising' or development' rated highest (90) in all evidence and included fundraising campaigns with donors, identifying risks with fundraising programs and ensuring compliance in the conduct of fundraising. The most frequent mention was about creating and developing a sustainable fundraising strategy and program. Evidence in CEO documentation was quite different from that of boards, in that not only experience and skill are required, but also experience in delivering fundraising programs. Evidence suggests that CEO candidates need to *'possess fundraising experience and skills in delivering and growing a sustainable, diversified, and adaptable fundraising strategy according to fundraising and ethical principles'*.

4.3.4.3.3 Code 3: Philanthropy or philanthropic

Phrases mentioning 'philanthropy' were recorded 53 times, with most in relation to philanthropic trusts, building philanthropic relationships and partnerships to access grants. There was a general understanding that philanthropy is provided by donors and corporates as well as trusts and other groups. Philanthropic programs were often mentioned, which really referred to fundraising programs through the philanthropy of donors and a supporter database. Fundraising and philanthropy were often mentioned together or alongside each other. The evidence for CEOs was quite different from board evidence, which mentioned experience, skills, building relationships and networks. CEO evidence did include experience and skill but focused on growing relationships and securing funds – a more active requirement than that set out for board candidates. Evidence suggestions CEO candidates require the ability to *'grow and leverage philanthropic relationships to secure grants and donations from donors, corporates and trusts'*.

4.3.4.3.4 Code 4: Donors or supporters

A large amount of evidence (88) relating to 'donors' or 'supporters' was recorded. Service to donors and stewardship of donations was mentioned, as well as strong management systems to support donor activity. Accountability for donor funds and building trust with donors was a focus, as well as working with the board to engage in donor activities. There were similarities with board evidence relating to engaging with donors and participating in cultivating relationships with donors, however, CEOs

are expected to build donor systems and programs to not only engage with donors but increase revenue. Evidence suggests CEO candidates are required to *'engage, communicate and involve donors and supporters through the building of trusted relationships that drives support and increases revenue'*.

4.3.4.3.5 Code 5: Working with the board plus fundraising

Sample documentation contained five mentions of 'working with the board' plus 'fundraising'. The board and CEO relationship was referred to as a partnership, with beneficial outcomes for the organisation enabling income diversification and sustainability. Also in this partnership were staff, donors, funders, sector organisations and supporters. Evidence pointed to the shared leadership of the board and CEO, as endorsed by the literature (Burns, 2018; Routhieaux, 2015; Zhang, 2013). There is no comparison to the board evidence for this code, as there were no mentions in board documentation. Evidence suggests CEO candidates require the ability to '*work closely with the board to develop the organisation and fundraising strategic plans, driving a positive, value-based culture aligned to the mission'*.

4.3.4.3.6 Code 6: Leader plus fundraising

Sample documentation contained 14 mentions of 'leader', 'leading' and 'lead' plus 'fundraising'. Evidence was clear that the CEO is the fundraising leader and does this with the board and staff. Community relations, community engagement, marketing and communications were mentioned as part of this leadership. The CEO is not only the leader of fundraising but delivers on the agreed objectives and is accountable for them. There was no comparison to board evidence in this area, however, some mentions clearly showed that the CEO leads with the board and delegates to staff within that leadership. Evidence suggests CEO candidates are required to *'provide fundraising leadership and be accountable for strategy, partnerships, income from donors, delegating campaigns and activities to staff teams and delivering fundraising objectives'*.

From reviewing the key words and phrases organisations use, emerging themes are clear in identifying the requirements of CEOs in relation to fundraising. They are different from board requirements and require more activity and managing of systems

and processes, as would be expected in an operational environment. Candidates are required to have the following skills and background as indicated in Table 4.6.

Table 4.6: Fundraising skills and background for CEO recruitment

Skills and background	
Build, manage	Key fundraising relationships with donors, partners, and bequestors
Deliver, grow	A sustainable, diversified, and adaptable fundraising strategy according to fundraising and ethical principles
Grow, leverage	Philanthropic relationships to secure grants and donations from donors, corporates, and trusts
Engage, communicate, involve	Donors and supporters through building trusted relationships, driving support and revenue
Develop	The organisation and fundraising strategic plans, driving a positive, value-based culture aligned to mission
Lead	Fundraising and be accountable for strategic, partnerships, income from donors, delegating campaigns and activities to staff

These concepts were tested in CEO and board chair interviews in Study 2 and finally in focus groups (Study 3).

4.3.5 Summary and implications

What are the major criteria for recruiting nonprofit leaders in Australia where fundraising and mission are important? The content analysis findings of key words and concepts used to describe board and CEO roles provides insights to this question.

For board roles, there were three key words or phrases that were not used: *'working with CEO' and 'fundraising'*; *'relationship with CEO and 'fundraising'*; *'leading the organisation' and 'fundraising'*. CEO interviews and board chair interviews (Study 2) and focus groups (Study 3) explored these phrases during interviews by asking: Are these important aspects to acknowledge and include in recruitment advertising for board members? Are these aspects of the CEO–board relationship that drive fundraising and mission?

These phrases and actions referring to the shared leadership and relationship of the CEO and board infer ongoing exchange, and support elements from LMX and suggest ways to adapt LMX to LLX. Leadership styles were mentioned in the analysis, but not those highlighted in the literature (servant leadership and transformational leadership). As far as contextualising the CEO–board chair relationship, data in the content analysis is broad and more focused on the board rather than the board chair. Study 2 will delve more into the CEO–board chair role, providing consideration for this concept.

Reflecting on evidence compared with fundraising reliance and the size of the organisation, questions for focus groups in Study 3 included: Does the size of the organisation matter as to what fundraising skills, experience and abilities board candidates bring? Does organisational fundraising reliance affect what fundraising skills, experience and abilities board candidates bring?

As board evidence for fundraising was markedly lacking, focus groups reviewing recruitment documentation in Study 3 reviewed recommendations for board candidate skills and background (Table 4.4).

Fundraising evidence was prolific in CEO roles, however, no evidence was found for *'relationship with board/board chair'* and *'fundraising'*. It could be assumed the general CEO–board relationship covers fundraising or are there specific features that involve this relationship and fundraising? CEO interviews (Study 2) enabled exploration of this notion. Some CEO roles contain up to 17 pieces of fundraising evidence. Why are some organisations so prescriptive about fundraising? Are these organisations without fundraising staff or are CEOs expected to take a significant leadership role in fundraising under any circumstances?

Recognising that CEO evidence for fundraising was abundant, focus groups reviewing recruitment documentation in Study 3 reviewed findings for CEO skills and background (Table 4.6).

Additional questions for focus groups in Study 3 included: In your experience, does it matter who writes the recruitment advertising – the organisation, or a recruitment agency? Where is the best place for recruitment advertising?

4.4   EMERGING ISSUES FROM THE DATA ANALYSIS TO BE TESTED IN STUDY 2 AND 3

In this section, inferences and implications are drawn from the document analysis. Not only are there opportunities to test data in CEO interviews and board chair interviews (Study 2), but also in focus groups (Study 3). The following summary

of findings from each analysis are grouped under CEO interviews, board chair interviews and focus groups. For CEO interviews and board chair interviews, the priority was to explore influences on the dyadic relationship between the CEO and board chair that drives fundraising and mission. For focus groups, aspects focus on recruitment documentation and advertisements for CEO and board roles.

4.4.1 CEO and board chair interviews (Study 2)

Several factors emerged for testing in CEO and board chair interviews. *Fundraising skills and background* were identified in the content analysis data (Tables 4.4 and 4.6), and interview participants (CEOs, board chairs) were questioned on their respective influence on the CEO's and board effectiveness in driving fundraising. *Leadership styles* were also mentioned in the data from time to time. Individual interviews with CEOs and board chairs identified their leadership styles and how those styles worked together in the CEO–board chair relationship, driving fundraising and mission. Board chairs singularly were asked about their expectations of the CEO's education, particularly *higher education,* as data differed in expectations.

4.4.2 Focus groups (Study 3)

Several factors emerged to be tested in focus groups that mostly centred on CEO and board recruitment. Recruitment phrasing that could describe the CEO–board chair relationship was discussed and reviewed, such as '*the board works with the CEO to lead fundraising'*. Reflecting on board evidence compared with fundraising reliance and the size of the organisation, the *size of the organisation* was discussed, exploring if different fundraising skills, experience and abilities were required of boards and CEOs. Writing and placement of recruitment advertisements was reviewed.

Following CEO and board chair interviews (Study 2), document analysis data was compared with interview data in preparation for focus group review (Study 3). These groups would reflect on this data and bring final conclusions to the research in relation to CEO and board recruitment, as presented in Chapter 7 (Section 7.3.1.3).

4.4.3 Implications for theory and practice

From these findings, there appeared to be a disconnect between evidence and practice. Literature endorses the shared leadership of the board and CEO (Lord et al., 2017; Scaife et al., 2013), however, there is no evidence that this is acknowledged in

marketed board recruitment documentation. There is some evidence in CEO recruitment documentation of CEOs working with the board on fundraising and yet none in board documentation. Having a board chair–CEO relationship in relation to fundraising and leading fundraising together is well documented in literature (Bell & Cornelius, 2013; Sargeant et al., 2018), however, only CEO documentation has small evidence of this. Literature provides evidence of leadership styles (servant leadership and transformational leadership) that are not evidenced in recruitment documentation. Literature describes the CEO–board relationship as a strong, working relationship that is often critical to sustainability (Cohen, 2008; Harrison & Murray, 2012; Joyaux, 2011; Scaife et al., 2013; Tempel et al., 2016), however, in practice, *evidence does not support this claim*. Why does the literature differ from practice? Further examination was required to investigate this anomaly.

Despite evidence lacking in this study of the conceptualisation of the CEO–board chair relationship, Study 2 explored this relationship in detail. Elements of LMX, such as relationship and exchange, are highlighted in data in this study. As findings from Study 2 are presented, more evidence of LMX emerges, then adapting to supporting the concept of LLX in relation to the CEO and board chair relationship. While minimal evidence of leadership styles is reported in this study, Study 2 again allowed for further investigation with CEOs and board chairs, each describing their own leadership styles and how their leadership styles work together in the relationship.

A challenge lays ahead for the nonprofit sector to encapsulate literature and evidence into practice for only then will the sector learn and bring about much-needed change into nonprofit fundraising leadership.

4.5 WHAT THIS DATA ADDS TO THE THESIS RQS

Table 4.7 presents findings, direct from data, related to the RQs, highlighting elements and how they respond to RQs.

Table 4.7: Data in relation to RQs

RQ	Aspect relating to RQ	Data relating to RQ
RQ1	CEO and board chair	Share organisational leadership and fundraising leadership
RQ2	Board practice	Include fundraising as part of professional development
RQ3	CEO–board chair relationship	A practical embodiment of CEO–board shared leadership in organisational leadership and fundraising leadership Supported by willingness of board and board chair to understand and be involved in fundraising activities together, valuing donors and supporters and interacting with them

Job advertisements	Should be consistent stating CEO and board work together in leading the organisation including fundraising (or similar wording)
CEO recruitment	Experience and skills in leading fundraising
	Build and manage key fundraising relationships with donors, partners and bequestors
	Possess fundraising experience and skills in delivering and growing a sustainable, diversified, and adaptable fundraising strategy according to fundraising and ethical principles
	Grow and leverage philanthropic relationship to secure grants and donations from donors, corporates, and trusts
	Engage, communicate, and involve donors and supporters through the building of trusted relationships that drives support and increases revenue
	Work closely with the board to develop the organisation and fundraising strategic plans, driving a positive, value-based culture aligned to the mission
	Provide fundraising leadership and be accountable for strategy, partnerships, income from donors, delegating campaigns and activities to staff teams and delivery fundraising objectives
	Skills in leading fundraising, an understanding of fundraising systems, acquisition and stewardship of donors and supporters
Board recruitment	One director with experience or skills in fundraising to support the CEO in leading fundraising and interpret to other board members fundraising principles used in fundraising programs
	Fundraising skills, experience, knowledge, or willingness to learn about fundraising to support the CEO in leading fundraising
	Skills, experience and understanding of fundraising relationship development
	Experience of expertise in fundraising; support for fundraising and the ability to advise with fundraising
	Philanthropic experience, skills, strengths, and the ability to build philanthropic relationship, networks, and partnerships
	Be an active member of fundraising sub-committee of the board
	Experience or ability to develop skills to engage with donors and participate in cultivating relationships
Board chair recruitment	One who understands they lead the organisation with the CEO in a shared leadership model, including sharing leadership of fundraising

Data pertaining to the dyadic CEO–board chair relationship driving fundraising (RQ3) was explored in Study 2 as interviews provided a platform for discussion.

4.6   CHAPTER SUMMARY

Early in this chapter, the topics 'nonprofit strategy leadership', 'CEO characteristics' and the 'CEO–board relationship' were referred to, mentioning studies highlighted in Chapter 2 (Literature review). 'Strategy' and 'leadership' were discussed in the data. Evidence in data were found to indicate 'CEO characteristics' sought in recruitment. 'CEO–board relationship' lacked evidence in this study, but Study 2 enabled more examination of this concept.

This chapter reported on the content analysis with key words that focus on 'fundraising' in job advertisements and PDs. This study laid the foundations for further qualitative investigation in CEO and board chair interviews (Study 2) and focus groups (Study 3). The next chapter describes Study 2 in detail, including the methodology employed and findings that have more implications for theory and practice.

Chapter 5: Interviews in relation to CEO–board chair relationship and recruitment (Study 2)

5.1 INTRODUCTION TO THIS STUDY
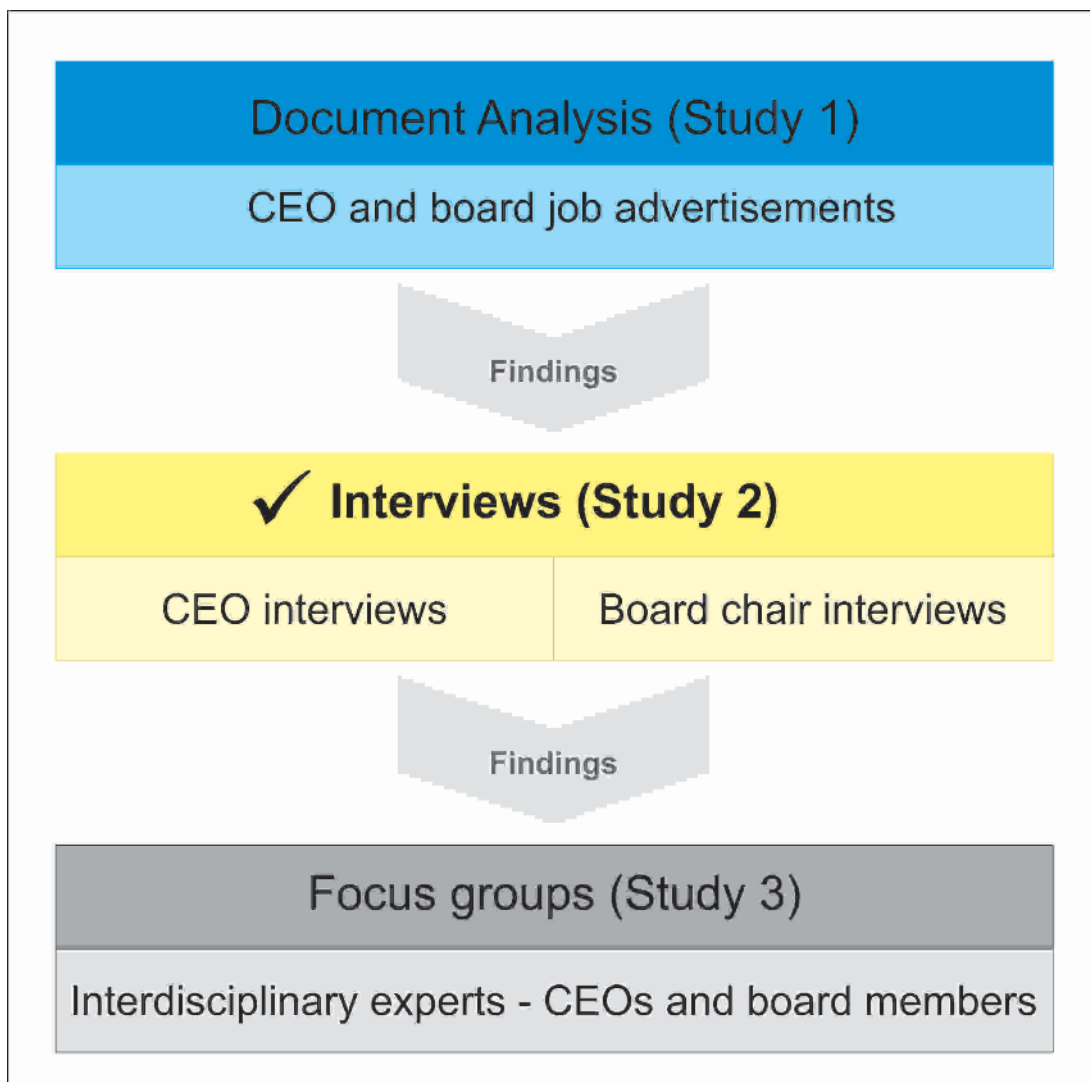
Armed with literature background and the document analysis, my research continued with Study 2, qualitative interviews, featuring current or past CEOs and board chairs – that is, organisational elites. Recommendations from the document analysis (Study 1) were reviewed to examine some recruitment practices and issues raised in that data, to seek the views and experience of these elites on these matters.

This chapter incorporates analysis from three data sources: participant surveys, interviews and issues raised by participants using CI. This chapter also contains tables that capture and present large amounts of qualitative data. Consequently, there are many tables, allowing readers the option to deep dive in the actual data on specific points. Colour has been added to some tables to assist readers in distinguishing tables that present CEO perspectives and board chair perspectives.

This deeper exploration into the CEO–board chair relationship is discussed from three and sometimes four perspectives: combined CEO–board chair point of view, CEO standpoint, board chair (and board) outlook, and organisation viewpoint. Initially, it was thought that CEOs and board chairs were separate studies, but delineating between them was difficult in practice. Rather than being two distinct studies, interview data were analysed under emerging themes, and it became clear that distinction of the two studies was unnecessary. To code this analysis, NVivo software was utilised, resulting in seven standout Themes and recommendations from participants.

As forecast in the research design chapter, the CEO–board chair dyad members were from the same organisation and were interviewed to examine their relationship in a fundraising leadership context. The current chapter details how data were collected, the sample of participants, the survey, the technique of CI and the thematic analyses that yielded some Key Findings to guide sector organisations in their fundraising leadership. The primary means of analysis was thematic analysis. CI assisted in pinpointing standout issues within thematic analyses.

The synthesised findings from these interviews contribute to answering RQs 1, 2 and 3 namely:

RQ 1: What influences a CEO's effectiveness in working with a nonprofit board to drive fundraising and mission?

RQ 2: What influences a nonprofit board's effectiveness in driving fundraising and mission?

RQ 3: What supports the dyadic CEO–board chair relationship in driving fundraising and mission?

Important findings for organisations and the sector are outlined and discussed in this chapter. The chapter concludes with a summary of findings from the analyses

of data, closing with considerations for the focus groups (Study 3) reported in Chapter 6 (Section 6.5.2).

5.2 NONPROFIT FUNDRAISING LEADERSHIP LITERATURE REVEALING A GAP IN KNOWLEDGE

Nonprofit literature provides a background to this study, as discussed in Chapter 2. Study 2 has a sharper focus on nonprofit fundraising leadership, closely examining the relationship of the CEO and board chair and how that may drive or support fundraising that meets mission. Leadership styles such as transformational and servant leadership have been highlighted in nonprofit studies, particularly relating to the fundraising context (Eicher, 2017; Sargeant et al., 2018). This study suggests other styles may be favourable for some leaders. While the importance of boards in fundraising support and engagement has been explained (Sargeant et al., 2018), Neustrom, Carlin, et al. (2012) explored the phenomenon of the CEO and board chair relationship using the theoretical framework of LMX. This study indicates an adaptation to LLX may be appropriate in explaining this relationship, as both dyad members are leaders in their own right.

CEO fundraising leadership has been reported as critical to fundraising and organisational success (Sargeant & Shang, 2016; Scaife et al., 2013, 2015; Scott 2014). The importance of shared leadership of the CEO and board has been uncovered in studies (Burns, 2018; Routhieaux, 2015; Zhang, 2013), as has the CEO and board working as a team (Lord et al., 2017; Scaife et al., 2013) and specifically in a fundraising context (Scaife et al., 2014). CEO stress in relation to leading fundraising was reported by Rovner and McKee (2017) because CEOs are often not equipped for this task and feel unprepared, requiring necessary fundraising development (Cornelius et al., 2011). The fundraising leadership capacity of board chairs has been ignored by academia.

The dyadic relationship of the CEO and board chair is unique, as is discovered in Study 2. Literature refers to dyadic interviewing (Rapaport & Doucerain, 2021; Trude, Reidun, Knut Tore & Marit, 2020), dyadic partnerships (Lambright, Mischen & Laramee, 2010; Nyman, Pilbeam, Baines & Maklan, 2018; Williamson, Luke & Furneaux, 2020), nonprofit leadership (Mason & Kim, 2020; Meyers, 2020; Schubert & Willems, 2020) and, importantly, CEO–board leadership (Mathews, 2019b; Stanczykiewicz, 2020; Walters, 2020). However, while these studies relate to aspects

of Study 2, no primary dyadic research has emerged exploring the CEO–board chair relationship in a fundraising context.

Clearly there is a gap in knowledge in how this dyadic CEO–board chair relationship either drives or supports fundraising. Study 2 explores in depth this relationship and indicates how the CEO works with the board chair to drive and support fundraising and mission. This study, too, is a fresh addition to the body of knowledge.

The chapter now proceeds to report on interviews with dyads with Findings that indicate the importance of the CEO–board chair relationship in a fundraising context, based on the LMX principle underpinning the relationship.

5.3   DATA COLLECTION

5.3.1 Qualitative interviews as a method in this study

Interviews, whether face-to-face or online, offer the researcher the opportunity to interact in real time, watch for visual cues, determine when the interviewee has more to offer when being probed and allow for in-depth questioning and gathering of the interviewees' views and experiences. Providing ethical information prior to interview can often help relax the interviewee, as their consent is informed and based on detailed information about the project and the likely questions (Hesse-Biber & Griffin, 2013; James & Busher, 2009). While there are costs and benefits of online interviews, developing rapport with participants online is still important. With skill, researchers can make online interviewing more conversational and demonstrate effective listening with responsive questioning (Jowett, Peel & Shaw, 2011; Rubin & Rubin, 2005). Online interviews worked well in this study, as the researcher built rapport prior to and at the commencement of each interview. During COVID-19 restrictions, participants had become more familiar with online communication, with it offering more time-flexibility for participants and the researcher to reach a convenient interview date and time.

5.3.2 Interviewing elites

CEO and board chair interview participants are known as 'elites' or subject matter experts (Solarino & Aguinis, 2020) and are those in the upper echelons of organisations who have the power to influence their communities and dramatically change an organisation (Carpenter, Geletkanycz & Sanders, 2004). They have valuable

information to be gained because of the position they hold (Marshall & Rossman, 2014). These elites have experience and views to share and are often willing to offer advice, providing access is gained. Access to elites can be a challenge, not only in participation but from the perspective of time and flexibility (Marshall & Rossman, 2014; Solarino & Aguinis, 2020). This is where remote or online interviews can and did assist in this research. Some authors discuss the many challenges of interviewing elites. Some encourage researchers to establish competence and credibility by displaying knowledge about the subject at hand (Breeze, 2021; Marshall & Rossman 2014). This may assist with elites wanting to take charge of the interview (Marshall & Rossman, 2014; Solarino & Aguinis, 2020) in situations where they perceive inexperience or lack of knowledge (Solarino & Aguinis, 2020). Solarino and Aguinis (2020) warn that elite informants are usually more powerful than the interviewers.

Many studies discuss the type of questions being asked of elites. Allowing open-ended questions that allow freedom to use their knowledge (Breeze, 2021; Marshall & Rossman, 2014) is potentially the most valuable type of elite interviewing, requiring interviewers to know when to probe and when to pose follow-up questions (Berry, 2002).

Finally, within a similar context of the research and consistent with earlier authors, Breeze (2021) discusses access to elites, developing rapport and making sense of data from elites. The author encourages researchers to be creative in using direct and indirect contacts in gaining access (within ethical guidelines), starting with non-threatening questions 'without dominating the encounter', steering where necessary 'to keep the conversation relevant' and being structured but flexible.

Within the online platform, these recommendations were timely and useful, and were refined as interviews progressed.

5.3.3 Interview sample process

Prior to data collection, ethics approval was sought and received, ensuring interview guides and all participant information was correct and useful for participants. Data collection ran from June–September 2021. Prospective participants were invited predominantly through email and social media. As recruitment continued, 22 organisations with both dyad members agreeing to participate were involved in the study, representing all Australian states and territories except the Northern Territory.

Many sub-sectors (ACNC, ICNPO) were represented, as well as medium and large organisations with varying reliance on fundraising as per the ACNC charity register ratings. The organisation pool was also drawn from FIA award winners, previous industry contacts and social media posts, predominantly ACPNS and LinkedIn groups. Of the 22 organisations, three dyads were from former roles of CEOs or board chairs, but all satisfied other conditions for their organisations. Of the 47 organisations approached, 22 agreed to participate (47%).

Document analysis (Study 1) collected evidence from recruitment documentation relating to CEO and boards. For consistency, only positions relating specifically to CEO positions were collected. However, for interviews (Study 2), it was necessary to recruit participants with like positions to CEOs (e.g., Executive Director, National Director, and Group Chief Executive Officer). All participants representing the CEO role were operational leaders and most had the title of CEO. All board chairs were actually board chairs as opposed to board members.

To gain more specific information about participants, their organisations and their fundraising effectiveness, a survey was developed.

5.3.4 Data collection plan
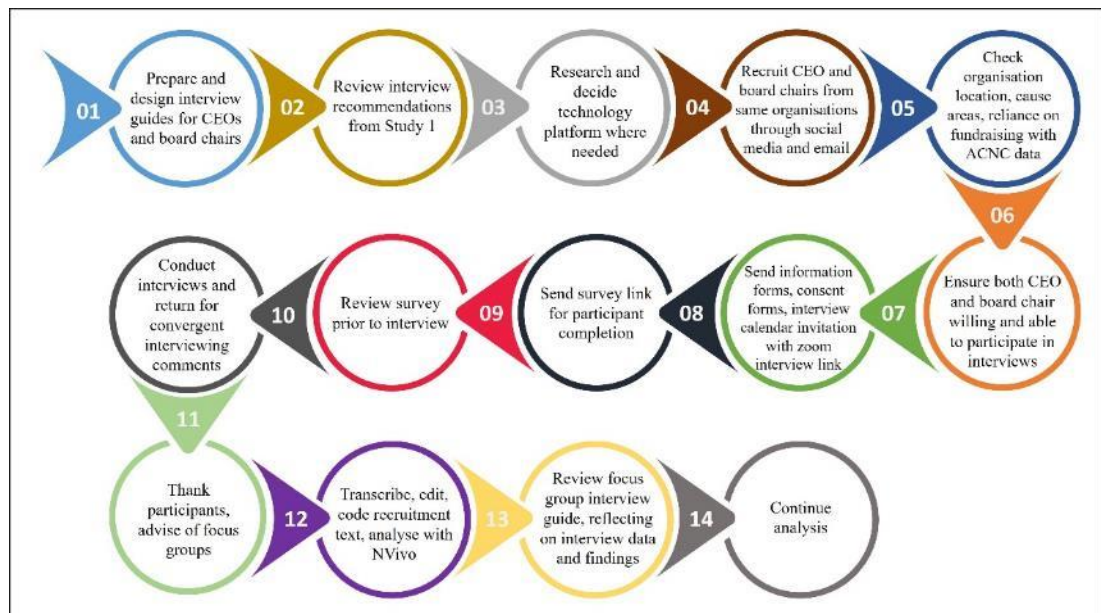
Figure 5.1: Study 2 data collection plan

Senior nonprofit leaders (elites) were to be approached to participate in the study, with the aim of recruiting leaders from organisations of various Australian

geographic locations, organisational size (ACNC rating), fundraising leadership experience, organisational fundraising reliance (ACNC rating) and sub-sectors (ACNC and ICNPO). Figure 5.1 outlines the data collection plan. Participants were approached from organisations in various locations that were structured with governance boards, where professional fundraising was conducted and identified as an income source. Even though there were many organisations in some sub-sectors (e.g., health, social services, and environment) and it was anticipated that many organisations recruited would come from these sub-sectors, as recruitment continued other sub-sectors were represented. As the study focused on leadership dyad members from the same organisation, the challenge was to recruit both CEOs and board chairs from the same organisation who would agree to be interviewed separately.

The sample of research participants was anticipated to be approximately 20 CEOs and 20 board chairs from various nonprofit sub-sectors who could contribute ideas, views, and feedback through 45–60 minute, in-person or online interviews (video or nonvideo). Interviewees could choose whether they were interviewed online, by telephone, over Zoom or in person. COVID-19 restrictions indicated very few interviews would be conducted in person because of health and border issues that inhibited researcher travel. As COVID-19 restrictions had been in place for some time, it was anticipated that most people would be comfortable with online or telephone interviews. Dyads could be in current or past roles, providing CEOs and board chairs were working in the organisation at the same time so their relationship could be reviewed. Participants were required to consent to their participation in writing and fill in the survey (online or in hard copy) before interviews were conducted. This means that 'time' was required on the part of CEOs and board chairs to participate. To supplement data from the document analysis (Study 1), participants would also be asked to provide their recruitment advertising and their current PD, if available. All participants would join the study voluntarily, with information provided prior to commitment.

5.3.5 Organisation and participant survey

An online/offline survey was developed, asking participants to primarily rate their fundraising effectiveness and provide brief information about their organisation and themselves. A sample survey is provided in Appendix D in the online format. Participants were offered offline versions of the survey, however, all participants

completed the survey online, using Qualtrics software and an anonymous link. The survey asked participants to identify their role (CEO or board chair) and their organisation name. The researcher was able to check completion of the survey prior to interview, to ensure information was complete and participant permission was given for de-identified organisation data to be analysed and used in the study. All participants agreed that the survey was easy to complete, and no difficulties were encountered.

For analysis purposes, former CEO–board chair relationships (3 organisations) were combined with data from the current 19 organisations, totalling 22 organisations. Data did not reveal any nuances or variances of significance to negate this process.

5.3.6 Organisation and participant survey findings

Survey data completed by participants indicated the following information about organisations, CEOs and board chairs as presented in Table 5.1. Of the 22 organisations, most had turnover of between $1 million and $100 million. Organisations had an average of 10 board members on their governance boards, however, 10 organisations had disagreement between CEOs and board chairs on the number of board members. Where this occurred, the higher number of board members was used.

CEO and board chair participants had demographic similarities and differences. CEOs indicated more than twice the tenure of board chairs, perhaps reflecting turnover of board chairs dependent on organisation constitution. Ages and highest education attainment for both groups were similar, suggesting most CEOs and board chairs were well educated.

Table 5.1: Organisation information and participant demographic comparisons

Organisation (n=22)				
Annual turnover		$250–$1m	$1m–$10m	$10m–$100m
		3	10	9
# Board members	10			
CEO				
Tenure	8 years			
Greatest age range	56+ (55%)			
Highest education	Degree	Grad Cert/Diploma	Master's degree	PhD
	6	4	7	1
Gender Male	11			
Gender Female	11			
Board chair				
Tenure	3.6 years			
Greatest age range	56+ (59%)			
Highest education	Degree	Grad Cert/Diploma	Master's Degree	PhD

	6	2	6	3
Gender Male	15			
Gender Female	7			

An interesting gender point is noted, with equal numbers of male and female CEOs, while the number of male board chairs was double that of female board chairs. Studies researching barriers to CEO female entry have increased over the years (BoardSource, 2021; Gutierrez, 2021) but have mainly sourced US data. Limited reports from Australia have been published. According to the latest AICD report (2021), female representation on nonprofit boards is increasing, however, the small sample in Study 2 indicates board leadership may be severely lacking in female representation, while CEO female representation appears to be increasing.

5.3.7 Fundraising effectiveness and benchmarking (survey)

The survey was designed to indicate whether the case dyads agreed with fundraising performance in relation to benchmarking. The survey statements were chosen from the Mallabone and Balmer (2010) audit tool and formatted for survey respondents (as detailed in Section 3.4.2). The survey allowed focus on fundraising leadership prior to interview.

Originally, as presented in Chapter 3 (Section 3.4.2), fundraising effectiveness was to be self-rated by participants, resulting in a single figure to determine high or low fundraising effectiveness that would be compared between dyad members from the same organisation. The thought was that strong or divergent views in the dyad may yield interesting points about how professional fundraising was conducted in case organisations and how that was viewed. However, more value was found comparing CEOs as a group, board chairs as a group and organisations (combined CEOs and board chairs) responding to various operational and benchmark questions and comparing results from questions such as 'Do we operate this way' and 'Should we operate this way'. Hence, analysis focused on similarities and discrepancies within these three groups, enabling many observations. Justification for using this type of rating system and the questions posed to participants is provided in Chapter 3 (Section 3.4.2). Ten practice statements were provided to participants, asking for their ratings.

What value does this fundraising effectiveness evaluation bring? The values are completely subjective from each dyad member, relying on their own understanding of

the issue being rated and status of the issue in the organisation. The researcher is unaware of any discussions between dyad members about the survey. There is value in determining whether dyad members have similar ratings and hence understanding of their organisation's fundraising performance. Results also indicate recommendations for fundraising training for board chairs to assist with their understanding and then support their fundraising leadership.

Analysis focused on top and bottom ratings to best determine differences. 'Do we operate this way' determined whether operations fit the practice statement. 'Should we operate this way' was an industry benchmark (participants were not advised of this).

5.3.7.1 Survey analysis findings – CEO group

Only one organisation, rated by the CEO, responded that the organisation does operate and should operate according to the 10 practice statements. One other organisation rated slightly below this with 9 x 5s and 1 x 4 operationally and full agreement with all benchmarks. No CEO scored any statements as 'Don't know'.

Results indicate that most CEOs feel there is there is room for improvement in how they currently operate fundraising; most CEOs, but not all, appear to have knowledge around benchmarks.

5.3.7.2 Survey analysis findings – board group

No board chairs rated the statements for their organisation and benchmarking with all 5s. One board chair rated nine statements with 5s and one with 4 and all benchmarks were agreed as 5s. No single benchmark had agreement from all board chairs as 5s. Statement 4 received most agreement from all board chairs with 5s (culture of fostering relationships), except one organisation which rated the benchmark as 3. Two board chairs scored 'Don't know' on one statement (different statements) relating to operational effectiveness.

Results indicate there is an opportunity for board chairs to be educated around fundraising benchmarks and industry standards. Additionally, most board chairs rated as 'poor' the fundraising effectiveness of their organisation against these benchmarks. As with CEOs, board chairs feel their organisations could do better in fundraising effectiveness, but the main issue lies with understanding and implementing best

practice. Board chairs either do not understand fundraising benchmarks or do not accept them.

5.3.7.3 Survey analysis findings – CEO and board chair groups combined

5.3.7.3.1 Operational agreement (Do we operate this way?)

None of the 22 cases (both dyad members) agreed on the total effectiveness of their fundraising. While this is not surprising because all organisations could do better in their fundraising, it does indicate differing opinions of each dyad member about their fundraising. Two cases achieved nine out of 10 agreements with the statements and their scores in the 10th section were very close. On reflection of interview data, this shared relationship between dyads was exhibited in their interviews, each noting confidence in each other's ability and them working as a team to lead fundraising.

These scores indicate an understanding of fundraising effectiveness and an ability of both cases to conduct effective fundraising.

5.3.7.3.2 Aspirational agreement – benchmarking (Should we operate this way?)

None of the 22 cases strongly agreed with each of the 10 statements. This indicates either a lack of familiarity with fundraising effectiveness or a judgement that the benchmark was not acceptable or applicable in their organisation's case.

5.3.7.3.3 Disparity

Three of the 10 statements showed disparity between practice and benchmarking.

- *Statement 1: The board monitors the performance of our fundraising/development program so that timely interventions/adjustments are possible.* Only nine cases (out of 22) (41%) had some agreement with this statement and eight cases agreed with the benchmarking.
- *Statement 4: We are constantly expanding our list of potential and existing donors and have special fundraising programs designated for donor acquisition.* Only six cases (out of 22) (27%) had some agreement with this statement, even though 18 cases, (82%) agreed with the benchmarking.

- *Statement 6: The fundraising/development program consistently meets its targets.* Only seven cases (out of 22) (32%) had some agreement with this statement, and only five cases (23%) agreed with the benchmarking.

There appears to be a general lack of awareness of benchmarking with organisations not accepting board monitoring and making interventions as necessary. This is the main point of disparity. Despite there being some disagreement, as discussed above, this points to the lack of understanding of benchmarking rather than disagreement with statements. Organisations understand the need to expand their donor database, but only a few achieve this. Meeting fundraising targets doesn't appear to be of great importance as a benchmark or in practice.

Using industry benchmarking appears to be in dispute; very few organisations appear to successfully grow their database of supporters, and fundraising targets do not appear to be taken seriously. These are three aspects of contemporary fundraising practice needing attention.

The sector recognises resources are required for fundraising. Statements 15 and 16 refer to resources being required for fundraising, with 68 per cent of cases agreeing. Fewer cases (55%) did not provide those resources.

It is difficult for organisations to excel with fundraising. Understanding benchmarking and how to meet those standards will assist with achieving fundraising effectiveness. Results indicate there is an opportunity for CEOs and board chairs to be educated around benchmarks together. This would assist their understanding of fundraising and support their fundraising leadership, thereby interpreting reports and data for better performance.

5.3.7.3.4 Inferences relating to the CEO–board chair relationship driving fundraising

The survey indicated that CEOs and board chairs mostly do not agree with benchmarking statements and do not score their fundraising effectiveness similarly. Only 9 per cent of cases in this sample (2 of 22) scored similarly to a major extent, indicating that, in some respect, their fundraising leadership was shared; this was reinforced in their interviews. Even though dyads were more positive about their

shared relationship in interviews, scoring fundraising effectiveness against benchmarking did not exactly reflect this reality, perhaps indicating there was *more agreement in theory than practice.*

The chapter now moves into reviewing recommendations from the document analysis (Study 1) to be tested in interviews (Study 2), also previously mentioned in Chapter 4 (Section 4.5).
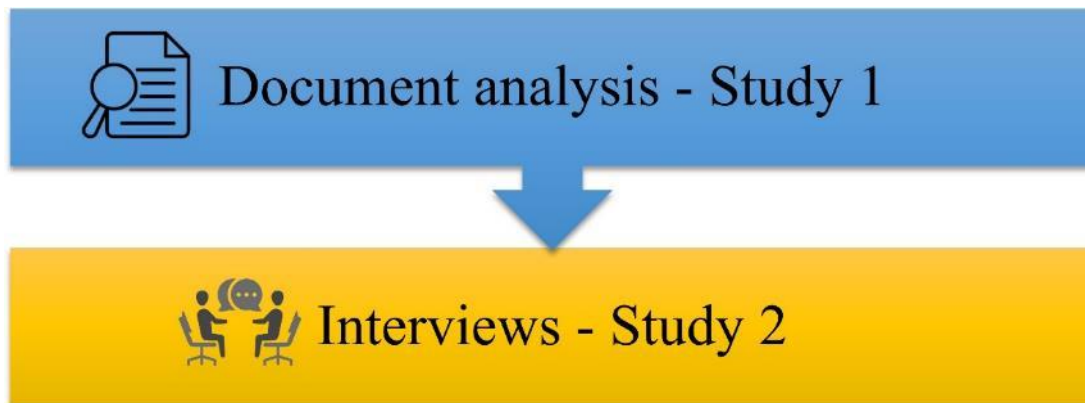
5.4 OUTCOMES FROM DOCUMENT ANALYSIS (STUDY 1) TO BE EXPLORED IN INTERVIEWS (STUDY 2)

5.4.1 CEO interviews

As indicated in Chapter 2 (Document analysis), several factors emerged from the analysis to be tested and explored in CEO interviews. Leadership styles of CEOs were documented and discussed to examine if and how their leadership style influenced their relationship with the board chair. Influences on the CEO–board chair relationship were discussed, particularly noting phrasing that indicated the importance or otherwise of that relationship. The leadership of the CEO in fundraising would be explored and how CEOs worked with board chairs to accomplish that, or not. The fundraising experience and skill of CEOs was questioned and discussed in relation to current success or ambition. The views of CEOs were particularly valuable in discovering what underpinned the CEO and board chair relationship and how that contributed to leading the organisation in a fundraising context.

5.4.2 Board chair interviews

Board chair interviews held further capacity for exploring the CEO–board chair relationship and how that affected fundraising. Board recruitment evidence was scant in relation to fundraising leadership, therefore, interviews with board chairs would

allow discussion as to what relationship boards and board chairs had towards fundraising leadership, particularly sharing that leadership with CEOs. Board chair leadership styles were also documented and compared with CEOs, exploring influences on the CEO–board chair relationship. Considering CEO skills that boards required or desired, similar fundraising skills of board members were discussed as necessary or not. Board chair interviews also allowed for questioning the value of tertiary education and whether the qualifications of CEOs would complement a track record in fundraising achievement.

5.4.2.1 Interviews proceeding

In light of these recommendations from the document analysis (Study 1), interview guides for CEOs and board chairs were reviewed and confirmed (Appendices E and F). Interviews proceeded following participant survey completion and review by researcher.

Three interviews (two board chairs and one CEO) were conducted in person at the request of interviewees, with all others (41) conducted online via Zoom. All were recorded, transcribed, and thematically analysed.

5.4.2.2 Thematic analysis and CI technique

As previously described in Chapter 3, a thematic analysis is a method for identifying and analysing meanings in data, assisted by applying NVivo software to code text and highlighting emerging patterns relating to the phenomenon under study (Braun & Clarke, 2006). As a result, the most important concepts in the data are highlighted and stand out amid the text. Thematic analysis was the primary means of analysis, however, CI highlighted issues within themes.

CI technique also assists with data analysis. As the researcher asks probing questions to interviewees, participants identify key issues relating to patterns, enabling researchers to determine the most important or key issues rather than developing long lists of issues (Jepsen & Rodwell, 2008). Other participants are then invited to indicate their agreement or disagreement with these issues and explain their reasoning. Appendix G lists the 26 issues identified. Appendix H indicates five issues finding full agreement with all participants and another four issues finding 98 per cent agreement. CEOs had nine issues finding total agreement and two more issues with 95 per cent

agreement. Board chairs were in full agreement with six issues and 95 per cent agreement with three more issues.

5.5   THEMES FROM DATA

Seven main Themes emerged from the data through thematic analysis, with 26 issues relating to these Themes analysed by participants using the technique of CI. The CEO–board chair relationship is the prime Theme in this section. Other themes emerged in connection with this relationship: future factors potentially affecting this relationship, CEO and board recruitment that could be pivotal in setting up a successful CEO-board chair relationship, the CEO role and fundraising, board chair role and fundraising, boards and management working together and board involvement in fundraising (Figure 5.2).

'Trust' (Scandura & Pellegrini, 2008) emerges as an element in all Themes. It would be tempting, given the pervasive mention of Trust, to suggest it as a standalone theme in the data. However, it is more pervasive than a theme that stands on its own, for example in Theme 1, the CEO-board chair relationship is underpinned by Trust. In Theme 2, Trust could remedy future influences that could hinder the CEO-board chair relationship. In Theme 3, Trust is a requirement or expectation of board candidates in recruitment. As a concept it is critical but is not a specific finding or theme on its own.

Unexpectedly, similar Findings emerged from CEOs and board chairs across all dyads, therefore summary data is provided. However, in Section 5.5.1.6, individual case by case dyads offered particular insights into the CEO-board chair relationship and this section has more dyadic data indicated by organisation case, for example, CEO1 and BC1.
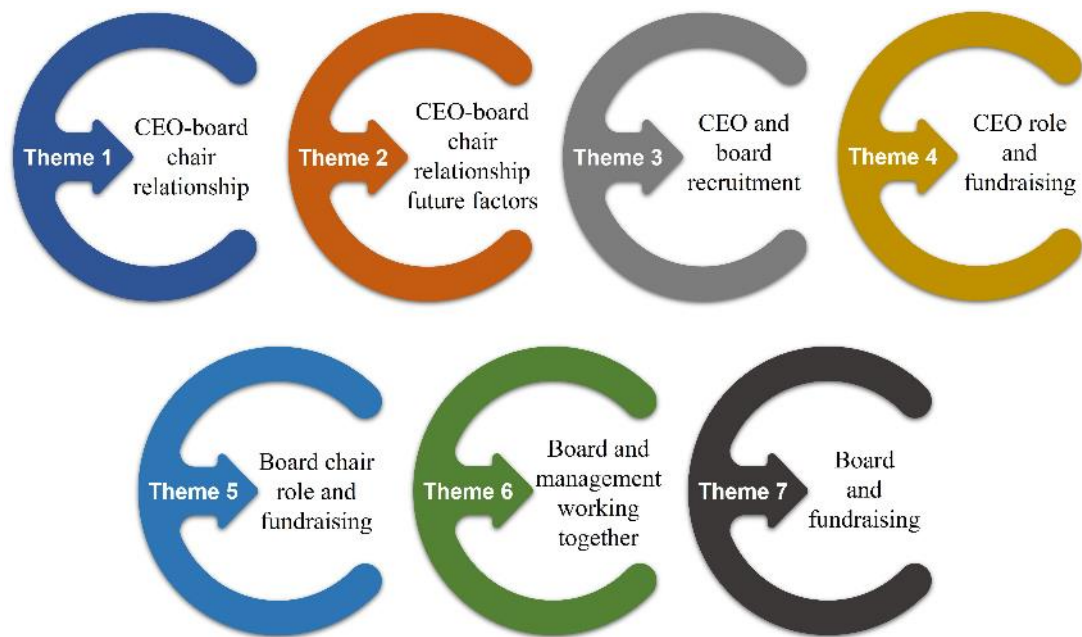
Figure 5.2: Seven standout Themes

5.5.1 Theme 1 – CEO–board chair relationship is important for fundraising success and more critical than assumed

Interviewees gave their views in general and also looked closely at their own dyadic relationship in their organisation. This first section reviews Findings and recommendations in general.

5.5.1.1 Influences on the dyadic CEO–board chair relationship driving fundraising

According to CEOs, developing a good relationship with their board chair is important and is underpinned by Trust, loyalty, Mutual Respect (Bauer & Erdogan, 2015), humility, EI (Bauer & Erdogan, 2015) and putting egos aside. There are several influences on this relationship by different parties, not just by the two people involved. There is a complementary but different role to play for each dyad member and each needs to be aware of these roles and not overstep them. Trust (Scandura & Pellegrini, 2008) was the most important influence on the relationship, which was identified by all CEOs. There needs to be Trust in the relationship and how the relationship is conducted, and that Trust needs to be viewed by others. The CEO has oversight of the activities of the organisation and relates to the board chair as a peer. Table 5.2 presents CEO views on the influences on the CEO–board chair relationship that drive fundraising. Significantly, Trust is at the forefront of the relationship, as well as relating to each other professionally and humanly.

Trust comes from good communication. (CEO)

You actually do need to be able to connect as human beings. (CEO)

The chair should be a go-between the CEO and the board. (CEO)

Table 5.2: Influences on the CEO–board chair relationship that drive fundraising: CEOs' perspectives

Focus	Influence
Characteristics of the relationship	Underpinned by Trust, loyalty, EI (Bauer & Erdogan, 2015; Scandura & Pellegrini, 2008) Respect (for each other's roles) Open, transparent, honest, friendly characteristics Commitment to build a relationship Connected at a personal level Drawing on each other's relative strengths Supportive of CEO with professional respect Valuing each other's opinions Personality connection Ability to agree and disagree with respect
Facilitation and maintenance of the relationship	Clear goals Clear communication Clear delegation and understanding of each other's roles Collegial relationship acting as peers Time commitment amid other responsibilities Accessibility for communication and decision-making
Centre of the relationship	Consistent, shared passion for outcomes for beneficiaries Alignment on the mission and activities to get there Operating for a higher purpose Passionate about the cause and sector
The relationship in relation to fundraising	Philosophically respect fundraising Comfortable about the role of fundraising and the strategy to achieve that Agreed on risk appetite in relation to fundraising Fundraising will help meet mission Investment in fundraising to help meet mission with a long-term focus

In their responses, board chairs highlighted *Trust* and *Respect* (Bauer & Erdogan, 2015) as most important influences on the CEO–board chair relationship, similar to CEOs. Table 5.3 presents board chair views categorised similarly to CEOs; however, board chairs were more concerned with the relationship focusing on the 'big picture' as well as supporting the personal traits of the CEO, recognising their role encompassed many more facets than fundraising and understanding fundraising was important to the organisation.

There's a huge amount of respect I have for our CEO, and I think he is also respectful of what I do. (BC)

Table 5.3: Influences on the CEO–board chair relationship that drives fundraising: board chairs' perspectives

Focus	Influence
Characteristics of the relationship	Underpinned by *Trust*, mutual *Respect* (Bauer & Erdogan, 2015), and EI (Tucker et al., 2020) Openness, authenticity, and transparency Compatible personalities Similar ethics, morals, values, and complementary beliefs Getting to know each other as people Mutual commitment, energy, and passion
Facilitation and maintenance of the relationship	Clear objectives and realistic performance targets Clear expectations and accountability Frequent contact or interaction Listening to each other and learning Healthy debate, talking through issues Frequent and effective communication Opportunity to develop/strengthen/deepen the relationship Availability for discussion Support for CEO that combats position loneliness
Centre of the relationship	Similar passion for the organisation Alignment of mission Shared understanding of mission, vision, and organisation purpose Agreement with future strategy Core interests of the organisation at heart Agreeing at what success looks like Aligned interests in the organisation Governance of the organisation
The relationship in relation to fundraising	Long-term fundraising expectations Allowing time for CEO for fundraising Future looking for fundraising outcomes Understanding of fundraising challenges Understanding role of fundraising Ability to put resources behind fundraising

5.5.1.2 Barriers to a great CEO–board chair relationship that drives fundraising

CEOs were definitive about barriers to a great CEO–board chair relationship that drives fundraising, many highlighting barriers such as Trust (Scandura & Pellegrini, 2008) not being in the relationship, lack of respect for each other and, on many occasions, mentioning that ego often gets in the way of either person (with them wanting control where there was lack of knowledge about fundraising and a lack of self-awareness to conducting a positive relationship). Many mentioned either person, especially CEOs, not having fundraising knowledge or disagreeing about how fundraising works and the role fundraising really played in the organisation. In summary, CEOs explained that a lack of Trust, respect, fundraising knowledge, and nonalignment were the main barriers. Barriers identified by CEOs are presented in

Table 5.4, categorised according to the most frequently mentioned barriers – trust and relationship to fundraising.

Table 5.4: Barriers: CEOs' perspectives

Focus	Barrier
Trust related	Trust is broken Not trusting others and utilising the skill sets of others with fundraising knowledge Lack of trust
Fundraising related	Lack of fundraising experience in CEO Either person does not consider fundraising to be important to the organisation No genuine 'hands-on' support of fundraising Lack of knowledge in fundraising and what makes fundraising work Lack of commitment to resources for fundraising Not understanding the philosophy of fundraising Different views about the role and goals of fundraising in the organisation Thinking fundraising is a 'mechanical' thing (as in automatic, without human intervention)
Communication	Inaccessibility Undermining decisions Recognition from others that CEO–board chair relationship is not good
Behaviours	Ego in abundance from either person (wanting control) Wanting to be the hero at the cost of the other Dislike for each other and no respect Lack of EI (Tucker et al., 2020) Lack of self-awareness Thinking you know everything including fundraising (when you don't)
Actions	Lack of performance Either person disengaged or unable to commit time, energy, focus Board chair gets involved in the operations of the organisation Not respecting each other's role in the relationship Not making time to build a relationship with the board chair
Philosophies	Incongruous leadership styles Lack of clarity about roles A power imbalance Disparate personality types that can't agree Disagreement on organisational purpose and core activities Lack of shared vision Lack of alignment Misalignment with strategy Difference in opinion about how funds are spent and funding priorities Not understanding what motivates people Thinking it's all about budget instead of impact

If you don't have a good working personal relationship between the CEO and the chair, you're not going to get anywhere at all because there is a lot of faith and trust required for fundraising. (CEO)

One or the other of them wants to be the hero at the cost of the other. (CEO)

Board chair views were often similar to CEOs' views, however, board chairs tended to focus more on multiple 'big picture' philosophies, as presented in Table 5.5. Mismatched expectations in a variety of situations were pinpointed as barriers, as well as strong emphasis on Trust (Scandura & Pellegrini, 2008) or lack of it.

Table 5.5: Barriers: board chairs' perspectives

Focus	Barrier
Trust related	Lack of Trust (Scandura & Pellegrini, 2008) Trust decayed
Fundraising related	Lack of fundraising expertise Not making fundraising a priority No discussion of expectations of each other in relation to fundraising
Communication	No personal connection Lack of integrity in passing information to the board causing delays Inability to agree to disagree Inability to leave baggage behind from previous relationship Breakdown in communication
Behaviours	Lack of mutual respect Lack of confidence in the relationship Arrogance towards either person Overbearing chair and over critical with CEO Chair in the role for the organisation purpose versus selfish reasons CEO not understanding consequences of negative actions Lack of EI (Tucker et al., 2020) Ego Personality clash
Actions	Lack of succession planning for both roles Different objectives for the role Time for the relationship to build Turnover of CEO
Philosophies	Lack of clarity around expectations Different expectations of each other's role Mismatched expectations of what's required Different worldview of organisation and sector Lack of exponential thinking Inequality of empathy for the cause Mismatch ethically and morally Differences of opinions or misconceptions about what the mission should be Lack of understanding of the roles Big picture versus day-to-day operations thinking Difference in philosophical values of the organisation Differing beliefs about the organisation Not agreeing on strategy

It comes back to trust and having a good understanding of the roles, the different roles and not overstepping those. (BC)

Personality barriers can impact too. Some people just don't get on. They just can't adapt to working with somebody who's different to what they are or thinks differently to what they think. (BC)

Both groups identified a number of barriers, with lack of *Trust* (Scandura & Pellegrini, 2008) in the relationship being prime. Board chairs did not mention as many fundraising-related barriers, as they considered all functions of the business were affected, including fundraising. It is clear that CEOs and board chairs need to focus on *Trust*, have clear expectations of each other's roles and garner fundraising experience where fundraising is important to the organisation.

5.5.1.3 Setting up and maintaining CEO–board chair relationship best driving fundraising

CEOs identified numerous considerations for setting up and maintaining a CEO–board chair relationship that best drives fundraising, as presented in Table 5.6. Once again, Trust (Scandura & Pellegrini, 2008) was a high priority for CEOs, as well as several factors relating to fundraising, mentioning various aspects of communication for the relationship.

Table 5.6: Factors in setting up and maintaining a relationship: CEO perspectives

Focus	Considerations
Trust related	Develop Trust (Scandura & Pellegrini, 2008) Allow Trust to develop (time) Work out ways to build Trust Build Trust in increments at personal and business levels Consider the relationship equal in different roles
Fundraising related	Ensure induction has fundraising on the agenda Learn how fundraising works Learn the organisation's philosophy of fundraising Understand current fundraising performance Have an understanding about the direction and strategy fundraising Agree and support the fundraising strategy Have a structured regular meeting Put fundraising on the regular meeting agenda Share board policy with expectation that board chair (and board) will be engaged in fundraising Have discussion around lifetime value in relation to fundraising Discuss areas of discomfort, worry and risk with fundraising
Communication	Work on communication methods Put fundraising on the communication agenda Set up regular meetings Direct accessibility Genuinely engage with each other Discuss how feedback will happen Meet face-to-face Set up a support system with the board chair Discuss how to review the relationship Have honest dialogue
Behaviours	Expect loyalty Have respect for each other Get to know each other personally Invest in the relationship Be prepared to drive the sort of relationship you want

	Act as peers
	Act with confidentiality
Actions	Remember others are watching the relationship (e.g., board, staff)
	Meet early after appointment
	Establish a shared and honest mutual working relationship
	Look at complementary skills of each other
	Introduce executive team early, including fundraising director to inspire confidence and respect
Philosophies	Share values
	Discuss perceptions of the role
	Check in on governance and management understandings
	Share organisation and fundraising strategy
	Align and agree on goals
	Ensure understanding of the cause
	Understand risk and discuss risk appetite/tolerance
	Agree on core values
	Discuss each other's strengths and blind spots

I would make sure that there is a level of trust between the CEO and board chair, and I would work out ways to do that, to get to know each other, to spend time together, to engage with them one on one. (CEO)

I would start with those board policies at the beginning around the expectation that they will be engaged in fundraising. (CEO)

Board chairs identified many similar factors, strongly mentioning that *Trust* (Scandura & Pellegrini, 2008) was important in the relationship and should be built into the relationship. The group was more concerned about communication and actions that should be taken, and less concerned with fundraising than CEOs, as presented in Table 5.7.

Table 5.7: Factors in setting up and maintaining a relationship: board chairs' perspectives

Focus	**Considerations**
Trust related	Ensure Trust (Scandura & Pellegrini, 2008) and support
	Build Trust in the relationship
	Consider the relationship equal in different roles
Fundraising related	Discuss expectations around involvement in fundraising
	Set measurables for fundraising
Communication	Develop a contact plan
	Define a standard agenda
	Agree on regular communication
	Set up a structure allowing for direct communication
	Have regular communication
	Connect and listen to concerns of each other
	Mutual listening about concerns
	Maintain open channels of communication
	Have regular formal and informal check-ins
	Be prepared to listen to each other
	Meet regularly

Behaviours	Build rapport
	Get to know each other
	Get an understanding of each other's views
	Ensure support
	Develop the relationship
	Discuss the type of relationship you want
	Ensure accessibility and approachability
	Act with confidentiality
Actions	Discuss and set objectives of both roles
	Build in accountabilities
	Be aware of organisation strategic objectives and how they are to be delivered
	Prepare through recruitment, interviewing and discussion
	Invest time into the relationship
	Agree on expectations
	Ensure fundraising is not out of balance with the rest of CEO responsibilities
	Ensure clear and unambiguous KPIs
	Set expectations for first 90 days and time to review, discussing where more support is needed
	Take time to get to know the person, their ambitions, their drive, their reasons for being there
	Set clear targets and discuss performance
	Set professional development goals, particularly around fundraising
	Ensure documentation of strategies and KPIs
	Set clear strategies for working together
	Set up mentoring and support
	Agree on work priorities
Philosophies	Discuss values, and their alignment with each other
	Manage with understanding and empathy
	Create an avenue for breakout thinking
	Set clear expectations of each other's roles
	Understand about each other's life background
	Understand what motivates people
	Agree on core values
	Discuss each other's strengths and blind spots

Develop a trusted relationship by spending time and talking about issues. (BC)

Build the relationship knowing they have your support. (BC)

In line with setting up and maintaining a CEO–board relationship that best drives fundraising, four statements from interviews contribute to this discussion through the technique of CI. *'The core values of the CEO and board chair need to match'* was identified by a CEO and had 95 per cent agreement from all CEOs, 100 per cent agreement from board chairs and 98 per cent agreement from all interviewees. *'Confidentiality is important in the CEO–board chair relationship'* was introduced by a board chair and agreed by all interviewees. *'The CEO–board chair relationship is equal with each serving in different roles'* was outlined by a CEO and 68 per cent of all interviewees agreed. *'It's important that CEOs and board chairs talk about each*

other's strengths and blind spots' was noted by a board chair, with 100 per cent of CEOs agreeing, 86 per cent board chairs agreeing and, overall, 93 per cent of all interviewees agreeing. These four statements were agreed by most interviewees.

Both CEOs and board chairs highlighted again the importance of *Trust* (Scandura & Pellegrini, 2008) in relationship building. Both groups noted it was also vital to get to know the other person. Where CEOs were more concerned about fundraising aspects of the relationship and expectations of board chairs, board chairs identified communication priorities and actions critical to getting the relationship off to a good start and maintaining the relationship sustainably. Board chairs often focused on the importance of the recruitment process, including getting to know the CEO through that process and envisioning how a relationship could be built with that person.

5.5.1.4 Beneficial and problematic CEO–board chair relationships in other organisations

Approximately half of the CEO group were not aware of beneficial relationships driving fundraising. Those who were aware cited organisations and related several conditions where fundraising was driven in the organisation as a result of the CEO and board chair relationship. Synonymous with previous questions, CEOs strongly indicated that Trust and Respect (Bauer & Erdogan, 2015) were critical for the relationship to work. On many occasions, the relationship depended on both dyad members participating, and on some occasions more action was required by the chair or CEO.

Fundraising almost is a means to accelerate delivery of the mission. (CEO)

A respectful and collegiate relationship between CEO and chair … without those things, everything else is a little bit doomed to fail. (CEO)

Only a few board chairs identified organisations where the CEO–board chair relationship was beneficial and driving fundraising. While many offered suggestions about typical beneficial relationships, they found it difficult to pin their comments to specific CEO–board chair relationships, mainly because they were not aware of other relationships and how they worked. *Trust* in the Relationship (Scandura & Pellegrini, 2008) and between both people was highlighted, as in a *'strong, trusting and rewarding relationship'* (BC). There were clear factors in the organisation that impacted the relationship, in addition to both people being aligned with values,

communication, culture and vision. Board chairs pointed to focusing on a humanistic relationship and thinking 'big' together, with the chair being involved in fundraising.

When it comes to fundraising, everybody plays a role. (BC)

I see the CEO–chair relationship very successfully inspire and drive the organisation to be very commercial, very professional. (BC)

Comparing the views of CEOs and board chairs of beneficial relationships, there was similarity in relation to the mission and purpose of the organisation, the fundraising focus, and the personal relationship of CEOs and board chairs working together. CEOs were more prescriptive of the contribution to the relationship by both people.

CEOs were more aware of organisations with *problematic* relationships and could highlight what caused these problems. CEOs were equally prescriptive of causes focused on the board chair, CEO and board chair, and many issues in relation to fundraising itself. Once again *Trust* (Scandura & Pellegrini, 2008) (lack of) was highlighted as a real relationship issue.

Chair had no fundraising experience ... they thought they were an expert in fundraising. (CEO)

Board chair said that that event had been going for 20 years and we're not stopping doing it now ... the board chair was unwilling to listen to the CEO and make changes. (CEO)

With the causes of *problematic* relationships identified by board chairs, many noted that all functions of the organisation were affected, including fundraising. More board chairs were aware of problematic relationships or situations where they suspected problematic relationships affecting fundraising and what caused those problems. Trust (Scandura & Pellegrini, 2008) and respect were mentioned as being problematic, if absent from the relationship. The board chair group identified personal, communication and fundraising-related causes, including CEO roles in fundraising and proactive communication transparency.

They don't build trust. There's mistrust in both directions. And ultimately, it is detrimental to the organisation… for the organisation's morale, its focus, its ability

to attract support. The relationships between the board chair and board chair and CEO are critical relationships. (BC)

When people put personal interests ahead of the organisation's interests, issues ensue. Many boards can face that issue that at times. (BC)

Consequently, both groups focused on the need for *Trust* (Scandura & Pellegrini, 2008) and *respect* in the CEO–board chair relationship, as that affected the leadership of the organisation, including fundraising. Many aspects were aligned between the groups, with CEOs identifying more causes initiated by board chairs and board chairs identifying more causes initiated by CEOs.

5.5.1.5   Leading fundraising together in the CEO–board chair relationship

On a more positive note, CEOs and board chairs were asked how they worked together to drive fundraising, and then how each could assist their board to become more effective in driving fundraising. A variety of situations were relayed, from organisations where board members (including the board chair) are not engaged, to organisations where CEOs and board chairs led the organisation in shared leadership including fundraising.

Table 5.8 presents the combined views of CEOs and board chairs providing examples of the activity of the roles of CEO and board chair separately and, significantly, the important role they play together in leading and driving fundraising. CEOs, most often with the support of board chairs, are proactive in encouraging, educating and helping the board to take part in fundraising and understand fundraising. On some occasions, board chairs take a proactive role in fundraising, but the combined role of CEO–board chair agree, work together, change and perform various other activities together in relation to board effectiveness and liaising with supporters and donors.

Table 5.8: Examples of fundraising leadership activity by CEOs and board chairs

Role	Action	
CEO	Encourages	board involvement in fundraising
	Educates	board understanding of fundraising
		board on cost of fundraising
		board on effectiveness of fundraising methods
	Helps	board understand importance of fundraising to organisation
		board comfort with fundraising investment
		board understanding of fundraising diversification
	Suggests	where board may be involved in fundraising

	Organises	board members to attend functions with donors
	Informs	board of fundraising activity
	Offers	opportunities for board to meet donors
Board chair	Supports	supports CEO
	Encourages	encourages board to nurture donor relationships
	Leads	by example by donating and utilising networks
	Drives	a significant fundraising event annually (in liaison with CEO)
CEO and board chair	Agree	on what fundraising needs to be pushed with board
		about future board recruitment
		about recruiting a director with fundraising background
		on shared leadership
		on board engaging with supporters with CEO
	Work together	to break down fundraising barriers with board
		to help board comfort talking about donations and fundraising
		on strategy, key pillars, and planning
		to give more emphasis to fundraising
	Change	board conversation about which fundraising metrics to focus on
		board induction to include fundraising
	Attend	major donor meetings together
	Lead	capital fundraising campaign together
	Engage	with supporters
	Enable	more free talk about fundraising and its impact in the organisation
	Encourage	board comfort with fundraising and fundraising practice
	Meet	often outside of board meetings
	Present	jointly to corporates and potential philanthropists

On two separate occasions, board chairs indicated a strong sense of comradery with the CEO, with *Trust* (Scandura & Pellegrini, 2008) being highlighted again.

We have immense faith and trust in our CEO. (BC)

We are very proud of our CEO for what she does. (BC)

Indicating commitment to the CEO and organisation, two board chairs commented:

If there are philanthropic people that want to come through the centre ... I will be there. (BC)

Leading by example is another important way for the chair to demonstrate their commitment to fundraising, to giving and to utilising their networks, to really supporting the CEO. (BC)

Both CEOs and board chairs described their relationship as working together in shared leadership and alignment. *Trust* (Scandura & Pellegrini, 2008) and *transparency* are highlighted as an output of this relationship.

At events, I will speak alongside the CEO to promote the organisation ... and encourage people to play a bigger role. I am an ambassador for the organisation. (BC)

Having the board chair at some of those meetings builds trust and transparency with donors. (CEO)

These CEO–board chair relationship Findings are *new* to the sector and supported by four statements identified through CI and agreed to by the majority. *'CEO needs a good, strong working relationship with board chair that doesn't stifle CEO motivation to find fundraising and funding opportunities'* was agreed 100 per cent by all interviewees. *'A great CEO–board chair relationship is fundamental to great fundraising outcomes'* was agreed by 77 per cent of CEOs, 73 per cent of board chairs and 75 per cent of all interviewees. *'A great CEO–board chair relationship support*s *fundraising and mission rather than drives fundraising and mission'* was agreed by 77 per cent of interviewees in each category. *'The most important relationship in the organisation is the CEO–board chair relationship and them getting along'* was agreed by 77 per cent of CEOs, 86 per cent of board chairs and 82 per cent of all interviewees. In summary, CEOs, and board chairs, in relation to fundraising, need a strong working relationship that at least supports and often drives fundraising. This relationship is fundamental to fundraising outcomes and is the most important relationship in the organisation.

Many of these aspects reflect LMX elements focusing on relationships and exchange – the prime function of CEOs and board chairs communicating together. Respecting each other's roles, engaging with each other, being cognisant of the power balance, and acting with mutual Trust and Respect (Bauer & Erdogan, 2015) confirm LMX and its justification in the research. Advancing from the LMX theory is more justification for an adaptation to the LLX concept to recognise the peer roles both dyad members play.

5.5.1.6   CEO–board chair relationship within case organisations

This section closely reviews the dyadic relationship of the CEO and board chair in driving fundraising, particularly reflecting on individual leadership styles and factors that underpin this important relationship. Leadership style, description of the CEO-board chair relationship, elements missing from that relationship and suggested

improvements for the relationship are progressively discussed in this section as shown in Appendix I. As mentioned earlier in this chapter (Section 5.5.1), this section offers views from dyads providing examples from case organisations, showing particular insights from these dyads, often indicating synchronicity in their relationship. CEO-board chair dyads had common thoughts and examples of these in case organisations are provided i.e., CEO01 and BC01.

5.5.1.6.1 Leadership style and role

CEOs described their leadership style as servant leadership, collaborative, transformational, visionary, democratic and authentic. All CEOs thought their leadership style was important in a fundraising leadership context, mentioning relational interactions with donors underpinned by honesty, *Trust* (Scandura & Pellegrini, 2008) and *Respect* (Bauer & Erdogan, 2015).

I'm most comfortable leading through people. I find it to be most effective and satisfying - empowering people. My servant leadership style is critical because my role is serving philanthropy and facilitating fundraising practice-connecting those who would seek to make a difference. (CEO07)

My default style is to empower and encourage people within the organisation to get out there. Empower people to do what they need to do. (BC07)

Board chairs described their leadership styles as democratic, collaborative, servant leadership and visionary, and were sometimes unclear in their descriptions. Different from CEOs, some board chairs identified as using a consensus leadership style and working with individuals to gain consensus on decisions. Again, different from CEOs, many board chairs did *not* view their leadership style as being important in a fundraising leadership context. In responding, many alluded to fundraising as 'asking for money' rather than viewing fundraising through a leadership lens. A few board chairs were emphatic about their fundraising leadership roles, relating their leadership style as being an asset in meeting donors and conveying *Trust* (Scandura & Pellegrini, 2008), confidence and integrity in themselves and the organisation.

We do things together. The board are far more heavily involved in the strategy of fundraising than ever. The staff and the board play a complementary role so they

can make introductions, organise a fundraising lunch, turn up to events and play a
part in building relationships. (CEO10)

I think it's really important that the chair leads by example. You can't be asking
and expecting other board members to be active and endeavouring to raise funds if
you're not leading by example and having a go yourself. (BC10)

CEOs all reported positive results with their board chair relationship affecting fundraising, noting that their leadership style made a positive impact on the relationship and fundraising. Some noted they had similar styles, while others said their styles complemented each other. It was clear that fundraising was advancing because of their CEO–board chair relationship. *Trust* (Scandura & Pellegrini, 2008) was mentioned on numerous occasions as being in the relationship, both mutually and critically. CEOs indicated that their relationship would not work in relation to fundraising if Trust was not there – Trust is required to obtain results, grow income, make investment decisions and handle challenges.

I trust him and he trusts me. (CEO1)

I do trust him fully. (BC1)

Board chairs were also positive about their leadership style in relation to their relationship with the CEO. Often board chairs mentioned 'supportive', 'encouraging' and 'respectful' as highlights of the relationship. No board chair reported problematic relationships with their CEO.

The chair has always been very supportive of the me and the executive because
you've got a number of balls in the air and different drivers. (CEO22)

I think our relationship contributes enormously to the health of the
organisation. If the CEO knows they've got the chair's support - trust is the most
important thing. (BC22)

As for either party taking the overall leadership role, most interviewees responded that leadership was shared and within the boundaries of delegations of authority. Most responded that the CEO led operational matters, while board chairs led governance matters. They led strategic matters together – in an equal partnership.

We have trust, loyalty and communication in our relationship. We have a good
relationship. (CEO1)

I see myself as a steward, but we're equals in many respects. (BC01)

On some occasions, there was a difference of opinion on who took the main leadership role in the organisation. Some CEOs stated they were the leader and, on most of those occasions, board chairs agreed with them and did not have concerns about that. On a couple of occasions, leadership was described differently. In one organisation, the CEO and board chair respectfully declared themselves the leader. On another occasion, the CEO thought there was joint leadership and the board chair declared themselves as the leader. Despite these disagreements about the leadership role, there was no ill feeling and there was still *Trust* and *Respect* (Bauer & Erdogan, 2015) in the relationship.

I think it's shared. Some things sit with me - the leading of conversations around the board table. It's like the conductor of the orchestra of the board meeting. Sometimes we play different instruments. (CEO10)

I have much more contact with the CEO than the rest of the board. When we have conversations, we are talking as equals – not one of us being the leader. In board meetings my role is to orchestrate the discussion so that we keep it efficient, we get everyone's thoughts and views on the table. And then as chair, what's really important is to try and synthesise that discussion down to a summary that leads to action. (BC10)

Board chairs could be thought of as having conflicting roles within the CEO–board chair relationship. On some occasions, board chairs speak as an individual; on other occasions, they represent the board. While board chairs recognised this fact, a strong relationship with the CEO would overcome any difficulties with differences of opinions.

My leadership style is collegial and certainly mutually respectful and trusting. He's been very helpful and supportive. (CEO21)

We have a very professional relationship and I'm very respectful of what I consider to be the prerogatives of the CEO to manage your organisation, and I reinforce that message with other board members as well. (BC21)

CEOs and board chairs appreciated their different leadership styles and approaches. CEOs often stated that, despite differences, these differences were complementary. They discussed strengths, weaknesses, and priorities, presenting a

united front. Ways of handling issues may have been different but being 'mission focused' was central and having differences in viewpoints was useful and helped discussion. Other words describing their approaches were 'aligned', 'respectful', 'shared Trust' (Scandura & Pellegrini, 2008), 'complementary competencies', 'compatible', 'honest', 'partnership' and 'mindful of each other's strengths'.

Most of the time, it's a mutual thing, but at the end of the day, I'm reporting to the chair and she's acting on behalf of the board. It's never overtly stated. It's never really reinforced. It's just understood. (CEO8)

I'm more strategic leadership than the CEO is. And I probably have 10 percent operational leadership and the CEO is the opposite. He would be 90 percent operational and 10 percent strategic. It depends on the moment. We have a crossover. I wouldn't say I'm more important, we're just different. (BC08)

Board chairs expressed similar but different approaches to their CEOs. Board chairs were often of the view that they were 'learning together' with the CEO. In supporting their CEOs, board chairs helped 'put things in perspective'. They were careful to 'not interfere' with CEO priorities even though there was some 'frustration at times' and there were 'challenging times'. Board chairs described their relationship approaches as 'communicative', 'inclusive', aligned' and 'respectful'.

I think my board chair is focussed on the idea of credibility and purpose as well, so I think we're completely aligned on those things. (CEO21)

I think I have a very good relationship with the CEO. I think the CEO has an inclusive and consultative style and that fits well with my own approach. (BC21)

Throughout these discussions, more reflection of LMX elements were presented, highlighting agreeableness, respect for each other's roles, working together with a joint vision and building the relationship with *Trust* and *Respect* (Bauer & Erdogan, 2015).

5.5.1.6.2 Relationship driving fundraising

To determine the extent that relationships focused on fundraising, interviewees were asked to describe their professional relationship with the corresponding dyad member. Appendix I presents outcomes and identifies three words from each interviewee. Seventeen out of the 22 relationships (77%) mentioned similar words to describe their relationship on at least one occasion. Five sets of dyads mentioned two

similar words (23%), showing many dyads agreed about the terminology surrounding their dyadic relationship. The most common words were *Respectful* (29 mentions) and *Trustful* (20 mentions) (Bauer & Erdogan, 2015), once again reinforcing that these two words were very important in describing a successful relationship between the two dyad members.

Even though interviewees had described their relationships as affecting fundraising outcomes, interviewees were asked to rate the extent their relationship driving fundraising (out of 10). Many CEOs rated their relationship highly (7 and above, 59%), however, others described their roles as driving fundraising with the *support* of the board chair as being important, rather than the relationship *driving* fundraising. Board chairs rated their relationship, with eight relationships (36%) being the same or within one mark of each other. Of note is that all relationships were rated as driving or supporting fundraising in some respect, as recorded in Appendix I. While no dyadic relationship appeared perfect, on the whole, dyads seemed to be workable in their relationship on a continuum of their strength and deficiency areas.

Almost half of CEOs (45%) thought that nothing was missing from their relationship that would help drive fundraising. Others mentioned wanting an active focus from the board chair on fundraising, a board chair with the ability to open doors to help with fundraising, and discussion time with the board chair on developing the organisation.

We both have capacity to do more. We just don't have enough capacity around us to do more - as in resources, and people understanding and connecting to the wider community. (CEO08)

It would be good to know a way forward in how to support our CEO sometimes when we say we've got these hundred things to do. Our CEO is in control of one hundred of them. So, it's us learning from him - the next steps to building a fundraising framework. (BC08)

Board chairs often had different points of view to CEOs. Compared with CEOs, fewer board chairs (41%) thought nothing was missing from their CEO–board chair relationship driving fundraising. Volunteering their time was mentioned, as well as needing more fundraising and sector knowledge, and the ability to assist with fundraising. While discussing current issues was important to board chairs, many

mentioned that forward thinking was a discussion point that was missing from the relationship, which would affect fundraising as well as mission in the organisation.

There's nothing missing from a relationship point of view.   There are always things that we could have done better but I don't think it was anything to do with the relationship question. (CEO07)

If there is one thing missing - I can't think of it. (BC07)

Of all interviewees, 19 individuals (43%) stated that nothing was missing from the relationship, as presented in Appendix I. In four organisations, both CEOs and board chairs both agreed nothing was missing from their relationship. This indicates that each dyad could benefit from discussing the missing aspects in their relationship driving fundraising, allowing for honest and open discussion about their concerns.

Focusing on improving the CEO–board chair relationship to influence or drive fundraising, CEOs were mostly consistent in their responses to items that were missing, as presented in Appendix I. Ten CEOs (45%) thought there was not anything currently needing improvement. Others mentioned communication issues, including time, discussion subjects, more engagement with fundraising and a passion for what fundraising can achieve.

Board chairs were mostly consistent with their responses to identifying what was missing from their relationship in discussing nothing that would currently improve the CEO–board chair relationship. In comparison, fewer board chairs (36%) mentioned there was nothing currently that would improve the relationship. Others mentioned that improvements could include more structure in relation to their communication with the CEO and/or fundraising activities. Planned communication was often mentioned, with board chairs admitting they do not have as much time as they would like to commit to the organisation; they would ideally like more time with the CEO for discussing current issues, forward thinking, and discussing structure that would help both dyad members.

Comparing the responses of both dyad members in organisations, there were four organisations where each dyad member could not identify an improvement to their relationship. Of these four organisations, only two organisations were consistent with their responses to having nothing missing from their relationship.

Earlier in this chapter, EI (Tucker et al., 2020) was identified as being important in the development of the CEO–board chair relationship driving fundraising. Mayer, Roberts, & Barsade (2008) describe EI as involving the ability to perform accurate reasoning with emotions and 'the ability to use emotions and emotional knowledge to enhance thought' (p.507). The origin of EI is attributed to Ancient Greece and developed formal learning into the 1980s and 90s as a concept (Mayer, et al., 2008). Many studies report on this human ability in leadership literature (Gorgens-Ekermans & Roux, 2021; Waglay, Becker, & du Plessis, 2020) and human resources (Tucker et al., 2020), all useful backdrops to this study.

A definition of EI was provided to participants as 'The capacity to be aware of, control, and express one's emotions, and to handle interpersonal relationships judiciously and empathetically (Mizera, Jastrzębska, Cyganek, Bąk, Michna, Stelmach, Krysta, Krzystanek, & Janas-Kozik, 2019, p.568). Dyads were questioned about whether they considered EI (Tucker et al., 2020) played a part in the CEO–board chair relationship driving fundraising and how. Using the CI technique, 100 per cent of CEOs agreed with the statement, *'Emotional intelligence plays an important part in the CEO–board chair relationship that drives fundraising because it underpins mutual understanding'*, as did 95 per cent of board chairs and 98 per cent of all interviewees.

Focussing on 'how' EI (Tucker et al., 2020) plays a part in the CEO–board chair relationship, CEOs referred to relationships as being part of fundraising, social skills, empathy and understanding. *Trust* and *Respect* (Bauer & Erdogan, 2015) were highlighted as being critical to EI (Tucker et al., 2020) and also critical to effective fundraising. Transformational outcomes were a result of fundraising and meeting mission. Having a board chair as well as CEO with EI (Tucker et al., 2020) was seen to be helpful in leading fundraising. All stakeholders in an organisation will benefit from EI (Tucker et al., 2020), but particularly those involved in fundraising and giving by donors. CEOs also mentioned the use of EI (Tucker et al., 2020) when relating to boards and how it was required when developing fundraising strategy with them – particularly handling suggestions and managing responses, which are essential to the CEO role.

I think it's one of the most important components of it. What I found is moving from the transactional to the transformational, emotional intelligence is the most

important component of any fundraising that you do, where you are trying to

establish relationships and then tell your story. (CEO05)

In the old days it was called being able to read the room correctly. I think it

definitely has value, because you can waste a lot of time if you have got the wrong

target and a wrong understanding. Who the target might be and how beneficial it

could be, is part of that emotional intelligence piece. (BC05)

Additional comments from board chairs related specifically to the CEO–board chair relationship and referred to adapting an approach to nonverbal communication when dealing with issues – including fundraising and other issues. Some board chairs thought EI (Tucker et al., 2020) was more necessary for CEOs to have in relating to donors. Others mentioned that both people need to understand their emotions and keep them in check. Board chairs felt that driving fundraising performance also involved EI (Tucker et al., 2020) in having difficult conversations between CEOs and board chairs. Nurturing the CEO–board relationship required EI (Tucker et al., 2020).

In terms of the CEO working with the board, they are the key people there.

Emotional intelligence has really important attributes. It's problematic if you don't

have it in a relationship. (CEO22)

I believe emotional intelligence fits in every aspect of life and fundraising. I

believe it affects everything. And some of us have got more keenly developed aspects

of that than others. (BC22)

5.5.1.6.3 Summary and implications

Theme 1 explored the CEO–board chair relationship driving fundraising. Learnings were gained and inferences drawn from several aspects. Influences on this relationship highlighted that *Trust* and *Respect* (Bauer & Erdogan, 2015) were paramount. Several aspects were mentioned as central to the relationship, with other facets being in relation to fundraising and its leadership in this relationship. Barriers to enjoying a great CEO–board relationship were identified, including lack of respect and Trust, not having or pursuing fundraising, and lack of sector knowledge shared in the relationship. Many items were mentioned by CEOs and board chairs that are important to setting up and maintaining this relationship, keeping in mind learnings from observed beneficial and problematic relationships in other organisations. Trust

and respect were repeated concepts. Three roles were described in the relationship and described under CEO role, board chair role and the shared role of the CEO and board chair leading fundraising. Future influences on the relationship were identified, highlighting the need for Trust, Respect (Bauer & Erdogan, 2015) and knowledge again. The 22 case organisations were then examined, considering leadership style and influences on driving fundraising. Finally, this section closed with reviewing EI (Tucker et al., 2020) and the need for its use in organisational relationships in relation to fundraising, concluding that EI (Tucker et al., 2020) is critical to fundraising relationships and leadership. Reinforcing the CEO–board relationship requirements, using CI, the statement *'CEO needs a good strong, working relationship with the board chair that doesn't stifle CEO motivation to find fundraising and funding opportunities'* was agreed by 100 per cent of all interviewees.

When questioned about this 'good, strong working relationship' between the CEO and board chair, interviewees mentioned communicating effectively with each other, recognising each other's roles and responsibilities, 'working' on strategy and funding outcomes together, and applying EI (Tucker et al., 2020) and confidentiality – all in the context of *Trust* and *Respect* (Bauer & Erdogan, 2015) for each other. However, as each dyad member is a leader in a unique working relationship, this indicates support for the adaptation to the LLX concept. What exists is a recognition of an equal partnership and shared leadership.

The next section concentrates on Theme 2, future factors on the CEO-board chair relationship.

5.5.2 Theme 2 – Future factors have been identified that are likely to affect a CEO-board chair relationship driving fundraising

Many interviewees advised future influences they were concerned about for their organisation. Most were not sure how any of these factors would affect the CEO–board chair relationship driving fundraising. As interviews were conducted during 2021, when health restrictions were operating in Australia due to COVID-19, many pinpointed another pandemic as a future influence. They mentioned that organisational leaders had unprecedented challenges with income generation and sustainability, often with potential fundraising income vanished overnight. Despite mentioning some factors, a few interviewees were sure that whatever happened in the future, their CEO–board chair relationship driving fundraising would not be affected.

A host of future influences were identified, mostly by CEOs. Remedies were also offered to manage these possible future influences, all relating to the CEO–board chair relationship. CEOs mentioned internal factors that could be controlled and a vast list of external factors that could be managed but not controlled through the CEO–board chair relationship. Facets of the CEO–board chair relationship were mentioned that could remedy future influences. *Trust, Respect* (Bauer & Erdogan, 2015), and support for each other were repeatedly mentioned, complemented by shared knowledge about the sector, markets and regulatory environment.

Future factors that may affect this relationship are more about internal than external. (CEO)

If our relationship is not actively driving the fundraising, a breakdown in our relationship could have a negative impact on fundraising. (CEO)

Trust has two major inputs: good governance and total transparency. (CEO)

Additional future influences were identified by CEOs but were not related to the CEO–board chair relationship. Most of these influences were related to government issues, external influences, CEO and board roles and fundraising.

Similarly, board chairs were asked their views on future influences on the CEO–board chair relationship. Compared with CEOs, board chairs identified fewer influences with their corresponding relationship remedy. Many influences were like those identified by CEOs.

We have this mutual respect and trust, so I don't think any of those things … will affect that relationship. (BC)

Board chairs and CEOs need to … understand that donors care intimately about how each dollar they donate is used. (BC)

Other influences were mentioned by board chairs but were not related to the CEO–board chair relationship. They have been categorised into government, organisation, CEO and board chair, and fundraising influences.

Future influences were often common between CEOs and board chair groups with many influences common in both groups, especially those relating to fundraising, the organisation and government regulations affecting funding. On many occasions, CEOs and board chairs identified a strong and supportive CEO and board chair

relationship as managing these influences. 'Shared' and 'mutual' were often used in relation to responsibility, support, knowledge and, especially, Respect and Trust (Bauer & Erdogan, 2015) in relation to the CEO–board chair relationship driving fundraising.

The next section focuses on Theme 3, CEO and board recruitment, a process of securing potential fundraising leaders.

5.5.3 Theme 3 – Improvements are needed and can be made to recruitment to support the CEO-board chair relationship

The next theme emerging from interviews was in relation to CEO and board recruitment. Board chairs shared their views on CEO recruitment and expectations of candidates, including the requirement of higher education that emerged from the document analysis (Study 1). CEOs were not asked for their views on CEO recruitment, however, the focus groups (Study 3) did allow for a mix of CEO and board interpretations. CEOs and board chairs both shared their opinions on board member recruitment, with these outcomes clarifying different expectations from each dyad member. An element in connection with board recruitment was expanded by CEOs and board chairs in relation to board induction, with outcomes indicating different views from dyad members.

5.5.3.1 CEO recruitment driving fundraising – board chairs

Board chair views were sought on CEO recruitment as to the CEO guiding fundraising and having knowledge, skills and/or fundraising experience. Views covered various aspects of board chairs' expectations, from an overall leadership view and particularly from a fundraising perspective. The list of expectations was extensive and has been distilled in Table 5.9 into purpose, reputation and standing, track record, knowledge (fundraising and marketing), interpersonal skills and qualifications. Aspects were prioritised for consultation with focus groups, as discussed in the next chapter.

Table 5.9: Board chair expectations of CEOs

Focus	Expectation or requirement
Purpose	Ensure the vision and mission or purpose of the organisation is well captured and understood by the community Manage (oversee) everything including fundraising Develop a broad vision for fundraising efforts required and the skill to recruit appropriate staff

	Possess leadership skills with a commercial bent	
	Possess passion for the mission	
Reputation and standing	Possess credibility in the industry or sector	
	Be the public and known face of the organisation	
	Be the 'front of house person' for the organisation and seen to be the leader	
	Be known in the fundraising community	
Track record	Evidence of past success, enthusiasm, and commitment to the organisation	
	Experience in the same sector	
	Demonstrated track record and ability to actually deliver	
	A proven track record in other organisations in terms of fundraising	
	Demonstrated ability to operate fundraising	
	Equally strong on the key elements of fundraising, financial management, people management, services delivery	
	Strong background in diversified areas of fundraising sources e.g., corporate, trusts	
Knowledge – fundraising	Identify supporter motivations	
	Understand what fundraising is, what it means and how to go about it	
	Keep up to date with what's happening in the community and in the fundraising sector	
	Understand the cost of fundraising as much as the potential income	
	Possess commercial acumen and fundraising investment knowledge	
	Have an awareness of market and competitive tensions around fundraising resources	
	Understand and develop a fundraising strategy	
Knowledge – market	Understand the broader and competitive nature of the market	
	Understand the private and public sector	
	Understand the market and environment and risks in which the organisation is operating	
Interpersonal skills	Ability to develop rapport and relationships with individuals	
	Apply wisdom and good judgement with that chemistry of being able to lead people and interact with people in harmony	
	Honour the requests of donors and treat them as a valuable asset	
	Take a relational approach with high-net-worth individuals	
	Understand, connect, and engage with stakeholders	
	Have a good understanding of rejection and working through minor disappointments	
	Possess EI (Tucker et al., 2020) as well as intellect	
Qualifications	Relevant qualifications	
	An active member of a professional association	

Board chairs were forthright and descriptive of the CEO they would recruit to lead the organisation, stating:

We'd be looking for somebody who is articulate, who is intelligent, who is experienced both in managing organisation and teams of people and reporting to a board, but also as someone who's got particular focus and experience in the area of fundraising.

Others thought in terms of supporters: *'We need someone with that ability to position the organisation in the hearts and minds of supporters',* while one chair

described the desired leader as *'Our CEO is effectively, really, our chief rainmaker'* and from different perspectives:

> *Someone who is more relationship based rather than transactional. Someone who is a team player and can encourage others. Someone who can play well with the board.*

It was evident that board chairs were seeking leaders and managers but, importantly, those with interpersonal skills to relate to donors and supporters.

5.5.3.1.1 Higher education a requirement for CEOs – board chairs

Based on outcomes from the document analysis (Study 1), board chairs were asked if they considered higher education necessary when recruiting CEOs. Responses differed, ranging from mandatory or necessary, to advantageous and unnecessary. Many thought higher education was necessary, preferable, an expectation and a prerequisite for the role.

> *For a CEO of a nonprofit board, higher education, as well as idealism, governance, education to understand the distinction between board and CEO is required.*

One board chair was *'looking for a well-developed sense of experience across core skill sets … generally they are best enabled through a qualification'*.

Others thought higher education unnecessary, not critical but advantageous, considering a track record in previous roles and past experience to be more important stating, *'I would be looking for someone who's had a track record rather than someone who's got a qualification'*, and *'if that person has got the smarts in the first place, then a degree may not make much of a difference to them'*.

There was no general agreement. While a comparison was not made to other professions directly, it is clear that board chairs felt that, in addition to tertiary qualifications, some track record in fundraising was best suited to the CEO role (or at least similar sector achievement in fundraising). Fundraising achievement was a high priority.

5.5.3.1.2 CEO recruitment – summary and implications

From the long and detailed list of board chair expectations of CEOs (Table 5.9), a number of elements emerge for organisations to consider when recruiting a CEO to drive fundraising. CEOs should be clear on the purpose of their role, be in good standing in the sector and with the general public and have fundraising knowledge and skills and/or a track record of achievement in a similar situation or subsector. They also need to be strong in interpersonal skills in relation to donors, their team and, in particular, other stakeholders. CEOs need relevant qualifications and professional membership. While views varied on the necessity for higher education, generally it was seen as advantageous rather than an expectation. A track record of achievement would be acceptable without higher education.

5.5.3.2 Board recruitment driving fundraising

Both CEOs and board chairs were asked their thoughts on board recruitment and fundraising. CEOs were asked what a good board appointment would look like to assist with driving fundraising and mission and whether fundraising knowledge or expertise was an expectation or requirement. Board chairs were asked what was expected of board candidates in relation to fundraising and if a PD with key selection indicators was used. In relation to board recruitment, board induction was explored by both CEOs and board chairs. Both dyad members responded very differently on board recruitment as well as board induction, as outlined next.

5.5.3.2.1 CEO views on board recruitment

Most CEOs had a list of board recruitment expectations, many mentioning a skills matrix with fundraising included. The issue of recruiting differently to past customs was raised by a CEO, who stated: *'recruiting board members differently to past customs, for example word of mouth, touch on the shoulder, is the key to changing board mindset about fundraising income streams and diversification'.*

This issue was raised with all other participants to gain their agreement or disagreement, using the technique of CI. Some 82 per cent of CEOs agreed, 68 per cent board chairs agreed and, across all participants, agreement was 75 per cent. Most participants acknowledged a variety of ways to recruit board members, with many reinforcing the use of a skills matrix.

Expectations from CEOs, were grouped around board member motivation, purpose, knowledge, attributes and specifics relating to fundraising, as detailed in Table 5.10.

Table 5.10: CEO expectations of all board members

Focus	Expectation or requirement
Motivation	Genuine desire to make a difference Genuine passion for the cause True alignment to our vision and mission
Purpose	Work hard to open doors/networks Bring/leverage connections Make introductions Tell a compelling story about the work of the organisation Spot opportunities for revenue raising for the organisation Build relationships Have ambition for the organisation Donate to set an example
Knowledge	The mission and purpose of the organisation Director responsibilities, governance The environment within which the organisation operates Well qualified in finance and governance
Attributes	Team player An exemplar of leadership, model leadership Value relationships Business acumen to understand financial information and data Be well connected across a number of different sectors e.g., government, corporations, high-net-worth individuals, trusts, foundations
Fundraising specific	Willingness to get involved in fundraising Support fundraising activities Be aware of issues around fundraising Be prepared to be guided by professional fundraisers Understand philanthropic space Have an ambition for fundraising Make approaches when appropriate Show where fundraising or philanthropy fits into the organisation Have a commitment to philanthropy

CEOs were open about their expectations around fundraising, stating: *'it's always been about having appropriate members who both understand the philanthropic space and are donors themselves',* and *'I think it's very important to be able to say, as a CEO, my entire board think this organisation is worthy enough that they give their money to it'.*

Being committed to philanthropy was an important requirement, with one CEO stating, *'I don't believe anyone should be on a profit for purpose board unless they are committed to being philanthropic and you have to have that magic combination'.*

Despite the lengthy expectations of all board members, many CEOs expressed the need or desire to recruit a director with specific fundraising experience, and identified knowledge and experience that would be required in such a board member (Table 5.11).

Table 5.11: CEO expectations of board director role specific to fundraising

Focus	Expectation
Purpose	Interpret various types of fundraising for the board
Knowledge	The nonprofit and fundraising sector
	Fundraising growth strategy concepts
	Directorship responsibilities
Skills/experience	Professional fundraising
	Fundraising practitioner
	Fundraising competence or expertise
	Previous senior management level role in nonprofit with strong fundraising activity
	Governance

I would think a good fundraising appointment is someone that actually understands the sector and what it takes to fundraise. (CEO)

When CEOs were asked if fundraising knowledge or experience was a requirement or an expectation when searching for new board members, varied responses ensued. Some referred to the skills matrix, but many responded negatively – even though their organisations depended on fundraising revenue. There appeared to be a growing desire from CEOs for board members to come with fundraising knowledge, skills or experience, with more organisations recruiting specifically for fundraising expertise, as outlined above. Even though board members were mostly not required to have fundraising knowledge or experience, from the CEO viewpoint there was an expectation that board members would have a commitment to philanthropy, a broad understanding of fundraising and a willingness to participate in fundraising but were not be required to be a subject expert in fundraising.

There is an expectation that participation in fundraising and supporting fundraising is an absolute must for every single board member, no matter what skills they're brought on to contribute. (CEO)

Reinforcing the desire for board members to be more involved with fundraising, one CEO stated: *'Every board member should have a willingness to get involved in fundraising in some respect'.* This issue was raised with all other

participants to gain their agreement or disagreement, using the technique of CI, with 73 per cent of CEOs agreeing, 91 per cent board chairs agreeing and, across all participants, 82 per cent agreeing. Even though the agreement rating was high for this issue, many participants stated board members came with many different skills and expecting some board members to be involved in fundraising was outside their skillset and setting them up for failure.

5.5.3.2.2 Board chair views on board recruitment

Board chairs were asked their expectations of board candidates in relation to fundraising and whether a PD outlining accountabilities was used or recommended. Board chairs had some similar expectations of board members to CEOs but were often less specific in their descriptors (see Table 5.12). Not many mandates were mentioned for board candidates, especially relating to fundraising, even though there was an expectation that candidates should know about the organisation and what fundraising could help it achieve. Very few participants mentioned PDs and, if there was one, there was little relationship to fundraising. Most organisations had not articulated their expectations of board members, particularly around fundraising, other than to request availability. The skills matrix was mentioned for the purpose of recruitment of skills, including fundraising, however, expectations were not mentioned. No board chair had an expectation that any board member would donate. Recruitment was often mentioned to be ad hoc and reactionary.

Board chairs had similarities and differences in their expectations of board members and are grouped in Table 5.12 under the specific headings of motivation, purpose, knowledge and fundraising.

Table 5.12: Board chair expectations of all board members

Focus	Expectation
Motivation	Provide skills and heart for the organisation Someone who understands the organisation identity, purpose, and mission, loves the culture and has an authentic connection to the organisation An interest in furthering the work of the organisation
Purpose	Introduce some contacts/networks Be available and commit time to the organisation Leverage connections/relationships/open doors Reach out into the community and bring people in Be an ambassador for the organisation Be interested in what the organisation does and participate where they can

	Work with other board members
Knowledge	Understanding of the principal purpose of a nonprofit board
	Understand the culture of the organisation and reason for the board
	Understand what happens with fundraising money
	Be aware of the need to fundraise
	Understand the purpose of fundraising
Fundraising-specific	Have a go at fundraising
	Be involved in fundraising
	Attend events, fill tables
	Support fundraising efforts/activities
	Participate in board fundraising committees

Historically, we haven't articulated any expectations. Moving forward ...
there's an expectation that you will support fundraising activities. (BC)

5.5.3.2.3 CEO and board chair views combined on board recruitment

Outcomes from dyads as groups were similar on board recruitment, relating to board member motivation, purpose and knowledge, however, there were differences, as discussed below.

5.5.3.2.4 Board recruitment summary and implications

Recommendations for board recruitment, from interview data, provide a basis for discussion between CEOs and board chairs to come to agreement about board recruitment and priorities sought in candidates. Of import are the guidelines in relation to board members with fundraising experience. While board chairs were not specific about this requirement, focus groups allowed consideration of the concept and refinement of what is required in a director with fundraising experience, if required at all.

5.5.3.3   Board induction relating to fundraising

Some studies have linked board performance to organisation effectiveness (Herman & Renz, 2008; Mwenja & Lewis, 2009; Renz & Herman, 2016). The shared leadership between the CEO and board is well documented in nonprofit studies (Freiwirth et al., 2017; Yip et al., 2010), with Trapp (2021) reporting that some board members 'struggle with understanding their roles, responsibilities and board governance'. One seemingly obvious way of remedying this situation was offered by interviewees, particularly in relation to board recruitment and understanding fundraising: strengthening (or even introducing) board induction, as discussed next.

5.5.3.3.1 CEO views on board induction

CEOs were asked if their organisation held board inductions and if fundraising was included. Most CEOs confirmed a board induction took place for new board members. Often induction was in great detail, particularly relating to the organisational strategy which included fundraising. Meetings were arranged with the CEO and senior staff so new board members could understand the business, mix of revenue streams and challenges, including fundraising challenges. Expectations of board members were often discussed. A few CEOs indicated board induction either did not take place, was 'ad hoc', needed more detail, needed improvement or was minimal. Documents presented included governance documents and, on occasion, detailed fundraising reports. More detail is included in Table 5.13, outlining how induction occurred, what was presented, some expectations of new board members and changes that were expected in board induction.

Table 5.13: CEO views on board induction

Aspect of board induction	Content and direction
Presented by CEO, senior staff, board chair	How money is raised Sources of income, mix of revenue streams Major campaigns coming up High level fundraising policies Most complicated fundraising aspects and important elements of fundraising The business including fundraising program How fundraising contributes to organisational purpose Income generation, including fundraising, in great detail Importance of fundraising revenue Governance documents, including detailed fundraising reports Strategic plan, including fundraising strategy Fundraising challenges
Expectations of new board members	Represent the organisation Promote the activities of the organisation Encourage other people to give Invitation to give gifts within their capacity Where board members provide support Specific support from particular person
Changes expected in induction	Introduce software management system to facilitate Always being updated Include fundraising training Needs more detail

We share revenue streams, our fundraising challenges, generally where board members provide support, and we talk specifically about what that particular person could bring to the table. (CEO)

5.5.3.3.2 Board chair views on board induction

Board chairs were asked about board induction as part of the conversation relating to board recruitment. Not all board chairs confirmed whether they had a board induction, but many did, with some being 'ad hoc' and others being formal. Formal approaches included meeting with heads of department and receiving key documents including fundraising information. Some board chairs advised they had an induction, but fundraising was not mentioned, with the induction being about board process and constitution/governance. Some organisations provided fundraising background, strategy and goals, but those organisations were few. Some organisations did have induction and included fundraising. There was no consistency in how case organisations provided induction to new board members and specifically about fundraising.

New board members attend orientation and develop a relationship with the fundraising manager to understand what they do and the challenges they experience.

I believe that it's really important and fundraising is mentioned.

5.5.3.3.3 CEO and board chair views combined on board induction

CEO and board chair views differed significantly in the detail provided in induction, whether induction actually took place and what induction consisted of. CEOs provided more detail and appeared to have greater aspirations for what they would like in an induction, as detailed in Table 5.13. This could have been because CEOs were more often involved in the detail and organisation of board induction than board chairs. Board chairs were more often involved with discussion and transfer of governance documents, which may have been provided by CEOs.

5.5.3.3.4 Board induction summary and implications

CEOs and board chairs differed in their responses to this issue and their enthusiasm for board induction. While board chairs thought induction was mostly important, there was still the view that board members gave their time and imposing

more expectations could be unreasonable. CEOs were more prescriptive and had greater expectations of board recruits. This gives cause for dyadic discussion relating to the value and purpose of board induction, and particularly elements that could be presented, as outlined by CEOs in Table 5.13.

The next section concentrates on Theme 4, the role of the CEO, one partner of this dyadic relationship.

5.5.4 Theme 4 – CEO role leads fundraising, builds donor and partner relationships and is the chief fundraiser

The next theme emerging from the data was the role of CEOs and fundraising. CEOs were asked to describe their involvement in fundraising, if at all. Of the 22 case organisations, all CEOs were involved in fundraising in some respect. Some CEOs described themselves as the most experienced fundraisers in the organisation because of their career background. This enabled them to develop strategy, monitor campaigns, mentor others working in fundraising and evaluate results. Other CEOs were more involved with thanking and stewarding donors and corporates. Some CEOs had been more 'hands on' in fundraising and were now less involved, as the organisation had grown and fundraising staff were employed. A key role described by many CEOs was their role in relationship building, which includes identifying potential relationships, managing those relationships and soliciting donations from high-net-worth individuals and corporate leaders. Some CEOs were emphatic that they led fundraising and led the conversation around fundraising, actively telling impact stories and explaining the cause to potential donors and the fundraising outcomes that could be expected – that is, making change. A few CEOs were intimately involved in fundraising by raising funds personally for their organisation. Many CEOs had their own network to engage with the organisation and steward their donations, sometimes facilitated by staff working in fundraising. From CEO responses, it was clear that CEOs took their fundraising leadership role very seriously, with a few stating that all CEOs in the sector should be involved in fundraising. Often CEOs involved board chairs or board members in their fundraising activities, especially when relating to high-net-worth individuals.

I believe every CEO in this sector must be involved in fundraising. (CEO)

Fundraising is about relationships and donors and corporate partners who need to talk to the CEO and understand the CEO vision for the organisation and for that CEO to inspire confidence. (CEO)

All CEOs confirmed that their role and responsibility was to educate the board on fundraising strategy, tactics, and monitoring. They rated themselves, on average, eight out of 10. Some thought their efforts were more successful than others, and many said they had been educating the board about fundraising for some time. Subjects that various CEOs mentioned for informing fundraising knowledge to the board are presented in Table 5.14, categorised under the CEO role, the context of fundraising, constituency awareness and the processes involved in fundraising.

Table 5.14: Knowledge of fundraising presented to boards by CEOs

Role of CEO	Discussion items
Provider of learning pathway	Advisor to the board Type of reports Questions to ask Provide transparency – what's going well and what is not Shared understanding of the business of fundraising Provide analytics
Context of fundraising	Nature of philanthropy Market issues Nonprofit environment Role of fundraising in the organisation What you ask for What is required for fundraising Understand risk
Constituency affecting fundraising	Understand the constituency now and into the future Donor motivations Donor relationships Where bigger gifts come from
Fundraising process	What works and what doesn't work Challenges of fundraising Fundraising methodology Strategies and tactics Budgetary planning and execution Practice issues Programs underway and those with potential Cost of fundraising programs Staffing requirements now and into the future Campaign breakeven Return on investment Database growth and decline

It's the CEO's responsibility to lead the conversation, educate the board and have their input from a place of common understanding. (CEO)

Reinforcing these views, five statements were drawn from interviewees that focused on the CEO role involved in fundraising and playing a key, central role in building relationships and storytelling for fundraising, supported by the board chair and board. Using the technique of CI, these five statements are noted here.

'The CEO is the chief fundraiser' was agreed by 77 per cent of CEOs, board chairs and all interviewees.

'The centre of fundraising is the CEO and the chair and board facilitate and assist that' was agreed by 59 per cent of CEOs, 82 per cent of board chairs and 70 per cent of all interviewees.

'CEOs should be encouraged to build donor and partner relationships because fundraising often follows' was agreed by 100 per cent of interviewees.

'Great CEOs should be great storytellers' was agreed by 91 per cent of CEOs, 86 per cent of board chairs and 89 per cent of all interviewees.

'The CEO is the servant of the board' was agreed by only 50 per cent of CEOs, 59 per cent of board chairs and 55 per cent of all interviewees.

5.5.4.1 Summary and implications

Theme 4 incorporated the views of interviewees on the role of the CEO. CEOs confirmed the various ways they were involved with fundraising, which most often involved building relationships with key donors or sponsors in the organisation, meeting with donors, asking for large donations on occasion and being recognised as the operational leader of the organisation. Most interviewees agreed that the CEO is the chief fundraiser, the centre of fundraising, a builder of relationships, a great storyteller and sharer of fundraising knowledge with the board. The CEO was not seen by the majority as being 'the servant of the board', even though most board chairs agreed to the concept. Theme 5 is discussed next, the board chair, another partner of the dyad.

5.5.5 Theme 5 – Board chair role leads fundraising by example and seeks fundraising opportunities

This aspect of the board chair and fundraising was not explored through pre-determined questions to CEOs and board chairs. Instead, the theme emerged from two statements by board chairs and was pursued through CI. Both statements emphasise

the role of the board chair in relation to fundraising. Literature reports on the role of boards in general in fundraising; however, literature does not ascribe a leadership role in fundraising to the board chair. Therefore, the concept of the board chair leading fundraising that emerged strongly from the study is a new insight.

'The board chair should lead by example in a fundraising context' was agreed by 82 per cent of CEOs, 73 per cent of board chairs and 77 per cent of all interviewees.

'When the board chair sees an opportunity for fundraising, they should bring it to the attention of the CEO' was agreed by 100 per cent of CEOs, 95 per cent of board chairs and 98 per cent of all interviewees.

5.5.5.1 Summary and implications

Theme 5 could be considered a minor theme in this thesis; however, it is still significant, informing the sector and literature base of the important role of a dyadic partner in leading by example and participating in fundraising and leading fundraising. Theme 6 continues to discuss the boards of organisations, but in the context of how they work with management teams.

5.5.6 Theme 6 – Boards and management work together to understand, strategise and lead fundraising

Theme 6 emerged as interviewees drew boards into the discussion, rather than just focusing on board chairs. CEOs mentioned several improvements that could be made to achieve better fundraising in their organisations. These included building more relationships in the community with potential funders, investing more in fundraising, better engaging board members in fundraising and gaining better strategic direction for fundraising. One CEO expressed the desire to appoint a board director with fundraising experience. Considering these challenges, CEOs were asked how they and the board could work together to impact their fundraising. Table 5.15 presents the views of CEOs.

Table 5.15: Boards and management working together for better fundraising: CEOs' perspectives

Focus	Priorities
Understand fundraising investment	Return on investment Risk appetite for fundraising Review fundraising program investment including those not working Scale of impact and what investment is required To invest more in fundraising resources

Engage in fundraising	Use networks for funding
	Attend events
	Lead events
	Meet with donors
	Be an advocate for the organisation
	Support fundraising campaigns
	Donate as an example when asking others
	Leave a bequest to show true advocacy of the organisation
Strategise	Allow time to focus on large organisation issues
	Funding options within networks
	Review ambassador roles for fundraising
	Have longer term targets – 5,10,15 years
	Recruit director with fundraising experience
Develop fundraising committee	Discuss/advise the board on fundraising
	Recommend fundraising resources
	Research fundraising programs
	Overview fundraising
	Consists of management, staff, director with fundraising experience
Build a fundraising culture	Discuss impact of fundraising
	Highlight importance of fundraising to program delivery
	Review case for support
	Support the fundraising strategy
	Listen to fundraising specialists in the organisation
	Support informed decisions on fundraising

In these responses, it was evident CEOs understood the need to work together with boards to attain better fundraising. In doing that, CEOs thought having a relationship with the board chair was necessary, but also that the CEO should have relationships with all board members in order to establish rapport, confidence and fundraising engagement, with everyone understanding their roles, indicating the LMX concept of Satisfaction (Aggarwal et al., 2020). Through CI, '*from a fundraising perspective, relationships with other board members is just as important as a relationship with the board chair'* was agreed by 86 per cent of all interviewees.

The CEO needs to have individual relationships ... to be seen as a good thing.
(CEO)

Everybody understands what their role is and how it works together. (CEO)

Board chairs expressed different views on how their organisations could do better in fundraising. They focused on sustainability and stability of funding, providing resources to fundraising (including technology and human resources that were more skilled in fundraising), and better aligning fundraising activities with the business strategy (including applying financial and nonfinancial targets). Some thought their constituency should be reviewed with an intention of diversifying funding using

acquisition strategies and adding fundraising programs. Many were mindful of a changing community, which requires their organisation to review fundraising messaging for urgency and appropriateness. In response to these desires, board chairs gave their views on how the board and CEO could work together to achieve better fundraising, as presented in Table 5.16.

Table 5.16: Boards and management working together for better fundraising: board chairs' perspectives

Focus	Priorities
Understand fundraising investment	Review fundraising and risk Increase budget and stretch goals Agree about fundraising measurement Add key performance indicators into fundraising performance Increase skilled human resources
Engage in fundraising	Open doors, make introductions Assist with relationship development Host board lunches to develop relationships Recruit board members with networks Promote events and functions
Strategise	Alignment with CEO on growth and sustainability Advise CEO to prioritise fundraising Monitor fundraising funds to service delivery Focus on sustainability
Develop fundraising committee	Add a director with fundraising experience to mentor staff Question programs and performance Guide CEO in tailoring fundraising programs to meet market Ensure committee has fundraising experience Ensure committee has input into strategy Committee provide more direction for whole board
Build a fundraising culture	Build relationship between board and CEO Celebrate success Support the CEO

Board chairs were keen to work with the CEO, and to work together with the whole board to invest in fundraising, measure performance, strategise and engage in fundraising better.

The board needs to allocate an adequate budget and set some goals. (BC)

If we don't get savvy and move beyond grassroots, we don't have a sustainable position. (BC)

Considering the views of CEOs and board chairs, their responses in working together to achieve better fundraising were essentially similar; they focused on fundraising investment, strategy, building a fundraising culture, board members being involved in fundraising, and utilising a fundraising committee with fundraising expertise to guide the board. In response to boards working together with CEOs and

through CI, '*best boards work side by side with management, knowing where each other sits'* was agreed by 100 per cent of CEOs, 95 per cent of board chairs and 98 per cent of all interviewees. By working together and ensuring transparency with fundraising programs, Trust (Scandura & Pellegrini, 2008) with donors would be achieved. *'Being transparent with donors about funds is vital to building trust and maintaining integrity'* was agreed by 100 per cent of all interviewees. Within case organisations, it was rare that both *dyad members* identified the same items about doing fundraising better and how to do that jointly. Consequently, more discussion about fundraising in organisations about how they could improve fundraising and how they could address issues together is strongly recommended.

5.5.6.1 Summary and implications

Theme 6 presented Findings from interviewees on CEOs and boards working together. All organisations desired better fundraising so their mission could be fulfilled and identified various ways this could happen, primarily with the board and CEO working together. Theme 7 continues focusing on board members, specifically with their involvement in fundraising.

5.5.7 Theme 7 – Boards are involved in fundraising and actively support fundraising

Board chairs described in a variety of ways how they and their board were involved in fundraising. Some boards were more passive in attending events, introducing contacts, thanking donors, promoting the organisation and participating in fundraising oversight committees. Other boards more actively hosted lunches and invited guests (to donate), met with potential donors with the CEO, and provided pro bono assistance with various activities. One board chair volunteered operationally in the organisation one day a week. Another board chair declared *'every board member should have a PD with accountabilities for fundraising'* however, this was only agreed by 50 per cent of CEOs, 32 per cent of board chairs and 41 per cent of all interviewees – that is, not gaining majority approval. Many board chairs proudly stated they regularly donated to the organisation.

It's very hard to ask people to make financial contributions if you're not doing so yourself. (BC)

CEOs were asked what would positively influence their board's effectiveness in driving fundraising. Responses are presented in Table 5.17, categorised under education requirements, factors within the board, issues relating to strategy and activities for consideration. Many of these influences have been mentioned previously in fundraising practice texts, however, Table 5.17 outlines more prescriptive influences for consideration from CEOs.

Table 5.17: Positive influences on boards driving fundraising: CEO perspectives

Focus	Influence
Education	CEO explanation of chosen fundraising techniques and strategies
	External facilitation of fundraising training (professional development)
	How to measure fundraising effectiveness
	Professional approach to fundraising
	Demonstration of fundraising effectiveness
Within the board	Director champion, passionate about fundraising
	Recruit board members with fundraising expertise
	Explain expectations around fundraising at recruitment
	100% board members donating
	Engagement with the mission as a board
	Being proud of the organisation
	Review policies, keeping abreast of fundraising changes in the sector
	Celebrate fundraising success and impact
	Acknowledge and celebrate board member involvement in fundraising
	Receive relevant and necessary reports to monitor and evaluate
	Discuss fundraising involvement opportunities
Strategy	Clearly understand fundraising strategy and objectives
	Understanding need to fundraise
	Agree on scaling up and fundraising ambition
	Agree on long-term view of strategy
	Appreciate money and vision working together
	Be inspired by what could be achieved by raising more funds
Board activity	Engagement with donors at events
	Telling stories of impact
	Donating to the organisation
	Opening of networks with confidence
	Visitation of program delivery
	Advocacy for the organisation

The board chair now understands this is a professional approach and there's a bit of science behind it. (CEO)

Success positively influences the board. (CEO)

Most board chairs were keen for more involvement in fundraising by board members, however, others thought it unnecessary and needed to keep the board focused on strategy and governance. Table 5.18 presents board chair views on positively influencing the board to drive fundraising, categorised similarly to CEOs.

Table 5.18: Positive influences on boards driving fundraising: board chairs' perspectives

Focus	Influence
Education	Fundraising basics Fundraising principles Specific fundraising training (professional development) Fundraising director to inform board on delivery of fundraising
Within the board	Board recruitment with fundraising involvement expectations Recruit for director with fundraising skills Recruit well connected director with connections to funders Celebrate fundraising success with energy Shared understanding of holding each other accountable for involvement
Strategy	Focus on strategic goals Understand about focus areas and non-focus areas Work on targets together Discuss what works and what doesn't work Be clear on strategy that will drive fundraising
Board activity	Provide case studies to support engagement and networking Use networking relationship to drive additional funds Make introductions Provide a framework of fundraising activity Director to participate in a structured way Engagement with long-term supporters Awaken new interest and know where funds are spent

A smaller organisation might have a need for the board to be more involved, but we don't. (BC)

Allow a director with fundraising experience to bring an operational challenge into a governance setting. (BC)

CEOs and board chairs thought similarly, as shown in the tables above, however, board chairs were more focused on keeping board members centred on strategy rather involved in fundraising. In some instances, board chairs had a limited understanding of what involvement in fundraising would be. This thesis will enable CEOs and boards to appreciate other ways board members could be expected to participate in fundraising, starting with recruitment discussion and working together as a board with shared leadership with the CEO.

Along with these thoughts, CI showed agreement among interviewees on the focus of board members in relation to advocacy, storytelling, donating, participating, and being involved in the organisation. *'Board members need to be advocates and share stories of impact'* was agreed by 95 per cent of CEOs, 91 per cent of board chairs and 93 per cent of all interviewees. *'Every board member should have a willingness to get involved in fundraising in some respect'* was agreed by 73 per cent of CEOs, 91

per cent of board chairs and 82 per cent of all interviewees. *'If board members believe in the organisation they will want to donate and participate in the organisation'* was agreed by 77 per cent of CEOs, 95 per cent of board chairs and 86 per cent of all interviewees.

CEOs mentioned a variety of barriers to achieving better fundraising from a board point of view. Ego was frequently mentioned as a barrier to learning about fundraising and becoming comfortable about fundraising. Stepping outside of the 'cost of fundraising' was a metric. Reluctance to take *any* positive steps to engaging with fundraising was also a major barrier. Other barriers are categorised in Table 5.19 under education, within the board, strategy, board activity and management team.

Table 5.19: Barriers to better fundraising from a board point of view: CEOs' perspectives

Focus	Barrier
Education	Lack of fundraising investment knowledge
	Not understanding risk and benefits with fundraising
	Lack of appreciation and usage of nonprofit and fundraising research/evidence
	Lack of awareness of best practice fundraising
	Not understanding resources required for fundraising
Within the board	No excitement about what fundraising can achieve
	Embarrassment and discomfort with fundraising
	Lack of access to busy prospective board members
	No induction of best practice fundraising
	No expectations to be involved in fundraising
	Lack of interest in supporting fundraising goals
	Perception of what successful fundraising looks like in other organisations
	Focus on cost of fundraising only
	Reluctance to take on fundraising
	Ego ahead of mission preventing engagement
	Lack of leading by example
	Annoyance with types of fundraising
Strategy	Not thinking long term
	No fundraising targets and objectives
	Lack of identified projects for funding
	Lack of belief in and justification of the cause
	Not working actively with the chair and CEO
Board activity	No mindset around fundraising
	Not making introductions within networks
	No interest in spotting fundraising opportunities
	No belief in the organisation to donate
	Lack of time to be involved in things
	Not well-established connections
	Hesitancy in asking for money
Management team	Trying to micromanage operations
	Difference with risk appetite of CEO
	No confidence
	Lack of leadership of CEO in strategy

If you don't give money, donors can't say you value the organisation. (CEO)

People get queasy about asking for money and about fundraising. (CEO)

Board chairs identify some similar barriers to CEOs. Individual ego was not mentioned, but strategic issues and working with the management team were. Table 5.20 presents the views of board chairs categorised similarly to CEOs above.

Table 5.20: Barriers to better fundraising from a board point of view: board chairs' perspectives

Focus	Barrier
Education	Lack of understanding about investment
	Lack of understanding about how to build fundraising
	Not understanding what's involved in fundraising
Within the board	Introverted members
	No skills or experience to add value
	Recruitment without fundraising skills
	Negative members infecting others
	Unwillingness to break down barriers
	No general buy-in from the board about fundraising
	Different expectations of various board members
	No fundraising expectations expressed
	Lack of understanding of time to establish relationships and delivery of
	Trust (Scandura & Pellegrini, 2008)
	Balance of building relationships versus raising funds
	Time to manage facets of a nonprofit organisation
	Fear of change
	Lack of diversity of thought approach, perspective and thinking
Strategy	Fundraising strategy side-tracked by other organisation priorities
	Lack of excitement about what fundraising can achieve
	Disagreement about risk appetite
	Lack of cause priority with high-net-worth individuals
	Engaging community in a crowded field
	Lack of understanding of what the organisation is fundraising for
	Struggle to spend funds already received
	Balance of raising funds and independence of government funding
	External shock, without control and flexibility
	Uncertainty about what fundraising resources to apply
	Media scrutiny condemning organisations
Board activity	Lack of time to be involved
	Embarrassment about asking for money
	People outside their comfort zone
	Competing causes with competing board roles
Management team	Executive function role not performing
	Lack of definition around board and executive roles
	No Trust (Scandura & Pellegrini, 2008) between management and board
	Not being on the same team as management

The biggest barriers are having the time to be able to be on a nonprofit board, the comfort level and understanding of the role to be able to do it. (BC)

Adapting to an external unforeseen shock can change your fundraising plan for the year overnight. (BC)

5.5.7.1 Summary and implications

In Theme 5, board involvement in fundraising and barriers to better fundraising from a board point of view were presented. Numerous options for board involvement were either expected or offered by interviewees. Lack of knowledge and understanding of fundraising were highlighted by CEOs and board chairs alike, and many barriers including strategic issues and matters within boards and management were of concern. Some participants thought that EI (Tucker et al., 2020) was more important than financial intelligence, as agreed by 82 per cent of CEOs, 55 per cent of board chairs and 68 per cent of all interviewees. As mentioned in the earlier EI section, EI (Tucker et al., 2020) was thought to be critical to fundraising leadership. In relation to board member activity, *'it is important that board members don't denigrate fundraising'* was agreed by 100 per cent of all interviewees. Theme 6 is reported next.

5.6   IMPLICATIONS FOR THEORY AND PRACTICE

Surveys and interview data confirm a disconnect between evidence and practice for many, particularly board chairs. When completing the survey, participants rated their organisations in relation to fundraising practice from their own benchmarks rather than acknowledging recognised benchmarking standards (*should* we operate this way). Board chairs were either not aware of benchmarking standards or did not accept them. Comparing their organisations to those standards was difficult in the survey, with most CEOs and board chairs from their respective organisations differing in responses.

Despite this apparent disconnect, interview data told a different story. CEOs and board chairs displayed *unity of shared leadership*, *respect* for each other and *Trust* (Scandura & Pellegrini, 2008) in each other's capabilities and leadership. *Respect* for and *Trust* (Bauer & Erdogan, 2015) in each other was a recurrent pattern. Just as literature endorsed this strong working relationship leading fundraising together (Bell & Cornelius, 2013; Sargeant et al., 2018), CEOs and board chairs acknowledged their relationship was based on good *communication* and informed by *fundraising and sector knowledge*. Much literature discusses the CEO–board chair relationship as being important and valuable in leading the organisation; this study recognises fundraising and sector knowledge is *imperative to* leading fundraising.

The literature discussed leadership styles such as servant leadership and transformational leadership, and interview data added to this knowledge. As Appendix

I presents, interviewees described their leadership styles as predominately collaborative and democratic, as well as servant leadership and transformational. Many also admitted there was 'nothing' missing from their CEO–board relationship driving fundraising and often 'nothing currently' required for improvement.

Governance theories, as discussed in Chapter 2 (Section 2.2.2.4.1), link strongly to Findings and Themes. Agency Theory links to Theme 4 as the CEO is the operational and chief fundraising leader (agent of the board). Resource-dependence Theory and Stewardship Theory are reflected in Theme 6 as board and management work together planning for resource sustainability and protecting organisational resources. Stakeholder Theory links to Theme 7 as board members relate to donors and supporters who are prime stakeholders in a fundraising sense. Strong links to role-based governance, as discussed in Chapter 2 (Section 2.2.2.4.4), are reflected in Themes 5, 6 and 7 – as they relate to governance roles of the board chair and all board members.

In relation to theoretical implications, interviewees often discussed their leadership roles in the organisation as being equal, fundamental to great fundraising outcomes and supporting fundraising. Interviewees gave strong support to three vital statements:

- The CEO–board chair relationship is equal, with each serving in different roles
- A great CEO–board chair relationship is fundamental to great fundraising outcomes
- A great CEO–board chair relationship *supports* fundraising and mission rather than *drives* fundraising and mission.

The 'equality' statement challenges LMX and raises suggestions for an adaptation to LLX. Interviewees confirmed they are both leaders in different roles but were still leaders, sharing organisational leadership, including fundraising leadership. Themes supported this view in presenting the CEO role and fundraising (Theme 4) and the board chair role and fundraising (Theme 5). Expanding the board chair role into board and fundraising (Theme 7), there is further evidence to potentially support the concept of LLX occurring in organisations where there is a fundraising context.

While CEO–board chair recruitment recommendations from interviews are further tested in focus groups, two challenges are suggested for the sector from this chapter. The CEO–board chair relationship is *different* in a fundraising context and requires both CEOs and board chairs to be aware of fundraising and sector knowledge when performing their roles, resulting in shared organisational and fundraising leadership. LMX is *inadequate* to explain the theoretical context of CEO and board chair leadership, lending support to both leaders recognised as leading in different, yet equal roles, as described as LLX.

5.7 EMERGING ISSUES FROM THE DATA ANALYSIS TO BE TESTED IN FOCUS GROUPS (STUDY 3): CEO AND BOARD RECRUITMENT

As discussed earlier in this chapter, interviewees were asked their views on CEO and board member recruitment in relation to fundraising. A thematic analysis of interview data ensued, utilising NVivo, producing the following concepts for the purpose of focus groups review for CEO recruitment (Figure 5.3) and board recruitment (Figure 5.4). The following concepts were most pertinent for focus group discussion.
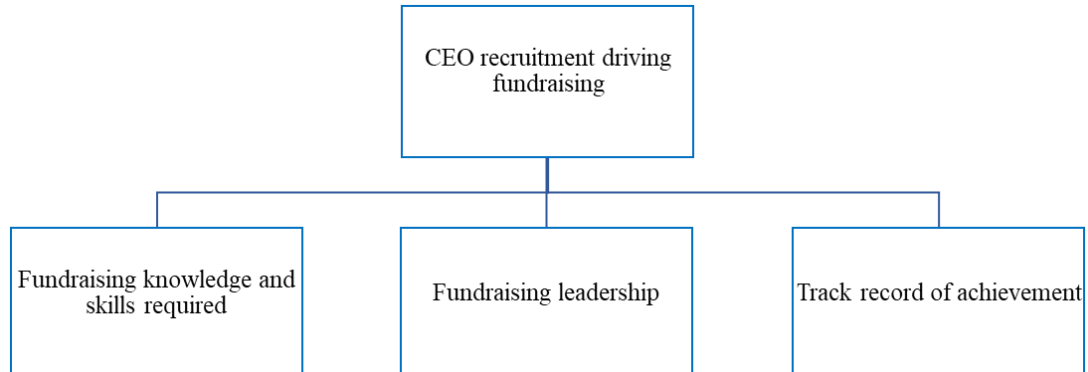

Figure 5.3: Concepts from interviews relating to CEO recruitment for use in focus groups
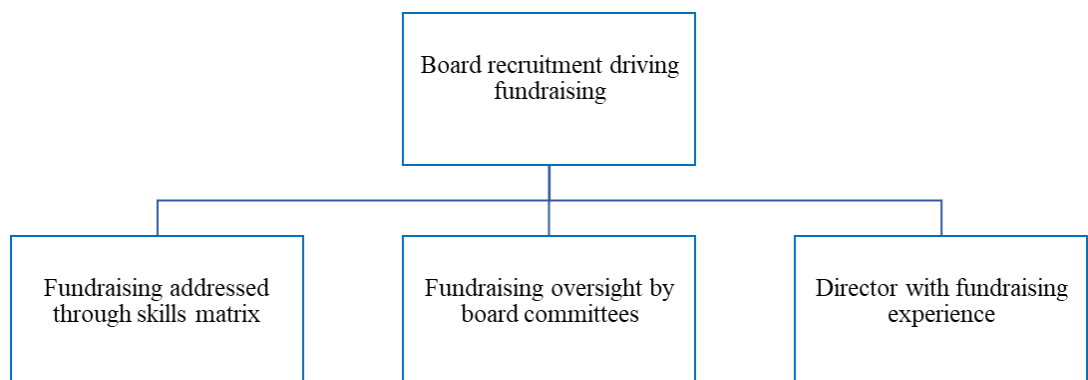

Figure 5.4: Concepts from interviews relating to board recruitment for use in focus groups

Summarising responses under these concepts, a long list of recommendations was drawn for focus group review and this list was further refined. For CEO and board chair interviews, the priority was to explore influences on the dyadic relationship between the CEO and board chair that drives fundraising and mission. For focus groups, aspects centred on recruitment documentation and advertising for CEO and board roles that would potentially support the CEO and board chair relationship driving fundraising.

5.8   WHAT THIS DATA ADDS TO THESIS RQS

The introduction to this chapter indicated that Study 2 would respond to RQs 1, 2, and 3, with interview data analysed under concepts considering responses of CEOs, board chairs and combined views. Table 5.21 presents outcomes relating to key aspects of RQs.

Table 5.21: Data in relation to RQs

RQ	Aspect relating to RQ	Data relating to RQ
RQ1	CEO role	CEO has central role in leading and driving fundraising and should be recruited with skills, experience and knowledge around fundraising or be provided with a pathway to gain fundraising skills and knowledge
		CEO has pivotal role in educating and informing boards on fundraising practice and benchmarking
	CEO track record	CEO with successful track record in a similar or complementary organisation is important
	CEO leadership style	Leadership style important when driving fundraising and often can be described as servant leadership, democratic, transformational, or collaborative
	Board chair role	Board chair supports CEO and shares leadership of the organisation including fundraising
RQ2	Board chair role	Board chair crucial to sharing organisational leadership with the CEO and developing a relationship with the CEO to support this leadership which includes fundraising
		Board chair should be willing to lead by example in a fundraising context
	Board role	Board members should be willing to be involved in fundraising in some way
	Board induction and professional development	Organisational induction should include fundraising to inform current practice
		Boards require fundraising benchmarking education to inform their view of their fundraising practice
	Board and management	CEO should develop a relationship with each board member to help drive fundraising and mission
		Board and management should have an appreciation of each other's role and work together on understanding fundraising investment, engaging in fundraising,

		strategising, developing a fundraising committee and building a fundraising culture
RQ3	CEO–board chair relationship	This relationship is key to leading the organisation and its fundraising. It either drives or supports fundraising and is unique to the sector, based on mutual Trust and Respect (Bauer & Erdogan, 2015). It is supported by good communication and underpinned by fundraising and sector knowledge. It is dependent on confidentiality and EI (Tucker et al., 2020) CEOs and board chairs often share similar values Barriers to the relationship driving fundraising should be recognised and could include having different philosophies, lack of Trust (Scandura & Pellegrini, 2008) and respect for each other, lack of communication, ego prominence and lack of EI (Tucker et al., 2020) CEOs and board chairs are aligned on strategy, process, and priorities
	Communication	Regular communication is required, ensuring accessibility to each other and discussion of the relationship to consider missing factors or those that would improve the relationship to better drive fundraising and mission The CEO and board chair relationship takes effort and good communication to set up and maintain based on mutual Respect and Trust (Bauer & Erdogan, 2015)
	Leadership styles	CEO and board chairs in the same organisation are often using the same leadership styles e.g., democratic, servant leadership, collaborative
	Fundraising discussion	Discussion on fundraising must be a focal point of the relationship, considering current practice and future opportunities
	Future factors - internal	Could be represented by boards understanding the nonprofit sector and trends; succession planning of leadership, innovation emphasis; perception by constituency
	Future factors - external	Could be represented by environmental shocks e.g., recession or pandemic; changes in the marketplace and competition; government regulation and policy
	Future factors - fundraising	Include unwillingness to develop new channels, investment strategies, negative board views, fundraising funds that do not eventuate and are affected by uncontrollable events, lack of expertise by CEO
	CEO–board chair relationship	A strong CEO–board chair relationship would be able to withstand many future factors
	CEO recruitment	CEOs should be recruited with a passion and vision for the organisation, be in good repute and standing in the community, have a track record of past success, be knowledgeable about fundraising and markets, have interpersonal skills and qualifications suitable to the role, sector, and organisation
	Board recruitment	Board members should be recruited with an interest in furthering the work of the organisation, offering their skills and networks, understand the purpose of a nonprofit board, be aware of the purpose of fundraising in the organisation, be able and willing to support fundraising Expectations of board members in relation to fundraising should be expressed in the recruitment process The purpose of a board director specific to fundraising has the purpose of interpreting various types of

fundraising for the board, has knowledge of the sector
and fundraising purpose and strategy, needs skills and
experience in fundraising in a governance environment
The desire for more fundraising skills in board directors
supports the recruitment case for a fundraising director
with those skills
Should include willingness to be involved in fundraising
and seek a director with fundraising experience
(according to the needs of the organisation)
Induction involving fundraising supports successful
recruitment and should be delivered by CEO, board chair
and senior staff, focusing on expectations and
fundraising strategy in the organisation

5.9 CHAPTER SUMMARY

This chapter reported interview data from 44 participants in 22 case organisations. The sample of interviewees was explained as being from an inclusive selection of organisations within the sector, with participants who had long experience in their roles. Interviews were conducted considering data from the document analysis (Study 1) and Findings were presented from this interview data assembled within seven Themes and drawing inferences around the unique CEO–board chair relationship, presenting a case for the concept of LLX. Finally, recommendations about CEO and board recruitment were itemised for focus group (Study 3) review, as discussed in the next chapter.

Chapter 6: Focus groups in relation to CEO and board recruitment (Study 3)

6.1   INTRODUCTION TO THIS STUDY

My research concludes with focus groups (Study 3) featuring CEO and board member recruitment. Figure 6.1 outlines the research process from planning to the analysis of data.
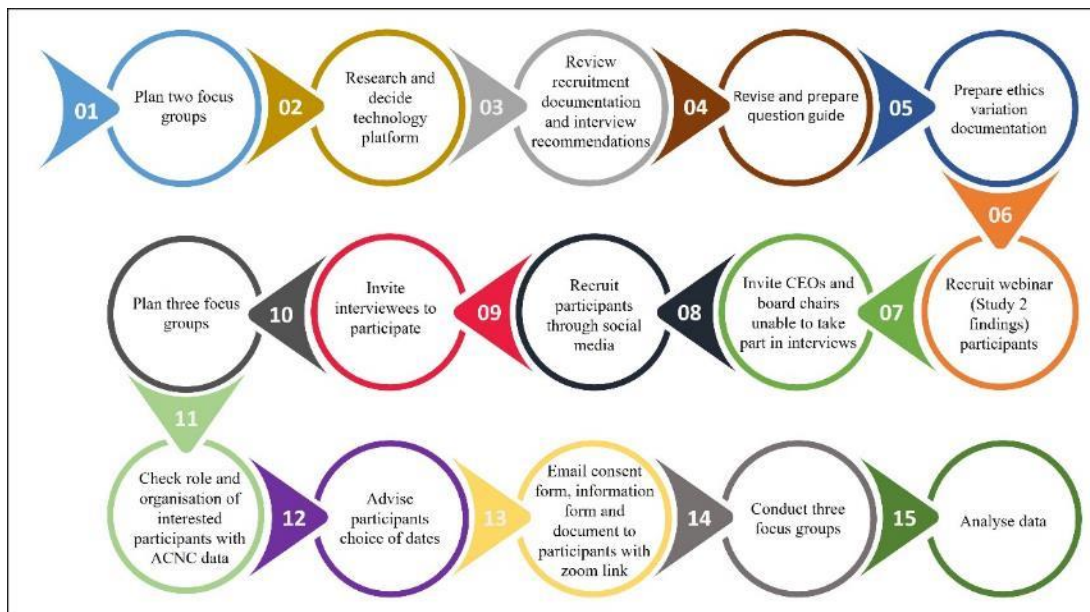
Figure 6.1: Study 3 data collection plan

The aim of this final study was to review outcomes from the document analysis (Study 1) and interview data (Study 2), triangulating data in relation to CEO and board recruitment. Together, this data brought recommendations for recruitment wording for CEOs and board members to assist both roles to drive fundraising and mission in nonprofit organisations where fundraising is an important revenue stream. New evidence was sought to equip CEOs and boards to understand the impact of a relationship that could drive fundraising and mission and guide recruitment practices for the sector. Recruitment paves the way for this relationship to develop. Through the focus groups, interdisciplinary experts were requested to provide their views and recommendations.

As Figure 6.1 outlines, two focus groups were initially planned; however, after receiving numerous queries about the research and interest from interview participants, three online focus groups were offered, allowing participation from most states and territories of Australia and representation from organisations in various sub-sectors.

Focus groups began by highlighting top-of-mind elements when conducting effective and impactful CEO and board member recruitment. Where fundraising was an income stream, these recommendations would guide recruitment. Recruitment wording was also sought that would best reflect the CEO–board relationship in fundraising leadership to convey the shared fundraising leadership of the CEO and board, reflecting on previous recruitment wording from Study 1. Guidance for the

preparation and placement of recruitment advertising would be reviewed from Study 1 and Study 2. Finally, an outline of skills and experience required for CEOs and board members, recruiting three positions, would be reviewed from Study 1 and 2 – that is, a CEO leading fundraising, any board member in relation to fundraising and a board member bringing fundraising experience.

The Findings from these focus groups combine and contribute to answering RQs 1, 2, and 3.

RQ 1: What influences a CEO's effectiveness in working with a nonprofit board to drive fundraising and mission?

RQ 2: What influences a nonprofit board's effectiveness in driving fundraising and mission?

RQ 3: What supports the dyadic CEO–board chair relationship in driving fundraising and mission?

In this chapter, Findings from three focus groups are reported, including recommendations for recruitment advertising for CEOs and two board roles in relation to fundraising. The chapter concludes with a summary, leading into the final chapter, which ties together key results, implications, and impact of the study.

This chapter contains tables that capture and present large amounts of qualitative data. Consequently, there are many tables, allowing readers the option to deep dive in the actual data on specific points.

6.2 NONPROFIT FUNDRAISING LEADERSHIP RECRUITMENT LITERATURE REVEALING A GAP IN KNOWLEDGE

Gaps in literature were discussed early in Chapter 4 (Study 1) and Chapter 5 (Study 2). As Study 3 concludes, the gap in literature for recruitment advertising in a fundraising context has been confirmed. In relation to this part of the study, literature referred to nonprofit leadership (Brimhall, 2019; Mason & Kim, 2020; Norman, Rose, Rose & Ugrin, 2020), its recruitment (Green & Dalton, 2007; Jennings, 2018; Townsend, 2019), CEO and board skills (Lyman-Torres, 2018; Norris-Tirrell, Rinella & Pham, 2018; O'Boyle, Shilbury & Ferkins, 2019; Trautman & Ford, 2018) and the CEO–board relationship (Koskinen & Anna-Maija, 2016; Stewart, 1991; Walters, 2020). The focus groups sought to explore these concepts further and provide fresh insight from interdisciplinary participants in a fundraising context.

Recommendations for CEO and board member recruitment are limited to practice-based publications. Being more specific about CEO and board recruitment advertising is a standout recommendation from this study.

6.3 FOCUS GROUPS AS A METHOD IN THIS STUDY

The focus group methodology is unique because 'the informative source is a group, and the heuristic value of the technique lies in the kind of interaction between participants' (Acocella, 2012). They can be part of a mixed-method approach, as in Study 3 (focus groups), and add value to study findings as peers discuss and debate topics.

At this penultimate stage of the research, the aim was to triangulate recruitment data from Study 1 and 2. Having participants from varying backgrounds, but all from organisational leadership positions (CEOs and/or board members) and all with a keen interest in the study outcomes, this final process of data review and refinement was only possible through human focus group participation.

6.4 FOCUS GROUP PARTICIPANT SAMPLE

The sampling aim was to populate focus groups with interdisciplinary experts, CEOs or a similar leadership role, and board members in organisations where fundraising was an important revenue stream, tax-exempt donations were collected through the website, and organisations were ACNC registered charities. Data collection were expected to take approximately three weeks, depending on the number of focus groups and their frequency. As mentioned, initially, two focus groups were anticipated, however, because of interest in the research and enthusiasm for the topic, three focus groups were arranged. As the end of the year was approaching, the researcher was keen to sustain the interest and enthusiasm of interviewees. For this reason, focus groups were organised over a two-week period in November and December 2021. My previous focus group experience with these experts had shown that smaller groups work better, allowing all to take part in the discussion. This reinforced the decision for three groups.

6.4.1 Focus group recruitment

Table 6.1: Focus group participants

Focus group 1	Participant	State of origin	Interviewee/other	Board/CEO

	1	QLD	Interviewee	Board
	2	QLD	Interviewee	CEO
	3	TAS	Interviewee	Board
	4	VIC	Other	Board
	5	QLD	Other	Board
	6	NSW	Other	Board
Focus group 2				
	1	QLD	Interviewee	CEO
	2	SA	Interviewee	CEO
	3	VIC	Other	Board
	4	QLD	Other	Board
	5	WA	Other	CEO
	6	VIC	Other	CEO
Focus group 3				
	1	NSW	Interviewee	CEO
	2	SA	Interviewee	Board
	3	ACT	Interviewee	CEO
	4	NSW	Other	CEO
	5	ACT	Other	CEO
	6	NSW	Other	CEO
	7	QLD	Other	Board
	8	VIC	Other	Board

Recruitment of participants was expected to take two months. It included inviting interview participants and CEOs or board members from organisations unable to participate in interviews, as well as advertising through social media. As noted earlier, COVID-19 restrictions continued, suggesting online focus groups were the only way forward. Study 3 participants were invited in October 2021, at the conclusion of all interviews, with eight people (19%) agreeing to participate, represented in Table 6.1 by 'interviewee'. Of the CEOs and board members who did not participate in interviews, 12 people (48%) agreed to participate, represented in Table 6.1 by 'other'. It was initially anticipated that 20 people would participate in the focus groups, and 20 people did so. Table 6.1 indicates the roles of the participants in each focus group; however, some participants had other roles in separate organisations. The roles here

are for the organisations they represented on this occasion. All states and territories of Australia were represented, except the Northern Territory. As forecast earlier, online focus groups allowed disparate representation from around Australia that would not have been possible if focus groups were held in person in one state or in each state (which would require more travelling time and cost). Gender of participants is not represented in Table 6.1, to ensure anonymity; however, Group 1 consisted of 50 per cent male and 50 per cent female; Group 2 consisted of 33.3 per cent male and 66.6 per cent female; Group 3 consisted of 37.5 per cent male and 62.5 per cent female. Studies have not been uncovered to find whether this gender mix reflects the wider research population in focus groups, however, it reflects previous experience of the researcher, as females have been more represented. As Table 6.1 summarises, participants in each group were from varied locations, had varied genders, consisted of interviewees and others, and had a spread of CEO and board roles represented. Even though Group 1 only consisted of one CEO participant, the discussion did not appear to be less influenced by this CEO role. This CEO was actively involved in all discussions. Consent forms and information sheets were distributed ahead to participants, along with the Zoom link. It was noteworthy that all 20 participants swiftly returned consent forms, accepted calendar invitations and attended as agreed. As highlighted earlier, there was evident interest in this research topic.

6.4.2 Online focus groups and technology

Since all focus groups were conducted online, it is impossible to suggest different results, with alternate participants, would have eventuated if focus groups were held in person. By the second year of COVID-19 restrictions, participants indicated vast and ongoing experience with online meetings of all types, suggesting that conducting online focus groups would work as well as in-person groups (Richard et al., 2021). Research on appropriate technology platforms was conducted, with Zoom software chosen for its availability, reliability, accessibility and ease of use (Gray et al., 2020). Participants were adept with the technology, with no participants advising connection, sound or visual problems. While other studies (Wirtz et al., 2021) had indicated a technology support person being present, this was not possible and was not needed. With the ongoing challenges during COVID-19 for all organisations, there was no choice but to conduct the focus groups online. There is little or no indication the geographic diversity of participants and the content of the discussion had a

detrimental effect on the study Findings. Researcher costs were certainly diminished, considering the alternative of travel, accommodation and venue costs to conduct in-person focus groups. The question guide proved adequate and allowed for in-depth probing to stimulate further discussion.

6.5   CONCEPTS IN REVIEW

As discussed in Chapter 4 (Study 1), the document analysis of CEO and board member recruitment documentation yielded several areas of data review and responses to RQs. Some areas were also referenced in interviews and specific questions on recruitment were asked of interviewees. Some outcomes in Studies 1 and 2 were to be reviewed, all focusing on CEO and board recruitment.

6.5.1 Document analysis (Study 1)

Outcomes detailed in Chapter 4 resulted in numerous tables, documenting the various skills, experience, abilities and qualifications required by CEOs in a fundraising context. Not as much fundraising key-word evidence was uncovered in board recruitment documentation, signalling a need for this research. The size of organisations and their reliance on fundraising indicated there were varying standards of fundraising evidence in recruitment advertising. On occasion, organisational and fundraising leadership was alluded to without specific wording. Where literature referred to shared leadership of the board and CEO, little evidence was found in advertising. Recruitment agencies were mentioned in data; however, the degree of their use in either CEO or board recruitment practice was unclear. From time to time, board recruitment mentioned board committee involvement, however, instances were irregular and gave cause for more focus.

6.5.2 Interviews (Study 2)

Chapter 5 detailed interviewee thoughts on CEO and board member recruitment in relation to fundraising. CEOs and board chairs were asked about board recruitment practices. Board chairs were asked about CEO attributes that were required and desired. Mostly, fundraising experience was more sought in CEOs than board members, as CEOs were seen as driving fundraising and centres of fundraising in the organisation. Data gleaned from interviewees formed long lists of requirements for CEO and board member recruitment. Specifically, questions focused on what organisations would be looking for in CEOs and board members that would drive

fundraising in the organisation. Not all board chairs considered board leadership to be *driving* fundraising, but certainly boards should be *supporting* fundraising. Responses were varied and provided several options for board members to be involved in fundraising, after receiving induction and ongoing professional development that included fundraising.

A thematic analysis of interview data ensued, utilising NVivo, producing the following concepts for the purpose of focus groups' review for CEO recruitment (Figure 6.2) and board recruitment (Figure 6.3), previously presented in Chapter 5.
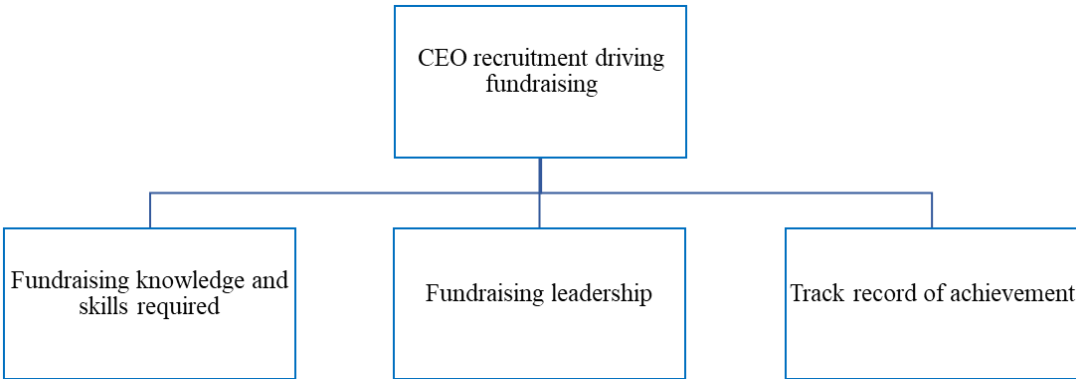
Figure 6.2: Concepts from interviews relating to CEO recruitment for use in focus groups
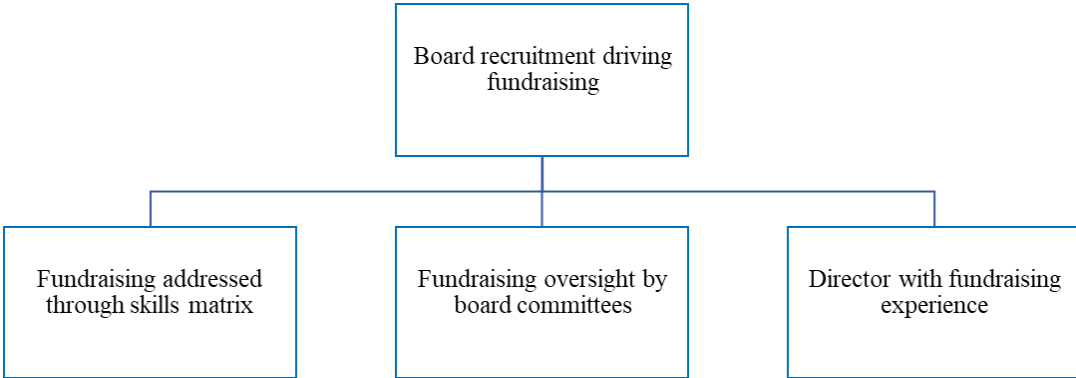
Figure 6.3: Concepts from interviews relating to board recruitment for use in focus groups

6.5.3 Focus group (Study 3) concepts

Summarising responses under these concepts, long lists of recommendations were drawn for focus group review from the document analysis (Study 1) and interviews (Study 2. For a more concise review by focus groups, a shorter, more succinctly worded list was developed, which proved to be more useful and manageable. More data were collected for 'any board member' and 'CEO'; repetitive and similar phrases were reduced for review. Lists in the three sections were numbered

and referred to as such by focus group participants. Data enabled reviewers to amend/add or delete from these lists. Careful thought was given to the number and value of the questions considering the one-hour plan for each focus group. Ethics variation approval was gained for the revised question guide (Appendix J).

To assist participants to centre on CEO and board member recruitment and to encourage group involvement, an introductory question asked participants to brainstorm various elements of this recruitment.

6.5.3.1 Recruitment wording describing CEO–board relationship

Discussion then revolved around recruitment wording that could describe the CEO and board relationship leading fundraising, which was of great importance to the whole research. Literature describes the CEO–board relationship as a strong working relationship and often critical to sustainability (Cohen, 2008; Harrison & Murray, 2012; Joyaux, 2011; Scaife et al., 2013; Tempel et al., 2016). Interviews endorsed this view, confirming the CEO and board chair, in particular, need to have a good, strong working relationship, as discussed in Chapter 5 (Section 5.5.1). For CEOs, documentation mentioned 'working with the board and fundraising' and 'leading fundraising', as well as numerous references to philanthropy and fundraising. For board recruitment, documentation rarely recognised this CEO–board relationship in relation to fundraising but did mention fundraising and philanthropy numerous times. Focus group participants were challenged to consider the words 'board works with CEO to lead fundraising' (or develop other phrases) to include in recruitment documentation for board members and CEOs.

6.5.3.2 Fundraising experience of CEOs and board members in relation to organisation size and fundraising reliance

Participants then considered the degree of fundraising skills and experience required by CEOs and board members generally, and then in comparison to organisation size and fundraising reliance. In organisations where there is a fundraising team, organisational size, and the degree of reliance on fundraising revenue may influence the fundraising skills and experience required of CEOs and board candidates. From my research and as mentioned in Chapter 4, recruitment advertising for board members and CEOs, organisation size and reliance on fundraising revenue often *did*

not relate to fundraising skills and experience of CEOs or board members required by organisations. Interview participants varied widely in their views about what was required by CEOs and board candidates in relation to fundraising skills and experience. Smaller organisations and those with greater reliance on fundraising often required greater abilities, as fundraising was critical to the organisation.

6.5.3.3 Authorship and placement of recruitment advertising

Focus groups then considered who would best write recruitment documentation for CEOs and the board – the organisation or a recruitment agency – and recommended the best placement for recruitment advertising. The document analysis indicated digital advertising was the most successful means of collecting recruitment data, through websites such as Ethical Jobs and Pro Bono Careers for both board and CEO positions. Even though data collection was successful through these means, it is unknown whether digital advertising was best for recruitment. Further research would indicate this. Some recruitment agencies advertised through these sites and their own, for example FIA, People for Purpose, CMA, Brooker, Cantlie, Fisher Leadership, NGS Global, Grey Matta Solutions and SACS. It was often difficult to ascertain in the document analysis whether organisations or recruitment agencies had written recruitment documentation, either somewhat or wholly. Indications from advertising were that CEO advertising was written by the organisations 66 per cent of the time and by agencies 34 per cent of the time, with board advertising written by organisations 89 per cent of the time and agencies 11 per cent of the time. This resulted in a discrepancy that could have been explained by focus groups or further questioning of organisations, but which was not in the scope of this research.

6.5.3.4 Skills, ability and fundraising experience of CEOs and board members

The final section of the question guide referred to the summary of fundraising skills, experience and abilities required by CEOs, any board members and board members bringing fundraising experience in a fundraising context. Recruitment data from Studies 1 and 2 was synthesised and further simplified to present to focus groups for review. Participants were encouraged to add to the lists or suggest deletions or movement between lists. The purpose of the focus groups (Study 3) was to review and refine the synthesised data and form recommendations for CEO and board recruitment

specifically to guide fundraising. Focus group participants worked well together for this purpose, expressing individual views and then combining to form final recommendations.

6.5.3.5 Final reflections

To draw the focus groups to a close and offer opportunity for final thoughts or emphasis, participants were asked to reflect on the discussion and add any additional views from their experience or where topics relevant to the discussion had not been highlighted. Only one of the recommendations from recruitment documentation did not proceed to the focus groups for consideration. Participants were *not* asked to explore why some organisations were so prolific in their recruitment documentation in requiring so much fundraising evidence of CEOs, particularly. It was thought to be outside the scope of these participants and could have been considered as part of the discussion on smaller organisations and those with greater reliance on fundraising, requiring more fundraising skills, experience and abilities.

6.6   ANALYSIS AND OUTCOMES

Data from the focus groups were combined to provide overall commentary from interdisciplinary experts in order of the question guide (Appendix J).
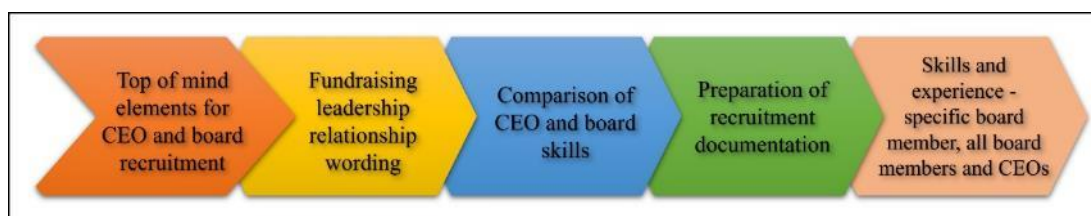
6.6.1 Recruitment elements for consideration by organisations

6.6.1.1   Top-of-mind elements for CEO recruitment

Each focus group began their discussion centred on various facets of recruitment: prior to recruitment, the recruitment process, and considerations for and abilities of candidates the organisation is seeking or may be presented with.

6.6.1.2   Top-of-mind elements for board recruitment

The three groups identified various aspects of board member recruitment, in a similar vein to CEO recruitment. Groups mentioned more elements around 'prior to recruitment' and 'the recruitment process' for board members, including various

challenges with board recruitment. Perhaps because candidates would be one of a group, rather than the operational leader (CEO), they thought there were different aspects involved. There was no agreement that board members should donate financially because they give of their time, and, in some situations, considerable amounts of time. One participant mentioned that board members often only fulfill 50 per cent of advertised requirements. Diversity was featured in all groups, with participants mentioning a variety of ways diversity could be included on boards.

6.6.2 Fundraising leadership relationship wording between CEO and board

Each group was asked to consider the recommended words, *'the board works with the CEO to lead fundraising'* and for that phrase to be included in recruitment documentation for CEOs and board members. The first group discussed aspects of the board leading fundraising, with various opinions about how that could be achieved (e.g., sitting on a fundraising committee, learning about philanthropy and the board investing in income generation). It was agreed that the board has a governance role in fundraising, while the CEO has more of an operational role as well as being mindful of governance aspects. The second group expressed contrasting views about the role of the board in fundraising and working with the CEO to lead fundraising. Some thought boards should not get involved in fundraising at all, while others thought boards should take a more active role with the CEO. The third group had varying opinions that the board should be leading fundraising when other functions are not isolated for board leadership, and all functions come under overall governance with leadership of the organisation. Two phrases emerged alongside 'the board works with the CEO to lead fundraising': *'the board and CEO collaborate to lead fundraising'* and *'the board and CEO lead and drive fundraising'* (Figure 6.4). Each of the three phrases quoted by participants could be used by organisations in recruitment and orientation. Some participants considered that 'collaborate' better explained the working relationship of the CEO and board. Other participants were more explicit about the CEO and board *leading* fundraising and therefore *driving* fundraising.
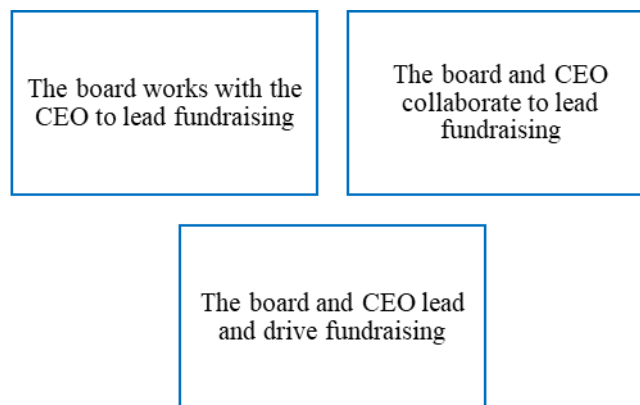
Figure 6.4: Options for fundraising leadership relationship wording between CEO and board

6.6.3 Comparison of skills of CEOs and board candidates in small organisations or those where fundraising revenue is critical

The groups focused on the size of organisations rather than specifically where fundraising was critical to the organisation. Whether the organisation is small or large, groups felt boards would benefit from fundraising experience and skill. CEOs and boards required the skills and experience to lead fundraising strategies and perform adequate governance and management compliance oversight. If a focus of the organisation was on fundraising, then more skills/experience would be required from the CEO *and* the board. Table 6.2 outlines focus group outcomes about skills and abilities required by CEO; Table 6.3 details the similar outcomes for boards. Both tables offer recommendations and considerations for smaller and larger organisations.

Table 6.2: Skills and abilities required by CEOs, comparing organisation size

Small organisations – CEOs	Large organisations – CEOs
Require fundraising skills	If fundraising is a key aspect, the CEO needs to understand fundraising
Culture of fundraising teamwork with the board	Guides fundraising where there is a fundraising team
Writes grants	May still write grants as not always sufficient expertise in the fundraising team
Fundraising skills often required in CEO rather than board members	KPIs around fundraising should be part of CEO role
Less fundraising expertise required as organisation grows (and a fundraising team is recruited)	If a function, other than fundraising, needs more focus in future organisation strategy, then the CEO needs to concentrate on that area e.g., disability services

Table 6.3: Skills and abilities required by boards, comparing organisation size

Small organisations – Board members	Large organisations – Board members
Recruited for fundraising skills because no fundraising staff	Less or no hands-on work, but fundraising skills useful to question fundraising team and CEO
Culture of fundraising teamwork with the CEO	Support the CEO and fundraising team
Fundraising committee may be required when board is management v governance board	Need governance oversight with compliance issues
Should not propose to be experts without fundraising skill and experience	Need understanding of complex income generation strategies
	Introductions, connections, and advocacy assistance is more important

6.6.4 Preparation of recruitment documentation by organisations

6.6.4.1 Authorship

Groups discussed the board and CEO recruitment process, and differentiated the roles of organisations and recruitment agencies, and the ways they worked together. Whether the board is recruiting a CEO or board members, they need to be clear about the kind of person and the skills, attributes and knowledge required, and prepare a briefing document (Robson & McCartan, 2016). Networking recruitment for board members remains popular, consistent with Cornish (2009); however, CEO recruitment is generally managed by an agency. If an agency is used, a well-considered brief from the organisation is required. Concern was raised with member-elected boards, where the skill base is limited for strategic and governance experience. The means of recruitment often depended on organisation size, budget, focus and circumstances, with recruitment for CEO and board member roles often relative to salaries, which is a mismatch as board members are volunteers. Detailed direct and indirect costs, as noted by Townsend (2019), were not discussed.

6.6.4.2 Placement

Each group recommended various online recruitment websites and forums (Coleman, 2006; Minton-Eversole, 2007) as well as utilising the resources of the organisation, consistent with outcomes from the document analysis. Specific organisations were mentioned (e.g., AICD, Women on Boards), which target advertising for board directors and leadership roles. Strong support was shown for

recruitment agencies with their own networks. A targeted approach was suggested as achieving the best results, either using agencies or advertising broadly.

6.6.5 Recruitment skills and experience for board members and CEOs

Prior to the commencement of the focus groups, all participants were provided with a document outlining five to six recommendations for seeking a specific board member bringing fundraising experience, any board member in relation to fundraising, and CEO in relation to fundraising. Each focus group discussed each section, sometimes prioritising phrases, with a consensus being formed in each section by each group. Data were combined from each group, allowing for table development of outcomes (as follows). Each group's final recommendations were similar enabling final consensus between the groups. Suggestions were received for each section, often becoming prescriptive in fundraising terms, with recommendations for CEOs being the least-adjusted section. It was clear that fundraising strategy needs to be understood by the CEO *and* board. Each group had much discussion on the expectations of board members' giving and, on occasions, raised doubts about whether giving was necessary. Ambition for the organisation and its fundraising was appreciated. The requirements for the CEO very much depended on other skills within the organisation, particularly in the executive team. The final moments of the focus groups gave participants the opportunity to express or emphasise their views on any of the topics discussed. Many participants reiterated the need for CEOs *and* boards to understand fundraising and arrange training where needed.

> *If there isn't fundraising experience … or expertise, then somehow that knowledge needs to be learnt or have a chair that drives that. (FG)*

The many roles of boards, board chairs and CEOs were discussed, some expressing the need for boards to understand fundraising investment, fundraising returns, and the significant role the CEO has in articulating fundraising with the board, with philanthropic culture not to be underestimated as it should be set by the board.

> *CEO is the 'conduit between fundraising and the board' and helping the board to understand this. (FG)*

> *Setting the philanthropic culture does come from the board. (FG)*

One group stressed the importance of onboarding, clarity around performance expectations, and check-ins for board members *and* CEOs at three and six-month

stages. Even though the recruitment process may work well, the reality of performance may be quite different.

Table 6.4 outlines recommendations for the skills and experience for recruiting a board member bringing fundraising experience.

Table 6.4: Recommendations for recruiting a board member with fundraising experience

Focus	Recommendation
Understanding	What it takes to fundraise The value of building Trusting relationships (Scandura & Pellegrini, 2008)
Knowledge	Of the sector Governance
Willingness	Tell a compelling story about the work of the organisation Lead a fundraising committee
Ability	Open doors, make introductions and spot opportunities for revenue raising with the agreed fundraising strategy Build Trusting relationships (Scandura & Pellegrini, 2008)
Provide	Analysis of the annual fundraising plan Insightful review of fundraising reports in relation to performance Professional fundraising qualifications or accreditation
Desirable	Professional fundraising experience or expertise in an organisation that fundraises Philanthropic support within capacity

Table 6.5 outlines recommendations for the skills and experience for recruiting *any* board members in relation to fundraising.

Table 6.5: Recommendations for recruiting any board member in relation to fundraising

Focus	Recommendation
Understanding	Principal purpose of a nonprofit board in an organisation that fundraises from a governance perspective Have or develop an understanding of the organisation strategic plan including fundraising plans and targets Develop an understanding of the sector and what it takes to fundraise
Willingness	Tell a compelling story about the work of the organisation and show where fundraising or philanthropy fits in Be an ambassador or advocate in communities and workplaces, looking for fundraising or philanthropic opportunities Contribute towards a culture of philanthropy, having a positive attitude and belief towards fundraising
Ability	Have or develop an ambition for the organisation and its fundraising within the board risk appetite Open doors, make introductions and spot opportunities for revenue raising within the agreed fundraising strategy
Provide	Commitment, passion, and dedication to the mission through a financial contribution

Table 6.6 outlines recommendations for the skills and experience for CEOs in relation to fundraising.

      Chapter 6: Focus groups in relation to CEO and board recruitment (Study 3)

Table 6.6: Recommendations for recruiting CEOs in relation to fundraising

Focus	Recommendation
Knowledge	Keep up to date with what's happening in the community, the fundraising sector and marketplace
	Possess commercial acumen and fundraising investment knowledge including risk management
Ability	Ensure the vision and purpose of the organisation is well captured and understood by the community
	Work closely with the board to develop the organisation including fundraising strategic plans, driving a positive, value-based culture aligned to the mission
	Build and manage key relationships with donors and partners in liaison with professional staff
Provide	Have a broad vision as to fundraising efforts required for the organisation, the elements of successful fundraising and the skill to recruit appropriate staff

The manner by which recruitment is conducted varies from organisation to organisation. Organisations may choose networking or agency assistance, or both; however, applying CI, 75 per cent of interviewees agreed:

Recruiting board members differently to past customs (e.g., word of mouth, touch on the shoulder) is the key to changing board mindset about fundraising income streams and diversification. (CEO)

Therefore, from these focus groups, recommendations are to 'think differently' and consider all resources for board recruitment.

6.7   IMPLICATIONS FOR THEORY AND PRACTICE

Elements of LMX were reflected in the views of focus group participants and confirmed the exchange and engagement in the CEO–board relationship. The different and complementary roles of the CEO and board were highlighted, recognising the unique and important aspects of this relationship.

Just as literature endorses the shared leadership of the board and CEO in a fundraising context (Lord et al., 2017; Scaife et al., 2013), focus groups confirmed the evidence in CEO recruitment documentation and the views, expressed by CEOs and board chairs in interviews, that CEOs and board chairs need a good, strong working relationship to lead fundraising and sustain the organisation (Sargeant et al., 2018; Taliaferro, 2013).

CEO needs a good, strong working relationship with the board chair that doesn't stifle CEO motivation to find fundraising and funding opportunities. (CEO)

This CEO explained the reason why such a relationship was necessary between the CEO and board chair – to provide motivation to drive fundraising and seek funding opportunities to fund the mission of the organisation. This confirms literature that states that fundraising meets mission (Scott, 2014). Conversely, it could be said that without a strong CEO–board chair relationship, motivation for fundraising and funding the organisation could be lacking for CEOs. Interview data in Chapter 5 (Section 5.5.1) discussed this aspect of the relationship, confirming that mutual Trust and Respect (Bauer & Erdogan, 2015) are necessary, as well as the CEO leading and focusing on fundraising.

CEO recruitment documentation also indicated 'the board works with the CEO to lead fundraising' was a justifiable phrase; however, focus groups extended the concept for *both* entities (CEO and board) as there is a fundraising leadership role between both. Three options to describe this leadership role are offered and recommended:

- The board works with the CEO to lead fundraising
- The board and CEO collaborate to lead fundraising
- The board and CEO lead and drive fundraising.

The recommendations in Tables 6.4 and 6.5 relating to board members did not include 'board working with the CEO to lead fundraising'; however, Table 6.6 certainly did from the CEO point of view. Despite this inconsistency, the overarching wording above was still recommended.

In practice, boards may have some hesitancy in using *'the board and CEO lead and drive fundraising'* because of varying and possibly limited fundraising experience on the board and, in some cases, total disagreement of their role in fundraising. Studies 2 and 3 confirmed that induction should include fundraising aspects and fundraising should be included in ongoing professional development of the board. This would help boards to understand their role in leading and driving fundraising with the CEO. Focus groups were deliberate in their encouragement of using this phrase, indicating their understanding of the joint role of CEO and board.

Focus groups appeared to have more recommendations for board members rather than CEOs. Speculation could offer explanations surrounding varying standards for board recruitment documentation (examples in document analysis), boards

generally not participating or leading fundraising (Scaife et al., 2013; Stanczykiewicz, 2020) and the perception that board volunteering has little accountability – a view the ACNC would dispute.

> *Under the ACNC Act, board members of registered incorporated charities may be personally liable for deliberate actions or omissions that breach the ACNC Act if they have acted dishonestly, with gross negligence or are reckless.* (ACNC, 2022b)

The challenge continues for the nonprofit sector to put into practice the learnings from literature and empirical research. Only when this happens will change occur.

6.8 WHAT THIS DATA ADDS TO THE RQS

The introduction to this chapter indicated focus groups would respond to RQs 1, 2 and 3. Responses drawn from the document analysis (Study 1) have now been tested in CEO and board chair interviews (Study 2), refined in focus groups (Study 3) and presented in Table 6.7.

Table 6.7: Focus group data relating to RQs

RQ	Aspect relating to RQ	Data relating to RQ
RQ1	CEO Leadership	Shares organisational and fundraising leadership with board
		Works closely with board on strategy and culture
	Board	All board members and board member with fundraising expertise support CEO
	Small organisations	More fundraising skills and experience required by CEOs (Table 6.2)
RQ2	Board chair role	Shares organisational and fundraising leadership with CEO
	Board member with fundraising experience	Helps board to understand and develop fundraising better
	Board member with fundraising experience	Recommendations for advertisement (Table 6.4)
	Small organisations	More fundraising skills and experience required by board members (Table 6.3)
	Board professional development	Includes fundraising
RQ3	CEO–board chair relationship	Practical embodiment of CEO–board share leadership in organisational and fundraising leadership
		Supported by a willingness of board and board chair understanding fundraising, being involved in fundraising together, valuing donors and supporters, interacting with them
	CEO recruitment	Recommendations for advertisement (Table 6.6)
		Recruitment of a CEO willing to work with the board to lead fundraising will help all board members to be

	involved in and support fundraising better, understanding fundraising systems, investment and stewardship of donors and supporters
Board recruitment	Recommendations for advertisement (Table 6.5)
Board member with fundraising experience	Recommendations for advertisement (Table 6.4)
Three options for describing shared leadership in advertisement	The board works with the CEO to lead fundraising The board and CEO collaborate to lead fundraising The board and CEO lead and drive fundraising

6.9 CHAPTER SUMMARY

This chapter reported on three focus groups, with data combining to present outcomes that added to CEO and board recruitment documentation and refined data from interviews with CEOs and board chairs. For easy reference, tables are presented to assist with CEO and board recruitment advertisements.

This thesis began by utilising LMX and focus groups certainly reflected aspects of LMX in their discussions, showing that the CEO–board relationship is one of exchange and communication within their roles.

A key outcome, which provides options for recruitment advertising, emerged from the focus groups. By choosing one of these *phrases* relating to leadership and relationship, this important relationship can be explained and provides choice to organisations:

- The board works with the CEO to lead fundraising

- The board and CEO collaborate to lead fundraising

- The board and CEO lead and drive fundraising.

Whether the board 'works with' or 'collaborates with' the CEO, the meaning is similar, anticipating that the board and CEO lead and drive fundraising (and, at least, *support* fundraising). Focus groups developed these options.

The final chapter brings together Findings and recommendations from all studies in the research and provides a backdrop of data where new insights are derived and knowledge gained that contributes to theory, practice and policy.

Chapter 7: Conclusions and implications

7.1 INTRODUCTION

This thesis began by mapping the economic landscape of the nonprofit sector, as it relates to income generation and fundraising. COVID-19 presented fresh challenges in an already competitive marketplace in organisations where leadership skills varied, and fundraising skills were tested with organisations needing to 'pivot' to ensure sustainability and continued fundraising streams. Leaders reconsidered their strategies, and the CEO–board chair relationship was challenged as organisations strained to manage through unprecedented and unforeseen times. According to interview participants (Study 2), many leaders celebrated their shared leadership and guided their organisations through tumultuous lockdowns, consequent volunteering and fundraising challenges, travel restrictions and communication barriers. Technology assisted leaders and their teams to communicate differently and lead under very different circumstances. It was under these conditions that this research was conducted, providing extra impetus for developing new knowledge and guidance for leaders of organisations to support and drive fundraising and impact. Investigating the CEO–board chair relationship and its impact on fundraising was the enduring goal of the research across each of the three phases. Supporting this relationship through more evidence-based recruitment of the CEO and board was seen as strategic. This chapter synthesises Findings that offer evidence for key changes to leadership, CEO, and board recruitment. It proposes an adaptation of LMX to LLX (referred to in prior literature by Herdman et al., 2017) as a more appropriate lens to underpin effective nonprofit leadership driving fundraising. RQs are answered and models from literature are adapted to Findings from the study, offering new thinking to fundraising and leadership researchers, the sector, and its leaders.

The literature review (Chapter 2) concluded that a gap exists exploring this relationship in a fundraising context, despite many leadership studies in the nonprofit sector (Burns, 2018; Posner, 2015; Stirratt, 2019) and studies relating to the CEO–board chair relationship (Cornforth & Macmillan, 2016; Dulebohn et al., 2012; Hiland, 2008; Neustrom et al., 2012). Nonprofit leadership recruitment literature was minimal (Ahmed, 2005; Cornish, 2009; Lysakowski, 2002; Townsend, 2019) showing the need

for this research to contribute to filling these gaps. Significantly, this study provides special recommendations for small organisations in their quest for board and CEO recruitment. While not sub-sector specific, small organisations fill a large part of the charity marketplace, representing 65 per cent of charities (ACNC, 2021).

To draw together a lot of detail from across the chapters, I have chosen to make this chapter a longer and more detailed one, to assist readers who want to look at a particular element of a research question and to have all the detail at their fingertips. Also, this chapter contains tables that capture and present large amounts of qualitative data. Consequently, there are many tables, allowing readers the option to deep dive in the actual data on specific points.

7.2 RECAPPING THE STUDY

This research drew on three qualitative studies to examine the CEO–board chair relationship and recruitment of CEOs and board members, all in a fundraising context. The document analysis (Study 1) provided data on CEO and board recruitment and indicated that more evidence of fundraising background was required for CEO recruitment and little such evidence was required for board recruitment, even when the organisation relied on fundraising as an income source for more than 90 per cent of funding. The document analysis examined existing recruitment documentation, revealing inconsistencies in fundraising evidence for CEOs and board members relating to fundraising, even when organisations relied on fundraising income significantly. The range of inconsistent approaches in Australia suggested more sector guidance might assist in recruiting these leaders in a fundraising context. The next two studies would amplify that process.

In-depth interviews (Study 2) were held with dyadic pairs of CEOs and board chairs from 22 organisations, which enabled deep focus on the CEO–board chair relationship and CEO and board recruitment. Multiple insights emerged, particularly highlighting board involvement in fundraising, the fundraising leadership role of the board chair, and the board and management working together in a shared leadership role. In-depth interviews allowed exploration of all these aspects as interviewees generously shared their views.

The research cascaded further through focus groups (Study 3), which were able to review and evaluate recommendations flowing from the document analysis as

refined by interviews. This honing approach led to key recommendations for CEO and board recruitment in a fundraising context. It became clear that using Zoom technology and keeping groups relatively small allowed each participant an opportunity to be involved as well as enabling group work to form a consensus.

Each RQ helped identify answers to the research problem. The following table (Table 7.1) links the study RQs to relevant evidence sources in this chapter and within each study. To recap, RQ1 spotlighted the CEO half of the CEO–board chair dyad relationship. RQ2 referred to the board as a whole, understanding this context was vital to unpacking knowledge about the board chair as part of the board as well as its leader. RQ3 focused on the CEO and board chair in what emerged as a critical relationship that drives fundraising and mission.

Table 7.1: Matching each RQ with key evidence sources

Research questions	Study	Evidence sources
RQ1: What influences a CEO's effectiveness in working with a nonprofit board to drive fundraising and mission?	Document analysis (1) Interviews (2) Focus groups (3)	Table 7.5, 7.8 Finding Area 2
RQ2: What influences a nonprofit board's effectiveness in driving fundraising and mission?	Document analysis (1) Interviews (2) Focus groups (3)	Tables 7.6, 7.7, 7.9, 7.10, 7.12 Finding Area 3
RQ3: What supports the dyadic CEO–board chair relationship in driving fundraising and mission?	Document analysis (1) Interviews (2) Focus groups (3)	Tables 7.2, 7.3, 7.4, 7.11 Finding Area 1

7.3   SUMMARY AND SYNTHESIS OF KEY FINDING AREAS

This chapter integrates Findings from each of the three studies and presents responses to each RQ. These synthesised Findings draw from the detailed individual study results in Chapter 4 (Document analysis), Chapter 5 (Interviews) and Chapter 6 (Focus groups). Exploring the influences on the dyadic CEO–board chair relationship has resulted in three Key Finding Areas that match neatly to the RQs.

From the research, it can now be asserted:

1. The dyadic CEO-board chair relationship <u>can</u> drive fundraising and mission and is more important than the individual CEO and board role (RQ3)

2. Fundraising oriented leadership by the CEO plays a core role in driving fundraising effectively (RQ1)

3. Fundraising oriented leadership by the board is also needed to drive fundraising effectively (RQ2)

Seven distinct Themes emerged within these Findings, as Figure 7.1 shows. Chapter 5 contains detailed discussion of the seven Themes, but the overall synthesis of these Themes now reveals there are three Key Finding Areas. Figure 7.1 also describes how the Finding Areas and Themes are laid out in this chapter.

The implications of these Findings for theory, practice and policy are discussed later in the chapter. It should be noted that Findings are not in sequence with RQs. They are deliberately presented in order of importance, according to the data. Therefore, Finding Area 1 relates to RQ3, Finding Area 2 relates to RQ1 and Finding Area 3 relates to RQ2,

Finding Area 1:

The dyadic CEO-board chair relationship <u>can</u> drive fundraising and mission and is more important than the individual CEO and board role

> **Theme 1:** CEO-board chair relationship is important for fundraising success and more critical than first assumed
>
> **Theme 2:** Future factors have been identified that are likely to affect a CEO-board chair relationship driving fundraising
>
> **Theme 3:** Improvements are needed and can be made to recruitment to support the CEO-board chair relationship

RQ3

Finding Area 2

Fundraising oriented leadership by the CEO plays a core role

in driving fundraising effectively

> **Theme 4:** CEO role leads fundraising, builds donor and partner relationships and is the chief fundraiser

RQ1

Finding Area 3

Fundraising oriented leadership by the board is also needed

to drive fundraising effectively

> **Theme 5** Board chair role leads fundraising by example and seeks fundraising opportunities
>
> **Theme 6** Board & management work together to understand, strategise and lead fundraising
>
> **Theme 7** Boards are involved in fundraising and actively support fundraising

RQ2

Figure 7.1: Finding Areas relating to Themes and RQs

7.3.1 Finding Area 1: The dyadic CEO-board chair relationship <u>can</u> drive fundraising and mission and is more important than the individual CEO and board role

Findings from each study contribute to answering RQ3: What supports the dyadic CEO-board chair relationship in driving fundraising and mission? Three broad Themes emerged in relation to the CEO-board chair relationship: the CEO-board chair relationship is important for fundraising success; future factors have been identified that are likely to affect a CEO-board chair relationship driving fundraising; improvements are needed and can be made for CEO and board recruitment. These three Themes are grouped together under Finding Area 1, as they all contribute to the CEO-board chair driving fundraising.

7.3.1.1 Theme 1: CEO-board chair relationship is important for fundraising success and more critical than assumed

The first Key Finding is that the CEO–board chair relationship is indeed, as might be expected, a critical one. The data highlight that the relationship either supports or drives fundraising from a leadership point of view. Each study contributed to aspects of this relationship and adds answers to RQ3.

Within the nonprofit and fundraising context, the CEO–board chair relationship emerged as substantially *different* between organisations where fundraising was or was not a consideration. Data highlighted that fundraising and sector knowledge (e.g., understanding and applying benchmarking, fundraising trends and principles) is required by dyads, gained by either and shared by both. This fundraising and sector knowledge should be introduced at induction and continued in board professional development. Study 2 participants expressed, and focus groups (Study 3) endorsed, that the CEO–board chair relationship is the practical embodiment of shared organisational and fundraising leadership between management (CEO) and governance (board). The data highlight that the CEO–board chair Relationship (Deluga,1998) in driving fundraising and mission:

- Is more critical than assumed

- Is based on a willingness to understand fundraising and be involved in fundraising activities

- Involves jointly valuing donors and supporters and interacting with them

- Is key to leading the organisation and its fundraising and funding

- Is based on mutual Trust and Respect (Bauer & Erdogan, 2015) (e.g., personal, professional, and ethical conduct), supported by good communication (i.e., timely and appropriate communication), *underpinned by fundraising and sector knowledge* (e.g., fundraising principles, trends and benchmarking)

- Is unique to the sector and dependent on confidentiality and EI (Tucker et al., 2020)

- Is aligned on strategy, process and priorities, often using similar leadership styles (e.g., democratic, servant leadership, transformational or collaborative).

7.3.1.1.1 Trust in the CEO-board chair relationship is critical but not enough

As mentioned in Chapter 5 (Section 5.5.1) when emerging themes were presented, 'Trust' (Scandura & Pellegrini, 2008) emerges as an element in all areas. As a concept it is critical but is not presented as a specific theme on its own. Important aspects about Trust are presented as follows, combining Findings from data.

Trust and mutual Respect (Bauer & Erdogan, 2015) are recognised as important in CEO–board chair relationships in other contexts (Dulebohn et al., 2012; Koskinen & Anna-Maija, 2016; Neustrom et al., 2012; Walters, 2021); however, in the CEO–board chair relationship, these two factors are not enough. A key addition is fundraising and sector knowledge that can be gained by either and shared by both, as discussed above. Trust (Scandura & Pellegrini, 2008) is particularly important, and lack of Trust has dire consequences in the relationship. Mayer, Davis and Schoorman (1995) define Trust as 'the willingness of a party to be vulnerable to the actions of another party based on the expectation that the other will perform a particular action important to the trustor, irrespective of the ability to monitor or control that other party' (p. 712), which is accurate in the nonprofit fundraising environment, but it still is not enough to define the relationship.

Despite 'Trust' (Scandura & Pellegrini, 2008) not being enough in the CEO–board chair relationship, Trust was mentioned in numerous ways in the interviews (Study 2). Table 7.2 presents the main components of Trust (Scandura & Pellegrini, 2008) from interviews. Participants suggest:

- Trust is important between dyads in a personal *and* professional sense

- Trust must be in the relationship, because Trust involves how each person relates to each other professionally and humanly

- Trust is built into the relationship initially, increases in increments and develops over time

- Lack of Trust has consequences, becoming a barrier to building a relationship and problematic when viewed by others.

Table 7.2: Trust (Scandura & Pellegrini, 2008) in the CEO–board chair relationship

Aspect	Element
Trust	Accompanied by loyalty, mutual respect, humility, and EI (Tucker et al., 2020) A high priority Affects the leadership of the organisation including fundraising Should be viewed by others An output of the relationship Integral as to how the relationship is conducted Must be developed by spending time and talking about issues Can decay
Trust in the relationship	Critical for it to work At the forefront Must be there Involves how each person relates to each other professionally and humanly
Building the relationship with Trust	Should include Trust Develop Trust Ensure Trust and support Allow time for Trust to develop Work out ways to build Trust Build Trust in increments at personal and business levels
Lack of Trust	Problematic if absent from the relationship Leads to mistrust Barrier to building relationship

As identified in the literature review (Chapter 2), Trust (Scandura & Pellegrini, 2008) is highlighted in several contexts. Trust in the CEO and the CEO's vision were important (Neustrom et al., 2013; Sargeant & Shang, 2016). Trust is associated with effective board performance (Hoye & Cuskelly, 2003) and trust has the capacity to reduce relational risks (Zhang, 2013). Trust was mentioned in understanding the development of servant leadership (Farling et al., 1999) and is one of five factors as a measure of servant leader effectiveness (Patterson, 2003). Trust is highlighted in SET as a focus in relationships (Bauer & Erdogan, 2015; Cropanzano & Mitchell, 2005) and appears to be vulnerable even in High-Quality Relations (Deluga, 1998; Scandura & Pellegrini, 2008). According to LMX, Trust is formed between leaders (Bauer & Ergoden, 2015) and contributes towards the LMX relationship-development process (Liden, Wayne & Stilwell, 1993). It is, therefore, not surprising that Trust (Scandura & Pellegrini, 2008) emerged as important in the CEO–board chair relationship, particularly in relation to respect; however, it is an unexpected contribution that Trust, and Respect (Bauer & Erdogan, 2015) *must combine* with fundraising and sector knowledge to complete the basis of the CEO–board chair relationship as evidenced in

data. This study has added more evidence to Trust literature by explaining additional concepts needed by CEO and board chair dyads that contribute to their relationship driving fundraising in that their relationship is one of exchange and communication in a trusted and respectful environment cognisant of their other relationships with donors and supporters.

7.3.1.1.2 Personal and professional influences affect the CEO–board chair relationship

Chapter 5 (Interviews) reported on influences on the CEO–board chair relationship from the standpoint of CEOs and board chairs (Section 5.5.1.1). This section synthesises their responses, highlighting the most important aspects. Words such as 'colleagues', 'equals' and 'peers', suggested by interviewees, endorsed the concept of shared leadership. Yet again, this is underpinning the LLX adaptation and demonstrates LMX is not quite broad enough in its approach. Table 7.3 presents views from participants on influences on the CEO–board chair relationship that drives fundraising and suggests:

- The purpose of the relationship incorporates shared understanding and alignment of mission, goals, passion, commitment and perception of success

- The personal aspects of each part of the dyad include personal connection, personality compatibility, sharing similar ethics, morals, values and beliefs

- Features of the relationship incorporate valuing each other's opinions through mutual and professional respect for each other's roles

- Communication facets support the relationship through openness, interaction, purposeful listening and healthy debate

- Attributes driving fundraising are involved in the relationship, including fundraising investment, resourcing, philosophy and expectations.

Table 7.3: Influences on the CEO–board chair relationship that drives fundraising

Focus	Influence
Purpose	Draw on each other's relative strengths

	Support for CEO that combats position loneliness
	Consistent, shared passion for outcomes for beneficiaries
	Operating for a higher purpose
	Similar passion for the cause, organisation, and sector
	Alignment on mission and activities to get there
	Mutual commitment, energy, and passion
	Shared understanding of mission, vision and organisation purpose
	Aligned interests in the organisation
	Understanding of governance of organisation
	Core interests of organisation at heart
	Agree what success looks like
	Agree on future strategy
Mutual respect	Respect for each other's roles
	Support of each other with professional respect
	Ability to agree and disagree with respect
	Value each other's opinions
Personal aspects	Connected at a personal level
	Personality connection, compatible personalities
	Getting to know each other as people
	Similar ethics, morals, values, and complementary beliefs
Building a relationship	Underpinned by Trust (Scandura & Pellegrini, 2008), loyalty, EI (Tucker et al., 2020)
	Commitment to build a relationship
	Opportunity to develop/strengthen/deepen the relationship
Aspects of the relationship	Clear goals
	Clear expectations and accountability
	Allowing time for CEO for fundraising
	Time commitment amid other responsibilities
	Collegial relationship acting as peers
	Clear objectives and realistic performance targets
	Clear delegation and understanding of each other's roles
Communication	Open, clear, transparent, honest, friendly
	Openness, authenticity, and transparency
	Accessibility for communication and decision-making
	Frequent contact or interaction
	Listening to each other and learning
	Healthy debate, talking through issues
	Frequent and effective communication
In relation to fundraising	Philosophically respect fundraising
	Comfort with the role of fundraising its strategy
	Agree on risk appetite in relation to fundraising
	Agree fundraising will help meet mission
	Agree on fundraising investment and resourcing
	Future focus for fundraising outcomes
	Long-term fundraising expectations
	Understand role of fundraising and its challenges

Literature (Chapter 2) discussed the CEO–board chair relationship (Cornforth & Macmillan, 2016; Hiland, 2008; Neustrom et al., 2012) from various aspects including communication (Boyd et al., 2011), cooperation (Smith, 1989), importance (Shen, 2003) and agreeableness (Miller, 2002). Study Findings agree with these aspects, however, Findings *add* to the body of knowledge because this study was completed in a fundraising context which, as highlighted earlier, adds another dimension to the relationship. Relationship aspects are more closely examined, adding

finer detail, and highlighting the intricate nature of the nonprofit CEO–board chair relationship driving fundraising. Fundraising and sector knowledge (e.g., benchmarking and fundraising principles) added to Trust and mutual Respect (Bauer & Erdogan, 2015), describe this CEO–board chair relationship that drives fundraising.

7.3.1.2 Theme 2: Future factors have been identified that are likely to affect a CEO-board chair relationship driving fundraising

Interviewees were asked about future influences on the CEO–board chair relationship.

Data highlighted that future factors could be influenced by:

- Internal factors such as lack of fundraising/sector knowledge or negative effects from management or board
- External factors such as changes in the marketplace, government or technology
- Fundraising factors such as lack of expertise or regulations changes.

However, some interview participants mentioned the *CEO–board chair relationship could be so strong,* that any future factors could be sustained through Trust (Scandura & Pellegrini, 2008), mutual respect and the sharing of fundraising/sector knowledge and understanding.

Interviewees focused mainly on the task at hand with the relationship; however, internal, external and fundraising factors featured strongly, as detailed below. Table 7.4 presents these influences, even though some may affect the CEO– board chair relationship more than others. Counterbalances for some of these future influences were offered by CEOs and board chairs and reported in Chapter 5 (Section 5.5.2).

Table 7.4: Potential future influences on CEO–board chair relationship driving fundraising

Focus	Future influence
Internal factors	Not understanding the nonprofit sector
	Not understanding sector trends
	Succession planning of CEO
	Burnout of CEO
	Succession planning for boards, especially board chair
	Change in board chair personality and sphere of influence of board chair
	Accessibility of board chair or CEO
	Board chair negatively influenced by board
	Allowance for innovation and its emphasis
	Perceptions of focus by constituency
	Payment for board members
	Turbulence in staff mental health

	Changes in understanding of building relationships
External factors	Environmental shocks e.g., recession or pandemic
	Changes in the marketplace and competition
	Government regulation, compliance, and policy changes
	Technology changes or expectations
	Scale of operations required by governments
	Mergers, takeovers of organisation
	Change in relationship with governments
	Potential litigation
	International laws impinging on service delivery
	Disasters affecting wider natural environment
Fundraising factors	Unwillingness to develop new fundraising channels
	Indecision on investment strategies driving fundraising e.g., donor acquisition
	Negative board views of fundraising
	Fundraising funds not eventuating, affected by uncontrollable events
	Lack of expertise by CEO
	Changes in giving trends
	Financial hardship in not meeting budget if relationship is not driving fundraising
	Change in percentage of fundraising required by organisation
	Lack of sustainable sources of fundraising

Literature reported on succession planning for management (CEOs) (Boykins, 2019; Bozer et al., 2015; Geib & Boenigk, 2022) in relation to shared leadership succession planning in a broader sense, stressing shared responsibilities between management and boards. In league with literature, CEO, board and board chair succession planning were highlighted in this study as concerns for future influences on the CEO–board chair relationship, noting a change in either dyad member could potentially bring change in the relationship and in the leadership of the organisation, particularly in relation to fundraising.

Each study pointed to board and CEO recruitment to influence the board's effectiveness in driving fundraising and is discussed next.

7.3.1.3 Theme 3: Improvements are needed and can be made to recruitment to support the CEO-board relationship

CEO and board recruitment featured strongly in all studies. The document analysis (Study 1) allowed an impartial analysis of data with ensuing studies (interviews and focus groups) helping to distil and reach consensus on more important aspects, through more of an expert view of the data. Interviews (Study 2) gained views of CEOs and board chairs on CEO and board recruitment. Focus groups (Study 3) reviewed emerging findings from the first study and Study 2, refining recommendations. Finding Area 1 provides answers to RQ3, in how CEO and board

job advertisements could be improved to support and reflect the dyadic CEO-board chair relationship that could drive fundraising and mission.

Data highlighted improvements in CEO and board recruitment:

- Mentioning that CEO or board candidates require fundraising skills and/or experience, particularly in small organisations

- Explicit wording mentioning fundraising as it applies to CEO duties

- Wording that reflects a CEO–board relationship driving fundraising

- Outlines for recruitment for CEO and board members in relation to fundraising, depending on where the organisation is in its fundraising development lifecycle and the type of fundraising being considered.

7.3.1.3.1 CEO and board recruitment

As CEO and board advertisements were examined in the document analysis (Study 1), it was noteworthy only 10 per cent of the sample of board advertisements provided evidence of *any* fundraising requirement for recruitment. Many of these organisations relied greatly on fundraising for their income (more than 76%), however, they made no reference to fundraising skill or experience required or desired in board candidates. There was no requirement for board members to build a relationship with the CEO in relation to fundraising purposes or any other reason. CEO roles were quite *different,* with many focusing on fundraising leadership, fundraising skill set or experience with fundraising. Evidence suggested CEO candidates required the ability to work closely with the board to develop the organisation and fundraising strategic plans, driving a positive, value-based culture aligned to the mission'.

Despite the low numbers of job advertisements requiring fundraising key-word evidence in board recruitment, the document analysis (Study 1) did yield optional wording recommended for CEO and board recruitment discussed later in this chapter. Interviews (Study 2) provided more guidance for organisations recruiting CEOs and board members in relation to fundraising. While the document analysis mentioned fundraising sub-committees, Study 2 interviewees were more prescriptive about the purpose of these committees and the desire to have a board member with fundraising and sector experience attend and/or chair them. Focus groups provided a refining

process for recommendations from previous studies (Study 1 and Study 2) and pinpointed some recruitment recommendations, which are detailed in Chapter 6.

Organisations could *join* with recruitment agencies to recruit CEOs and board members, however, a clear, well-defined briefing document to the agency is critical, outlining the kind of person being sought and the skills, attributes and knowledge required (see Chapter 6, Section 6.6.4). Chapter 6 reports more on the use of recruitment agencies and how organisations can benefit from their expertise.

A key recommendation for board recruitment was strongly supported by interviewees and agreed through CI. Focus groups (Study 3) recommended that organisations should 'think differently' and consider all resources for board recruitment and not just 'word of mouth' (Cornish, 2009), which is still a widely held approach by boards and their organisations. Significantly, however, more common is the use of a skills matrix where fundraising experience or skill is included. However, after identifying the skill gap, 'word of mouth' recruitment is still prevalent in Australia, with boards and organisations needing to consider all options for recruitment.

Where an organisation is small, *more* fundraising skills and experience are required by CEOs and board members as outlined in Chapter 6 (Section 6.6.3).

The content analysis provides a challenge for the Australian market. If organisations are recruiting CEOs with the expectation of leading fundraising, experience and skill in fundraising and mentioning fundraising leadership in job duties should be reflected in recruitment documentation. This currently happens on few occasions.

7.3.1.3.2 Wording reflecting a CEO–board relationship driving fundraising

Focus groups (Study 3) provided three options to describe the leadership relationship of the CEO and board, which were recommended when recruiting CEO or board members. Even though the statements appear similar, the nuance is describing *how* the CEO–board relationship is conducted – that is, 'works with', 'collaborate' or 'lead and drive'. There was no consensus on one phrase and therefore three are offered, focusing on slightly different aspects and providing choice:

- The board works with the CEO to lead fundraising
- The board and CEO collaborate to lead fundraising

- The board and CEO lead and drive fundraising.

All options indicate the CEO and the board working together to lead/collaborate and drive fundraising. By choosing one of these phrases, relating to leadership and fundraising, this important relationship is indicated.

7.3.1.3.3 Outlines for recruitment of CEO and board

Focus groups (Study 3) distilled emerging recruitment findings from other studies (Studies 1 and 2) into three recommendations for CEO and board recruitment. The CEO outline focused on knowledge and abilities candidates should possess, as presented in Table 7.5.

Table 7.5: Recommendations for recruiting CEOs driving fundraising

Focus	Recommendation
Knowledge	Keep up to date with what's happening in the community, the fundraising sector and marketplace Possess commercial acumen and fundraising investment knowledge including risk management
Ability	Ensure the vision and purpose of the organisation is well captured and understood by the community Work closely with the board to develop the organisation including fundraising strategic plans, driving a positive, value-based culture aligned to the mission Build and manage key relationships with donors and partners in liaison with professional staff
Provide	Have a broad vision as to fundraising efforts required for the organisation, the elements of successful fundraising and the skill to recruit appropriate staff

For board recruitment, *two* recommendations were made. All board members are recommended to have or gain understanding, have a willingness to be active in relation to advocacy and contribute towards a culture of philanthropy, as presented in Table 7.6. This study concurs with literature that a culture of philanthropy is the shared responsibility of the CEO and board, with an expert fundraiser (if on staff) contributing, then resulting in the LMX concept of Satisfaction (Aggarwal et al., 2020).

Table 7.6: Recommendations for recruiting any board member driving fundraising

Focus	Recommendation
Understanding	Principal purpose of a nonprofit board in an organisation that fundraises from a governance perspective Have or develop an understanding of the organisation strategic plan including fundraising plans and targets Develop an understanding of the sector and what it takes to fundraise

Willingness	Tell a compelling story about the work of the organisation and show where fundraising or philanthropy fits in
	Be an ambassador or advocate in communities and workplaces, looking for fundraising or philanthropic opportunities
	Contribute towards a culture of philanthropy, having a positive attitude and belief towards fundraising
Ability	Have or develop an ambition for the organisation and its fundraising within the board risk appetite
	Open doors, make introductions and spot opportunities for revenue raising within the agreed fundraising strategy
Provide	Commitment, passion, and dedication to the mission through a financial contribution

The second recommendation for boards is to recruit a board member with fundraising experience or skill. The role of that person and value to the board and its fundraising is discussed in detail in focus groups (Section 6.6.5), however, Table 7.7 presents a more prescriptive view that highlights their fundraising knowledge and experience to assist the board fundraising committee and the board. This came across as a recommendation, bearing in mind, however, that there may be other perspectives on this (e.g., a particular fundraiser may not have any technological fundraising experience or e-fundraising experience knowledge; a fundraiser may have been steeped in one particular way of fundraising and not be open to new fundraising innovations; a fundraiser may lack current knowledge or expertise). Alternate structures may assist the organisation, such as fundraising advisory committees that consist of fundraisers with varying expertise (rather than relying on one fundraiser who may have limited knowledge). CEOs with fundraising knowledge or experience were wary of board recruitment in this role and warned that care should be taken with such an appointment to ensure the knowledge and expertise of the board director is appropriate to the current and future needs of the organisation. This process potentially could contribute to the LMX concept of Satisfaction (Aggarwal et al., 2020).

Table 7.7: Recommendations for recruiting a board member with fundraising experience

Focus	Recommendation
Understanding	What it takes to fundraise
	The value of building Trusting Relationships (Scandura & Pellegrini, 2008)
Knowledge	Of the sector
	Governance
Willingness	Tell a compelling story about the work of the organisation
	Lead a fundraising committee
Ability	Open doors, make introductions and spot opportunities for revenue raising with the agreed fundraising strategy
	Build Trusting Relationships (Scandura & Pellegrini, 2008)
Provide	Analysis of the annual fundraising plan
	Insightful review of fundraising reports in relation to performance

	Professional fundraising qualifications or accreditation
Desirable	Professional fundraising experience or expertise in an organisation that fundraises
	Philanthropic support within capacity

The next Finding Area features the CEO role in driving fundraising.

7.3.2 Finding Area 2: Fundraising oriented leadership by the CEO plays a core role in driving fundraising effectively

7.3.2.1 Theme 4: The CEO role leads fundraising, builds donor and partner relationships and is the chief fundraiser

Contributing to CEO effectiveness were emerging findings from the document analysis (Study 1), interviews (Study 2) and focus groups (Study 3), which contributed data on the significance of the CEO role. All studies contributed data to RQ1: What influences a CEO's effectiveness in working with a nonprofit board to drive fundraising and mission? Emerging findings are categorised into leadership, skills and qualifications, activity with the board and professional development and presented in Table 7.8. Conducting robust recruitment is key (Finding Area 1), clearly expressing expectations of the CEO in relation to the organisation, including fundraising and responsibilities of the role. CEOs had considerable suggestions for what influences a CEO's effectiveness, while board chairs focused more on CEO recruitment (Finding Area 1). More detail about boards working with management (CEOs) is presented in Finding Area 3.

Table 7.8: Influences of CEO effectiveness to drive fundraising

CEO focus	Influence
Leadership	Central to leading and driving fundraising
	Shares organisational and fundraising leadership with board chair
	Applies servant leadership, democratic, transformation or collaborative leadership styles
	Supported by board chair
Skills and qualifications	Skills and experience in leading fundraising
	Successful track record in a similar or complementary organisation
	Qualifications in higher education (optional)
Professional development	Provided with a learning pathway to gain fundraising skills and knowledge
Activity with board	Interprets fundraising principles applied in fundraising programs
	Educates and informs boards on fundraising practice and benchmarking
	Works closely with the board to develop the organisation including fundraising
	Works with board member bringing fundraising experience

Leadership theories and styles were discussed in Chapter 2 (Section 2.3.3), highlighting transformational leadership (Gregory, 2019; Jaskyte, 2004; Kammerhoff et al., 2018; Sargeant et al., 20108) and servant leadership (Allen et al., 2018; Irving, 2005; Sargeant et al., 2018; Silvers 2010). This study found synergies with these theories; however, additional leadership styles were identified by the cohort, including democratic and collaborative leadership. According to this data, all four leadership styles were in play, without prominence of any one style. Additionally, interview participants were ambivalent about the master–servant relationship that may be perceived in servant leadership. Some participants aired concerns that the CEO–board chair relationship should not be described as one 'servant' reporting to a 'master' where the CEO could be seen as the 'servant'. This concern related also to the concept of the CEO being a 'servant' of the board; operationally that was accepted, but ideologically it was rejected. Any concept of either the CEO or board chair in the relationship being a 'master' or 'servant' was rejected by many.

All interviewees agreed the *'CEO needs a good, strong working relationship with the board chair that doesn't stifle CEO motivation to find fundraising and funding opportunities'* (CEO). Findings from this study about CEO fundraising leadership is consistent with other literature (Sargeant & Shang, 2016; Scaife et al., 2013; Scott, 2014). Clearly, the CEO is critical to the leadership of fundraising – and also *now critical in shared leadership with the board chair,* as discussed next in Finding Area 3.

7.3.3 Finding Area 3: Fundraising oriented leadership by the board is also needed to drive fundraising effectively

Findings from each study contributed to answering RQ2**:** What influences a nonprofit *board's* effectiveness in driving fundraising and mission? Three broad Themes emerged in relation to board effectiveness: the board chair role and fundraising, board and management working together, and the board and fundraising. These three Themes are grouped together under Finding Area 3, as they all relate to the board supporting the CEO, working with the CEO and working as their own entity – all supporting or driving fundraising and hence, meeting the mission of the organisation.

7.3.3.1 Theme 5: Board chair role leads fundraising by example and seeks fundraising opportunities

Few academic authors address the specific role of the board chair taking a fundraising leadership role in nonprofit organisations. None have been located that have done this in a fundraising context. This study populates this gap. Theme 5 determines the leadership role that board chairs hold, also including fundraising leadership – not just in shared leadership with the board and CEO (Hiland, 2008; Neustrom et al., 2012; Walters, 2020) but being proactive in a fundraising leadership sense. Two statements from interviewees, applying CI, support the fundraising leadership role of the board chair, both proposed by board chairs, receiving 98 per cent agreement and 77 per cent agreement respectively from all interviewees: *When the board chair sees an opportunity for fundraising, they should bring it to the attention of the CEO* and *the board chair should lead by example in a fundraising context.*

Both statements describe the proactivity expected of a board chair, working with the CEO and leading by example to the rest of the board, the community and the organisation. Influencing a nonprofit board's effectiveness in driving fundraising is recognising the shared *fundraising leadership role of the board chair*. The 'fundraising context' was described in a variety of ways: donating to the organisation, leading a capital campaign, or sharing their understanding of the role of fundraising in the organisation.

Each study supported the fundraising leadership role of the board chair. The document analysis (Study 1) found a board chair is one who understands that they lead the organisation with the CEO in a shared leadership model, which includes sharing leadership of fundraising. Interviews (Study 2) found that the board chair is *crucial* to sharing organisational leadership with the CEO and developing a relationship with the CEO to support this leadership, which includes fundraising. Focus groups (Study 3) endorsed the fundraising leadership role of the board chair.

The focus now turns to the inclusion of the whole board in fundraising, including the board chair and how they work with management.

7.3.3.2 Theme 6: Board and management work together to understand, strategise and lead fundraising

The views of CEOs and board chairs on how board and management work together to influence a nonprofit *board's* effectiveness in driving fundraising and

mission can be categorised as understanding fundraising investment, engaging in fundraising, strategising, developing fundraising (board) committees and building a fundraising culture, as detailed in Table 7.9. These guidelines are new to the sector and not uncovered in previous academic literature. They provide suggestions for influencing fundraising from strategy to engagement.

Table 7.9: Board and management influencing the effectiveness of nonprofit boards

Focus	Guidelines for increasing fundraising effectiveness
Understand fundraising investment	Review fundraising programs and risk appetite for fundraising Understand return on investment Review fundraising program investment Determine scale of impact and what investment is required Invest more in fundraising and human resources Increase budget and stretch goals Agree about fundraising measurement Add key performance indicators into fundraising performance
Engage in fundraising	Use networks for funding Assist with relationship development, meeting with donors Host board lunches to develop relationships with donors Recruit board members with networks to open doors for funding Attend/lead/promote events and functions Support fundraising campaigns Donate as an example when asking others Leave a bequest to show true advocacy of the organisation Be an advocate for the organisation
Strategise	Be in alignment with CEO on growth and sustainability Advise CEO to prioritise fundraising Monitor fundraising funds to service delivery Focus on sustainability Allow time to focus on large organisation issues Review ambassador roles for fundraising Have longer-term targets – 5,10,15 years Recruit director with fundraising experience
Develop fundraising committee	Add a director with fundraising experience to mentor staff Consists of management, staff, director with fundraising experience Question programs and performance Guide CEO in tailoring fundraising programs to meet market Ensure committee has input into strategy Discuss/advise the board on fundraising Recommend fundraising resources Research fundraising programs Overview fundraising
Build a fundraising culture	Build relationship between board and CEO Celebrate success Support the CEO Discuss impact of fundraising Highlight importance of fundraising to program delivery Review case for support Support the fundraising strategy Listen to fundraising specialists in the organisation Support informed decisions on fundraising

Study 2 (Interviews) participants explained that distinguishing roles in nonprofits can sometimes be challenging. New knowledge has been gained from this study, particularly around the role of fundraising committees appointed by the board – sometimes called marketing committees or other names, but covering fundraising. Recruitment advice for this committee is presented in Finding Area 1. Study 2 emphasised that boards and management should appreciate each other's role. One CEO stated, *Best boards work side by side with management, knowing where each other sits*, pinpointing the relationship of boards with management and the different roles they play. Other leaders strongly agreed with this sentiment.

Theme 7 is the final board Theme and next focuses on the board and how they themselves influence fundraising effectiveness.

7.3.3.3 Theme 7: Boards are involved in fundraising and actively support fundraising

Theme 7, the board, also responds to RQ2, in what influences a nonprofit *board's* effectiveness in driving fundraising and mission, in different ways from the previous two Themes. CEOs and board chairs had many suggestions for positive influences on boards so that fundraising could become more effective and boards themselves could influence that effectiveness. Table 7.10 presents influences relating to education about fundraising that would benefit board members, actions for consideration within the board itself, strategic focus, and activity the board as a whole or as individual members could take part in.

Table 7.10: Positive influences on boards driving fundraising

Focus	Influence
Education	Fundraising basics
	Fundraising principles, a professional approach
	Impact of fundraising
	Fundraising strategies
	Demonstration of fundraising effectiveness
	How to measure fundraising effectiveness
	CEO facilitation on fundraising mix
	Fundraising director to inform board on delivery of fundraising
	External facilitation of fundraising training
Within the board	Discuss fundraising involvement opportunities
	Explain fundraising expectations at recruitment
	Shared understanding of holding each other accountable for involvement
	100% board members donating
	Recruit board members with fundraising expertise

	Recruit director with fundraising skills
	Recruit well connected director with connections to funders
	Champion director passionate about fundraising
	Acknowledge and celebrate board member involvement in fundraising
	Being proud of the organisation
	Be engaged with the mission as a board
	Celebrate fundraising success and impact with energy
	Review policies, keeping abreast of fundraising changes in the sector
	Receive relevant and necessary reports to monitor and evaluate
Strategy	Clearly understand fundraising strategy and objectives
	Understand the need to fundraise
	Agree on long-term view of strategy, focus on strategic goals
	Be clear on strategy that will drive fundraising
	Understand about focus areas and non-focus areas
	Work on targets together
	Discuss what works and what doesn't work
	Appreciate money and vision working together
	Be inspired by what could be achieved by raising more funds
	Agree on scaling up and fundraising ambition
Board activity	Awaken new interest and know where funds are spent
	Visit program delivery
	Provide case studies to support engagement and networking
	Provide a framework/structure of fundraising activity
	Engage with donors at events and long-term supporters
	Donate to the organisation
	Advocate for the organisation, telling stories of impact
	Open networks with confidence, making introductions
	Use networking relationships to drive additional funds

The need for fundraising education for boards was an important discovery. Document analysis (Study 1) recognised that boards should include fundraising as part of their professional development. Interviews (Study 2) found that boards require fundraising benchmarking education to inform their view of their fundraising practice. Focus groups (Study 3) endorsed the need for more board education around fundraising, starting with induction and then ongoing professional development. Each study lent direction to recruiting a director with fundraising experience/skills to assist the board with understanding fundraising strategy, practice and evaluation. Education was insufficient without board internal focus, coupled with strategy and fundraising activity, as outlined in Table 7.10.

7.3.4 Findings relating to review of literature

Three topics highlighted in the literature review (Chapter 2) have been noted in the study. Succession planning (Section 2.2.1.5), while not mentioned specifically in the document analysis (Study 1), was confirmed by interviewees (Study 2) as an important process and imperative to consider with recruitment. Lack of succession planning contributed to barriers towards a great CEO–board chair relationship driving

fundraising and was a cause of problematic CEO–board chair relationships. Succession planning or lack of succession planning was also considered to be a positive or negative future influence on the CEO–board chair relationship.

Leadership development (Section 2.2.1.6) was not specifically mentioned as a skill requirement for CEOs or boards in any of the studies in this thesis, but learning about fundraising was. The CEO was mentioned as a provider of a learning pathway for boards in relation to the practice and business of fundraising. In setting up and maintaining a CEO–board chair relationship that drives fundraising (Study 2), interviewees considered that CEOs and board chairs should learn how fundraising works and learn about the organisation's philosophy on fundraising. Focus groups (Study 3) found that boards should include fundraising as part of their professional development.

A culture of philanthropy (Section 2.2.2.6) was often mentioned in studies, concurring with authors (Bell & Cornelius, 2013, Sargeant et al., 2018) about its importance in the inclusion, application and development of organisation fundraising. The document analysis (Study 1) found evidence to suggest that skills in fundraising, development or philanthropy are required by prospective board members. The same study found evidence suggesting board candidates require 'philanthropic experience, skills, strengths, and the ability to build philanthropic relationships, networks and partnerships' and the suggestion 'CEOs require skills in fundraising, development or philanthropy'. Interviews (Study 2) confirmed that beneficial relationships between CEOs and board chairs consist of chairs who understand philanthropy and are willing to drive philanthropy through their own personal action. Study 2 also confirmed that a culture of philanthropy would remedy future influences of changes in giving and advocacy, with an expectation that board members would be committed to philanthropy. Finally, focus groups (Study 3) recommended all board members contribute towards a culture of philanthropy with a positive attitude and belief towards fundraising.

7.4 IMPLICATIONS AND CONTRIBUTION TO THEORY

7.4.1 Governance theories

As mentioned in Chapter 5 (Section 5.6), governance concepts are reflected in Findings and Themes. Chapter 2 (Section 2.2.2.4) discussed four commonly used

governance theories referred to in studies in the nonprofit sector and some Findings mirror these. While not the primary theoretical focus of this thesis, governance theories are linked to Themes. The CEO, as the agent of the board (Agency Theory) is linked to Theme 4 (CEO role leads fundraising, builds donor and partner relationships and is the chief fundraiser) as the CEO is the operational leader of the organisation. Theme 6 (Board & management work together to understand, strategise and lead fundraising) links to Resource-dependence Theory and Stewardship Theory as the board provides and maintains sustainable resources to the organisation. Theme 7 (Boards are involved in fundraising and actively support fundraising) links to Stakeholder Theory as boards relate to donors and supporters of their organisations, both important stakeholders in a fundraising sense. Theme 5 (Board chair role leads fundraising by example and seeks fundraising opportunities) 6, and 7 all refer to roles of the board, linking to role-based governance as they utilise various roles on the board.

7.4.2 Adaptation of LMX to LLX

As appropriate as LMX was for starting to understand the CEO–board chair relationship, this study recognises the leadership roles of both CEOs and board chairs and suggests an adaptation of an existing theory that better reflects this important relationship, namely LLX as a new theoretical base for nonprofit leadership involving fundraising organisations and perhaps other contexts. While CEOs report to board chairs in a legal sense and they would be represented as the 'member' in LMX, their leadership of the organisation is significant. Using LMX diminishes the role of the CEO, while LLX empowers it. Interview participants from a wide selection of sub-sectors, representing various levels of organisational fundraising reliance, size and Australian geography, gave strong support to both roles being equal – the CEO and board chair are peers, while serving in different roles. Nonprofit and fundraising leadership has needed a theoretical base and this study responds to this call with the suggested development model of LLX.

Reflecting on the stages in the development of LMX (Graen & Uhl-Bien, 1995, p. 226), discussed in Chapter 2 (Section 2.3.2.1), this developmental figure is presented again as Figure 7.2.
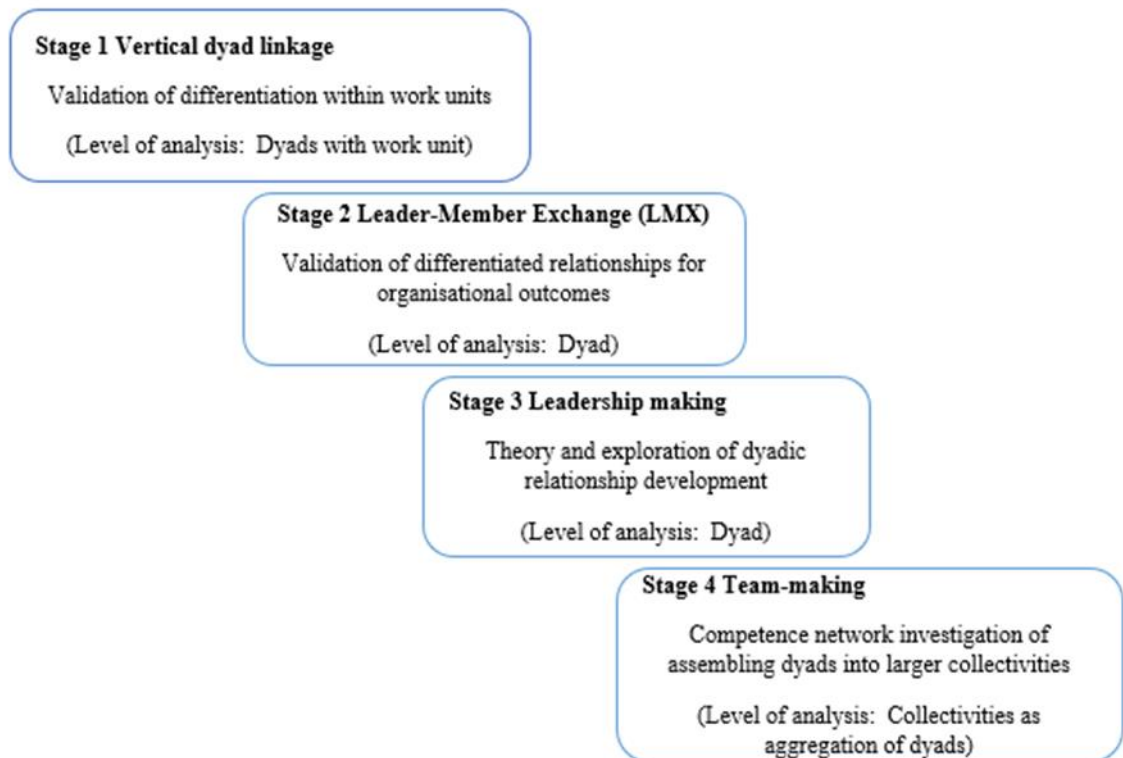
Figure 7.2: Stages in development of LMX

In developing Figure 7.3 as possible stages in development of LLX, there are similarities and differences from that of LMX development (Figure 7.2). Stage 1 is adapted to organisational roles as appropriate to the CEO and board chair relationship. Stage 2 includes fundraising outcomes in addition to organisational outcomes because of its significance to the CEO and board chair roles. Stage 3 is similar in theoretical development but centres on shared leadership, a significant feature in the CEO and board chair roles. Stage 4 focuses on the dyadic exchange within that network. The levels of analysis are similar but complimentary to the leadership relationship.
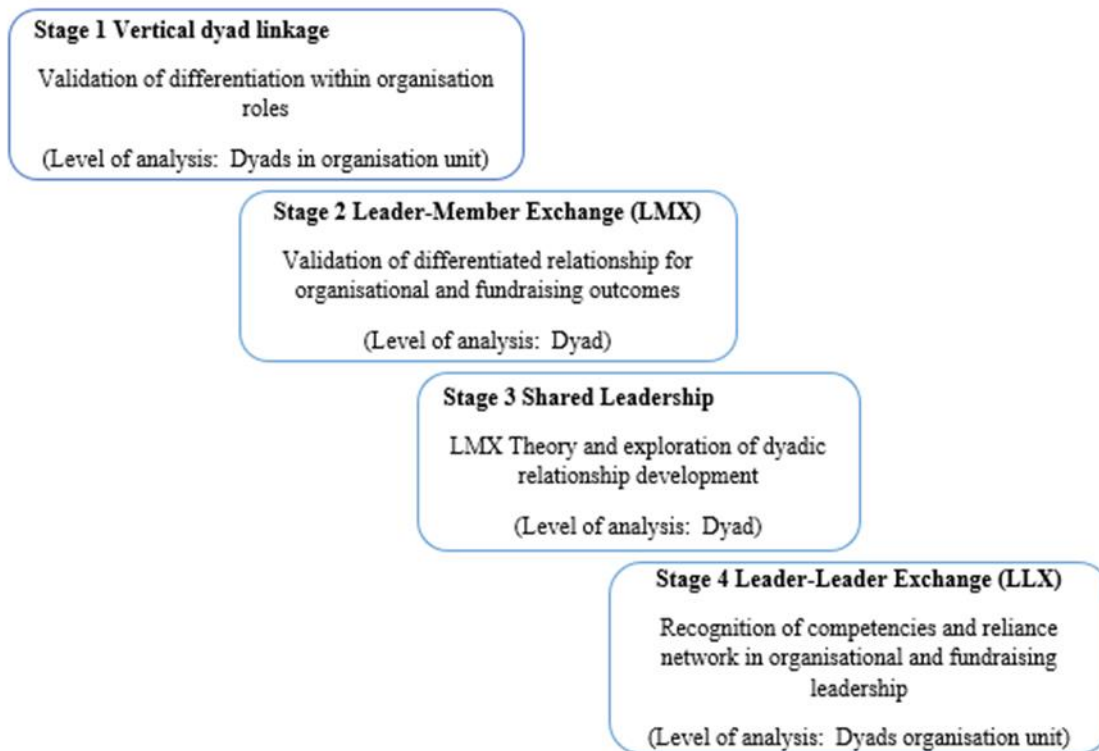
Figure 7.3: Possible stages in development of LLX

Figure 7.3 suggests stages in developing the LLX concept, based on interview data and recognising the two leadership roles of CEOs and board chairs. The fundraising context makes the adaptation of LMX (from Graen & Uhl-Bien, 1995, p. 226) the only choice, as both dyad members are leaders in their own right. LLX may apply in other settings than fundraising leadership, however, future research would need to occur if there were similar contextual reasons justified.

Through further research on LMX, Dulebohn, Bommer et al. (2012) developed a model of LMX antecedents and consequences theoretical framework as discussed in Chapter 2 and presented here as Figure 7.4.
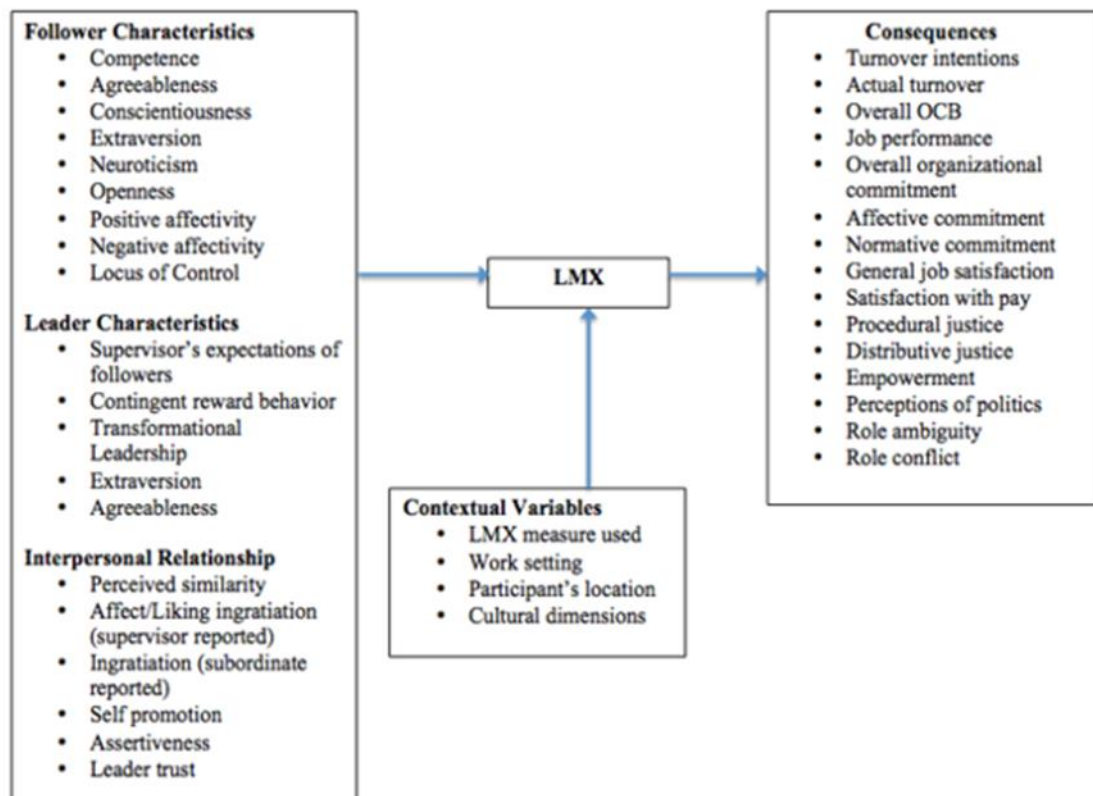
Figure 7.4: Leader–Member Exchange antecedents and consequences theoretical framework

Referring to data from this research, the Dulebohn, Bommer, et al. (2012, p. 1717) model is revised accordingly, further expanding on the LLX theoretical concept in Figure 7.5. In this model, characteristics of both leaders are listed, as well as aspects of their interpersonal relationship. Contextual variables are itemised, all feeding into LLX and providing positive and negative consequences in the first conceptualisation of the relationship of the two leaders (board chair and CEO).

There are similarities and differences in Figure 7.4 and its adaptation in Figure 7.5 (similarities are highlighted in italics). Where Dulebohn, Bommer, et al. (2012) refer to follower and leader characteristics, Figure 7.5 refers to the characteristic of each dyad member – the CEO and board chair. Similarly, there are interpersonal relationships but differences because of the close CEO–board chair relationship, with 'Trust' (Scandura & Pellegrini, 2008) featuring in both figures. Figure 7.4 outlines contextual variables, but Figure 7.5 adds to these as this study indicates more variables relating to broader board and fundraising implications. Consequences are similar in roles and power or empowerment, however, Figure 7.5 adds values, communication, and fundraising success as critical to the leader–leader relationship.

Leader (BC) characteristics
- Leads by example
- Seeks fundraising opportunities
- Collaborates with CEO
- Organisation advocate
- Positive attitude and belief in fundraising
- Passion and dedication to mission
- Emotional intelligence
- Servant leadership, collaborative, democratic or visionary leadership styles

Leader (CEO) characteristics
- Leads fundraising
- Chief fundraiser
- Centre of fundraising
- Fundraising/sector knowledge and track record
- Collaborates with BC
- Builder of donor and partner relationships
- Emotional intelligence
- Servant leadership, collaborative, *transformational*, visionary, democratic or authentic leadership styles

Interpersonal relationship
- Mutual *trust* and respect
- Understanding and knowledge of fundraising/ sector shared
- Supportive of each role
- Alignment on purpose and strategy
- Personal connection
- Frequent and effective communication
- Complementary leadership styles

LLX

Contextual variables
- LLX measure used
- Sector influences
- Undefined expectations of fundraising
- Role of fundraising in organisation
- Board negative influence
- Fundraising experience and skill

Consequences
- Shared and supportive leadership
- Critical to fundraising success
- *Role clarity or ambiguity*
- Fundamental to fundraising outcomes
- Open communication
- Equality within roles
- Shared values
- Misuse of power
- Provision of mutual feedback

Figure 7.5: Adaptation of LMX antecedents and consequences theoretical framework to LLX

7.5 IMPLICATIONS AND CONTRIBUTION TO PRACTICE

Later in the chapter, Table 7.13 simplifies learnings about the CEO–board chair relationship and its relationship to fundraising. This is the first known study that explores the CEO–board chair relationship in a fundraising context and provides guidance for charity leadership who want to be more effective with fundraising and to drive fundraising to achieve mission. As previously mentioned, Trust and Respect (Bauer & Erdogan, 2015) are important but not enough by themselves for the dyadic CEO–board chair relationship to support and drive fundraising. Other elements are mentioned in the model, including communication, confidentiality, and EI (Tucker et al., 2020) which would be expected as being important elements in any CEO–board chair relationship. Participants emphasised these three elements. Fundraising adds

another dimension to the CEO–board chair relationship, requiring fundraising/sector knowledge to be understood and shared within the dyad.

While some studies have delved into organisational leadership (Posner, 2015; Stirratt, 2019; Vanderneck, 2018), this study recognises that the CEO–board chair relationship is fundamental to what participants phrase as 'great fundraising outcomes' and considered (by many) to be 'the most important relationship in the organisation'. As a result of this study, more notice should be taken of the CEO–board chair relationship and the dyad members individually, especially the fundraising leadership value of the board chair.

Moving on from this acceptance, Figure 7.6 is again presented from Chapter 2 (Section 2.3.2.5) (Neustrom et al., 2012, p. 158), identifying positive and negative factors in the dyadic CEO–board chair relationship (using qualitative enquiry) applying LMX.
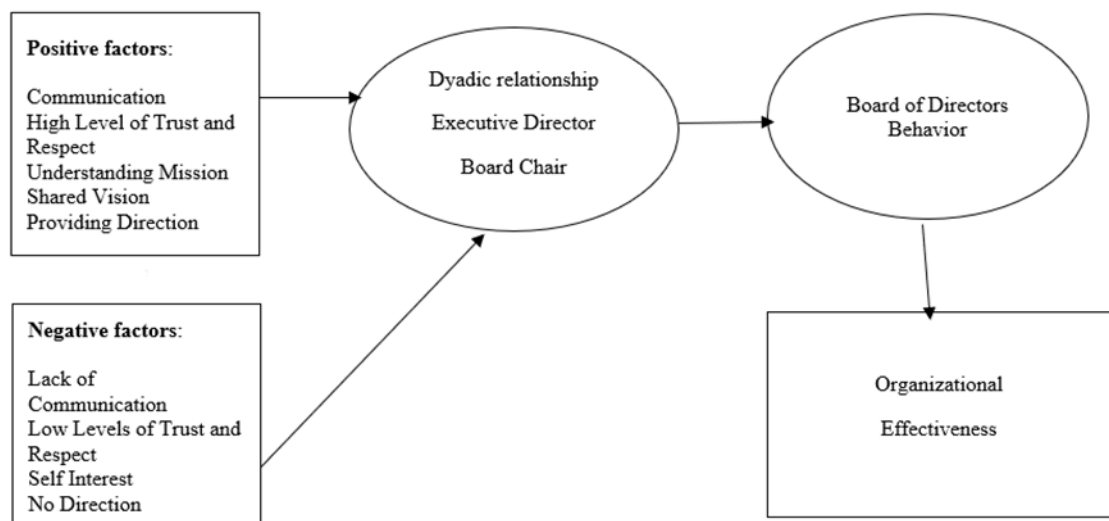
Figure 7.6: Emerging pattern of positive and negative factors in relationship

Figure 7.7 presents an adaptation of the Neustrom et al. (2012) model, based on study data as charity leaders examine their own relationships that impact fundraising effectiveness. Evidence about influences on CEO-board chair relationship emanated from dyads reflecting on their own relationship, their knowledge of problematic and beneficial dyadic relationships and is synthesised here. While this evidence was viewed from a dyadic perspective, there were many similarities across all CEOs and board chairs.

Figure 7.7 indicates that positive factors can influence the CEO-board chair relationship, resulting in a strong dyadic relationship and can change the behaviour of the CEO, board chair and board of directors, potentially delivering positive outcomes of fundraising effectiveness, mission fulfilment and community impact. Negative factors can influence the CEO-board chair relationship and impact negatively, weakening the dyadic relationship and the behaviour of the CEO, board chair and board of directors, potentially risking outcomes of fundraising effectiveness, mission fulfilment and community impact. The dyadic relationship affects CEO, board chair and potentially the board of directors. Table 7.11 presents from data these positive and negative factors that can influence the dyadic CEO-board chair relationship.

While recognising that this research and the Neustrom et al. (2012) study used similar qualitative methodology, the arrows in Figures 7.6 and 7.7 do not have the same meaning as in quantitative methodology. It can be deduced from the study, however, that there is evidence of positive and negative factors that are top of mind for dyad members and these factors may well provide guidance for practice. Neustrom et al. (2012) have taken what almost looks like a quantitative model approach to capturing the factors in that situation. These factors have been adapted according to the data, recognising that Figure 7.7 is not a structural equation diagram, to show the independent influence of different factors, rather than just to gather them. Figure 7.7 simply outlines the potential result of positive and negative factors intrinsic in the CEO–board chair relationship, recognising the role of the board in fundraising as a whole and indicating potential positive outcomes and those at risk of the CEO–board chair relationship driving or supporting fundraising.
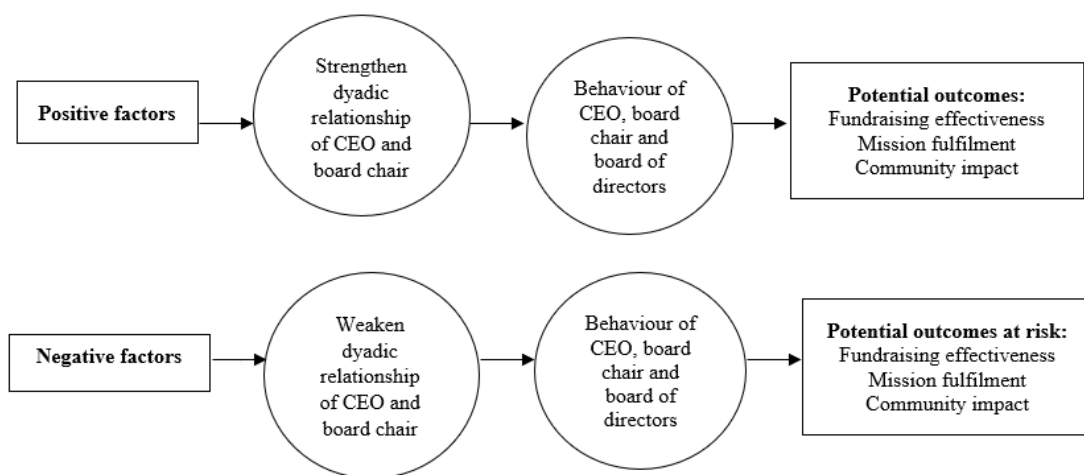
Figure 7.7: Emerging pattern of positive and negative factors in CEO–board chair relationship using LMX and qualitative enquiry adapting to LLX

Table 7.11: Positive and negative influences on CEO-board chair relationship

Positive influences on the CEO-board chair relationship	Negative influences on the CEO-board chair relationship
Shared understanding of fundraising principles and sector knowledge	Lack of fundraising/sector knowledge
Same vision, culture, and values	Differing expectations of each other and organisation purpose
Alignment with mission, purpose, strategy, priorities	Lack of alignment on strategic objectives
Willingness to think big together	Lack of personal passion
Both giving in their own capacity, financially as well as socially	Misuse of power, privately and publicly
Accessibility for timely communication	Total failure of effective communication
	Lack of willingness of each party to engage
Strong, Trusting and rewarding relationship	Lack of Trust (Scandura & Pellegrini, 2008) and emotional intelligence
Respectful and collegial relationship	Driven by own career and not what each can give
	Personal interests ahead of organisation interests
Transparency in the relationship	Ego
Complementary leadership styles, personalities, and skills	Conflicting ways of dealing with partner organisations
	Misaligned motivations
Working together	Disharmony leading to dysfunctional board meetings

	Not seen together nor leading fundraising together
Understanding each other's role and staying in that role	Disconnect in each other's roles in fundraising Disrespect for each other's roles in fundraising

Chapter 1 mentioned building on a Fundraising Effectiveness Framework (Scott, 2014) that identified intraorganisational and extraorganisational factors for organisations wanting to increase their fundraising effectiveness. While 'key relationships', 'governance' and the 'role of the CEO' are mentioned, this study confirms adding '*CEO–board chair relationship*' as a core intraorganisational factor for organisations to consider. This is presented in Figure 7.8.

Figure 7.8: Updated Fundraising Effectiveness Framework

The recruitment recommendations for CEOs, boards, and board members with fundraising experience (Tables 7.5, 7.6 and 7.7) are useful tools for nonprofit practice. Various evidence was found in the document analysis for CEO recruitment driving fundraising, however, the CEO recommendations (Table 7.5) are concise, having been reviewed by interdisciplinary experts in focus groups (Study 3). Reflecting on document analysis outcomes where fundraising key-word evidence for board recruitment was scant, new guidance for board recruitment should prove helpful. The

recommendation to appoint a board member with fundraising experience may be a useful asset but needs to be considered because particular fundraising experience or skills may be more practical for individual organisations. Other studies, for example Scott (2014), suggested CEOs with fundraising experience should be able to interpret fundraising issues for the board and provide education (as in this study), however, the addition of a suitably qualified board member tends to be an early marketplace trend and one that is more defined in Table 7.7. Where fundraising is an income stream, this specially recruited board member could fulfill an important skill requirement in the board matrix.

Following on in the recruitment vein and recognising the important CEO–board leadership relationship that drives fundraising and mission, the wording refined by focus groups (Study 3) will provide new guidance, encourage fundraising leadership understanding and provide the ability to recruit purposefully in a fundraising sense (Section 7.3.1.3.2). In each of the three phrases, it is explicit that the CEO and board lead fundraising together.

7.6   IMPLICATIONS AND CONTRIBUTION TO POLICY

Study data supports a Nonprofit Bill of Rights for Board Directors, which could be termed a policy for actions taken by board directors in a fundraising context. Sections of data where evidence emerges are indicated in Table 7.12, with much evidence emerging from recruitment discussions. It must be said that no participant explicitly referred to a Nonprofit Board Bill of Rights. However, in analysing the issues and what as a policy response might address some of them, this notion is introduced and discussed. It responds to rather than reports the Findings. Policy is a deliberate system of guidance for decision-making, achieving meaningful and useful outcomes, and implemented as a procedure or protocol (Kornov & Thissen, 2000; March, 1994). In the nonprofit sector, policy is guidance to help with process and compliance, often developed by the organisation itself or government regulators (ACNC, 2021).

Australia differs from the US in relation to a Bill of Rights. In the US, The Bill of Rights exists in relation to the first 10 amendments to the Constitution, spelling out the rights of Americans in relation to their government, guaranteeing civil rights and individual liberties like freedom of speech, press and religion. Unlike most similar

liberal democracies, Australia does not have a Bill of Rights, but has protections for human rights in the Constitution and Commonwealth and state/territory regulations relating to freedom of speech, press, religion, assembly and petitioning the government.

In fundraising terms, member organisations such as the Association of Fundraising Professionals (AFP), located in the US, have developed a Bill of Rights for donors (AFP, 1993, 2013). AFP is also working on a Bill of Rights for Fundraisers. No such document exists for board directors of charities. The Donor Bill of Rights was developed by AFP in the early 1990s in US, in consultation with a variety of other organisations. It is considered worldwide as a document of policy respecting donors' rights in relation to the donations they provide to charitable organisations to engender trust and confidence that funds will be used according to donor intention. Much discussion is being facilitated by AFP with the Fundraiser Bill of Rights, relating to respect for the fundraiser's knowledge and experience, but mostly with job-based aspects (e.g., fundraising goals, compensation, professional development, performance evaluation, mentoring, autonomy). From these two documents, the rights of board directors are referred to. The Donor Bill of Rights contains an expectation that the board will exercise good judgement and stewardship. The Fundraiser's Bill of Rights (developed so far) refers to leaders who understand and respect how fundraising works and the right to a culture of philanthropy in the organisation, which celebrates philanthropy and fundraising and the role of fundraising. These two aspects emerge from study data also.

Organisations often include board charters that outline board structure, responsibilities, roles, powers, and ethical conduct (BoardSource, 2021). In the nonprofit sector, ACNC provides corporate and operational policies to guide the management of charities. Anecdotally, authors have penned the rights of directors as having unlimited access to records, ongoing and meaningful communication between board members and employees, the right to dissent on viewpoints, the right to call out another board member on their behaviour, and protection against liability.

Data has indicated numerous influences on boards driving fundraising, presented in this chapter. Through tables in this chapter and previous chapters, a Nonprofit Bill of Rights for Board Directors for charities has been developed, identifying, directly from data, eight rights board members have in relation to fundraising. These differ from roles and responsibilities already provided by various

institutions and organisations worldwide in a governance sense and provide new insights for the sector in supporting and driving fundraising. It is clear that a simple Nonprofit Board Bill of Rights may facilitate better board–CEO relationships and organisational fundraising outcomes. Table 7.12 presents a Nonprofit Bill of Rights for boards, drawn directly from data and indicating evidence sources. Synergies with LMX are also indicated.

Table 7.12: Nonprofit Board Bill of Rights in relation to fundraising

Nonprofit Board Bill of Rights	Synergy with LMX	Evidence section sources
1. To participate in induction that includes fundraising investment, strategy, activity, effectiveness, and impact	Communication Direction (strategy)	5.5.3.3
2. To benefit from professional development, understanding fundraising principles, techniques, and risk management	Role clarity Direction (risk strategy)	5.5.3.3; 5.5.6; 5.5.7; 7.3.2
3. To participate in a culture of philanthropy that celebrates philanthropy and fundraising strategy, success, and impact	Satisfaction Vision	5.5.6; 7.3.1.3.3
4. To communicate with executive leadership and learn stories of impact	Communication	5.5.6; 5.5.7
5. To act as an advocate and supporter of fundraising appeals	Role clarity	5.5.6; 7.3.1.3.3
6. To communicate and engage with donors and supporters, building relationships	Engagement	5.5.6; 5.5.7
7. To donate to the organisation	Engagement	5.5.6; 7.3.1.3.3
8. To be informed of and attend fundraising events	Communication	5.5.6; 5.5.7

7.7   KEY LIMITATIONS OF THIS STUDY

As with most studies, there are limitations. The document analysis (Study 1) served its purpose and was conducted in the last quarter of 2019, at the start of COVID-19 impact. Collecting current recruitment documentation may provide different fundraising key-word evidence than that collected in the study. Board recruitment may have improved in mentioning fundraising key-word evidence, perhaps due to sheer financial need. Most interviews (Study 2) were conducted online and conducting them in person may have resulted in different data and emphasis. Similarly, the focus groups (Study 3) were conducted online, and if conducted in person and in particular

geographic locations could have resulted in a different mix of participants and data. Despite these methodological aspects, a sufficient sample of recruitment documentation was collected, and online interviews and focus groups resulted in safer conditions for the researcher and the wide pool of participants used to online participation.

There could be limitations in relation to the qualitative methodology used. Limitations of the Findings from qualitative data can often be extended to people with characteristics like those in the study population or those of a specific social context or phenomenon; however, it is more difficult to generalise to other geographical areas or populations because of its detail and complexity (Mack et al., 2005, p. 2). The textual format of the data is more difficult to analyse objectively compared to the numerical (or numerical values assigned to responses) type of quantitative data, allowing for increased opportunities for inaccuracy, such as through the recording, transcription, and interpretation phases.

The survey tool provided to Study 2 participants for them to self-assess fundraising in their organisations and provide information about their organisation has limitations. The tool is practice-based rather than developed through academia, based on evidence. Even though the tool has wide use globally, a different choice of practice statements from the tool, may gain different responses and overall deductions. The study, and hence analysis and Findings, were dependent on information from participants that were subjective from each individual relying on their own understanding of the issue being rated, rather than any set protocol or guidance provided.

Researcher bias can also be a limitation of qualitative methodologies, where the researcher has views that may be contrary to participants' views or where the researcher is looking for certain outcomes. In this study, care was taken to prevent these limitations affecting the analysis, interpretation and conclusions. Additionally, as mentioned in Chapter 3 (Section 3.6), to limit researcher bias in data analysis, an independent person coded a percentage of data, resulting in kappa coefficient between the researcher and independent person of 1 *(K=1)*, complete agreement, for all comparisons (Kvalseth, 1991; Cohen, 1960).

The researcher expected to have more findings from a dyadic perspective but there were more similarities across the cohort than differences. Future research may result in more contrasting findings from dyads that are limited in this research.

7.8 FUTURE RESEARCH

Future studies could build on this research in many ways. Recruitment documentation relating specifically to board chairs could be collected and evaluated. Recruitment of a board member with fundraising experience could delve further into particular fundraising skills required of that person, which may define alternate structures (e.g., fundraising advisory groups). Further research guided by organisational fundraising dependency could yield more guidance or insight into the perceived skills and experience of existing board members as opposed to seeking a director with additional fundraising skills and expertise or the 'fundraising standards' expected of any board members.

Additional research with boards and their relationship to donors or supporters could prove valuable, not only in relation to recruitment but with board members' access to and involvement with donors or supporters. Board member skills and/or expectations with these groups could be further defined.

More research into the benefits of working with recruitment agencies versus the use of in-house resources could guide organisations in their recruitment of CEOs and board members, particularly relating to costs.

The newly developed Nonprofit Board Bill of Rights in relation to fundraising could be studied as a collaborative tool in Australia and overseas through such organisations as ACNC, FIA and AFP. This would bring professional endorsement and possible usage, extending the reach of the research.

Quantitative studies could add other factors to complement study findings for the CEO–board chair relationship, gauging the degree of characteristics highlighted in this study. Quantitative studies may also be used to be more prescriptive in defining fundraising education that would be more valuable for boards to consider, in addition to benchmarking studies. Quantitative studies would allow for a wider audience than qualitative methodology.

Studies could look closer at leadership styles of dyads to clarify which styles are recommended within various contexts (e.g., in arts organisations where there are artistic directors or directors of music, who take a place in the leadership team). Literature describes a prominence of transformational and servant leadership styles in charity leadership; however, other leadership styles were identified in this study, including democratic and collaborative leadership. In some respects, servant leadership was challenged by participants because of the perceived concept of 'master/servant' involvement. While this aspect was not highlighted by all participants, many reacted strongly to this concept as not being appropriate in today's environment. Further research into the understanding and application of servant leadership would be beneficial.

As the LLX concept has been developed through this study, a useful extension could be to develop measures of LLX and test the concept in the marketplace. Board studies could benefit from using a similar dyadic approach to gain further insight from both dyad members (i.e., from governance and operational points of view). As the concept of LLX was introduced in this research, further development of the concept could involve other sectors and settings in its application. While the stages of LLX development are suggested in Figure 7.3, additional reflection, research and insights would add detail and elaboration and perhaps even challenge the concept.

This study contributed to the Fundraising Effectiveness Framework (Scott, 2014) through Figure 7.8, which outlines intraorganisational and extraorganisational factors for organisations. However, this model could be reviewed in the light of environmental changes, compliance issues, privacy constraints and fundraising development – issues that were mentioned by Study 2 participants as future factors and concerns.

Research using a different lens (e.g., the organisation viewpoint) could add or challenge research findings and suggest additional considerations, structures or contexts for the CEO–board chair relationship and limiting factors. As this thesis refers to corporate structures in earlier chapters, there may be useful applications and adjustments for the corporate sector. Similarly, research into leadership relationships for various stakeholders could extend the research into different areas (e.g., funders and educators).

7.9 SUMMARY AND REFLECTION

These studies provide reflection on the Australian nonprofit leadership recruitment process and confirm the CEO–board chair relationship supports and drives fundraising, which is new information to guide nonprofits in their fundraising and meeting mission. New insights are provided for practice, theory and policy, and provide more evidence for the newly developed adaptation of LMX to the concept of LLX.

This has been an area that has been taken for granted. Evidence from this study has established how absolutely critical the CEO–board chair relationship is in a fundraising context not just for the present but for the future. From this evidence, there is no doubt there will be changes affecting organisational leadership and fundraising because of internal, external and sector occurrences and influences and the ability to thrive through those changes lies in the Quality of the Relationship (Deluga, 1998) established by CEOs and boards affecting their ability to fundraise.

Significant new insights have been gained through this study as well as existing knowledge being supported, as indicated in Table 7.13. The following summary outlines the Standout Findings this study contributes.

Table 7.13: Standout Study Findings

Finding	Outcome
1. CEO and board share fundraising leadership	Reflected previous literature
2. CEO central to fundraising and fundraising leadership	Reflected previous literature
3. Phrases describing the fundraising leadership relationship of the CEO and board are offered for recruitment	New insights
4. Mutual Trust and Respect (Bauer & Erdogan, 2015) plus fundraising and sector knowledge are the basis for CEO–board chair relationship leading and driving fundraising	New insights
5. CEO–board chair relationship is different when fundraising is involved	New insights
6. A culture of philanthropy is the shared responsibility of the CEO and board.	Reflected previous literature
7. Recruitment guidelines for CEOs, boards, and a director with fundraising experience	New insights
8. To evaluate fundraising effectiveness, boards need benchmarking knowledge	New insight
9. CEO needs a good, strong working relationship with board chair that doesn't stifle CEO motivation to find fundraising and funding opportunities	New insight
10. CEOS should be encouraged to build donor and partner relationships because fundraising often follows	Reflected previous literature
11. Being transparent with donors about funds is vital to building Trust (Scandura & Pellegrini, 2008) and maintaining integrity	Reflected previous literature
12. It is important that board members don't denigrate fundraising	Reflected previous literature
13. Confidentiality is important in the CEO–board chair relationship	Reflected previous literature
14. Additional leadership styles preferred by dyad members include collaborative and democratic and not just transformative and servant leadership	New insights
15. Adaptation of LMX to development of LLX concept	New insight
16. Development of Nonprofit Board Bill of Rights	New insights

Some of these statements would appear to be self-evident, however, clearly the practice of the dyads would suggest that they are not and need explicit restating. Unfortunately, nonprofit fundraising practice is not always drawn from evidence – but from inexperience, intuition, or unrelated experience.

The impact of these Findings is significant for charity leaders, recognising the value of the CEO–board chair relationship and impact on fundraising and then mission. Impact flows down to service beneficiaries as the sector recognises and celebrates the important CEO–board chair relationship and how that relationship can influence more funded community services.

Fundraising has long sought a theoretical base and more often has borrowed theories from other disciplines. Developing an adaptation of LMX to the LLX concept provides a basis for appreciating and recognising the dyadic leadership of the CEO and board chair in nonprofits who fundraise, understanding that this relationship is contingent on good communication, fundraising and sector knowledge, confidentiality and EI (Tucker et al., 2020).

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Appendices

Appendix A: Sample studies based on LMX

Study	Sector	Title/Theme
Farr-Wharton, Brunetto & Shacklock, 2011	Management	Professionals' supervisor-subordinate relationships, autonomy, and commitment in Australia: a leader–member exchange theory perspective.
Burns & Otte, 1999	Management	Implications of leader–member exchange theory and research for human resource development research.
Megheirkouni, 2017	Management	Revisiting leader–member exchange theory: insights into stadia management.
Memili, Welsh, & Kaciak, 2014	Business/ Management	Organisational Psychological Capital of Family Franchise Firms Through the Lens of the Leader–Member Exchange Theory.
Baker, 2019	Management	Investigating the combined effect of LMX and the leader emotional expressivity of optimism on follower job outcomes of affective organisational commitment, trust in leader, and job satisfaction.
Horan, Chory, Carton, Miller, & Raposo, 2013	Education	Testing Leader–Member Exchange Theory as a Lens to Understand Students' Classroom Justice Perceptions and Antisocial Communication.
Clemens, Milsom, & Cashwell, 2009	Education	Using Leader–Member Exchange Theory to Examine Principal-School Counselor. Relationships, School Counselors' Roles, Job Satisfaction, and Turnover Intentions.
Tucker, Jimmieson, & Bordia, 2020	Education	Using LMX Theory to examine Teachers' Job Satisfaction within the supervisor–employee relationship.
Neustrom, Carlin, Kimmelman, & Mool, 2012	Human Services	Using LMX framework within ten human service organisations to explore the relationship of executive directors and board chairs of nonprofit organisations experiencing a changing environment.
Transformational leadership & LMX		
Power, 2013	Education	LMX Theory in higher and distance education. (LMX and **transformational leadership**).
Wang, Law, Hackett, Wang, & Chen, 2005	Education	Leader–member exchange as a mediator of the relationship between **transformational leadership** and followers' performance and organizational citizenship behaviour.
Krishnan, 2004	Management	Impact of **transformational leadership** on followers' influence strategies.

Tse, Huang, & Lam, 2013	Human Resources	Why does **transformational** leadership matter for employee turnover? A multi-foci social exchange perspective.
Servant leadership & LMX		
Hanse, Harlin, Jarebrant, Ulin & Winkel, 2016	Health	The impact of **servant leadership** dimensions on leader–member exchange among health care professionals.
Barbuto & Hayden, 2011	Management	Testing Relationships between **Servant Leadership** Dimensions and Leader–Member Exchange.
Mostafa & El-Motalib, 2019	Health	**Servant Leadership**, Leader–Member Exchange and Proactive Behavior in the Public Health Sector.
Newman, Schwarz, Cooper, & Sendjaya, 2017	Management	How **Servant Leadership** Influences Organizational Citizenship Behavior: The Roles of LMX, Empowerment, and Proactive Personality.
Chiniara & Bentein, 2018	Management	The **servant leadership** advantage: When perceiving low differentiation in leader–member relationship quality influences team cohesion, team task performance and service OCB.

Appendix B: Code book classifying skills, experience, responsibilities – board recruitment

1. Coded as 'relationship building': any mentions for:
   - Experience in relationship building, fundraising and communication skills

   - Have skills and expertise in relationship development and fundraising strategy

   - Involvement and understanding in relationships and fundraising

2. Coded as 'fundraising' or 'development': any mentions for:
   - Experience/expertise in media, marketing, and fundraising

   - Assist/advise/attend/manage/support the organisation's fundraising activity

   - Participate/contribute/involvement/insight in fundraising

   - Desirable skill: fundraising/funds development

   - Fundraising engagement skills

   - Experience/qualifications: fundraising and/or sponsorship

   - Fundraising and ambassadorship

3. Coded as 'philanthropy' or 'philanthropic': any mentions for:
   - Possessing philanthropic relationships/networks/communities/partnerships

   - Extensive/professional/experience in philanthropy and partnerships

   - Achieved leadership stature/accomplishments in philanthropy

   - Skills and strengths in philanthropy

   - Represent philanthropy

4. Coded as 'fundraising' or 'development committee involvement': any mentions for:
   - Fundraising and marketing committee

   - Partnerships and development committee

   - Active participation on fundraising sub-committee

5. Coded as 'donors' or 'supporters': any mentions for:
   - Supporters when used in a fundraising sense

   - Advocate for existing and potential donors

   - Identifying and cultivating relationships with potential donors

   - Communicate and engage with donors

   - Represent supporters

   - Expand network of supporters and donors

   - Assist in the creation of donor partnerships

   - Connections into donor communities

   - Participate in meetings with donors

   - Experience and skills with major donors

Appendix C: Code book classifying skills, experience, responsibilities – CEO recruitment

1. Coded as 'relationship building': any mentions for:
   - Develop and build fundraising relationships

   - Manage existing donor relationships

   - Develop new major donor relationships

   - Develop relationships with major and emerging donors and notified bequestors

   - Guide the fundraising team to leverage existing relationships

2. Coded as 'fundraising or development': any mentions for:
   - Fundraising experience and skills in donor acquisition, cultivation, and engagement

   - Grow fundraising income and supporter databases according to fundraising and ethical principles

   - Identify risks in relation to fundraising and ensure regulatory compliance

   - Deliver and steward major fundraising campaigns

   - Manage and deliver a sustainable, diversified, and adaptable fundraising strategy

   - Create, drive and develop sustainable fundraising initiatives and opportunities

   - Develop an appropriate fundraising operating model and budget

   - Supervise fundraising operations and guide the fundraising team to executive campaigns

   - Suitable credentials in fundraising education

3. Coded as 'philanthropy' or 'philanthropic': any mentions for:
   - Understanding and experience in best practice philanthropy

   - Seek and secure funding through philanthropic means and philanthropists

   - Demonstrated record of securing philanthropic grants and raising substantial philanthropic donations

   - Leverage philanthropic relationships

   - Represent the organisation at senior philanthropic levels, building relationships

   - Keep up to date with philanthropy trends and changes

   - Grow and promote local effective philanthropy and philanthropic support

   - Understanding of the philanthropic landscape and sustainable philanthropic partnerships

   - Tertiary qualifications in philanthropy

4. Coded as 'donors' or 'supporters': any mentions for:
   - Oversee the donor acquisition, management, and stewardship strategy for large and small donors

   - Build and maintain effective relationships and partnerships with donors

   - Ensure the efficient running and confidentiality of the donor administration system, serving donors

   - Develop and maintain effective communication, engagement and relationships with donors and supporters

- Identity, cultivate and develop potential respectful major gift relationships

- Initiate and build effective marketing and communication activities to engage donors and regulatory bodies

- Grow a community of supporters and provide involvement opportunities

- Leverage relationship building skills to drive support of funders, volunteers, and donors

- Develop new collaborations with donors and sustainable relationships

- Build trust with donors and be accountable for donor funds, acknowledging donations and reporting to donors using a donor retention strategy

- Grow a donor pool and develop bequest and donor management strategies

- Ensure regulatory compliance for donor programs

- Confidence in making asks of donors, being highly persuasive and possessing negotiation skills

5. Coded as 'working with board' plus 'fundraising': any mentions for:
- Develop fundraising strategies, targets, and plans

- Drive a positive, value-based culture, aligned to mission

- Design and implement a new strategic plan to diversify revenue and enable growth and sustainability

- Identify new sources and increased levels of income

- Work with sector organisations, funders, donors and other supporters

6. Coded as 'leader' plus 'fundraising': any mentions for:
- Take a leadership role in fundraising strategy incorporating community relations and engagement

- Leading the development of corporate partnership and fundraising initiatives

- Provide leadership in developing fundraising targets and plans

- Lead income growth through fundraising

- Delegate campaign and events to staff teams

- Be accountable for fundraising leadership

- Lead and secure income from donors, Trusts, corporate funders

- Deliver fundraising objectives

Appendix D: Sample online survey

Pre-interview organisation fundraising self-assessment – CEO and board chair

Thank you for taking the time to complete this survey.
This survey should take approximately 10 minutes to complete.
Please preview the Participant Information Sheet for project information.

The survey begins with 10 practice statements.
Each statement relates to fundraising effectiveness in **your organisation when you were there**.
Please indicate **how much you agree** with the following statements.
Each statement is provided twice, asking you to indicate '**Do we operate this way**?' and '**Should we operate this way**?'
Please remember all information supplied in this survey is confidential.

Q1 **Statement 1:** The board monitored the performance of our fundraising/development program so that timely interventions/adjustments were possible. **Do we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q2 **Statement 1**: The board monitored the performance of our fundraising/development program so that timely interventions/adjustments were possible. **Should we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q3 **Statement 2:** Our organisation promoted a culture that fostered the building of meaningful relationships with prospective donors and donors. **Do we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q4 **Statement 2:** Our organisation promoted a culture that fostered the building of meaningful relationships with prospective donors and donors. **Should we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q5 **Statement 3:** We understood the motives for individual and corporate charitable giving in our community. **Do we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q6 **Statement 3:** We understood the motives for individual and corporate charitable giving in our community. **Should we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q7 **Statement 4:** We were constantly expanding our list of potential and existing donors and had special fundraising programs designated for donor acquisition. **Do we operate** this way? Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q8 **Statement 4:** We were constantly expanding our list of potential and existing donors and had special fundraising programs designated for donor acquisition. **Should we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q9 **Statement 5:** Our organisation's senior leadership was prepared to provide special recognition to major gift donors appropriate to their commitment and desire. **Do we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q10 **Statement 5:** Our organisation's senior leadership was prepared to provide special recognition to major gift donors appropriate to their commitment and desire. **Should we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q11 **Statement 6:** The fundraising/development program consistently met its targets. **Do we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q12 **Statement 6:** The fundraising/development program consistently met its targets. **Should we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q13 **Statement 7:** We were constantly looking for strategies to increase the effectiveness of our fundraising activities that had proven themselves for our organisation. **Do we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q14 **Statement 7:** We were constantly looking for strategies to increase the effectiveness of our fundraising activities that had proven themselves for our organisation. **Should we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q15 **Statement 8:** Our organisation recognised that it required resources to raise money and allocated an appropriate budget for fundraising/development. **Do we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q16 **Statement 8:** Our organisation recognised that it required resources to raise money allocated an appropriate budget for fundraising/development. **Should we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q17 **Statement 9:** We had the information and administrative infrastructure necessary to run a modern fundraising/development program (computers, office systems, admin staff, website, online giving, etc.). **Do we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q18 **Statement 9:** We had the information and administrative infrastructure necessary to run a modern fundraising/development program (computers, office systems, admin staff, website, online giving, etc.). **Should we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q19 **Statement 10:** Gift solicitations and donor relations were conducted in accordance with the regulatory environment in which fundraising activities were conducted. **Do we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

Q20 **Statement 10:** Gift solicitations and donor relations were conducted in accordance with the regulatory environment in which fundraising activities were conducted. **Should we operate** this way?
Strongly disagree 1 (1) 2 (2) 3 (3) 4 (4) Strongly agree 5 (5) Don't know (6)

This section is about your organisation.
The answers to these questions allow us to understand more about organisations taking part in the study.
Please remember, all information supplied in this survey is confidential.

Q21 **What was the name of your organisation?**

Q22 **What is the size of the organisation in annual turnover?**

$50,000–$250,000 per year (1) $250,000–$1m per year (2) $1m–$10m per year (3)

$10m–100m per year (4) More than $100m per year (5)

Q23 **What is your role?** CEO (1) Board chair (2)

Q24 **How many years have you been in that role at the organisation you named?**

Q25 **How many members of the board are there?**

Q26 **Do you agree for de-identified organisational data to be used in the study?** Yes (1) No (2)

These questions are about you.
These questions help us to understand more about the people who participate in our study.
Please remember, all information supplied in this survey is confidential.

Q27 **What is your age range?** 25-30 (1) 31-40 (2) 41-50 (3) 51-55 (4) 56+ (5)

Q28 **How do you identify your gender?** Male (1) Female (2) Transgender (3) Other (4)

Q29 **What is the highest level of education you have completed?** Up to year 10 (1) Year 12 (2)
Trade qualification (3) Certificate (4) Associate Diploma (5) Diploma (6) Degree (7) Grad
Certificate/Diploma (8) Masters Degree (9) PhD (10)

Appendix E: Interview guide: CEOs

Introduction by researcher	Purpose of the research Pre-interview organisation fundraising self-assessment Guidance on privacy and use of the data Questions or clarifications Timing and process
Board recruitment	Thinking about board recruitment and fundraising. In your mind, what would a good board appointment look like to assist with driving fundraising and mission? When searching for new board members is fundraising knowledge or experience a requirement or expectation? Why or why not?
Fundraising and board involvement	You completed a pre-interview assessment of your organisation, and you thought it could do better in how it operates its fundraising. What do you think the organisation can do better in fundraising terms? How could you and the board assist with that? Do you, as CEO, get involved in fundraising in any respect? Why or why not? Studies support CEOs and boards working together to drive fundraising and mission. Do you <u>with</u> board members get involved with fundraising? Why or why not?
Leadership style	How would you describe your leadership style? Do you think your leadership style gels with that of the board chair? If so, how? Does your leadership style affect your relationship with the board chair? Why or why not?
CEO–board chair relationship	How would you describe your relationship with the board and board chair? What principles do you base your relationship on? Does that relationship drive fundraising and mission? If so, how? Is there anything missing from your CEO–board chair relationship that would help driving fundraising and mission? Does EI (Defined for interviewees: the capacity to be aware of, control, and express one's emotions, and to handle interpersonal relationships judiciously and empathetically) play a part? If so, how? Who takes the leadership role in your relationship and when does that occur? What is one thing that would improve your relationship with the board chair in relation to influencing or driving fundraising? What organisations are you aware of where there is a beneficial relationship between the CEO and board chair that drives fundraising and mission? What makes that relationship work? What are the barriers to having a great CEO–board chair relationship that drives fundraising and mission? Do you know of organisations where there is a problematic relationship between the CEO and board chair that affects fundraising and mission? What do you suspect causes that problematic relationship? If you were appointing a new board member or board chair, how would you recommend setting up and maintaining a relationship with that them that would drive fundraising and mission?
Future influences	What future factors could influence the CEO–board chair relationship in driving fundraising and mission?
Closing remarks	If I have further questions, could I come back to you? Could you please provide your most recent PD and recruitment advertising when you joined the organisation? Thanks, and next steps.

Appendix F: Interview guide: board chairs

Introduction by researcher	Purpose of the research Pre-interview organisation fundraising self-assessment Guidance on privacy and use of the data Questions or clarifications Timing and process
CEO recruitment	Thinking about CEO recruitment and fundraising. In your mind, what would a good CEO appointment look like where the CEO is guiding fundraising? When searching for a new CEO, is fundraising knowledge or experience a requirement or expectation? Why or why not?
Fundraising and board involvement	You completed a pre-interview assessment of your organisation, and you thought it could do better in how it operates its fundraising. What do you think the organisation can do better in fundraising terms? How could the board and CEO assist with that? How do you and/or other board members get involved with fundraising? Studies support boards and CEOs working together to drive fundraising and mission. Would you say that happens in your organisation? When recruiting new board members, what is expected of candidates in relation to fundraising? Should a PD (with key performance indicators) be provided to candidates involving fundraising?
Leadership style	How would you describe your leadership style? Do you think your leadership style gels with that of the CEO? If so, how? Does your leadership style affect your relationship with the CEO? Why or why not?
CEO–board chair relationship	How would you describe your relationship with the CEO? What principles do you base your relationship on? Does that relationship drive fundraising and mission? If so, how? Is there anything missing from your board chair–CEO relationship that would help driving fundraising and mission? Does EI (Defined for interviewees: the capacity to be aware of, control, and express one's emotions, and to handle interpersonal relationships judiciously and empathetically) play a part? If so, how? On occasions, board chairs speak for the board as a group. On other occasions board chairs speak as an individual. Are there occasions when you speak for the group or as an individual that affects your relationship with the CEO? Who takes the leadership role in your relationship with the CEO and when does that occur? What is one thing that would improve your relationship with the CEO in relation to influencing or driving fundraising? What organisations are you aware of where there is a beneficial relationship between the board chair and CEO that drives fundraising and mission? In your view, what makes that relationship work? What are the barriers to having a great board chair–CEO relationship that drives fundraising and mission? Do you know of organisations where there is a problematic relationship between the board chair and CEO that affects fundraising and mission? What do you suspect causes that problematic relationship? If you were appointing a new CEO, how would you recommend setting up and maintaining a relationship with that CEO that would drive fundraising and mission?
Future influences	What future factors could influence the board chair–CEO relationship in driving fundraising and mission?
Closing remarks	If I have further questions, could I come back to you? Could you please provide your most recent PD and recruitment advertising when you joined the organisation? Thanks, and next steps.

Appendix G: CI Issues

1. Recruiting board members differently to past customs e.g., word of mouth, touch on the shoulder, is the key to changing board mindset about fundraising income streams and diversification.
2. CEO needs a good, strong, working relationship with board chair that doesn't stifle CEO motivation to find fundraising and funding opportunities.
3. The core values of CEO and board chair need to match (e.g., ethics, diversity, trust).
4. Every board member should have a willingness to get involved in fundraising in some respect.
5. Every board member should have a PD with accountabilities (KPIs) for fundraising.
6. When the board chair sees an opportunity for fundraising, they should bring it to the attention of the CEO.
7. CEOs should be encouraged to build donor and partner relationships because fundraising often follows.
8. Being transparent with donors about funds is vital to building trust and maintaining integrity.
9. EI plays an important part in the CEO–board chair relationship that drives fundraising because it underpins mutual understanding.
10. A great CEO–board chair relationship is fundamental to great fundraising outcomes.
11. If board members believe in the organisation they will want to donate and participate in the organisation.
12. It is important that board members don't denigrate fundraising.
13. From a fundraising perspective, relationships with other board members is just as important as a relationship with the board chair.
14. EI is more important than financial intelligence particularly to fundraising.
15. The centre of fundraising is the CEO and the chair and board facilitate and assist that.
16. The CEO is the chief fundraiser.
17. Best boards work side by side with management, knowing where each other sits.
18. The board chair should lead by example in a fundraising context.
19. It's important that CEOs and board chairs talk about each other's strengths and blind spots.
20. Confidentiality is important in the CEO–board chair relationship.
21. Great CEOs should be great storytellers.
22. Board members need to be advocates and share stories of impact.
23. A great CEO–board chair relationship *supports* fundraising and mission rather than *drives* fundraising and mission.
24. The most important relationship in the organisation is the CEO/board chair relationship and them getting along.
25. The CEO–board chair relationship is equal with each serving in different roles.
26. The CEO is the servant of the board.

Appendix H: CI table: CEOs and board chairs combined

	Issue	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26
		C	C	C	C	C	B	C	C	C	B	B	C	B	B	B	C	C	B	B	B	C	C	C	C	C	C
1	CEO	A	A	A	D	D	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
2	CEO	A	A	A	A	A	A	A	A	A	A	A	A	A	A	D	D	A	A	A	A	D	A	D	A	D	D
3	BC	A	A	A	D	D	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	D	A
4	CEO	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	D	A	A
5	BC	D	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A
6	BC	D	A	A	A	D	A	A	A	A	A	A	A	A	D	D	D	D	D	A	A	A	D	A	D	D	D
7	CEO	A	A	A	A	D	A	A	A	A	D	D	A	A	D	A	A	A	A	A	A	A	A	A	A	D	D
8	BC	A	A	A	A	D	A	A	A	A	A	D	A	A	D	A	A	A	A	D	A	A	A	A	A	A	A
9	BC	D	A	A	A	D	A	A	A	A	D	A	A	A	A	A	A	A	A	D	A	D	A	D	D	D	D
10	CEO	A	A	A	A	D	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
11	CEO	A	A	A	A	D	A	A	A	A	A	D	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A
12	CEO	A	A	D	A	A	A	A	A	A	A	A	A	D	D	D	A	A	A	A	A	A	A	D	D	D	D
13	CEO	A	A	A	A	D	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	A	D	D	A
14	CEO	A	A	A	A	D	A	A	A	A	A	A	A	A	D	D	A	A	A	A	A	A	A	A	A	A	D
15	BC	D	A	A	A	D	A	A	A	A	A	A	A	A	D	A	A	A	A	D	A	D	A	A	A	A	D
16	BC	D	A	A	A	D	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
17	BC	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	D
18	BC	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	A	A	D	A	A	A
19	CEO	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	D
20	CEO	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A
21	BC	D	A	A	A	D	A	A	A	D	D	A	A	A	D	D	D	A	D	A	A	A	A	A	D	A	D
22	BC	A	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A
23	BC	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	D
24	CEO	D	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	D
25	CEO	D	A	A	A	A	A	A	A	A	D	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	A
26	CEO	A	A	A	D	A	A	A	A	A	D	A	A	A	A	D	D	A	A	A	A	A	D	A	A	D	A
27	CEO	A	A	A	D	A	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A	D
28	CEO	A	A	A	A	A	A	A	A	A	A	D	A	A	A	D	A	A	A	A	A	A	A	A	A	A	D
29	BC	A	A	A	A	D	A	A	A	A	D	A	A	D	A	A	A	A	D	A	A	D	A	A	A	A	A
30	BC	A	A	A	D	D	A	A	A	A	A	A	A	A	A	A	D	A	D	A	A	A	A	A	A	D	D
31	BC	A	A	A	A	A	A	A	A	A	D	A	A	A	D	A	A	A	A	A	A	A	D	A	A	A	D
32	CEO	A	A	A	D	D	A	A	A	A	A	D	A	A	A	D	D	A	D	A	A	A	A	A	D	D	A
33	CEO	A	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A
34	BC	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	A
35	CEO	A	A	A	D	D	A	A	A	A	A	A	A	A	A	A	D	A	D	A	A	A	A	A	A	A	D

36	BC	A	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A
37	CEO	D	A	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	D	A	A	D
38	BC	A	A	A	A	D	A	A	A	A	A	A	A	A	A	D	D	A	A	A	A	A	A	A	A	D	A
39	BC	A	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	A
40	BC	D	A	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	D	A	A	A	A
41	CEO	A	A	A	A	D	A	A	A	A	A	A	A	A	D	D	D	A	A	A	A	A	A	A	A	A	D
42	CEO	D	A	A	A	A	A	A	A	A	A	A	A	D	A	A	A	A	A	A	A	A	A	A	A	D	A
43	BC	A	A	A	A	D	A	A	A	A	A	A	A	A	A	D	D	A	A	A	A	A	D	A	D	D	D
44	BC	A	A	A	A	D	A	A	A	A	A	A	A	D	D	A	A	A	D	A	A	A	A	A	A	D	A
	A %	75	100	98	82	41	98	100	100	98	75	86	100	86	68	70	77	98	77	93	100	89	93	77	82	68	55
	D %	25	0	2	18	59	2	0	0	2	25	14	0	14	32	30	23	2	23	7	0	11	7	23	18	32	45

Appendix I: Leadership descriptions of dyadic relationships in case organisations

Case	Role	Style	Lead	Description	Rate	Missing	Improvement
1	CEO	Transformational	Both	Respectful, trustful, relaxed	5	Unresponsive BC	Consistent communication
	BC	Democratic	CEO	Respectful, trustful, open	4	Nothing	Awareness of FR activities
2	CEO	Democratic	Both	Communicative, respectful, complementary	9	Discussing FR skills for BC	Nothing currently
	BC	Collaborative	Both	Positive, friendly, functional	10	Nothing	More effective structures to work with
3	CEO	Democratic	Both	Trustful, positive, respectful	8	Nothing	Nothing currently
	BC	Consensus	Chair	Trustful, open, communicative	4	Discussing risk appetite around FR	FR campaign evaluation
4	CEO	Servant leadership	Both	Collegial, strong, friendly	10	Nothing	Planned communication
	BC	Democratic	Both	Trustful, respectful, relational	7	Discussing FR targets	Nothing currently
5	CEO	Democratic	Both	Communicative, honest, open	7	Nothing	Nothing currently
	BC	Democratic	Both	Communicative, honest, respectful	5	Nothing	Sharing of CEO FR responsibilities
6	CEO	Transformational	CEO	Trustful, informal, agreeable	4	Active focus on FR from BC	Passion for FR from BC
	BC	Servant leadership	CEO	Trustful, respectful, honest	4	Nothing	Nothing currently
7	CEO	Servant leadership	Both	Respectful, honest, courteous	10	Nothing	Nothing currently
	BC	Servant leadership	Both	Respectful, confident, integrity	8	The ability to accept some things and let things go	Nothing currently
8	CEO	Servant leadership	Both	Trustful, collegial, calm	9	Time to discuss FR	Nothing currently
	BC	Collaborative	Both	Collaborative, ethical, respectful	9	Nothing	Building FR structure
9	CEO	Transformational	Both	Trustful, confidential, supportive	8	BC to open doors	Vulnerable conversations
	BC	Democratic	Both	Trustful, confidential, open	8	Regular meetings	Greater FR knowledge
10	CEO	Collaborative	Both	Respectful, comfortable, complementary	4	NFP understanding from BC	Nothing currently
	BC	Servant leadership	Both	Respectful, collaborative, communicative	7	More time to help	Nothing currently

11	CEO	Servant leadership	CEO	Respectful, trustful, collegial	7	Active focus on FR from BC	More engagement from BC
	BC	Democratic	CEO	Respectful, solid, flexible	9	More time to help	Planned communication
12	CEO	Authentic	Both	Trustful, complementary, confident	7	Nothing	Nothing currently
	BC	Collaborative	Both	Trustful, respectful, collegial	8	Nothing	Nothing currently
13	CEO	Collaborative	CEO	Respectful, complementary, caring	6	Nothing	Nothing currently
	BC	Visionary	CEO	Respectful, communicative, resourceful	10	Nothing	Building FR structure
14	CEO	Visionary	Both	Respectful, communicative, honest	7	Nothing	Nothing currently
	BC	Consensus	Both	Respectful, trustful, integrity	5	More time to discuss FR strategy and connections	More effective structures to work with
15	CEO	Collaborative	Both	Respectful, fun, sound	4	United and aligned on organisation ambition	Alignment with strategy
	BC	Visionary	Both	Trustful, collaborative, supportive	7	Forward thinking	Forward FR structure
16	CEO	Visionary	Both	Respectful, trustful, accepting	5	Plan of action with BC	Time for planning
	BC	Democratic	Both	Respectful, open, constructive	4	Nothing	Planned communication
17	CEO	Transformational	Both	Respectful, communicative, direct	5	Active focus on FR from BC	Forward thinking
	BC	Visionary	Both	Respectful, friendly, trustful	7	More time to help	Planned communication
18	CEO	Collaborative	CEO	Effective, accepting, functional	5	Active focus on FR from BC	Understanding FR from BC
	BC	Consensus	CEO	Respectful, sound, communicative	7	Forward thinking	Planned communication
19	CEO	Authentic	CEO	Honest, respectful, constructive	9	Nothing	FR forward thinking
	BC	Servant leadership	Chair	Honest, open, transparent	8	Time	Nothing currently
20	CEO	Visionary	Both	Trustful, respectful, friendly	5	Nothing	Technology to help with communication
	BC	Democratic	Chair	Trustful, respectful, strong	8	Forward thinking	Nothing currently
21	CEO	Servant leadership	Both	Respectful, supportive, collegial	9	BC to open doors	More FR engagement from BC
	BC	Consensus	Both	Respectful, supportive, transparent	7	More connections to help with FR	Communication availability
22	CEO	Collaborative	CEO	Collaborative, constructive, positive	7	Nothing	Nothing currently
	BC	Collaborative	CEO	Collaborative, communicative, trustful	10	Nothing	Nothing currently

Appendix J: Focus groups (Study 3) question guide

Introduction by researcher	Purpose of the research Purpose of focus groups Guidance on privacy and use of the data Questions or clarifications Timing and process
General views about board–CEO recruitment	What comes to mind when you think about CEO recruitment? What comes to mind when you think about board member recruitment?
Recruitment wording for CEO and board member relationship	*Literature describes the CEO–board relationship as a strong, working relationship and often critical to* sustainability: Are the words 'board works with CEO to lead fundraising' important words to include in recruitment documentation for board members and CEOs?
CEO and board member skills and experience in comparison to organisation size and fundraising reliance	*Organisation size, where there is a fundraising team, and the degree of reliance on fundraising revenue may influence the fundraising skills and experience required of CEOs and board candidates.* In smaller organisations and organisations critically reliant on fundraising revenue, should CEOs and board candidates require more skills and/or experience in fundraising?
Writing recruitment documentation for CEOs and board members	Understanding cost, time, and expertise, in your experience, does it matter who writes and places recruitment documentation – the organisation or a recruitment agency? Where is the best placement for recruitment advertising for CEOs and board members?
Recruitment skills and experience for Board candidates	Please review the phrases suggested by interviewees. What are your views on including any of these phrases in board recruitment documentation in relation to fundraising, **for a board member with fundraising expertise**? (Please tick or mention your choices) What are your views on including any of these phrases in board recruitment documentation in relation to fundraising, **for any board member**? (Please tick or mention your choices)
Recruitment skills and experience for CEOs	Please review the phrases suggested by interviewees. What are your views on including any of these phrases in CEO recruitment documentation in relation to fundraising? Please tick or mention your choices.
General observations and recommendations	Reflecting on our discussion today, please share any additional views from your experience.
Closing remarks	Thanks, and next steps.