



United Way Nonprofit Training Series

Unpacking Core
Competencies related to
Key Funding Parameters



Module Four

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>

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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AGENCY SELF-ASSESSMENT & GROWTH OPPORTUNITY LOG

Agency Self-Assessment Chart & Opportunity Log

Directions: Using the chart below, rate your agency on its skills and usage of the Core Competencies addressed in this Session. Ratings are on a scale of 1 to 10 – 1 = No Skills (S) or Usage (U) and 10 = Highly Effective Skills (S) or Usage (U). The assessment is solely for you, intended to help: (1) consider/evaluate your agency's readiness to complete a qualified application; and (2) identify potential growth opportunities for your agency to explore. Then, based on this assessment and below the chart, note areas of growth or improvement that your agency may want to pursue to strengthen core competencies. Please retain your Self-Assessment & Growth Opportunities Log to inform your work in Session #5: Strengthening Your Strategic Planning Process.

		Skills & Usage										Growth Opportunity
Core Competency	(S/U) Rating:	1	2	3	4	5	6	7	8	9	10	
Ex: Theory of Change			U		S							Need commitment from Senior Leadership team to improve usage
Theory of Change												
Program design tools												
Measurement tools & process												
Outcome indicators												
Data collection plan												

Growth Opportunities Log: _____

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ROLES & RULES

Roles

Facilitators

- Guide learning & sharing
- Conduct exercises
- Maintain schedule

Participants

- Maintain openness to learning
- Share knowledge & insight
- Check for understanding

Rules

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

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)

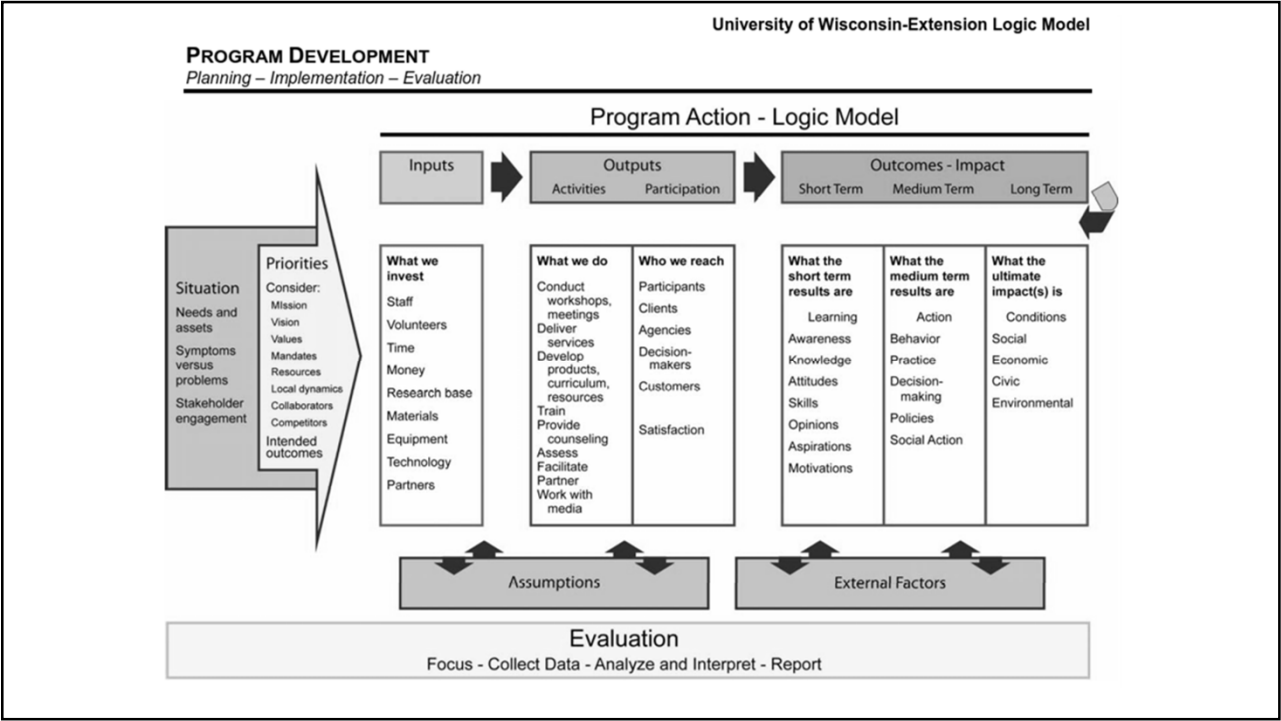
Other Factors to Consider: (Are there any other factors that should be considered about this program/initiative?)

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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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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METHOD	ADVANTAGES	DISADVANTAGES
Surveys	<ul style="list-style-type: none">• Anonymous completion possible• Can administer to groups of people at the same time• Can be efficient and cost effective	<ul style="list-style-type: none">• Forced choices may miss certain responses from participants• Wording may bias responses• Impersonal
Interviews (individual/ in-depth)	<ul style="list-style-type: none">• Can build rapport with participant• Can prove to get additional information• Can get breadth or depth of information	<ul style="list-style-type: none">• Time consuming• Expensive• Interviewing styles and wording may affect responses
Focus Groups	<ul style="list-style-type: none">• Can get common impressions quickly• Can be an efficient way to get breadth and depth of information in a short time frame	<ul style="list-style-type: none">• Need experienced facilitator• Can be difficult and costly to schedule a group of 6–8 people• Time consuming to analyze responses
Observation	<ul style="list-style-type: none">• Can view program operations as they occur	<ul style="list-style-type: none">• Difficult to interpret observed behaviors• May influence behaviors of program participants• May be expensive and time consuming to record each individual event
Document Review	<ul style="list-style-type: none">• Can document historical information about your program• Does not interrupt program routine• Information already exists	<ul style="list-style-type: none">• May be time consuming• Available information may be incomplete• Gathering information is dependent on quality of records kept

From CDC: <https://www.cdc.gov/ncftr/ProgramSupport/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.

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

Applying a Racial Equity Lens:

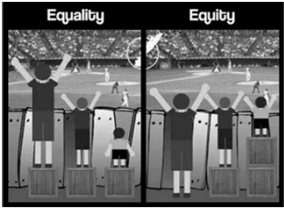
Exploring Ways to Advance Equity

NONPROFIT TRAINING SERIES MODULE TWO

Kira Hudson Banks, PhD.

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

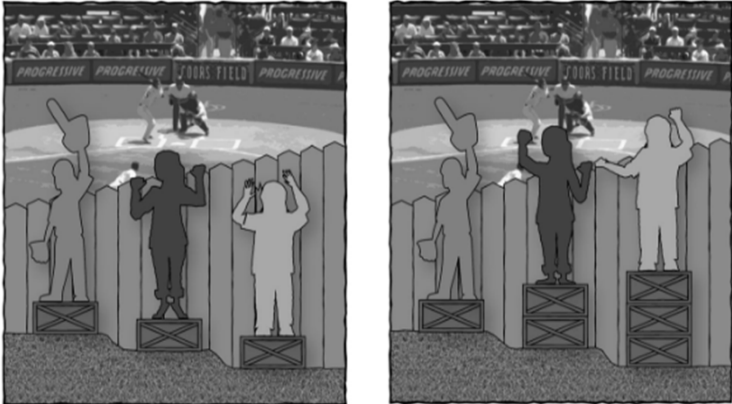
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Equality **Equity**

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Forward Through Ferguson



EQUALITY **EQUITY**

www.culturalorganizing.org

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A PATH TO RACIAL EQUITY

	Awareness of Inequity	Understanding of Why Inequity Exists	Transforming Towards Equity
Regional			
Institutional			
Individual			

	Awareness	Understanding	Transforming
Working On	Awareness Education “Lifting the veil”	Uncomfortable: • Learnings • Explorations • Considerations History	Focus on data and outcomes New and intentional: • Habits • Policies • Choices • Behavior
Common Language	Diversity, Inclusion, Tolerance, Cultural Competency, Race as a social construct	Institutional racism, Intersectionality, Internalized oppression, Internalized superiority	Disaggregated data, Racial Equity Lens, Structural Racism, Equity-driven strategy, Liberation

TOWARD EQUITY

STL FORWARD THROUGH FERGUSON



What does it mean to use a Racial Equity Lens?



- 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/>

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Why Use a Racial Equity Lens?



- 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

■ 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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Implications of a Racial Equity Lens on a Personal Level

Privilege

- Unearned □ Conferred
- Intersecting □ Not equal to easy or perfect

Unconscious Bias

A rigid belief, positive or negative, about a group of people that is based on limited evidence.

Microaggressions

“Brief and commonplace daily verbal, behavioral, or environmental indignities, whether intentional or unintentional, that communicate hostile, derogatory, or negative racial slights and insults toward people [in marginalized groups].”

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Status Dynamics in Organizations



Elephant

- Set and fit the norms
- Often don't see their group-ness
- Given the benefit of the doubt; contributions are heard

Mouse

- Aware of identity and associated stereotypes
- May 'cover' parts of identity to fit in/assimilate into the norm
- May fear being seen as 'the exception' and having contributions overlooked

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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

Optimizing Board Effectiveness

NONPROFIT TRAINING SERIES MODULE THREE

Laurina Godwin
Vector Communications

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

- ❑ 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

- ❑ 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

- ❑ 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

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

*Cathy Trower, PhD

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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?

Dashboard Best Practices

- ❑ 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

Executive Session

- 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/suspicions
- 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

- 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



- 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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Exploring Strategic Alliances

NONPROFIT TRAINING SERIES
MODULE FOUR


Allie Chang Ray,
Mutare Network




Module Four: Exploring Strategic Alliances
United Way Nonprofit Training Series
Module Four

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Today’s Learning Objectives



Increase understanding about nonprofit developmental stages and lifecycle stage of your agency.



Advance learning about each type of collaboration and how they can help an agency’s development regardless of age or lifecycle stage.



Gain insight on what it takes to become ready for a strategic alliance and how to pursue/engage in a conversation when the time is right.

MUTARENetwork

acray@MUTARENetwork.com

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Learning Approach

During today's session

- concept
- examples
- analysis
- application

On your own

- capacity & skill development
- competency
- effectiveness



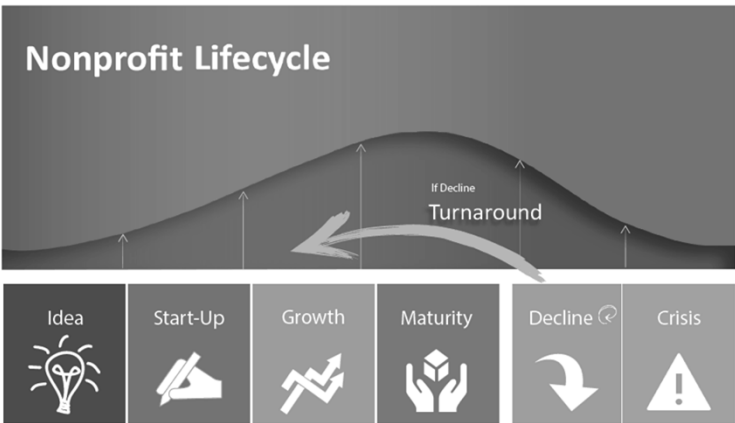
www.nonprofitlifecycles.com

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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.



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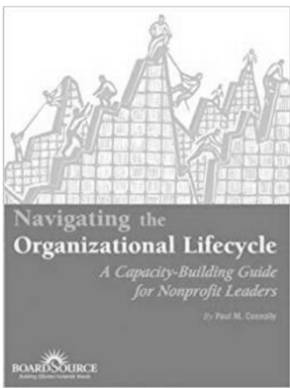
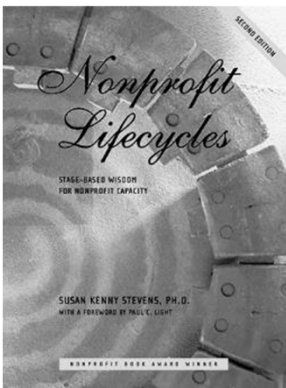
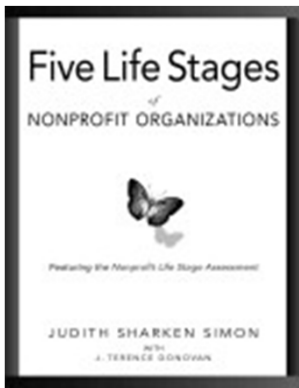
Lifecycle Theory

Used by nonprofit organizations to

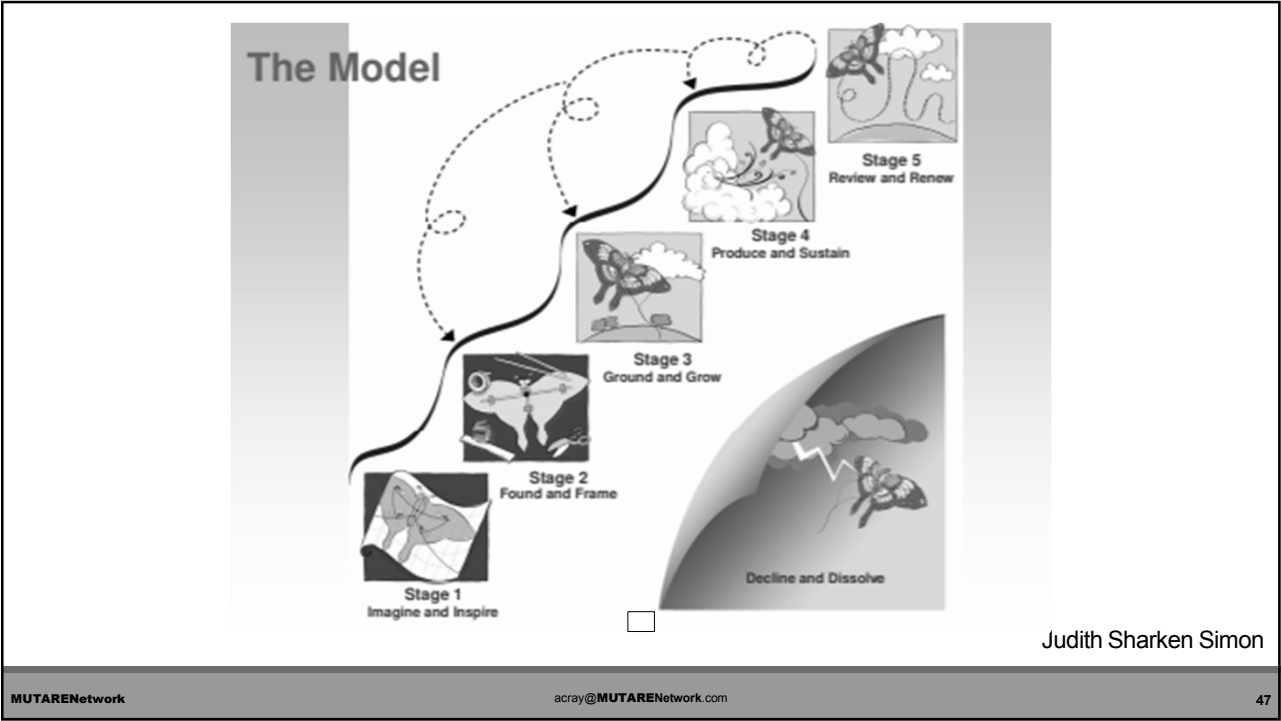
- identify stages that exist in the lives of nonprofit organizations;
- provide patterns and predictability;
- build common understanding and buy-in;
- de-personalize issues and challenges;
- measure capacity improvements over time;
- normalize the difficulties inherent in growth/change; and
- set a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

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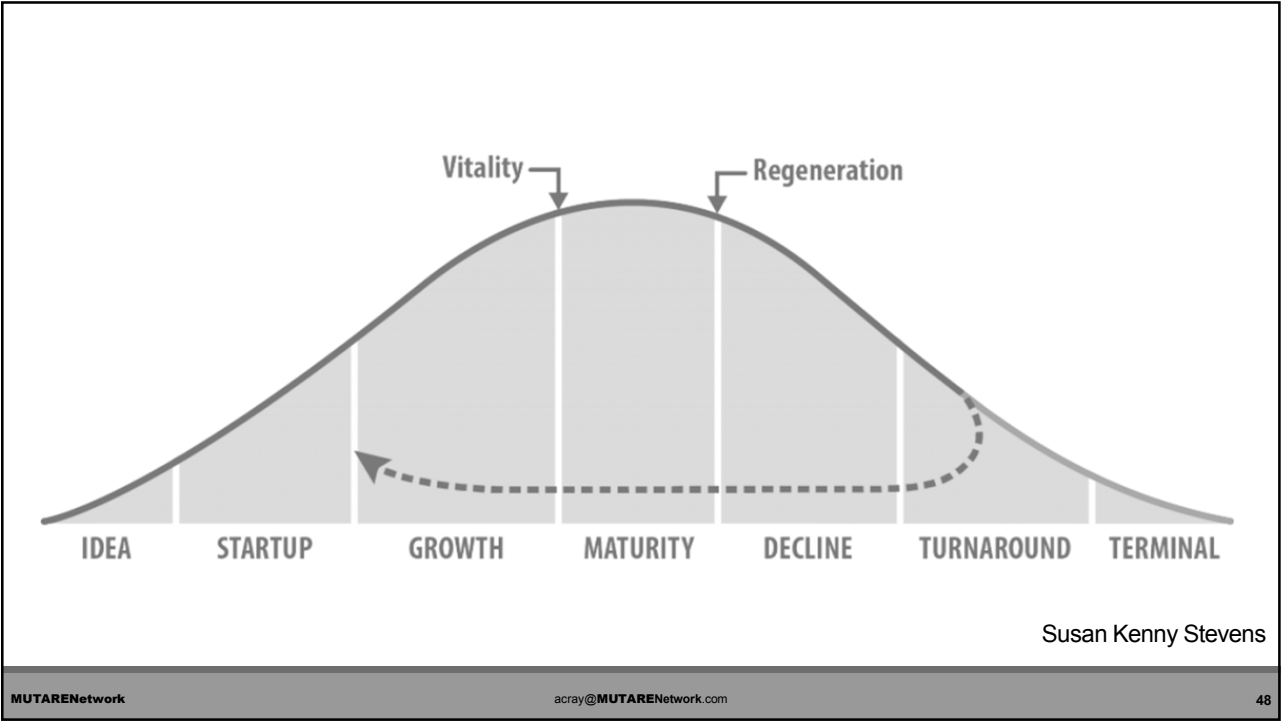
Sample of Lifecycle Theories



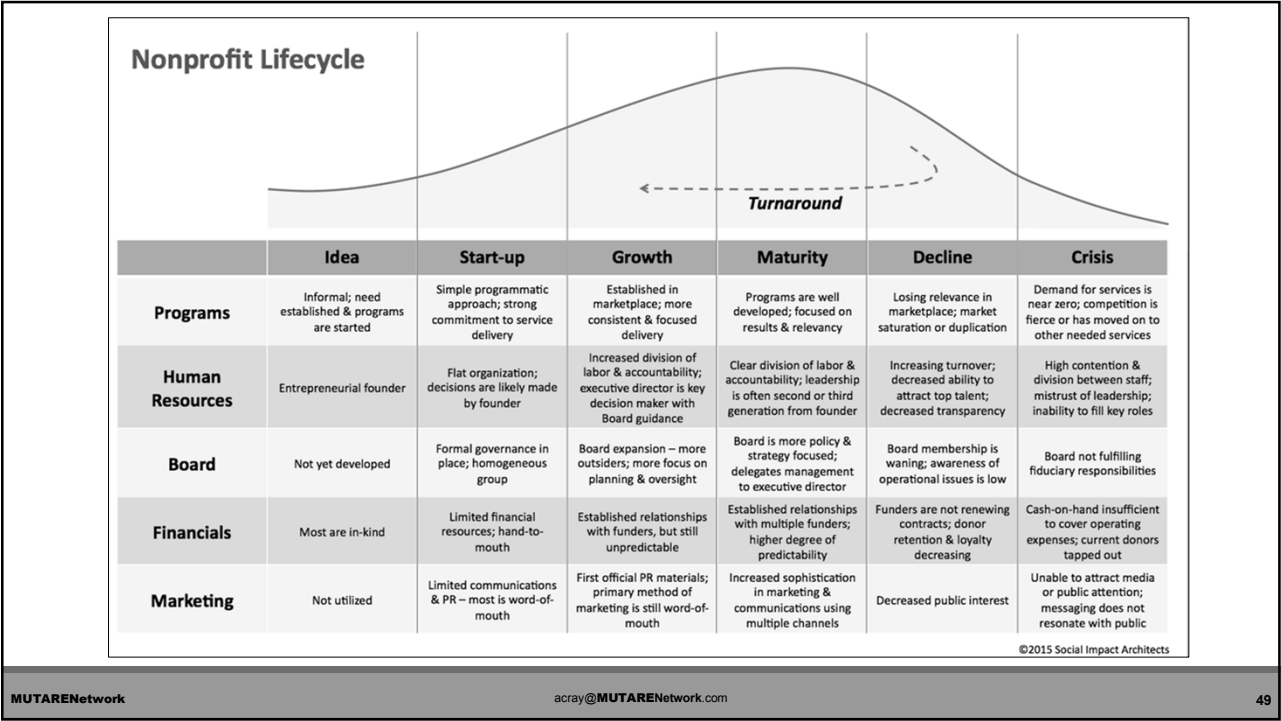
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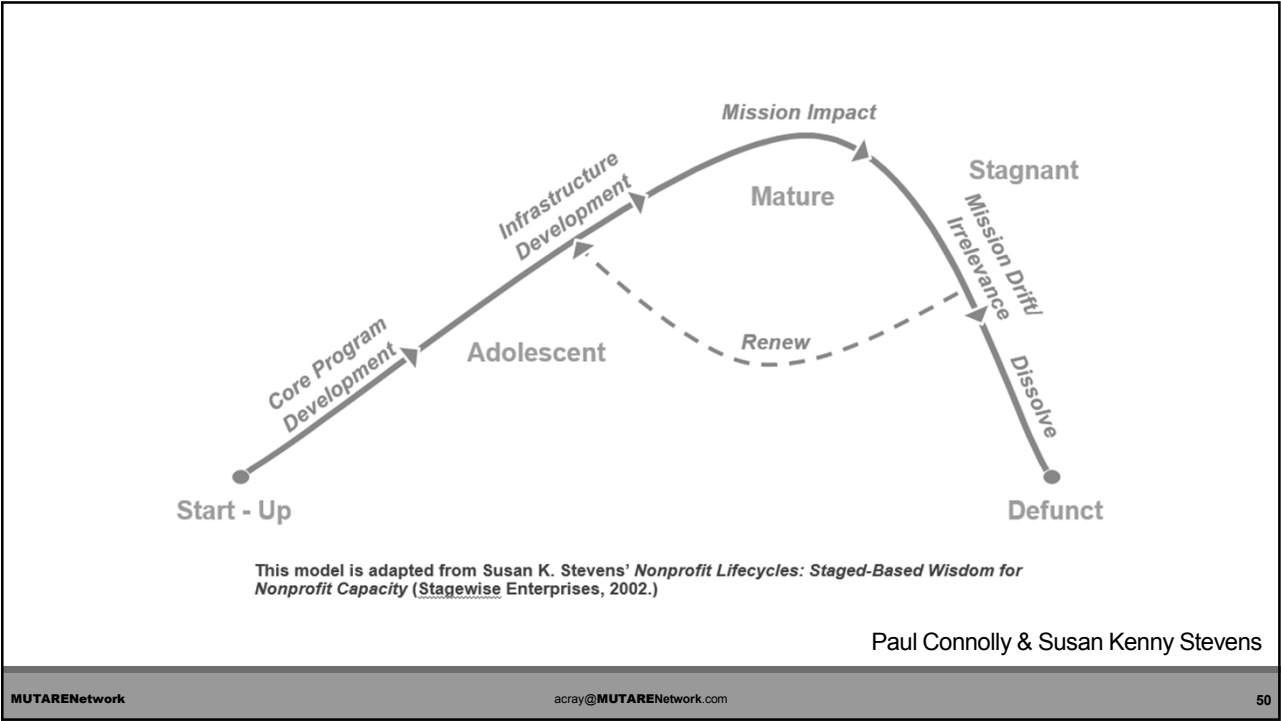
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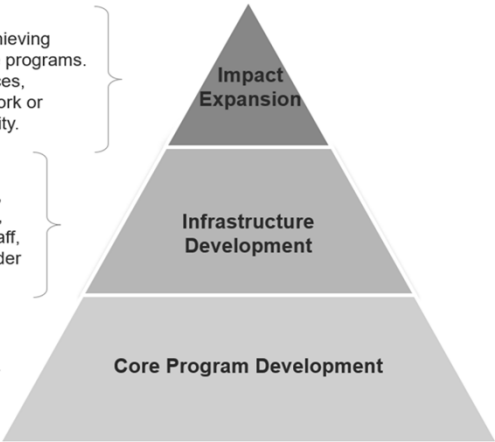
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Lifecycle Dimensions

Broadening your approach to achieving mission impact beyond your core programs. This may include strategic alliances, partnerships, policy/ advocacy work or further outreach in your community.

The systems needed for an organization to operate smoothly, including having policies in place, good communication between staff, and initial evaluation efforts in order to improve programs.

Close alignment between your programs and your mission/vision – and clarity in your organization as to how they relate.



tcc group

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Strategic Alliance Theory

Used by nonprofit organizations to

- increase their influence;
- scale their efforts;
- strengthen and expand their programs and services; and/or
- streamline operations to gain efficiencies.

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Strategic Alliance Thought Leadership

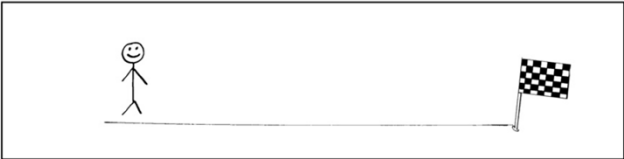
Karen
Ray

Michael
Winer

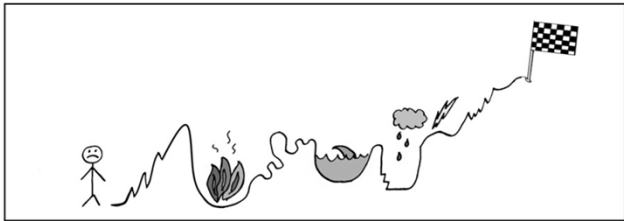


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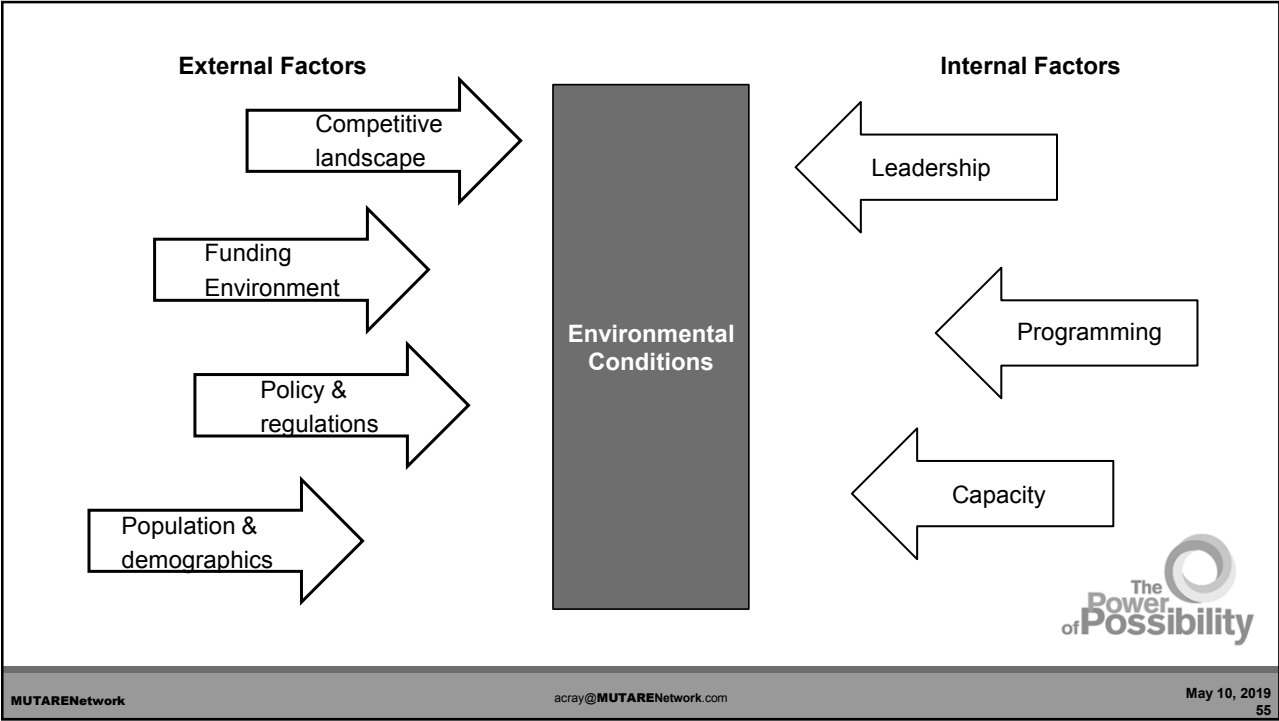
THE PLAN



THE REALITY



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Why now?

- High-impact nonprofits do not go it alone. They work with and through other organizations to create more impact than they could have ever achieved in isolation.
- Strategic alliances and restructuring can open whole new worlds of opportunity for serving our mission: broadening our reach, expanding the range of our programs or services, and helping us find more efficient ways to support our work.



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What are the possibilities?

- There is power in the possibility of working together.
- There is power in the possibility of aligning complementary strengths and resources.

There is power in the possibility of going beyond organizational boundaries to do together what we may not be able to do alone.



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Frameworks to Consider



Partnerships and Collaboration

The Collaborative Map



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PARTNERSHIP CONTINUUM

Cooperation	Coordination	Collaboration
<i>Lower Intensity → → → → Higher Intensity</i>		
Shorter-term, informal relationships	Longer-term effort around specific project or task	More durable and pervasive relationships
Shared information	Some planning and division of roles	New structure with a commitment to common goals
Separate goals, resources, and structures	Some shared resources, rewards, and risks	All partners contribute resources and share rewards, leadership, and risks

Source: Winer and Ray 1994.

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Spectrum of collaboration

Associations <small>(Includes coalitions, collaboratives, communities of practice)</small>	Joint Programming	Shared Services	Merger <small>(Includes affiliate and subsidiary structures)</small>
Definition: A group of organizations that voluntarily combine forces to accomplish a purpose over time	Definition: Contractual programmatic undertaking of two or more entities without actual legal incorporation	Definition: Jointly hiring a third party or agreeing to share an existing resource to provide services such as accounting, marketing, IT or office space to consolidate administrative functions	Definition: A combining of two organizations into one. This can be accomplished through legal affiliate or subsidiary structures, integrating one organization into another or the creation of a new entity.

← Less Level of integration More →



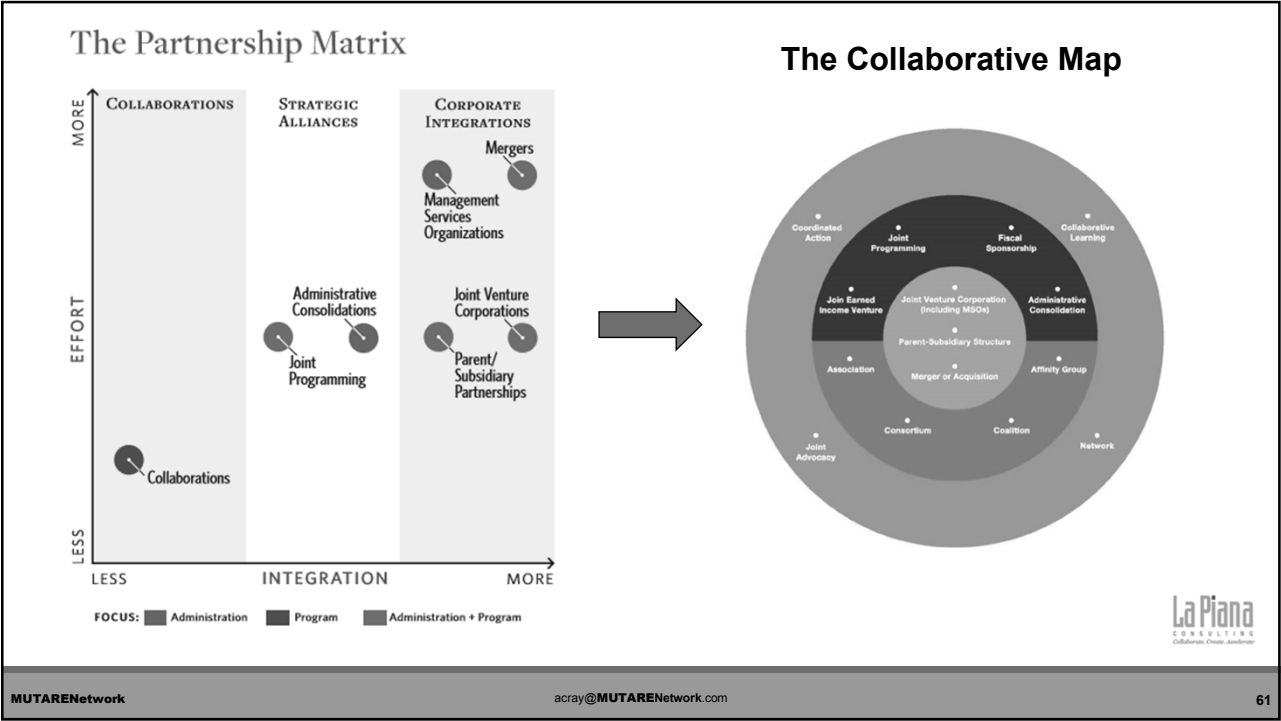
The Bridgespan Group

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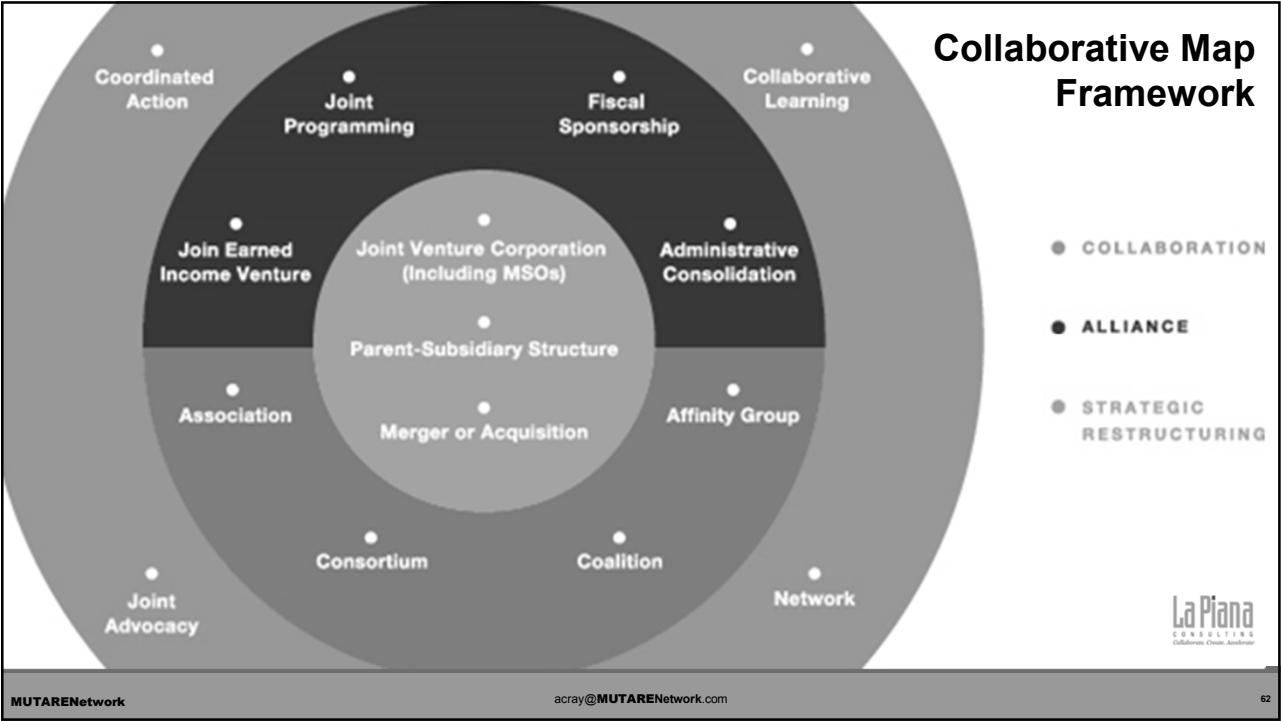
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Types of Collaboration

- Coordinated action
- Joint advocacy
- Collaborative learning
- Network

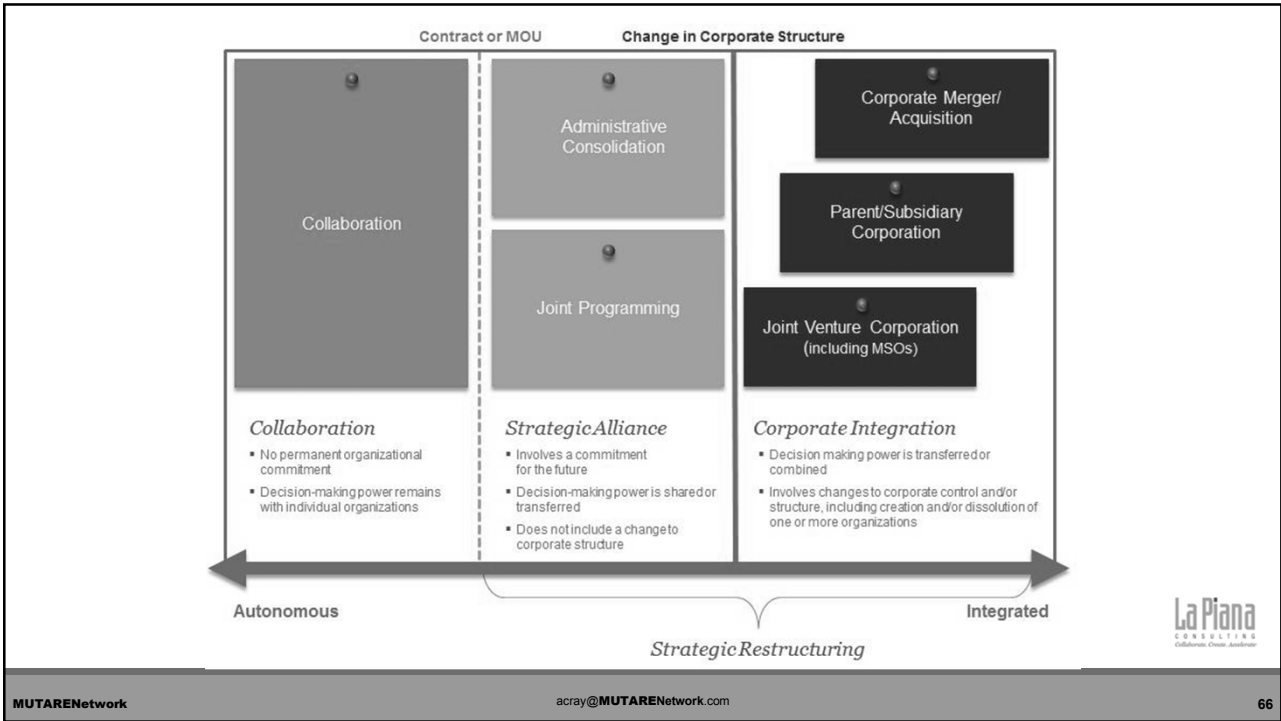
Types of Alliance

- Administrative consolidation
- Fiscal sponsorship
- Joint programming
- Joint earned income venture
- Affinity group
- Coalition, consortium, and association

Types of Strategic Restructuring

- Joint Venture Corporations
- Parent-Subsidy Structure
- Merger or Acquisition

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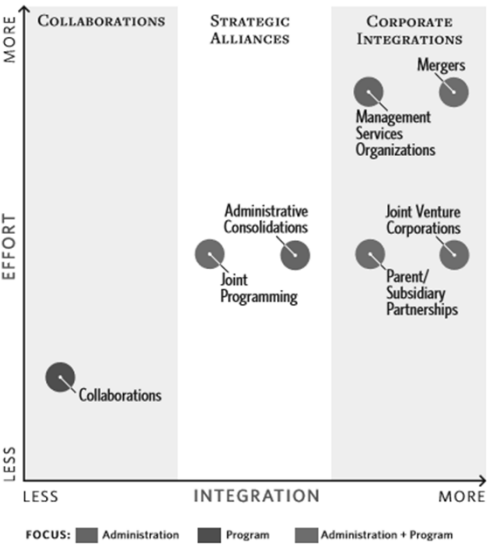
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Readiness & Decision Inputs

- board attitudes,
- strategic aims, and
- past experience

correlate with
the kinds of opportunities that are pursued.

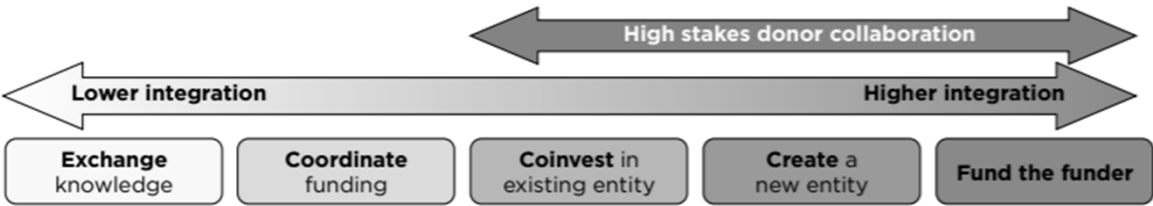
The Partnership Matrix



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Funder Collaboration Models



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Funder Collaboration Models (cont'd)

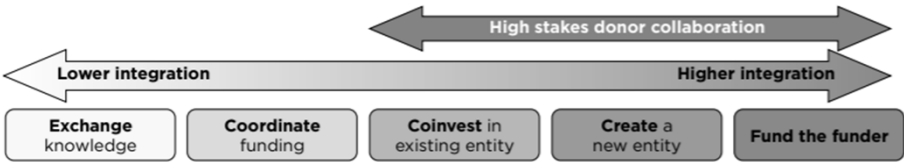
Funder collaborations magnify impact and facilitate learning by

- possibly shifting from one category to another;
- creating an integrated process where the stakes are high (typically multiyear efforts, more resource-intensive in time and money); and
- accessing others' expertise, having enough clout to pursue system-level change, and aggregating the capital needed to take a successful project to the next level.



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Funder Collaboration Models (cont'd)



Note: Before coinvesting or creating a new entity, many funders often have already worked together on less complex projects and established a level of mutual confidence.

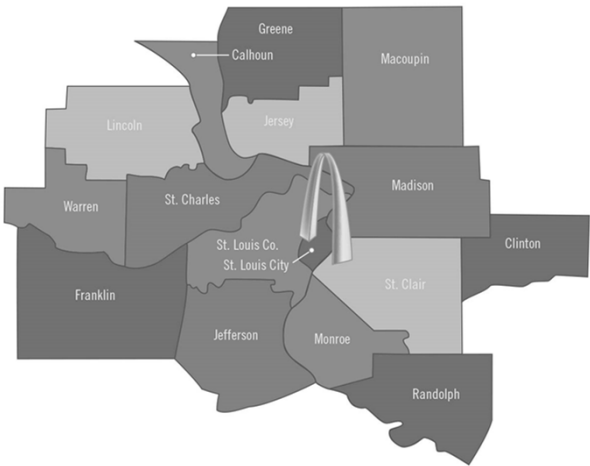


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Sometimes,
in the winds
of change,
**we find our
direction.**

16-County Service Region



Safety Net of Needs Identified by Community Needs Assessment

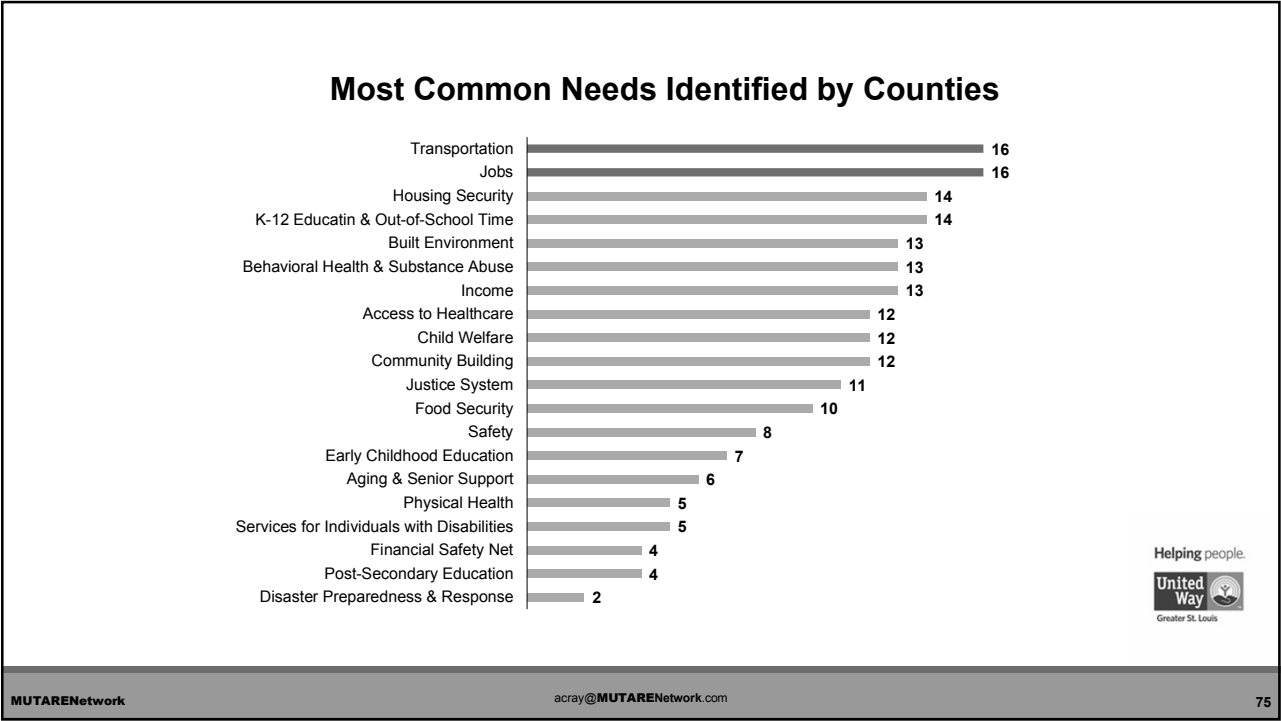
Topic/Need	Topic/Need
Crisis Intervention	K-12 Education & Out-of-School Time
Food Security	Post-Secondary Education
Housing Security	Access to Healthcare
Legal Assistance	Behavioral Health & Substance Abuse
Transportation	Physical Health
Debt	Aging and Senior Support
Financial Education	Built Environment
Financial Safety Net	Community Building
Income	Disaster Preparedness and Response
Jobs	Justice System
Child Welfare	Safety
Early Childhood Education	Services for Individuals with Disabilities



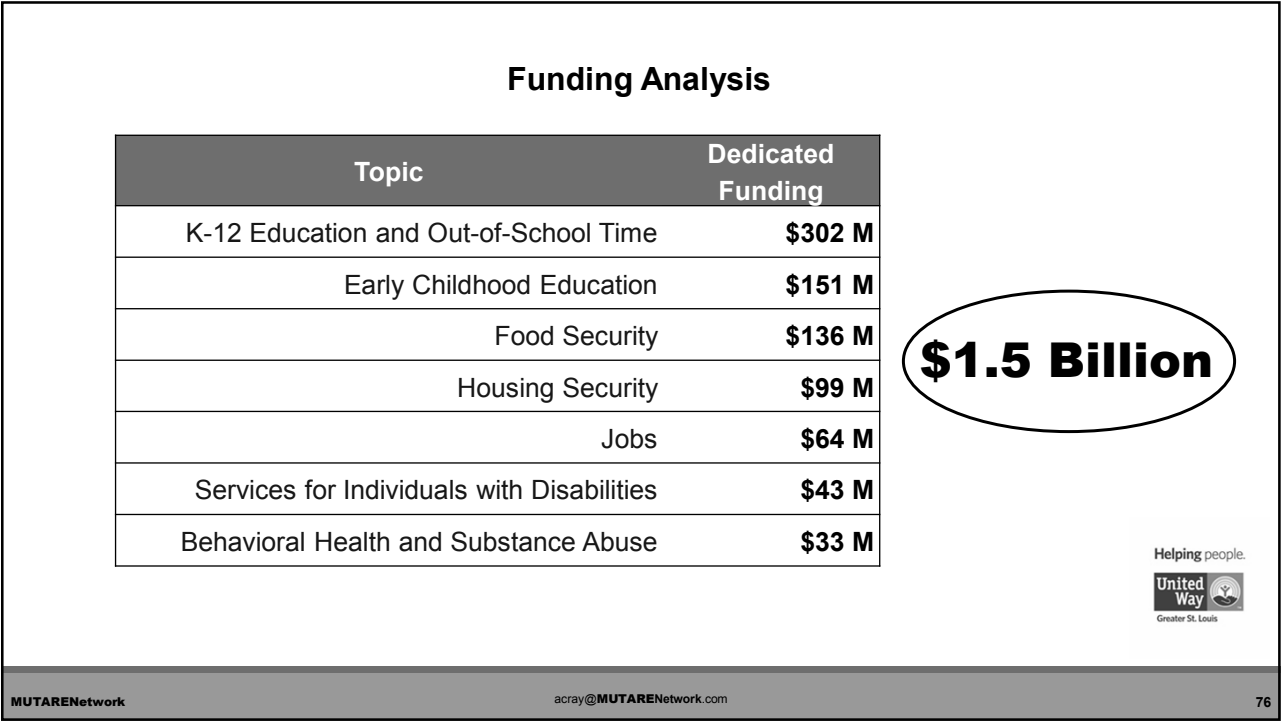
Highest Priority Needs Identified by Community Needs Assessment

Topic/Need	Topic/Need
Crisis Intervention	K-12 Education and Out-of-School Time
Food Security	Post-Secondary Education
Housing Security	Access to Healthcare
Legal Assistance	Behavioral Health & Substance Abuse
Transportation	Physical Health
Debt	Aging and Senior Support
Financial Education	Built Environment
Financial Safety Net	Community Building
Income	Disaster Preparedness & Response
Jobs	Justice System
Child Welfare	Safety
Early Childhood Education	Services for Individuals with Disabilities

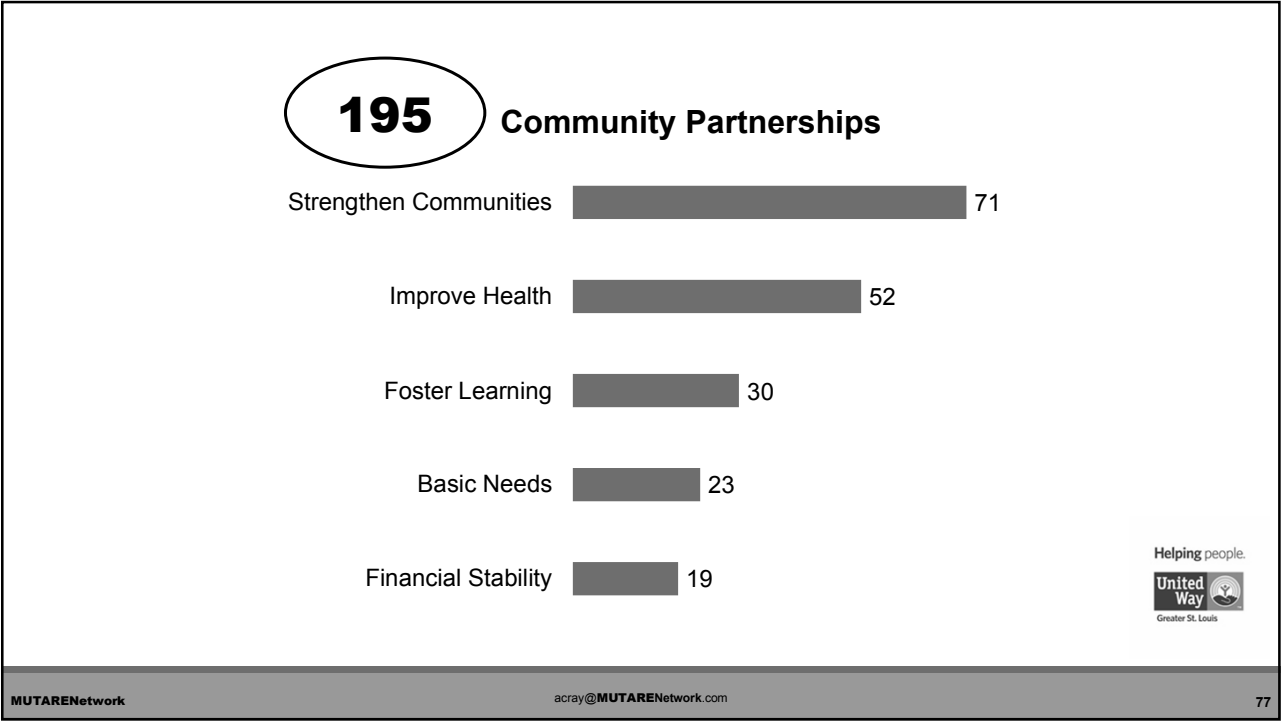




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Support a Collaboration Strategy

- Strategic partnership can be a powerful way for organizations to expand their impact.
- A strategic alliance or restructuring could help expand scope, expand or refine programs, or achieve greater efficiency.
- Board members have an important role to play in the conversation about strategic partnership.

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Primers of Strategic Alliance Conditions

Some reasons why a strategic alliance makes sense for two or more entities include:

- achieve greater leverage among stakeholders (e.g. build awareness or advocacy);
- address complex issues that require coordinating multiple stakeholders;
- provide an integrated continuum of services to meet beneficiaries' needs;

Primers of Strategic Alliance Conditions (cont'd)

- strengthen or expand program or service quality and performance;
- gain back-office or administrative efficiencies;
- achieve greater economies of program scale; and
- enter new geographies, provide new services, or reach new beneficiaries

Reflection

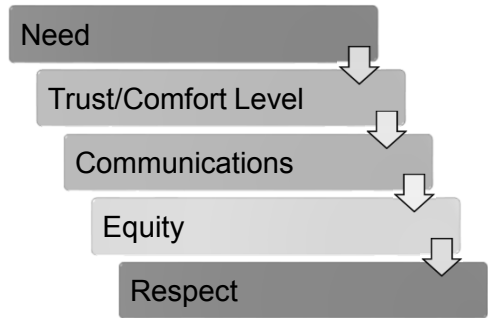
- What is our core purpose? What problem are we trying to solve or new reality are we trying to create?
- If we were to be founded today, would it be to fill an unmet need within our community and world?
- If we were to close our doors today, from whom would we hear and what would they say?
- Do we have the resources and capacities we need to grow — or even continue — the impact that we seek to have in the world?




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Preconditions for Success





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Governance

Financial

Human resources

Capital

Programmatic

Communications

Other
Issues to
Consider

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Common Themes in Funder Collabs

Weigh costs & benefits

Goal alignment


Rigorous decision-making process

Establish roles & investment upfront

Set milestones & exit strategies

Evaluate & seek stakeholder input

Involve board in strategic conversations

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Sample Strategy Screen to Set Criterion

Mission advancement

Competitive advantage

Organizational capacity

Business model


Best choice

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Collaborate. Create. Accelerate.

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Possible Guiding Questions

- What do we hope to accomplish?
- What are our organizational strengths and challenges?
- What would make an organization a strong potential partner?
- Are there forms of strategic alliances or restructuring that we would (or would not) be open to considering?

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Welcome to the Partnership Assessment Tool for Health (PATH). This resource is intended for community-based organizations (CBOs) that provide human services and healthcare organizations currently engaged in a partnership. For the purposes of this tool, we define partnership as a structured arrangement between a healthcare organization (e.g. health system, hospital, provider, insurer, state or local public health department) and nonprofit or for-profit community-based organization (e.g. housing organization, workforce development agency, food bank, early childhood education provider) to provide services to low-income and/or vulnerable populations.

The objective of the PATH is to help partnering organizations work together more effectively to maximize the impact of the partnership. As your partnership continues serving the community, open and honest dialogue around strengths, gaps, challenges, and opportunities is essential for partners to stay aligned, focus communications, prioritize changes, leverage opportunities, identify needs, and more. These types of conversations require dedicated time and can be challenging. The tool provides an approachable format to understand progress toward benchmarks characteristic of effective partnerships, to identify areas for further development, and guide strategic conversation between partners.

Developed by **Partnership for Healthy Outcomes**
Bridging Community-Based Human Services and Healthcare



Prospecting with Caution



The Strategic Alliance Tales of Three Organizations

Outcome #1:
Better service

Outcome #2:
Increase reach

Outcome #3:
Sustainability

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Case Study #1

Situation

Individuals with multiple sclerosis who lived only 10 miles apart but were part of two different chapters received varying levels of support simply because of the state border between them.

Desired Outcome: Better Service

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Case Study #1 (cont'd)

Results

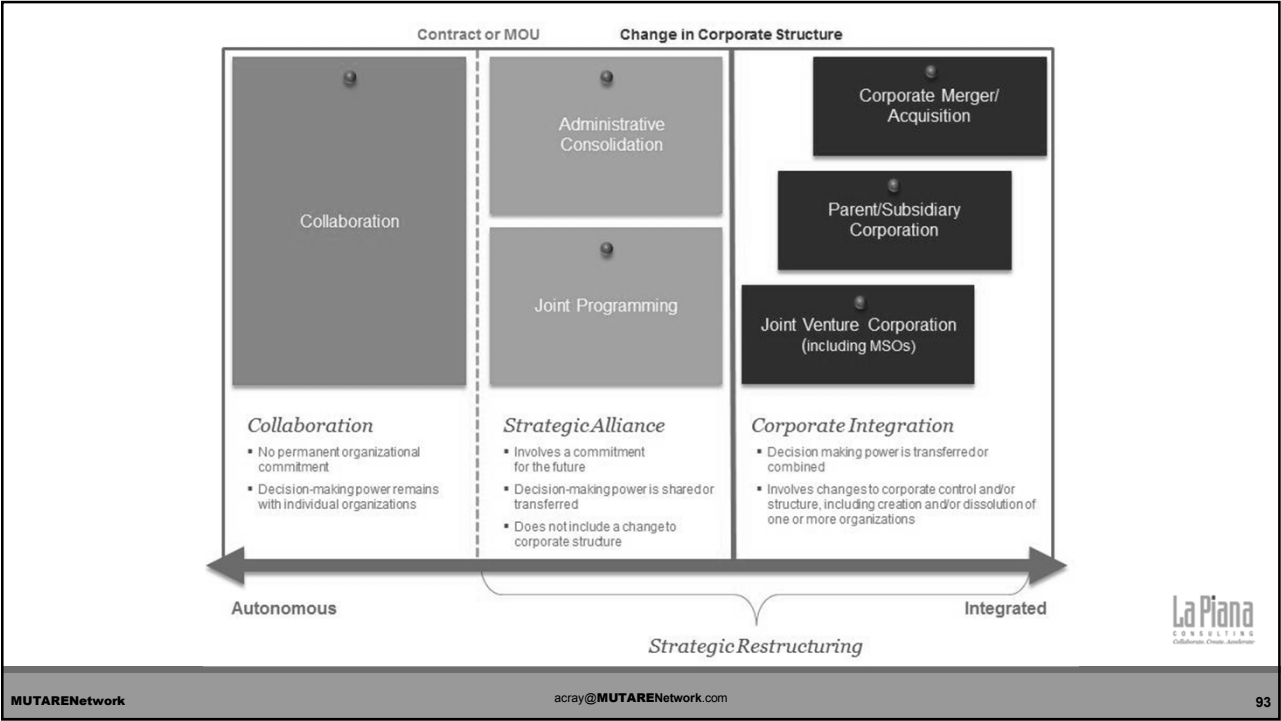
- After cultivating trust and familiarity, they determined that the best way to increase the capacity and resources across the chapters would be to merge.
- By putting people first, the newly formed Upper Midwest Chapter of the National Multiple Sclerosis Society pooled the resources from what had been two separate chapters and is now serving individuals with MS in Iowa, Minnesota, North Dakota, South Dakota, and parts of Wisconsin and Nebraska.
- By doing so, the new chapter has been able to identify efficiencies and provide strong, consistent support to individuals living with MS, regardless of their zip code.
- The new chapter currently serves more than 17,000 people, covering nearly 300,000 square miles.

Case Study #1 (cont'd)

Testimonial

“This was the most mission driven merger because everyone was so focused on the client. They were so focused on providing services to people with MS, and how we could do the best job with it.”

Bill MacNally, Board President
Upper Midwest Chapter National Multiple Sclerosis Society



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Case Study #2

Situation

The Chambliss Center for Children, a nonprofit organization focused on providing early childhood education, child care, and residential services, began its life as the Children’s Home. Early on, it experienced overwhelming success and growth and achieved operational and administrative efficiencies. Based on this success, the Hamilton County government asked the organization to assume responsibility for another child-related program — The Chambliss Shelter — in 1983.

Desired Outcome: Increase Reach

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Case Study #2 (cont'd)

Results

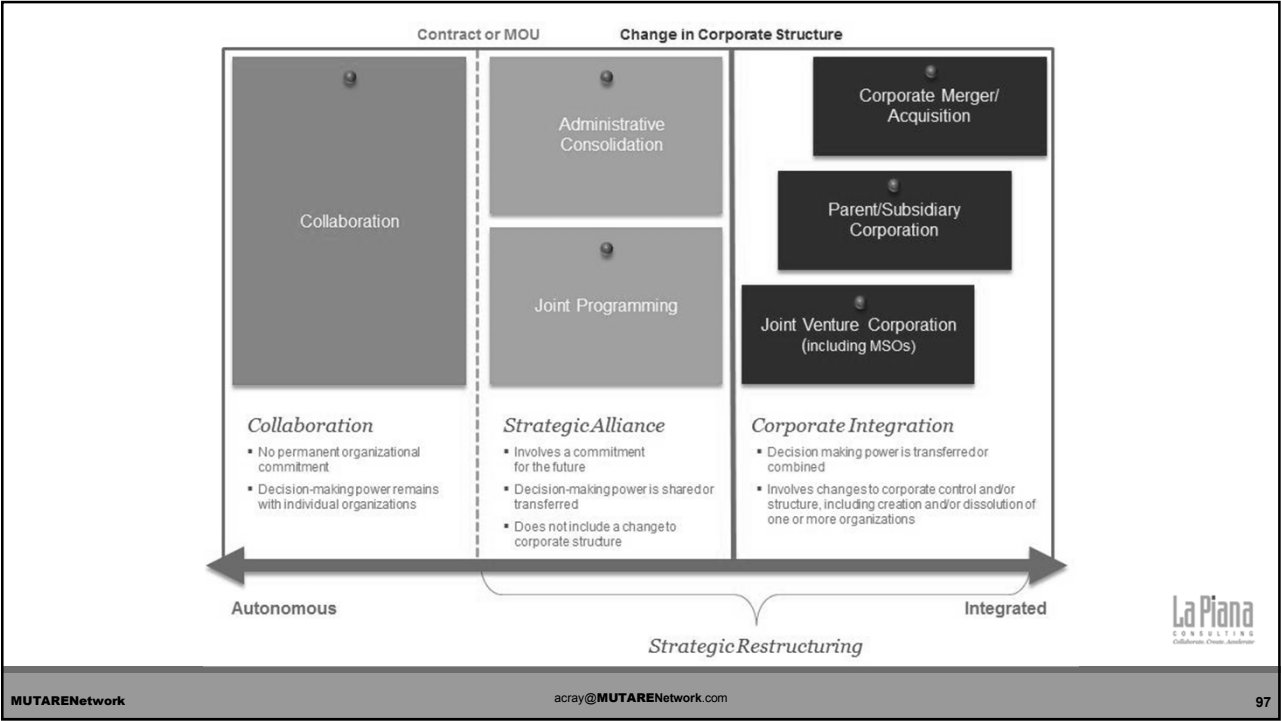
- This shared administrative services model has led to many efficiencies, including joint purchasing, centralized employee benefits, shared financial systems, and consistent operating procedures.
- The Chambliss Center now manages five independent off-site childcare centers and provides childcare inside 11 Hamilton County Schools.
- Each of the off-site centers has its own board of directors, but — through a management agreement — the Chambliss Center’s staff manages the day-to-day operations of the five centers and all administrative functions.
- The Chambliss Center is now the second largest childcare provider in Chattanooga, having achieved its growth in a thoughtful, strategic way that maximized efficiencies and minimized duplication and competition.

Case Study #2 (cont'd)

Testimonial

“Chambliss Center for Children is proud to facilitate being the ‘hub’ for numerous early childhood education and nonprofit childcare centers in Chattanooga. It presents a collective opportunity to serve more of our community’s at-risk children, while saving funding that would otherwise go to administration. It is an efficient way to more fully utilize all resources. After all, it IS all about the children!”

Philip Acord President & CEO
Chambliss Center for Children



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Case Study #3

Situation

In the aftermath of the economic downturn, Dayton Philharmonic Orchestra, Dayton Opera, and Dayton Ballet were all concerned about their long-term financial viability due to a reduction in donations, ticket sales, endowment funds, and foundation, corporate, and governmental funding. All three organizations had cut programs, salaries, and staff, but knew these stop-gap measures would not solve their long-term sustainability problems.

Desired Outcome: Sustainability

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Case Study #3 (cont'd)

Results

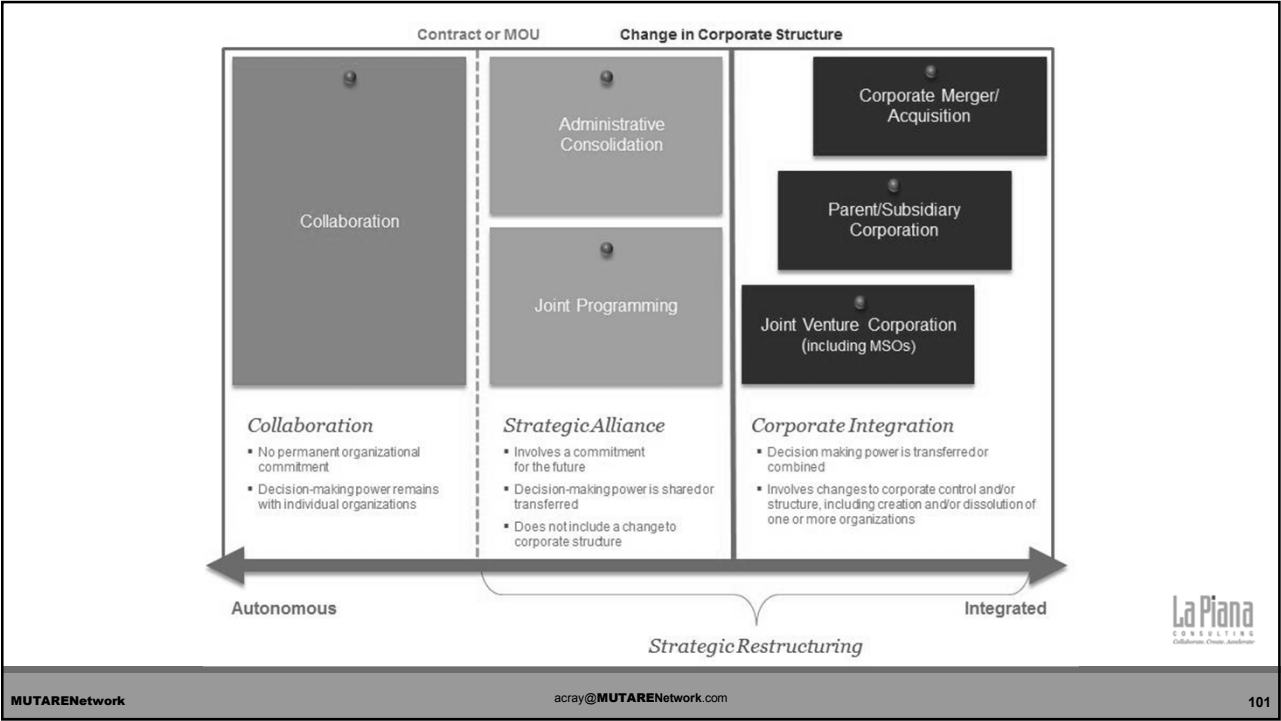
- The organizations formally merged in 2012 with tremendous results.
- By integrating all three art forms into a single artistic season, the Dayton Performing Arts Alliance has been able to
 - avoid scheduling conflicts;
 - create unique signature events combining all three art forms;
 - implement cross-attendance promotions;
 - introduce patrons of one art form to all three; and
 - unlock new funding opportunities from donors with an interest in the new model.

Case Study #3 (cont'd)

Testimonial

“We realized the key point wasn’t how the merger looked in comparison to the status quo, or to the way things used to be, but rather how the merger looked compared to where we might all be in five years if we didn’t take such a bold and progressive step...we’re better served working together than competing against one another.”

Paul Helfrich, President
Dayton Performing Arts Alliance



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Collaborations Research Brief

- Characteristics of effective collaborations
- Strategies for sustainability
- Why collaborations fail

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Characteristics of Effective Collaborations

- Factors
- Leadership
- Coordination

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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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What does it mean to understand community?

- Race
- Gender
- Sexual orientation
- Age
- Geography
- Social determinants of health, such as
 - socioeconomic status,
 - education,
 - neighborhood and physical environment,
 - employment, and
 - social support networks

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Collaborating for Equity and Justice Toolkit

Collaborating for Equity and Justice Toolkit

Principles of Collaborating for Equity and Justice ▾

Search this site 🔍

Collaborating for Equity and Justice Toolkit

This toolkit was created to support the related Nonprofit Quarterly publication: Collaborating for Equity and Justice: Moving Beyond Collective Impact. Clicking on a link below will bring you to a page with case studies, resources and tools related to that principle. This site is still under development, so check back often to access new resources.

Principles

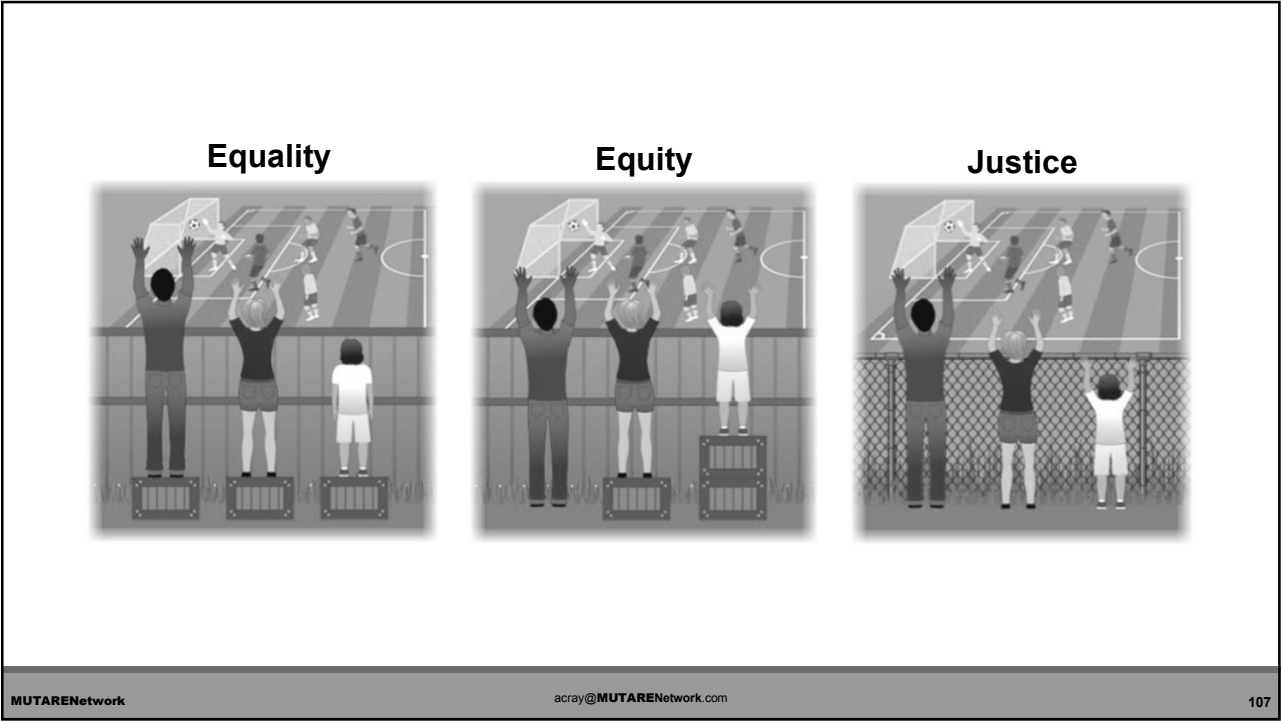
1. Explicitly address issues of social and economic injustice and structural racism.
2. Employ a community development approach in which residents have equal power in determining the coalition or collaborative's agenda and resource allocation.
3. Employ community organizing as an intentional strategy and as part of the process. Work to build resident leadership and power.
4. Focus on policy, systems and structural change.
5. Build on the extensive community-engaged scholarship and research over the last four decades that shows what works, acknowledges its complexity, and evaluates it appropriately.
6. Build core functions for the collaborative based on equity and justice that provide basic facilitating structures and build member ownership and leadership.

Collaborators on the NPQ article and this CEJ Toolkit include: Tom Wolff, Meredith Minkler, Susan Wolfe, Bill Berkowitz, Linda Bowen, Fran Butterfoss, Brian Christens, Vincent Francisco, Arthur Himmelman, Christina Holt, Kien Lee. We also wish to acknowledge contributions from Doug Easterling, Teri Behrens, Michelle Kegler, Tyler Norris, Monte Roulier, David Chavis, Kevin Barnett, and Abigail Ortiz.

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Learning from Failing

The conditions that have been shown to most frequently cause collaborations to fail, either from their inception or later in their existence, are:

- loss of direction or focus;
- lack of leadership, loss of leadership, or struggles for leadership;
- the “Founding Member Syndrome” – founding members gain too much power and block the growth of the collaboration, new members are excluded from decision-making, founding members are unwilling to change as the collaboration grows or community needs change;
- unequal involvement and recognition of members;
- poor planning efforts;
- negative publicity;

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Learning from Failing (cont'd)

- failure of planned projects – even when projects are well planned, some will not succeed and this lack of success may be attributed to the collaboration itself, damaging morale and the incentive to continue with collaborative efforts;
- turf battles and competition;
- substantial ideological differences and misunderstandings;
- unwillingness of members to contribute the resources needed to succeed;
- historical disagreements between group members;
- burn out or unrealistic demands on members; and
- bureaucratic structure.

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In 2014, The Lodestar Foundation commissioned The Bridgespan Group to survey 237 nonprofit CEOs and 101 Foundation officers on their participation in four common forms of **formal** collaboration:

- associations (including coalitions and community collaboratives),
- joint programs,
- shared support functions,
- and mergers (including subsidiary relationships).



The survey found

- **91%** of respondents were engaged in some form of collaboration.
- At least **75%** of nonprofit leaders and grantmakers viewed collaborations across the board as largely successful.
- **Both** funders and nonprofits wanted **more** collaboration of all types, in particular **shared support functions** and **mergers**.
- **Three** impediments to increasing collaboration that funders and nonprofits will need to address to make the most of the potential for collaboration.



Issue #1: Funder support for collaboration

We receive little support.

Nonprofits

Nonprofits don't ask.

Funders

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Issue #2: Finding the right partner

This is our largest barrier.

Nonprofits

This is our smallest barrier.

Funders

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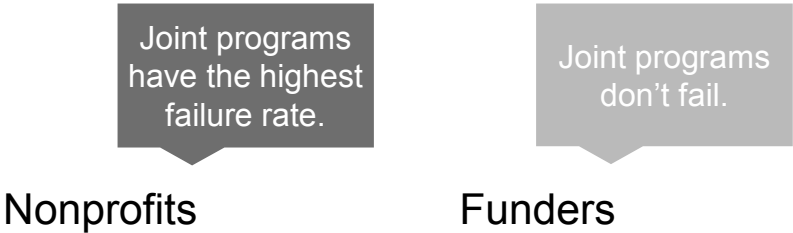
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Issue #3: Good intentions



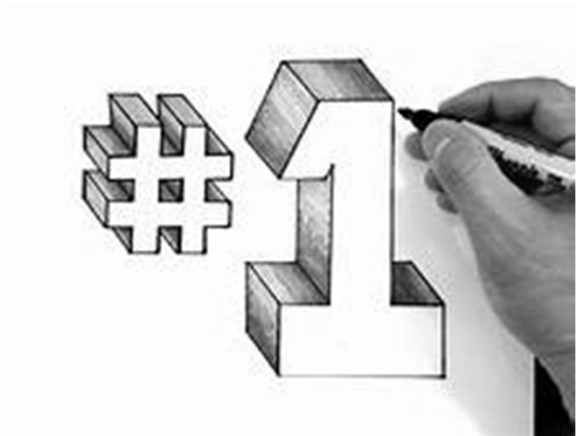
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5 Takeaways
for High Impact
Nonprofit
Organizations




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Together

They **work with and through** other organizations to **create more impact** than they can achieve in isolation.



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Potential

There are many important ways that nonprofit organizations can leverage the potential to collaborate, but one powerful strategy that is **too often overlooked** is to form a long-term, durable partnership through a strategic alliance or restructuring.





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Discovery

Strategic partnerships can **open new worlds** of opportunity for serving your mission.

They can **broaden** your reach, **expand** the range of your programs or services, and help you **find more efficient ways** to support your organization's work.



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Opportunity

Boards and organizations have a powerful opportunity to **think big** about strategic partnerships.

Organizations' core purposes can be served well when we find **creative ways** to collaborate and partner.

Strategic alliances and restructuring can play an **important role** in making that happen.



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Power

There is power in the possibility of **working together**.

There is power in the possibility of **aligning** complementary strengths and resources.

And there is power in the possibility of **going beyond organizational boundaries** to do together what we may not be able to do alone.

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Strategy Screen

UWGSL Funding Application Scoring Rubric

SWOT Analysis

Theory of Change

UWGSL Community Needs Assessment Products


UWGSL Core Competency Self Assessment


Collaborating for Equity & Justice Toolkit

Resources

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THANK
YOU!

Allie Chang Ray
Principal
Mutare Network, LLC

acray@mutarenetwork.com

call/txt: (314) 604-3825

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