


United Way Nonprofit Training Series

Unpacking Core
Competencies related to
Key Funding Parameters



Module Five

1

APPLICATION & COMMUNITY NEEDS ASSESSMENT RESULTS

The results of United Way’s region-wide
Community Needs Assessment,
the Request for Proposals (RFP) &
application for our new
community investment process can be found on our website:
<https://helpingpeople.org>

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NEW FUNDING MODEL

- Provides open & competitive funding application process, with grants awarded for 3-year cycle.
- Funds non-profits & programs whose services align with results of the Community Needs Assessment.
- Continues to serve regional health & human services agencies across 16-county footprint with general operating support.
- Agency oversight & monitoring still conducted by UW volunteers and staff, guided by United Way Quality Standards.
- Aligns unrestricted donations with community needs & desired outcomes, facilitating our delivering on our mission – helping people live their best possible lives.

OVERARCHING SUPPORT: NONPROFIT TRAINING SERIES



- Available to agencies interested in applying for funding.
- Anchored by United Way (UW) Quality Standards.
- GOAL: To help agencies, providing needs-based services, better position themselves to apply & qualify for UW's new 3-year grant.

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SERIES LEARNING OBJECTIVES

BUILD COMPETENCE

- To gain skills in core competencies related key funding parameters, enhancing ability to submit qualified UW grant application.

ASSESS POSITION

- To discern how well agency meets key funding parameters, in evaluating readiness to complete qualified application.

GAIN INSIGHT

- To identify growth opportunities & explore resources for building greater competence, raising likelihood of funding success.

ADVANCE EFFORTS

- To prepare for funding application & strengthen strategic planning process for optimized agency performance & results.

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CORE COMPETENCIES

Related to KEY FUNDING PARAMETERS

#1: Programs meet defined community need & demonstrate impact

Module One:
Program Evaluation

- **Theory of Change** explains reasoning for using selected intervention to achieve desired impact.
- **Program design tools** utilized to demonstrate intentional work toward impact.
- **Measurement tools & process** in place to determine fidelity & impact, making modifications as needed.
- **Successful outcome results** pertain to program(s) & population(s), for which funds being sought.
- **Data collection plan/process** in place to listen & learn from participants & obtain actionable info.

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CORE COMPETENCIES

Related to KEY FUNDING PARAMETERS

#2: Agency applies a racial equity lens across stakeholders/ functions

Module Two:
Advancing Racial Equity

- Agency **encourages cultural competence**, meaning one's ability to understand, communicate with & effectively interact with people across cultures.
- Agency has **practices and policies** that strengthen organizational diversity, equity and inclusion.
- Agency has programs aimed to **reduce disparities & advance diversity, equity & inclusion**.
- DEI work is **integrated throughout** organizational culture & infrastructure.
- Agency is **committed to continuous organizational learning** on how to further embody DEI.

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CORE COMPETENCIES

Related to KEY FUNDING PARAMETERS

#3: Board effectively drives direction & oversees performance

Module
Three:
Optimizing
Board
Effectiveness

- Proper Board structure in place for effective governance.
- Operative strategies used to recruit, develop, engage & retain capable Board members for informed decision-making.
- Board maintains focus on improved performance, stewardship, & accountability.
- Effective succession planning process in place for CEO & Board leaders.
- Annual Board assessment utilized to inform improvement planning.

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CORE COMPETENCIES

Related to KEY FUNDING PARAMETERS

#4: Agency explores collaborations for optimal mission fulfillment

Module
Four:
Exploring
Strategic
Alliances

- Openness & receptiveness to explore potential partnerships, collaboration and/or consolidation.
- Results from regular agency strengths, weaknesses, opportunities and threats (SWOT) analysis inform desired attributes in potential partners to explore/seek.
- Agency considers various forms of strategic alliances for strengthening effectiveness.
- Agency regularly collaborates, integrates, and aligns services with other providers.

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CORE COMPETENCIES

Related to KEY FUNDING PARAMETERS

#5: Agency utilizes strategic planning process to effectively address key priorities.

Module Five:
Strengthening
Strategic
Planning
Process

- Effective process, tools & resources used to facilitate strategic plan development.
- Agency utilizes its strategic plan to address key overarching priorities.
- Systematic process holds parties accountable for achieving priority directives.
- Strategic plan updated periodically to ensure agency continues to focus efforts on relevant priorities.

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Please contact Julie Simon at Julie.simon@stl.unitedway.org with questions, comments or concerns



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THEORY OF CHANGE:

- Bridges strategy and results
- Starts with desired change - Identifies efforts to achieve change
- Articulates assumptions - How & why change will happen



Striving for Program Effectiveness

NONPROFIT TRAINING SERIES: MODULE ONE

Emily Uzzle & Amber Lewis,
United Way of Greater St. Louis


LOGIC MODELS:
"..are systematic and visual ways to present and share one's understanding of the relationships among the resources available to operate a program, the activities planned, and the changes or results hoped to achieve." -W.K. Kellogg Foundation
Logic Model Development Guide

OUTCOME INDICATORS: " ..are evidence or information that tells you whether your program is achieving its intended outcomes. [They]..are measurable and observable characteristics [that] answer the question: 'How will we know change occurred?'"
- *Innovation Network Evaluation Plan Workbook*

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WHY THEORY OF CHANGE IS IMPORTANT

- Articulates an agency's overarching desired outcomes
- Clarifies why we think our efforts will lead to certain change
- Aligns organizational strategy
- Drives purposeful efforts & investment
- Clarifies our role in change



RESOURCES

- Center for Theory of Change www.theoryofchange.org
- Annie E. Casey Foundation Toolkit <https://www.aecf.org/resources/theory-of-change/>
- Development Impact & You Toolkit <https://diytoolkit.org/tools/theory-of-change/>
- USAID Learning Lab <https://usaidlearninglab.org/lab-notes/what-thing-called-theory-change>
- TOCO (Theory of Change Online) software www.theoryofchange.org
- David Hunter Consulting <http://dekhconsulting.com>

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LOGIC MODELS: WHERE WE START

Goal/Impact: (What the organization hopes to achieve with the program/initiative)

Assumptions: (Why the organization believes this program will help participants/the community achieve desired outcomes)

Other Factors to Consider: (Are there any other factors that should be considered about this program/initiative?)

INPUTS (Resources needed to operate the program/initiative)	OUTPUTS		OUTCOMES		
	Activities (What the organization does)	Participants (Target population and number that will be served)	Short Term (Change in knowledge, skill, attitude)	Intermediate (Change in behavior)	Long Term (Change in condition or status)
			OUTCOME MEASURES (How the organization will measure participant change)		

STRONG LOGIC MODELS ARE:

- An overall Snapshot
- Focused
- Aligned Amongst Components
- Contextualized for Purpose

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University of Wisconsin-Extension Logic Model

PROGRAM DEVELOPMENT
Planning – Implementation – Evaluation

Program Action - Logic Model

Situation
Needs and assets
Symptoms versus problems
Stakeholder engagement

Priorities
Consider:
Mission
Vision
Values
Mandates
Resources
Local dynamics
Collaborators
Competitors
Intended outcomes

Inputs

What we invest
Staff
Volunteers
Time
Money
Research base
Materials
Equipment
Technology
Partners

Outputs

What we do
Conduct workshops, meetings
Deliver services
Develop products, curriculum, resources
Train
Provide counseling
Assess
Facilitate
Partner
Work with media

Who we reach
Participants
Clients
Agencies
Decision-makers
Customers
Satisfaction

Outcomes - Impact

What the short term results are
Learning
Awareness
Knowledge
Attitudes
Skills
Opinions
Aspirations
Motivations

What the medium term results are
Action
Behavior
Practice
Decision-making
Policies
Social Action

What the ultimate impact(s) is
Conditions
Social
Economic
Civic
Environmental

Assumptions

External Factors

Evaluation
Focus - Collect Data - Analyze and Interpret - Report

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WHY WE USE LOGIC MODELS

Valuable program design tools

- Specify indicators of success
 - Inform evaluation efforts
 - Program is designed to achieve goals
- Articulate activities & efforts
- Identify needed resources

Support performance management

- Monitoring program implementation
- Monitoring results and program success

Foster communication

- Encourage internal alignment
- Provide program snapshot for external audiences

RESOURCES:

- Community ToolBox <http://ctb.ku.edu/>
- University of Wisconsin – Extension <http://www.uwex.edu>
- Kellogg Foundation Logic Model Guide <https://www.wkkf.org>
- Pell Institute Evaluation Toolkit <http://toolkit.pellinstitute.org>

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WHAT DETERMINES HOW WE MEASURE?

- Access to sources of data
- Access to clients
- Reliability of self-report
- Reading or language proficiency of clients
- Timeline for measurement and reporting
- Availability of measurement tools
- Level of rigor desired



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DEVELOPING OUTCOME INDICATORS:

SMART with four key elements:

Change direction (verb)

Target/goal

Population/client

Change type: Knowledge, skills, behavior, status, etc.

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OUTCOME INDICATOR OUTLINE

(Target/goal) % of (describe clients included in measure) will (change verb) their (describe knowledge, skill, attitude, behavior, or condition/status change) as evidenced by (score on measurement tool/method) by/after (time period).

Example: 80% of students who attended at least 10 sessions of the Empower Program will increase their knowledge of health coping skills as evidenced by a 5 point or greater increase in their score on the Coping Skills Assessment by the end of the semester.

Resources for Developing Indicators:

- Urban Institute's Outcome Indicators Project-<https://www.urban.org/policy-centers/cross-center-initiatives/performance-management-measurement/projects/nonprofit-organizations/projects-focused-nonprofit-organizations/outcome-indicators-project>
- Innovation Network-Evaluation Plan Workbook-
https://www.innonet.org/media/evaluation_plan_workbook.pdf
- Charles and Lynn Schusterman Family Foundation Data Playbook-
<https://www.schusterman.org/playbooks/data/>

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SELECTING A MEASUREMENT TOOL

- Questions to be Answered (Outcomes)
- Type of Data Desired (see Outcome Indicators)
- Feasibility & Ease of Use
 - Level of Training Required
 - Frequency of Measurement
 - Fit with Population to be Measured
- Level of Rigor
 - Validity
 - Reliability
- Resources Required
 - Cost
 - Time to Develop and Implement

RESOURCES:

- Perform Well-
<http://www.performwell.org/index.php/find-surveyassessments>
- Measurement Instrument Database for the Social Sciences-<http://www.midss.org/>
- Marillac Mission Fund Evaluation & Survey Tools-
<https://marillacmissionfund.org/resources/evaluation-tools-surveys>
- Better Evaluation-
https://www.betterevaluation.org/en/rainbow-framework/describe/collect_retrieve_data
- RAND Online Measure Repository-
<https://www.rand.org/nsrd/ndri/centers/frp/innovative-practices/measure.html>

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From CDC: <https://www.cdc.gov/std/Program/pupestd/Selecting%20Data%20Collection%20Methods.pdf>

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Outcome Indicator/Target	Assessment Tools	Analysis Method	Persons Responsible	Timeline
Changes in client knowledge, skills, and attitude	Measurement tool type and name	Tools/systems that will be used to analyze results	Who is responsible to collect and analyze data	Dates and frequency of data collection
90% of clients gain knowledge about prenatal health habits that will positively affect their child	Pre/post comparison of scores on Prenatal Health Knowledge Index	Microsoft Excel comparison of difference in pre and post scores	Program Manager administers and scores pre/post test Data analyst runs Excel pre/post comparison and sends results to Program Manager	Pre-test in first class (Jan 2020) Post test in last class (June 2020) Excel analysis due to CPO July 2020

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DIVERSITY:
Differences such as social identities (e.g., race, gender identity, age, religion, sexual orientation, class, physical ability, nation of origin, etc.) and can also mean other characteristic such as personality, political affiliation, etc.

RACIAL EQUITY:
“A state in which a person's life outcomes cannot be predicted by race. When our regional systems (education, housing, healthcare, jobs, transportation, and more) work well for all people so that disparities are closed and all residents, regardless of their race and zip code, have justice and the opportunity to thrive.” ~ Forward Through Ferguson

Applying a Racial Equity Lens: Exploring Ways to Advance Equity

NONPROFIT TRAINING SERIES: MODULE TWO

Kira Hudson Banks, PhD.

INCLUSION:
A sense of belonging, which allows people to engage and contribute within an environment (the key to reaping the benefits of diversity)

Equality

Equity

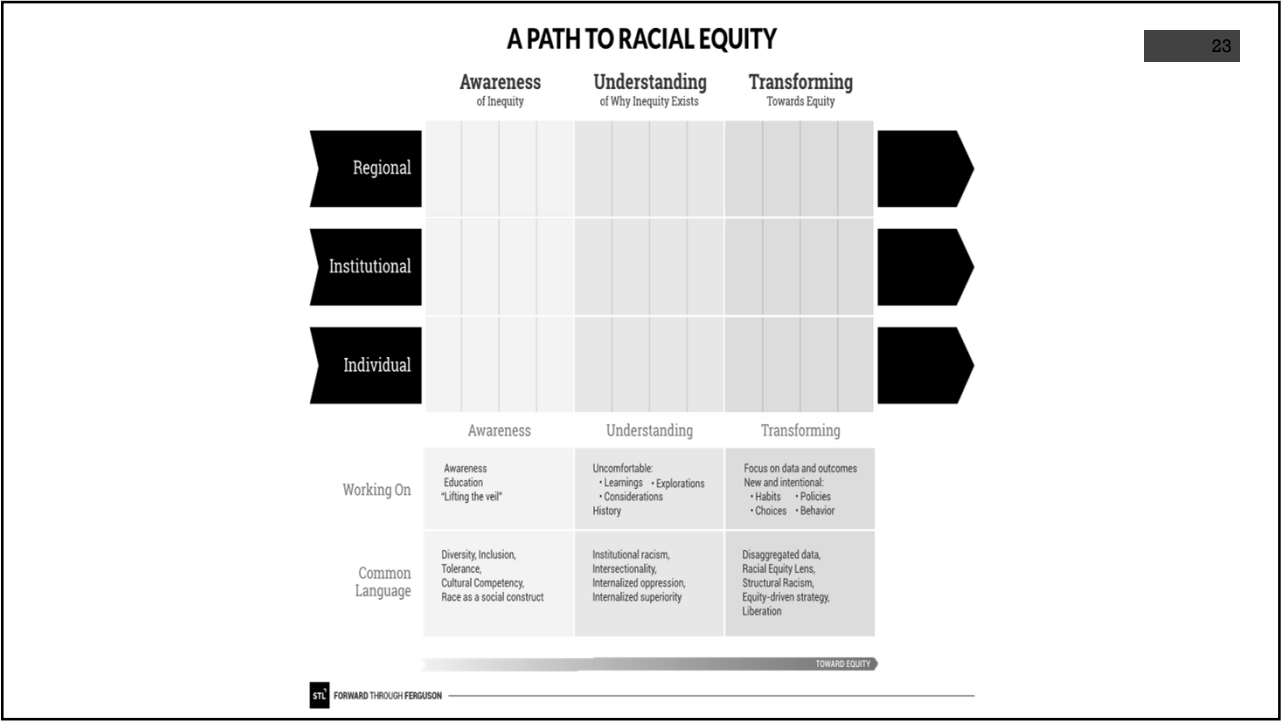
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Forward Through Ferguson

EQUALITY

EQUITY

www.culturalorganizing.org

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What does it mean to use a Racial Equity Lens?

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- Racial justice framing puts a discussion of race and racism in the foreground of the public debate. We need to *illuminate* racism in order to *eliminate* racism. When we are not consciously addressing racial equity, we are often *subconsciously* replicating racism. Silence equals complicity.
- Racial justice framing includes challenging racism (anti-racism) and advocating for equitable alternatives (advancing equity). It reveals problems of racial injustice and points towards equitable solutions. It is not enough to be *reactive*; a racial justice frame needs to be *proactive*.
- Racial justice framing addresses racism *explicitly*, but not necessarily *exclusively*. If there are other significant dynamics at play (e.g. gender, economic inequality) these should also be articulated and addressed.
- Racial justice can be a complimentary frame with other frames and can help you address problems and the solutions more completely. When addressing race along with other dynamics, it's still important to address each dynamic with "dedicated, specific, and sufficient" attention.
- Racial equity framing (one that focuses specifically on remedying racism) can be coupled with a universal frame (one that seeks to benefit everyone). These can be compatible, rather than competitive, ways to frame an issue.

<http://racialequitytools.org/>© 2019 Kira Hudson Banks, PhD 24

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Why Use a Racial Equity Lens?

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- It reveals a reality that often goes unnamed. Ignoring racism helps perpetuates racism.
- It offers evidence of racism by documenting unequal impacts and disparate outcomes.
- It challenges prevailing cultural norms and myths.
- It emphasizes the need for institutional and policy change.
- It points to equitable solutions that address *systems* rather than *symptoms*.

<http://racialequitytools.org/>

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Path to Racial Equity: 6-Month Foundation

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- PHASE 1: Know where you stand
 - What do your documents tell you about where your agency is on the path?
 - Common language? Institutional mandate? Disaggregated data?
 - If you agency fully adopted a racial equity lens, how would SWOT analysis be impacted?
- PHASE 2: Reach out to others
- PHASE 3: Plan your steps
- PHASE 4: Take action

Metrics Considerations:

- What metrics are currently being analyzed?
- What is your capacity to disaggregate metrics by race?
- What is agency's tolerance to being transparent with metrics -- internally and externally?

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Optimizing Board Effectiveness

NONPROFIT TRAINING
SERIES: MODULE THREE

Laurna Godwin
Vector Communications

Board Role:

- ❑ Sets policy & direction
- ❑ Provides financial oversight
- ❑ Ensures legal & ethical integrity
- ❑ Monitors organizational performance (programs & services)
- ❑ Hires, evaluates, guides & supports CEO
- ❑ Advocates for agency
- ❑ Serves as agency ambassador
- ❑ Fundraises

Board Responsibilities:

Act in accordance with nonprofit legal standards of conduct:

- ❑ **Duty of Care:**
Stay informed & ask questions
- ❑ **Duty of Loyalty:**
Show undivided allegiance to agency's welfare
- ❑ **Duty of Obedience:**
Stay faithful to agency's mission

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Board Member Roles & Responsibilities

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- ❑ Attend board and committee meetings prepared
- ❑ Follow conflict-of-interest & confidentiality policies
- ❑ Keep abreast of organization's finances, policies, services & developments
- ❑ Serve as agency ambassador
- ❑ Attend agency's signature events
- ❑ Suggest potential board members & donors
- ❑ Make annual personal financial contribution

Fundraising:

- ❑ All board members actively participate in all major fundraising functions:
 - **Cultivation:**
Initiating & building donor relationships
 - **Solicitation:**
Requesting financial support
 - **Stewardship:** Maintaining donor relationships, including informing donors how their gifts are used
- ❑ Board relies on staff to educate & inform them, coordinate planning & support their ability to raise money.

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Board Committees

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- ☐ Speak to board, not for board
- ☐ Work occurs primarily at standing committee level
- ☐ Have specific tasks
- ☐ Reassess committee structure relative to strategic plan goals
 - ☐ What benefit does it provide board & agency?
 - ☐ Focus on activities that help full board and move organization forward
- ☐ Determine (whether/when there is) need to amend bylaws
- ☐ Periodically assess committee structure, eliminating unnecessary committees
- ☐ Create clear job description
- ☐ Set yearly committee goals
- ☐ Set meeting dates far in advance
- ☐ Serve as sounding board for senior staff, with liaison for each committee;
- ☐ Consider zero-based committee structure

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Board Chair-Chief Executive Partnership

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- ☐ Governance and management
- ☐ Balance between professional and personal
- ☐ Mutual respect, trust and support for each other and partnership
- ☐ Open and honest communications; communicate openly and often
- ☐ Shared purpose and mission-driven
- ☐ Address concerns and sensitive issues
- ☐ Keep egos in check
- ☐ Clarify and share mutual expectations
- ☐ Acknowledge each other's contributions
- ☐ Periodically assess relationship
- ☐ No micro-managing by Board Chair

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Effective Board Meetings

- ❑ Honest exchanges where board members trust one another
- ❑ Multiple perspectives openly shared & respectfully challenged
- ❑ Rigorous exchange on critical issues facing agency
- ❑ Time to imagine/envision future
- ❑ Board members continuously learn to create deeper understanding
- ❑ Interactive with few reports
- ❑ Effective leadership & facilitation
- ❑ Clarity of purpose & outcomes
- ❑ Board Chair & ED develop agenda, with Governance Committee at times playing role:
 - ❑ What to achieve at meeting
 - ❑ Best meeting structure to achieve goals
 - ❑ Diverse meeting agenda

**Cathy Trower, PhD*

Agenda Items include:

- Mission moment
- Consent agenda
- Educational session
- Dashboards
- Discussion/Dialogue
- Board Chair's report
- Time for summarizing, next steps
- Executive session
- Board meeting evaluation

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Consent Agendas

- ❑ Tool that allows board time used for dialogue rather than listening to reports
- ❑ Consent agenda documents in board packet for reading before meeting
- ❑ Board chair asks at beginning of meeting if any consent agenda items should be moved to regular discussion items
- ❑ If board member has question, should be asked of appropriate person BEFORE meeting
- ❑ Voted on by single vote

Consent Agenda Sampling:

- ❑ Previous board meeting minutes
- ❑ Committee and/or program reports
- ❑ Final approval of items previously discussed at other board meetings
- ❑ Routine documents that need to be recorded in the minutes but require no action, i.e. insurance renewal
- ❑ ED report
- ❑ Financials?

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Dashboard Best Practices

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- ☐ Tailor to your agency's needs
- ☐ Use consistent formats
- ☐ Prioritize structure
- ☐ Use comparative context (same period last year vs. this year)
- ☐ Provide brief explanations
- ☐ Provide narrative journeys (without bias)
- ☐ Utilize graphic enhancement

Create
single page

- User should not have to scroll
- Consider level of detail

Ensure
adequate
context

- Compare measures
- Use key indicators

Create
simple
design

- Eliminate unnecessary design elements
- Usability critical

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Executive Session

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- Peer-to-peer meeting without staff present; ED stays for first part
- Board develops sense of itself as a body rather than group of individuals – encourages more open dialogue
- Routinely include on board meeting agenda to not raise staff tension/suspensions
- Often occurs at end of board meeting but can be at beginning
- Members ask questions they felt uncomfortable asking in front of staff during regular meeting
- Share session topic with ED before executive session – if topic known prior
- In spirit of partnership, Board Chair shares nature of discussion with ED within 24 hours
- Minutes indicate board met in executive session, with discussion topic

Executive Session Topics:

- ☐ Annual ED performance review
- ☐ ED compensation
- ☐ Succession planning
- ☐ Annual audit
- ☐ Concerns about staff
- ☐ Board member conflicts
- ☐ Legal issues
- ☐ Crisis management

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Board Recruitment Process

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- ❑ Identification:
 - ❑ Governance Committee uses board matrix to identify board needs
 - ❑ Committee shares with Board its current needs
 - ❑ Board members share potential names with Committee & Board Chair
- ❑ Prospect Selection:
 - Board members; current committees or other volunteers; ED; senior staff
 - Local leadership programs; HR executives or major corporations; LinkedIn
 - Organizations representing various racial & ethnic groups
 - Major donors
- ❑ Solicitation:
 - ❑ GC Chair, Board Chair meet in person with prospect
 - ❑ Executive Director meets with prospect
 - ❑ Prospect sits in on board meeting
 - ❑ GC Chair seeks committee vote
- ❑ Implementation:
 - ❑ Full board votes on nomination
 - ❑ Appoint mentor for new board member
 - ❑ Conduct board orientation (invite current members)
- ❑ Stewardship:
 - ❑ Board social events
 - ❑ Board evaluation

Meeting Questions:

- ❑ What attracts you to board service?
- ❑ Why this agency; and what do you know about us?
- ❑ What do you hope to gain & learn from being a board member?
- ❑ How do you want to contribute?
- ❑ What special gifts & talents will you bring to the board?
- ❑ What can the agency expect from you?



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Board Assessment

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- ❑ Governance Committee administers assessment:
 - Board chair change
 - Before capital campaign
 - Before updating strategic plan
- ❑ Allows board members to reflect on board as a whole
- ❑ Provides baseline of board's strengths
- ❑ Indicates areas for improvement
- ❑ Provides opportunity for discussing board strengthening
- ❑ Demonstrates to stakeholders it takes its role seriously
- ❑ Provides credibility to potential funders



Next Steps:

- Narrow "Opportunities for Improvement" to 3-5
- Assign tasks to board members with needed skills (if not on board, get assistance)
- Create plan to address each
- Determine resources available to implement change (human & financial capital)



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Nonprofit Lifecycle

© 2017 Social Impact Architects

Exploring Strategic Alliances

NONPROFIT TRAINING SERIES:
MODULE FOUR

Allie Chang Ray,
Mutare Network

THE PLAN

THE REALITY

PREMISE: A nonprofit organization will experience a variety of stages during its lifetime. No matter the stage, it has opportunities to increase mission impact through strategic alliance(s).

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Nonprofit Lifecycle

© 2015 Social Impact Architects

	Idea	Start-up	Growth	Maturity	Decline	Crisis
Programs	Informal; need established & programs are started	Simple programmatic approach; strong commitment to service delivery	Established in marketplace; more consistent & focused delivery	Programs are well developed; focused on results & relevancy	Losing relevance in marketplace; market saturation or duplication	Demand for services is near zero; competition is fierce or has moved on to other needed services
Human Resources	Entrepreneurial founder	Flat organization; decisions are likely made by founder	Increased division of labor & accountability; executive director is key decision maker with Board guidance	Clear division of labor & accountability; leadership is often second or third generation from founder	Increasing turnover; decreased ability to attract top talent; decreased transparency	High contention & division between staff; mistrust of leadership; inability to fill key roles
Board	Not yet developed	Formal governance in place; homogeneous group	Board expansion – more outsiders; more focus on planning & oversight	Board is more policy & strategy focused; delegates management to executive director	Board membership is waning; awareness of operational issues is low	Board not fulfilling fiduciary responsibilities
Financials	Most are in-kind	Limited financial resources; hand-to-mouth	Established relationships with funders, but still unpredictable	Established relationships with multiple funders; higher degree of predictability	Funders are not renewing contracts; donor retention & loyalty decreasing	Cash-on-hand insufficient to cover operating expenses; current donors tapped out
Marketing	Not utilized	Limited communications & PR – most is word-of-mouth	First official PR materials; primary method of marketing is still word-of-mouth	Increased sophistication in marketing & communications using multiple channels	Decreased public interest	Unable to attract media or public attention; messaging does not resonate with public

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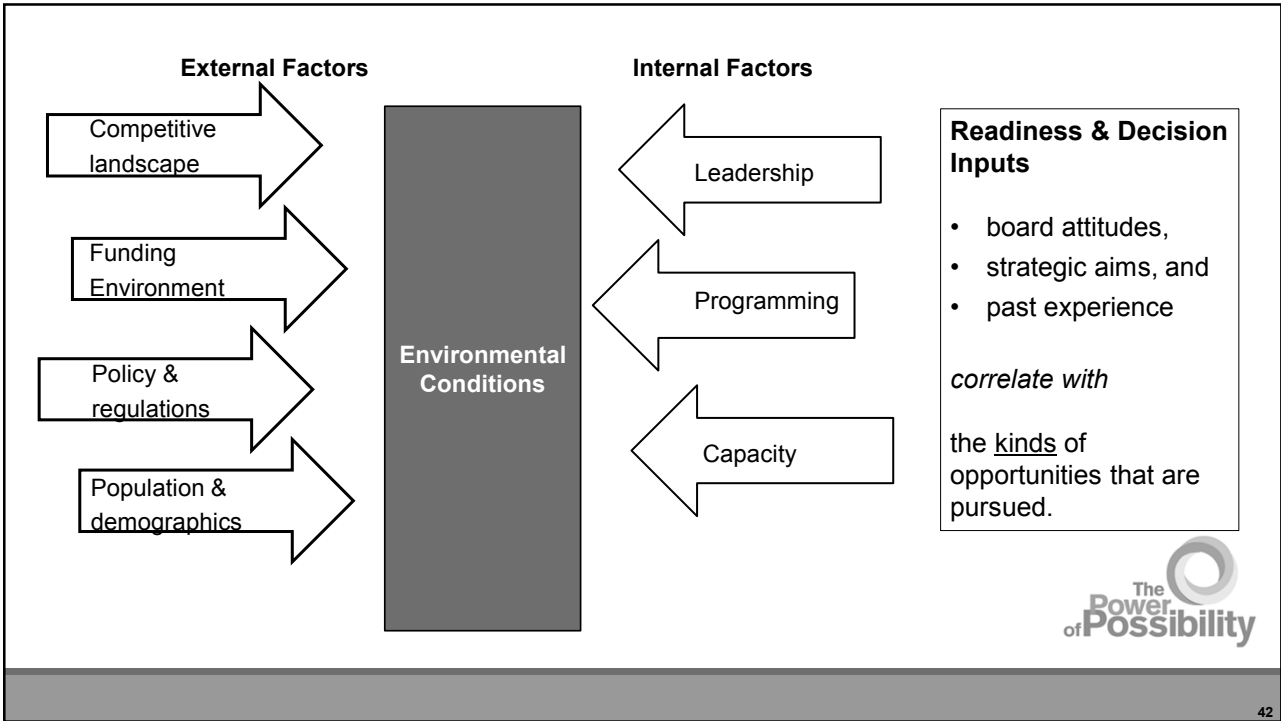
Lifecycle Theory

Used by nonprofit organizations to:

- identify stages that exist in the lives of nonprofit organizations;
- provide patterns and predictability;
- build common understanding and buy-in;
- de-personalize issues and challenges;
- measure capacity improvements over time;
- normalize difficulties inherent in growth/change;
- set a trajectory toward organizational improvement and effectiveness.

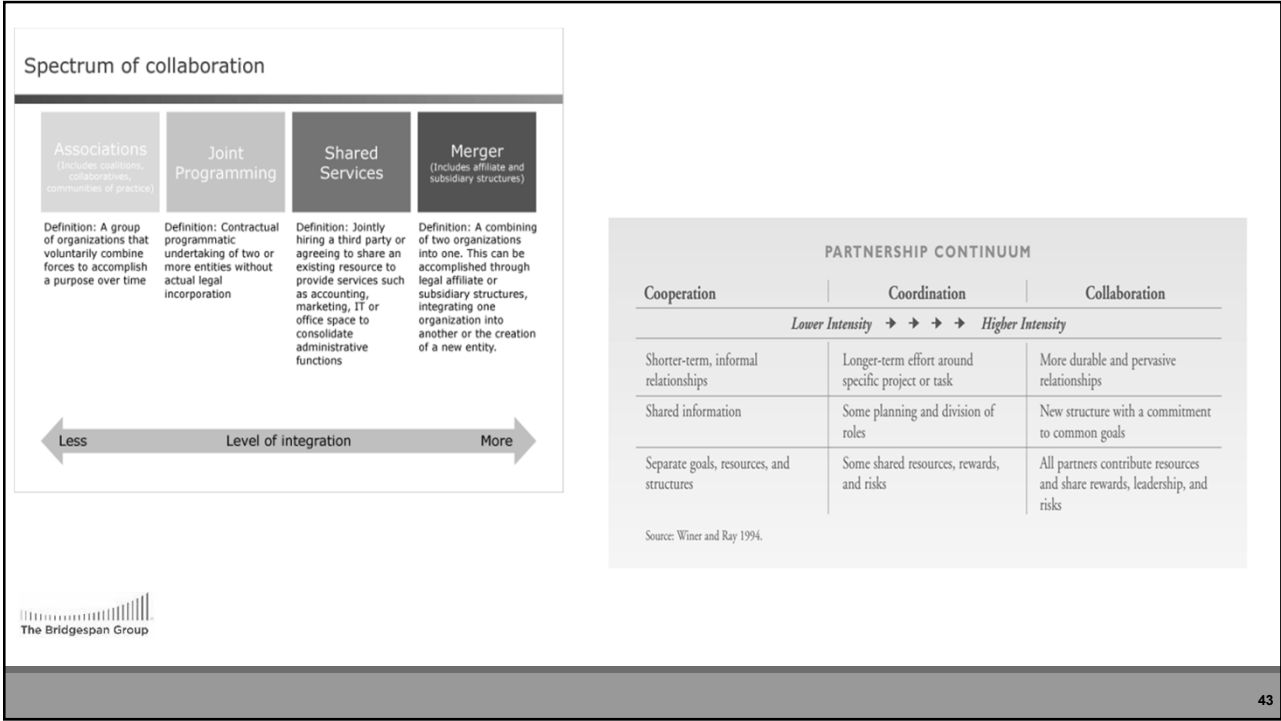
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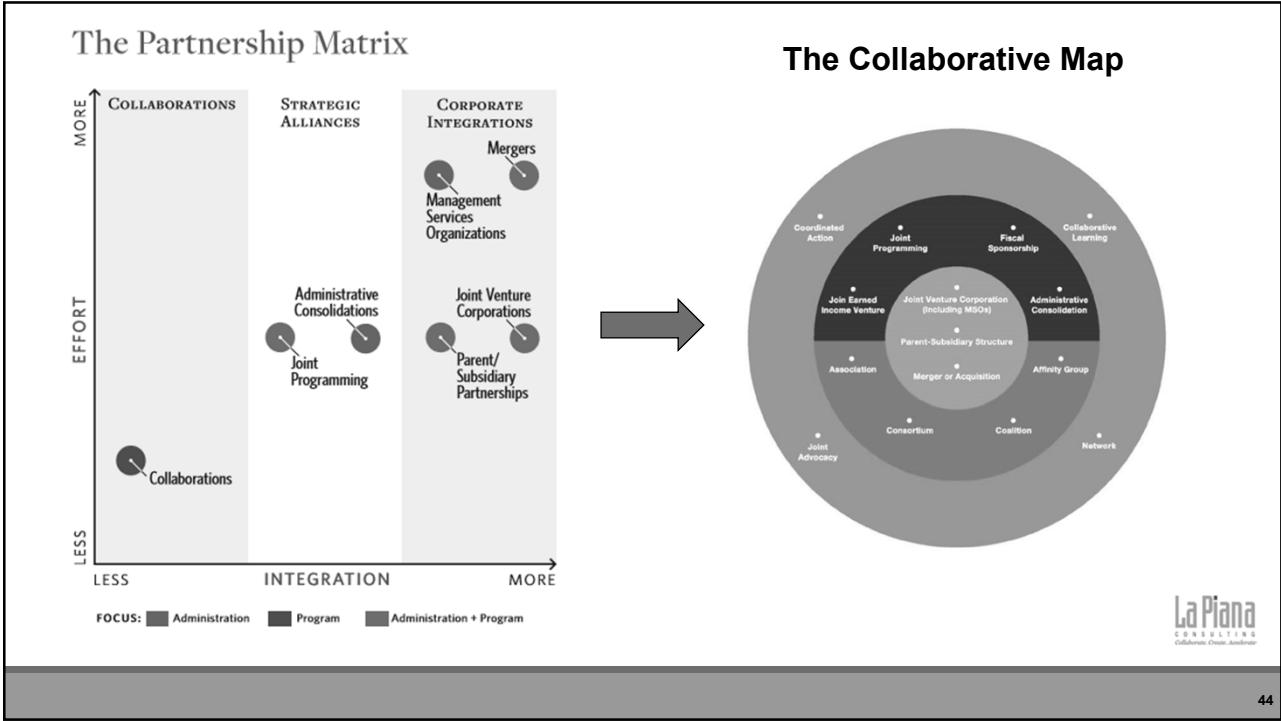


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Types of:		
Collaboration	Alliances	Strategic Restructuring
<ul style="list-style-type: none">• Coordinated action• Joint advocacy• Collaborative learning• Network	<ul style="list-style-type: none">• Administrative consolidation• Fiscal sponsorship• Joint programming• Joint earned income venture• Affinity group• Coalition, consortium & association	<ul style="list-style-type: none">• Joint Venture Corporations• Parent-Subsidy Structure• Merger or Acquisition

Reflective & Guiding Questions

- What is our core purpose, what problem are we trying to solve & what do we hope to accomplish?
- If founded today, would we fill an unmet need in our community and if we close today, who would we hear from & what would they say?
- What are our organizational strengths and challenges?
- What resources & capacities do we need to grow — or even continue — the impact we seek to have in our community?
- What would make an organization a strong potential partner?
- What forms of strategic alliances or restructuring would we be open to considering?



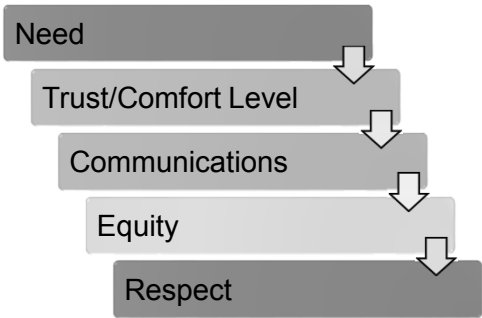
Some Reasons for Strategic Alliances

- Achieve greater leverage among stakeholders (e.g. increase influence, build awareness or advocacy);
- Address complex issues that require coordinating multiple stakeholders;
- Provide an integrated continuum of services to meet beneficiaries' needs;
- Improve Service: strengthen or expand program or service quality and performance;
- Gain Sustainability: gain back-office or administrative efficiencies (streamline operations);
- Achieve greater economies of program scale; and
- Increase Reach: enter new geographies, provide new services, or reach new beneficiaries

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Preconditions for Success



Strategies for Sustainability

- Understand community
- Charter document
- Memorandum of Understanding (MOU)
- Evaluation plan
- Internal communication protocols
- External communication protocols
- Sustainability plan
- Shared leadership
- Exit and/or dissolution criterion

modified from Social Entrepreneurs, Inc

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Learning from Failing

Conditions shown to most frequently cause collaborations to fail: Social Entrepreneurs, Inc.

- loss of direction or focus;
- lack of leadership, loss of leadership, or struggles for leadership;
- “Founding Member Syndrome” – who gain too much power and block the growth of the collaboration, exclude new members from decision-making and will not change as collaboration grows or community needs change;
- unequal involvement and recognition of members; burn out or unrealistic demands on members;
- poor planning efforts;
- negative publicity;
- failure of planned projects – even some well-planned projects will not succeed, due to the collaboration itself, damaging morale and incentive to continue with collaborative efforts;
- turf battles and competition;
- substantial ideological differences and misunderstandings; historical disagreements between group members;
- unwillingness by members to contribute resources needed to succeed;
- bureaucratic structure.

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Strengthening Your Strategic Planning Process

NONPROFIT TRAINING SERIES:
MODULE FIVE

Rebecca Bennett,
Emerging Wisdom



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Module Synopsis

PURPOSE

- Share effective strategic planning processes and practices
- Address common planning pitfalls
- Deepen participants' planning and oversight capacity

AGENDA

- Strategic Planning Overview
- Planning Foundation – Mission, SWOT, Strategic Visioning
- Setting Direction – Strategic Priorities
- Specifying The Work – Goals, Objectives, Strategies & Action Plans
- Monitoring Progress – Plan Management & Scorecards
- Ongoing Discussion / Q&A

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Roles & Rules

Roles

Trainer

- Guides and ensures learning
- Facilitates exercises
- Maintains schedule

Participants

- Are open to learning
- Share knowledge & insight
- Check for understanding

Rules


- Manage your comfort
- Listen actively
- Ask questions and encourage others to share
- Minimize distractions
- Respect all views and opinions
- Enjoy yourself!

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I. Strategic Planning Overview



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What It Is

Common Definition

An organization or group's process of defining its strategy or direction and making decisions on how to allocate its resources to pursue this strategy

Core Work

Answers question, "In pursuit of our mission and in light of our values, knowledge of ourselves and understanding of our environment, what ought we to be doing?"



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Why It Matters

1


- Clearly defines purpose. Establishes realistic goals consistent with purpose in a set time frame

2

- Encourages thinking beyond the demands of the present moment and chronic or urgent issues

3

- Creates shared understanding among stakeholders and establishes a common agenda that guides action



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Why It Matters

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- Fosters increased teamwork and accountability among stakeholders

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- Interrupts reactive and crisis-oriented feedback loops by shifting attention to proactive efforts and initiatives

6

- Advances the mission and vision in effective and efficient ways





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How To Get Started

- Define success
- Evaluate Readiness
 - Leadership commitment and support
 - Resources
 - Will to shift and take action
- Decide on a planning timeframe and process participants






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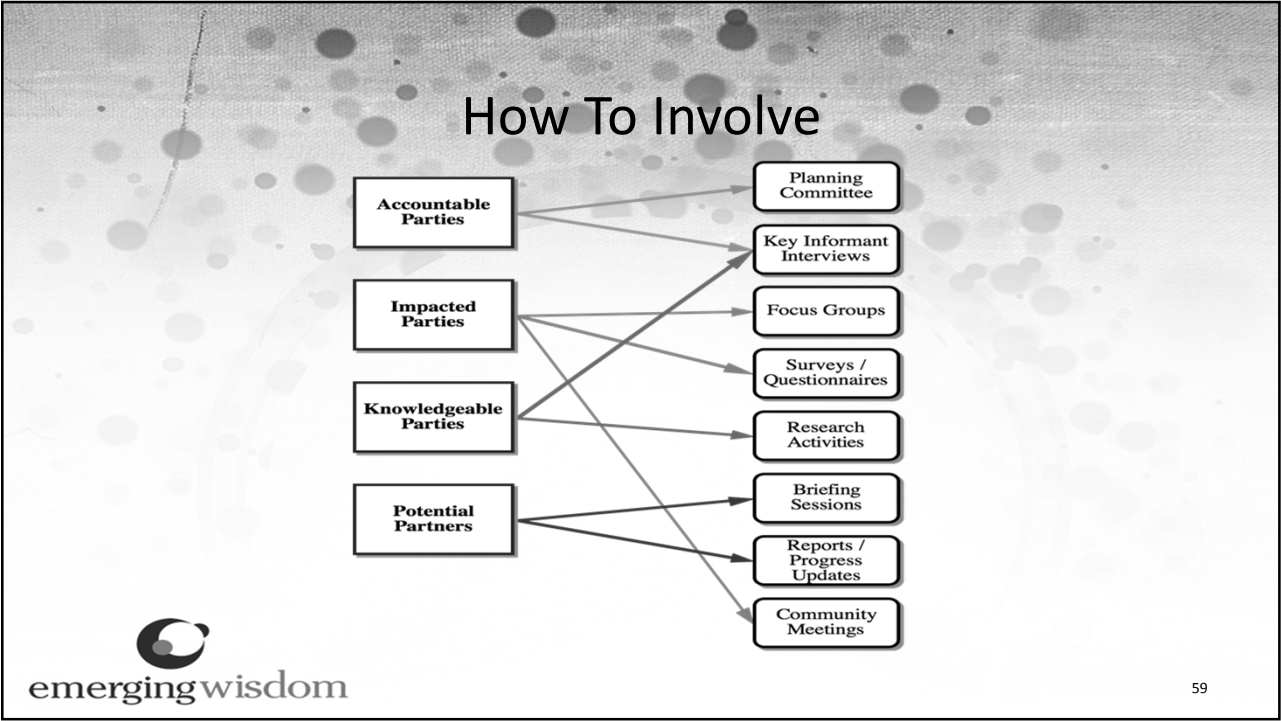
Who To Involve

Who Is Accountable?	Key decision-makers who set the agenda and are responsible for outcomes. Includes board members, executive leadership and senior management.
Who Is Impacted?	People most heavily affected by plan recommendations. Includes staff, clients, customers and the community at-large.
Who Is knowledgeable?	Recognized experts on plan subject matter and issues. Includes academicians, industry leaders, consultants etc.
Who Are Your Potential Partners?	Organizations planners want to involve in plan execution. Includes previous partners, industry cohorts, government authorities etc.

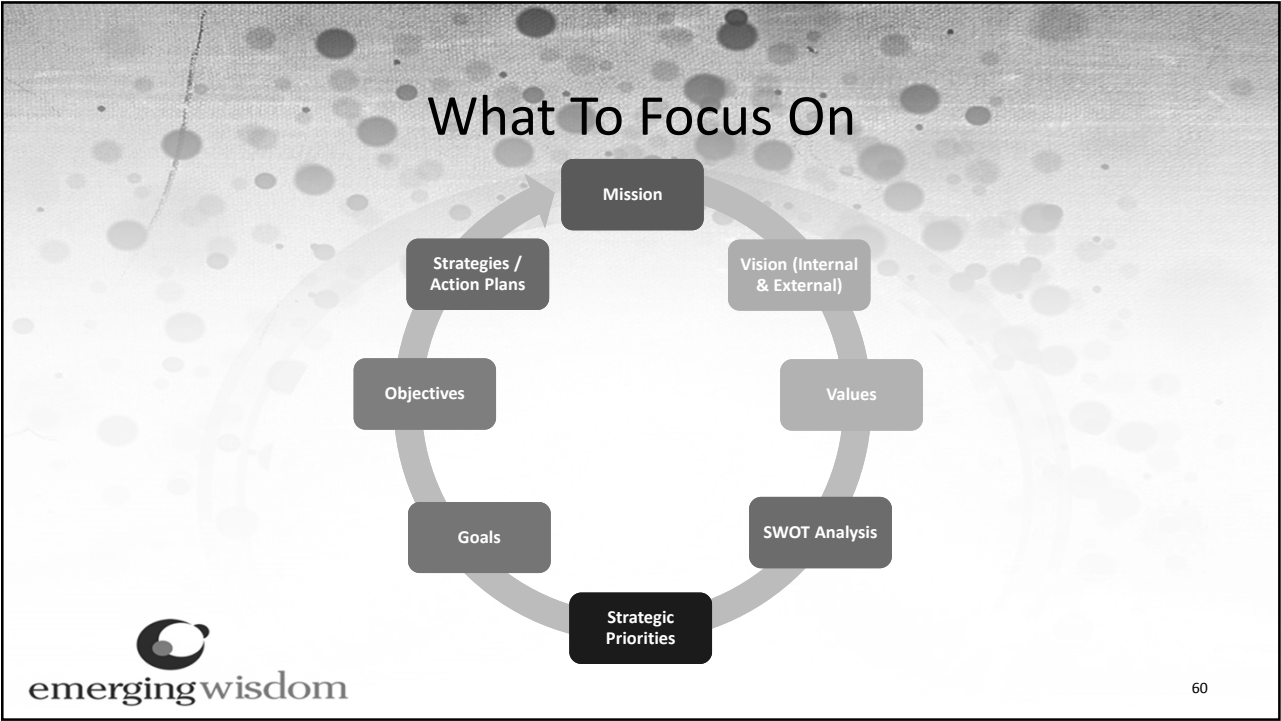


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What Could Go Wrong

NO DETAIL	<ul style="list-style-type: none">Lacks implementation details like accountable parties, timelines, deliverables, resources needed
TOO TACTICAL	<ul style="list-style-type: none">Lists activities, but doesn't establish the organizing logic and present clear priorities
TOO BROAD	<ul style="list-style-type: none">Overwhelms; covers too much territory, with too few resources in too little time
LACKS BUY-IN	<ul style="list-style-type: none">Was created by staff without enough leader input or developed by leadership without staff input
ACTIONS OUT OF FOCUS	<ul style="list-style-type: none">Actions are either too focused on the minutiae or are too vague to be useful
UNREALISTIC	<ul style="list-style-type: none">Isn't customized to agency's needs, realities and capacityLacks resources to follow through on effort

No matter the plan pitfall, implementation is compromised



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II. The Foundation – Mission, SWOT, Strategic Visioning



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Mission Statement


- Drives plan
- Declares your core purpose and focus
- Rarely changes
- Should answer four essential questions:

Why do you exist?

What core functions do you perform?

Who do you serve?

What makes you unique?



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Sample Nonprofit Missions



- **March of Dimes:** We help moms have full-term pregnancies and research the problems that threaten the health of babies
- **Feeding America:** To feed America’s hungry through a nationwide network of member food banks and engage our country in the fight to end hunger
- **American Red Cross:** Prevents and alleviates human suffering in the face of emergencies by mobilizing the power of volunteers and the generosity of donors
- **National Parks Conservation Association:** To protect and enhance America’s National Park System for present and future generations



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Your Agency's Mission

Existing Mission Statement:

Refined Mission Statement:


Answers To Essential Questions

1. Why do you exist?

2. What core functions do you perform?

3. Who do you serve?

4. What makes you unique?




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SWOT Analysis – Current State

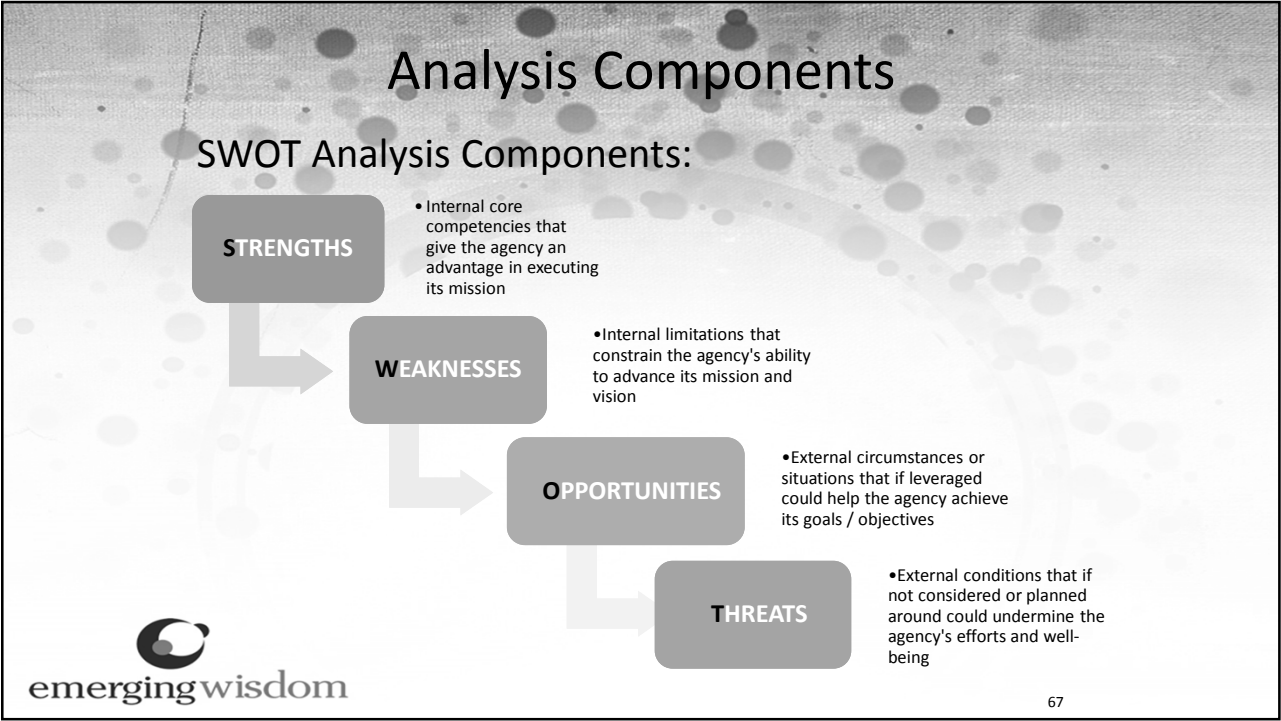
- Grounds plan
- Provides realistic view of agency's capabilities and vulnerabilities
- Identifies internal strengths and weaknesses
- Examines external opportunities and threats

	Helpful	Harmful
	Strengths	Weaknesses
Internal	S	W
	Opportunities	Threats
External	O	T

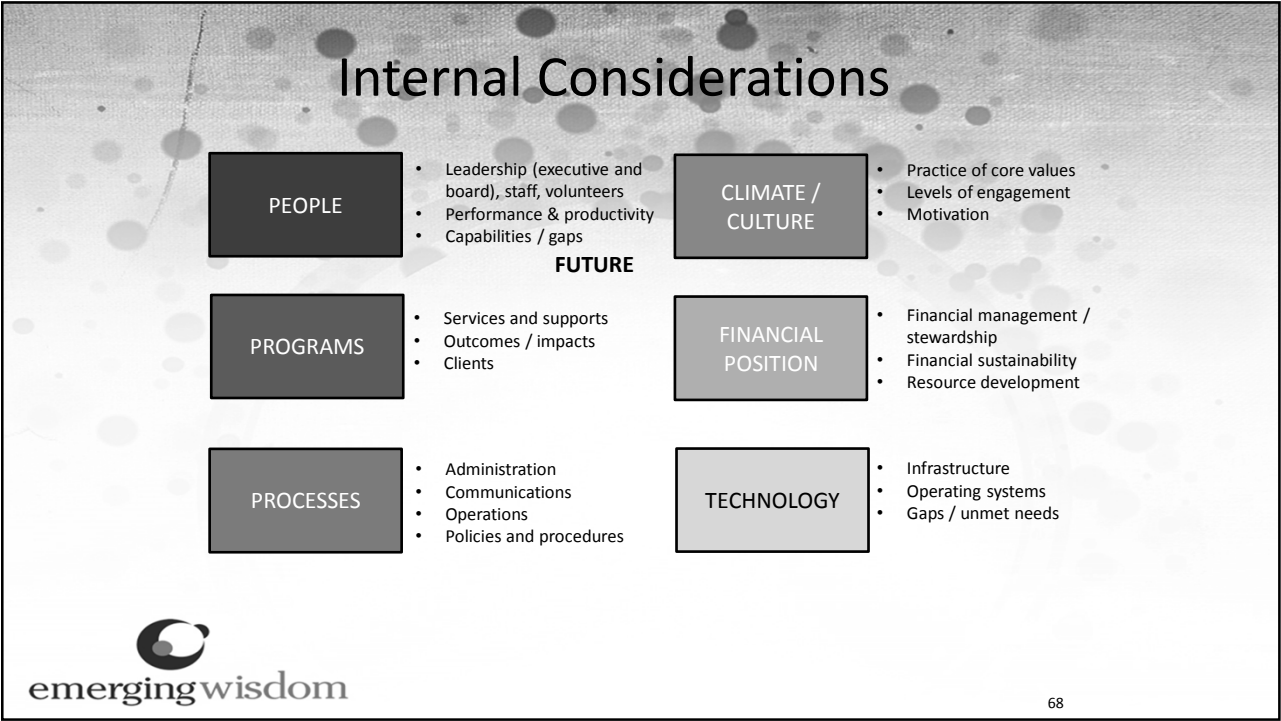


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External Considerations

Agencies gather info about the external world, their competitors and themselves to identify external opportunities and threats.

Social Forces

- Demographics and projected changes
- Labor market shifts / forecasts
- Needs articulated by public bodies and advocacy groups
- Public expectations

Economic Forces

- Changes in funder behavior
- Changes in economic conditions (for populations and geographies)
- Changes in industry fee structures

Competitive & Industry Forces


- Current research, innovations, best practices that could change standards / norms
- Competition / collaboration levels with other similarly functioning organizations

Regulatory Forces

- Government expectations and projected changes
- Industry regulations (existing, new and proposed)

Technological Forces

- Impacts on:
 - Labor
 - Communications and outreach
 - Program and service delivery



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Sample SWOT Analysis

STRENGTHS

- Staff quality and expertise
- Board leadership
- Sound financial management
- Strong programs

WEAKNESSES


- Inadequate funding
- Lack of marketing
- Too few partners
- Toxic culture

OPPORTUNITIES

- Growing funder interest
- Research breakthroughs
- Public attention

THREATS

- State budget crisis
- Competition
- Community perceptions
- Demographic shifts




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Your Agency's SWOT

STRENGTHS	WEAKNESSES	OPPORTUNITIES	THREATS

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Strategic Visioning Is...

Visioning

A process that supports a group of stakeholders in developing a shared vision of the future. It builds upon an agency's current state appraisal and asks its stakeholders where it can realistically expect to be in the future.

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Strategic Visioning Is Not...

A vision statement:

- Which outlines what an organization would ultimately like to achieve and reinforces its purpose

Distinction between a visioning process & a vision statement:

- Strategic visioning is like a roadmap
- A vision statement describes your destination





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Guestimating The Future

- Considers how our operating and external environments will most likely change in the future
- Involves making predictions of the future based on past and present data and most commonly by analysis of trends
- Informs planning, decision-making and resource allocation
- Does not reduce the complications and uncertainty of the future





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Future Landscape Considerations

1. Where do we expect great change?
What changes will most likely occur?

- **Internally:** people, programs, processes, culture / climate, financial position, technology
- **Externally:** society, economy, competition and industry, regulation, technology

2. What will likely be the most disruptive changes? What are the future trends the agency **MUST NOT** ignore?

3. What prepares the agency for change?

4. What makes the agency resistant to change?

THE BIG HEAVIES

PEOPLE

SOCIAL CONDITIONS


PROGRAMS

ECONOMIC CONDITIONS

FINANCES

INDUSTRY CONDITIONS

TECHNOLOGY



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Sample Future Landscape

Future Trends Agency Should Not Ignore

1. **People**

- Heightened focus on diversity, inclusion and equity
- Intensifying demand for digital literacy and competency
- Increased workforce mobility, especially among younger employees
- Growth of gig economy i.e. contracted labor force

2. **Competition**


- More non-profit start-ups and social enterprises
- Evolving program models to address client needs

3. **Money**

- New United Way funding model
- Increased funder emphasis on impact and collaboration
- Reductions in corporate funding and growth in donor reliance

4. **Community / Client**

- Aging population / client base
- Continuing fragmentation and lack of collaboration between sectors



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Sample Future Landscape Con't

What Prepares Us For Change?

- **People:** Application of a racial equity lens to decision-making and work; professional development program for agency employees
- **Competition:** New program model development underway; metrics for performance and outcomes assessment in place
- **Money:** Growing donor base, strong collaborations that reduce expenses and increase impact
- **Community / Clients:** Expanded senior services programs; digital outreach and platforms to attract younger clients

What Makes Us Resistant To Change?

- **People:** Insufficient staff capacity, poor internal communication
- **Competition:** Unwillingness to adapt / challenge the status quo, limited investment in technology
- **Money:** Overreliance on corporate and public funding
- **Community / Clients:** Limited community involvement in work and decision-making




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Your Future Landscape Assessment


AREAS OF GREATEST CHANGE	MOST DISRUPTIVE CHANGES	WHAT PREPARES AGENCY FOR CHANGE	WHAT MAKES AGENCY RESISTANT TO CHANGE




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You In The Future



Vision of Success: Helps agency discern who it wants to be in its anticipated future. Emerges in response to mission mandate, current state analysis, and future landscape trends.

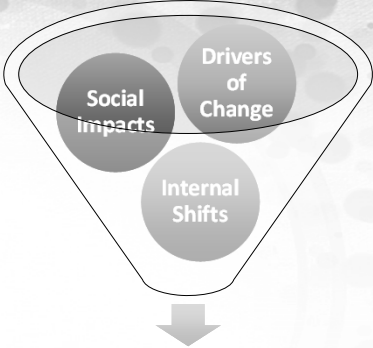


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Vision Of Success

- Orients plan
- Describes what reality would be like if your mission were being accomplished in optimal ways
- Evolves in response to environment
- Should have three core components:



Comprehensive Vision




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Sample Vision Elements


Agency	Impacts	Drivers	Shifts
Confluence Institute for Advancing Social Justice	<ul style="list-style-type: none">• Low Re-incarceration Rates• Improved well-being of people in criminal justice system	<ul style="list-style-type: none">• An evidence-based reentry program model• Policy education and engagement• Collaboration	<ul style="list-style-type: none">• Expanded marketing of research and Institute• Continuous fund development• Increased staff capacity
Urban League of Metro STL	<ul style="list-style-type: none">• Greater economic and social mobility for individuals and families• Black community has growing voice in regional decision-making	<ul style="list-style-type: none">• Strategic public / private partnerships• Well-defined advocacy agenda• Community engagement	<ul style="list-style-type: none">• Enhanced program and service portfolio• Development of advocacy infrastructure

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Your Agency's Vision

Social Impacts	Drivers of Change	Internal Shifts

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III. Setting The Direction


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Setting The Course

Prioritization:

- Select Priorities & Goals
 - Determine which strategic priorities will be your focus
 - Identify critical goals
 - Select strategies that must be implemented to advance progress on the goals in the coming year




PRIORITIES


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Strategic Priorities

- Focus strategic plan
- Arise from SWOT analysis and vision
- Clarify the most important areas to invest in the coming year
- Frame plan’s goals, objectives and strategies




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Selecting Priorities: An Assessment


Strategic Priority	Desired Achievements	Critical Issues To Address	Outcomes If Do Nothing In Next Year
Staff Engagement & Support	<ul style="list-style-type: none">• Heighten productivity and performance• Create a culture of collaboration that advances learning and connection	<ul style="list-style-type: none">• Workload management and planning• Professional development• Internal communication	<ul style="list-style-type: none">• Inability to attract and retain employees• More staff stress / disengagement• Weakened client services
Branding & Marketing	<ul style="list-style-type: none">• Increase visibility and positive recognition among target audiences• Market agency consistently across all programs and platforms	<ul style="list-style-type: none">• Development of communications strategy• Establishment of brand identity and key messaging	<ul style="list-style-type: none">• Inability to differentiate agency from competitors• Diminished base of support• Difficulty recruiting

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Your Strategic Priority Assessment

Strategic Priority	Desired Achievements	Critical Issues To Address	Outcomes If Agency Does Nothing

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IV. Specifying The Work

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Goal Setting

GOALS:

- Are broad aims toward which our efforts are directed
- Answer “what,” not “how”
- May be pursued in phases (what’s critical in the coming year?)
- Typically are broad statements, but can be targeted
- Serve as stair steps to your mission and vision

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Sample Goal Statements

FOCUS
St. Louis

- **FOCUS St. Louis:**
 - Heighten performance, engagement and satisfaction among employees and consultants
 - Create a culture of collaboration that advances learning and connection across programs and functions
- **Collegiate School of Medicine & Bioscience:**
 - Increase the school’s visibility and positive community recognition to broaden its base of support
 - Raise \$26 million dollars to finance the school’s expansion

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Your Agency's Goals


Goal Development
Strategic Priority 1
1. Goal:
2. Goal:
Strategic Priority 2
1. Goal:
2. Goal:
Strategic Priority 3
1. Goal:
2. Goal:



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Objective Development



The diagram shows the SMART acronym in a staircase format. The letters S, M, A, R, and T are in boxes, each on a higher step than the previous one. Below each letter is a descriptor: S is SPECIFIC, M is MEASURABLE, A is ACHIEVABLE, R is REALISTIC, and T is TIMELY. The entire staircase is labeled GOAL at the bottom right.

OBJECTIVES:

- Indicate the most efficient and effective pathways for reaching agency goals
- Usually focus on cornerstone issues / opportunities
- Answer “how”
- Serve as specific and measurable milestones that must be achieved to advance progress




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Sample Objectives

Strategic Priority	Goal	Objective
Health & Well-Being	Educate customers on healthy eating	By 2017, increase client attendance at health events by 50%
Health & Well-Being	Grow employee participation in the company's wellness program	In six months, involve at least half of the workforce in the weight management program



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Your Agency's Objectives

Objective Development

Strategic Priority 1

1. Goal 1:

2. Objective 1:


3. Objective 2:

Strategic Priority 2

1. Goal 1:

2. Objective 1:

3. Objective 2:



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Strategy Development


Common Definition

A Strategy Is: A plan of action designed to achieve an objective. Serve as the legs of a strategic plan

Core Work

Answers: What are you going to do specifically to fulfill your objectives and advance progress on your goals?

Describes: How you are going to get things done

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Sample Strategies – Fund Development

Goal


- Raise \$X million dollars to finance school expansion

Objective

- Undertake a 24-month capital building campaign to finance construction of school’s new state-of-the-art facility.

Strategy

- Produce a case statement that explains: the school’s fundraising needs, plans for addressing these needs; and what can be achieved with additional resources

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Sample Strategies – Fund Development

Strategy


- Conduct a feasibility study that identifies prospective funding sources and effective means for cultivating support. Execute study recommendations

Strategy

- Identify an initial funding champion to kick-off major contributions to the capital campaign. Use this commitment to build momentum around fundraising efforts with other donor prospects

Strategy

- Partner with the Foundation to increase donor investment
- Create campaign collateral that increases prospective donors' interest in school



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Your Agency's Strategies


Strategic Priority:
Goal:

Objective:

1. Strategy A:

2. Strategy B:

3. Strategy C:



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Strategy Prioritization

PRIORITIZING THE ACTIONS – WHAT IS CRITICAL IN THE NEXT YEAR?


INSTRUCTIONS: Planning participants have an extensive portfolio of strategies. The operational plan will have to focus on those actions that provide the greatest returns for the effort expended. Please score each recommendation based on its ability to move the vision forward in the coming year.

Impact is defined as return on investment. Effort – is defined as the amount of resources (time, money, labor) required for implementation.

- High Impact/Low Effort Projects – optimal return with minimal effort – Quick Wins
- High Impact/High Effort Projects – optimal return with major effort – Major Projects
- Low Impact/Low Effort Projects – minimal return with minimal effort – Fill Ins
- Low Impact/High Effort Projects – Thankless Tasks

Strategic Issue Topic: Fundraising


STRATEGIES – Example	Impact			Effort		
	H	M	L	H	M	L
1. Research development planning best practices						
2. Recruit additional directors to the board who have fundraising experience						
3. Establish a board development committee						
4. Secure resources to hire a fundraising / development staff person						
5. Join the St. Louis Association of Fundraising Professionals						
6. Create a development budget						




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Action Plans

- Are blueprints that breakdown large efforts into smaller, more manageable pieces
- Identify people accountable for execution
- Formulate timeframes for implementation
- Delineate deliverables that will result from successful implementation
- Clarify resources required to undertake strategies
- Make strategies sufficiently detailed to be actionable






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Sample Action Plan

Goal 1: Raise \$26 million dollars to finance CSMB’s school expansion.

Objective 1: Undertake a 24-month capital building campaign to finance the construction of CSMB’s state-of-the-art facilities.

Action Description	Accountable Party	Implementation Timeframe	Deliverable	Resources Needed
A. Develop a strategic plan that clarifies CSMB’s organizational direction; specifies a corresponding course of action; and guides the school’s critical resource allocation decisions.	■ Principal ■ CSMB ■ Advisory Board	■ Summer 2015	■ 2015 – 2018 CSMB strategic plan	■ Planning consultants
B. Produce a case statement that explains: a) the needs CSMB is seeking to meet through its fundraising; b) its plans for addressing these needs; and c) what it can achieve with additional resources.	■ Principal ■ CSMB ■ Advisory Board	■ Summer 2015 – Fall 2015	■ Fundraising case statement	■ Development expert or consulting firm
C. Conduct a feasibility study that identifies prospective funding sources and effective means of cultivating support. The study should also establish a reasonable timeline for executing CSMB’s capital campaign.	■ Principal ■ CSMB ■ Advisory Board	■ Fall 2015 – Winter 2015	■ Feasibility study	■ Development expert or consulting firm
D. Identify an initial funding champion to kick-off major contributions to CSMB’s capital campaign. Use this commitment to build momentum around the school’s fundraising efforts with other donor prospects and the SLPS Foundation.	■ CSMB ■ Advisory Board	■ Fall 2015 – Winter 2015	■ Initial capital campaign champion ■ First major gift ■ Heightened donor interest in CSMB	■ Advisory board connections




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Your Agency’s Action Plan

Strategy	Accountable Party	Timeframe	Deliverable	Resources Needed



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V. Monitoring Progress



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Timeline – Workflow Management

Implementation Timeline:

- Management and staff tool
 - Plots implementation timeframes for each strategy
 - Usually spans multiple months, quarters and/or years
 - Helps assess and manage workflow

Task #	Strategy/Action Plan	First 90 Days	Y1/ Q1	Y1/ Q2	Y1/ Q3	Y1/ Q4	Y2/ Q1	Y2/ Q2	Y2/ Q3	Y2/ Q4	Y3/ Q1	Y3/ Q2	Y3/ Q3
MB.1.1.A	Develop and implement a strategic communications plan												
MB.1.1.B	Better leverage existing communications platforms, channels and resources												
MB.1.2.A	Promote Trailnet's new public agenda and key issues												
MB.1.2.B	Seek out and cultivate new audiences / markets for programs												
SP.1.1.A	Review the results of the 2011 network analysis with staff and board												
SP.1.1.B	Conduct partnership assessment meetings to evaluate existing collaborations for growth and improvement												
SP.1.1.C	Conduct one-on-one interactions with program partners who have the greatest growth potential												
SP.1.2.A	Develop a process for cultivating partnerships												
SP.1.2.B	Incorporate routine partnership assessment into planning and program evaluation												
F.1.1.A	Identify the services that have the greatest potential for revenue generation												
F.1.1.B	Reach out to local corporate wellness programs to find out if they would incorporate Trailnet's offerings into their employee service packages												
F.1.2.A	Conduct research on membership pathways, giving levels and histories, retention statistics etc.												



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Scorecard – Process Management

Scorecard Development:

- Progress Assessment
 - Presents prioritized strategies, their deliverables, a color-coded assessment of whether they have been achieved and any clarifying comments
- Data Collection Process
 - Identifies process for collecting data and publishing findings
 - Who will do this?
 - How frequently?

Strategy Description	Status	Date Completed	Anticipated Deliverable	Actual Deliverable	Comments
1. Recruit additional directors with fundraising expertise	Done	10/30/13	2 new directors	3 new directors	Board's nominating committees identified three strong candidates, all of which the board approved
2. Develop a strategic communications plan	In Progress	2/10/13 – Present	New communications plan	N/A	The communications director and board marketing committee are still working to complete the communications plan. One more month of work, which includes 2 more meetings, is needed
3. Research membership pathways, giving levels and histories and retention statistics	On Hold	N/A	Donor analysis report	N/A	Director of development resigned. New staff prospects being vetted to fill the existing vacancy



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Any Questions ?





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