

THE ONTARIO
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Building Capacity, Granting for Impact

Research Report

Building
healthy and
vibrant
communities

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The Ontario Trillium Foundation, an agency of the Ministry of Culture, receives annually \$100 million of government funding generated through Ontario's charity casino initiative.

The Ontario Trillium Foundation

About Us

The Ontario Trillium Foundation (OTF) is an agency of the Ministry of Culture. We are one of Canada's leading grantmaking foundations.

Our funding is generated through Ontario's charity casino initiative. Our time-limited grants to charitable and not-for-profit organizations fund capital, operating and specific project costs in support of four sectors – arts and culture, environment, human and social services and sports and recreation.

Our grants have a wide and lasting impact in communities across Ontario. They provide critical support for organizations to build on their strengths, improve their capacity, develop new ideas and move forward.

We have two granting programs: Community and Province-Wide. More than 300 local volunteers work in 16 regional Grant Review Teams to review and recommend projects for funding under the Community Program. A committee of the Foundation's Board of Directors reviews and recommends Province-Wide Program grants.

The Foundation's volunteer Board of Directors reviews and provides final approval for grants in both programs.

Our Vision

The Ontario Trillium Foundation is a catalyst that enables Ontarians to work together to enhance the quality of life in their communities. We believe that communities across Ontario are rich in talent, creativity and drive and our grants stimulate communities to build on these assets.

Our Mission

Building healthy and vibrant communities throughout Ontario by strengthening the capacity of the voluntary sector, through investments in community-based initiatives.

Who We Are

The Ontario Trillium Foundation, an agency of the Ministry of Culture, receives annually \$100 million of government funding generated through Ontario's charity casino initiative.

Our Priorities

The Foundation will support the building of healthy and vibrant communities through community-based initiatives that strengthen the capacity of organizations in the arts and culture, environment, human and social services, and sports and recreation sectors. In particular, the Foundation will place priority on supporting organizations that work in the following areas to help Ontarians achieve their potential:

- Enhanced success for students and learners
- Healthier and more physically active Ontarians
- Enhanced employment and economic potential for workers and their families
- More effective volunteers and more people engaged in their communities

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Why We Studied Capacity Building

The mission of the Ontario Trillium Foundation (OTF) is to build healthy and vibrant communities throughout Ontario by strengthening the capacity of the voluntary sector, through investments in community-based initiatives.

OTF, as an agency of the Ministry of Culture, receives \$100 million annually of government funding, generated through Ontario's charity casino initiative. As one of Canada's leading grantmaking foundations,

OTF is in a position to act as a catalyst to enable Ontarians to work together to enhance the quality of life in their communities. It believes that communities across Ontario are rich in talent, creativity and drive and its grants stimulate communities to build on these assets.

OTF supports the building of healthy and vibrant communities through community-based initiatives that strengthen the capacity of organizations in the arts and culture, environment, human and social services and sports and recreation sectors. OTF funding principles include a commitment to support the work and enhance the long-term capacity of organizations in the voluntary and community sectors.

“Growing numbers of grantmakers believe that investing in organizational capacity-building helps leverage the impact of their philanthropic resources.”

– Paul Connolly and Peter York¹

The purpose of this research initiative was to focus on the implications of organizational capacity building as a distinct focal point within OTF as a means of strengthening the voluntary sector in Ontario.

Capacity building has received growing attention over the past 20 years, concomitant with the profound shift in the voluntary and community sectors' level of responsibility for accountability, public expectations and available resources.^{2/3} As a result, not-for-profit organizations are finding it much more challenging to sustain themselves, thus hindering their ability to do work that has impact.

OTF decided to address this growing concern by supporting a project that could develop a framework it could use to address organizational capacity building in the field and also inform and support OTF's Board, senior management and staff, as well as prospective grantees and the voluntary and community sector in Ontario.

¹ Connolly, P. and P. York (2002). 'Evaluating Capacity-Building Efforts for Non-Profit Organizations.' OD Practitioner Vol. 34, No. 2, pp. 33-39.

² Centre for Research and Education in Human Services & Social Planning Council of Cambridge and North Humphries (2004). Building Sustainable Non-Profits: The Waterloo Region Experience. Waterloo: Centre for Research and Education in Human Services.

³ Eakin, L. (2001). An Overview of the Funding of Canada's Voluntary Sector. Ottawa: Voluntary Sector Initiative Working Group on Financing.

How We Studied Capacity Building

Research Project Objectives

The researchers set themselves the goal of learning what OTF was doing to help or hinder organizational capacity building from a field perspective. OTF's extensive grantmaking experience, combined with its reporting, monitoring and support systems, provided a means to identify and learn from grantees. The researchers also reviewed the broad body of published research and project reports to identify leading practices in organizational capacity building.

Over the three-month research period, it was the researchers' intent to:

- Identify impacts of OTF grantmaking approaches on the ability of grantees to achieve their intended results;
- Identify the characteristics of grantees that may increase the likelihood of achieving intended grant results;
- Profile any positive findings and concrete lessons for OTF's granting and evaluation practices.

The following questions guided their research:

- How do we define organizational capacity building?
- What key elements or characteristics successfully allow organizations to build capacity?
- How do OTF grantmaking practices influence organizational capacity building?
- What has been the impact of OTF grantmaking on building organizational capacity over the last six years?
- What lessons and best practices can OTF identify that could inform its granting and evaluation practices?

Methodology

The researchers reviewed published capacity building literature and conducted open interviews with 28 OTF grantees and five key researchers and consultants in the field. They also conducted follow-up in-depth interviews with six of the 28 grantee organizations in order to reflect a range of:

- Capacity building grants;
- Geographical areas;
- Grant sizes;
- Organization sizes;
- Rural and urban settings;
- English-speaking and Francophone grant recipients;
- Both Province-Wide and Community grants.

They then analyzed interview data to determine the perceived impact of OTF grants on building organizational capacity and analyzed the interview data and research literature to assess OTF's grantmaking practices.

Once they had created a Capacity Building Framework, they developed 10 case profiles and applied them to the Framework (Appendix A).

Literature Highlights

What Is Capacity Building?

Most researchers agree that capacity building is about activities or actions put in place to support and strengthen core capacities within an organization.

Paul Connolly⁴ states that capacities that require strengthening include:

- Solid governance and leadership through a well-designed board that oversees policies, programs and organizational operations and that reviews financial and organizational strategic goals;
- A well thought out mission, vision and values that provide a clear understanding of the organization's role in the community;
- Program development and implementation that ensures results-oriented planning;
- Accountability through responsive programs that demonstrate tangible outcomes and impact appropriate to the resources invested and through efficient management systems and structures;
- Determined strategic relationships developed with constituents, staff, volunteers, funders and program partners;
- A diversified revenue and resource base;
- Efficient and effective internal operations and strong management support systems.

OTF Support for Capacity Building

Between April 1, 1999 and March 31, 2005, OTF approved more than 9,100 grants, valued at more than \$572 million. Approximately one-quarter of these grants supported initiatives that build organizational capacity in the four sectors OTF supports – arts and culture, environment, human and social services and sports and recreation.

A number of specific definitions for capacity building emerged that suitably align with the purposes of this project:

- Paul Connolly suggests that capacity building is “an abstract term that describes a wide range of capabilities, knowledge and resources, that non-profits need in order to be effective.”⁵
- Barbara Blumenthal defines capacity building as the actions that improve not-for-profit effectiveness and suggests that grantmakers need to get involved by developing specific capacity building programs.⁶
- The Canadian Women's Foundation defines capacity building as an activity that enhances the ability of an organization to link current vision to goals, goals to plans, plans to results, and actions to results.⁷

A few foundations developed definitions that also included strategic thinking, organizational culture and collaborations/relationships as core components that need to be nurtured and developed.

No matter what definition the researchers found in the literature, they clearly share the view that all components of capacity building tend to be interrelated.

⁴ Connolly, Paul and Carol Lucas. Strengthening Non-Profit Performance: A Funder's Guide to Capacity Building. Saint Paul: Amherst H. Wilder Foundation, pp. 17-18.

⁵ Ibid, pg. 15.

⁶ Blumenthal, B. (2004). Investing in Capacity Building: A Guide to High-Impact Approaches. New York: The Foundation Centre, pg. 5.

⁷ Canadian Women's Foundation website: <http://www.cdnwomen.org>

Success Factors For Organizational Capacity Building

Evaluation of Capacity Building – Lessons from the Field, a report by the Alliance for Non-Profit Management,⁸ profiles the following key success factors for effective capacity building:

Timely: *It happens in the balanced space between actions which are taken too slowly or too quickly.*

Peer-Connected: *There are opportunities for peer-to-peer networking, mentoring and information sharing.*

Assessment-Based: *It entails a thorough assessment of the needs and assets of the organization and its community.*

Contextualized: *It occurs in the larger context of other strengthening services a not-for-profit is receiving from the funder(s) and community.*

Customized: *Its evaluation is customized to respond to the project's critical questions – both qualitative and quantitative.*

Comprehensive: *There is some degree of “one-stop shopping” – assessment services, technical assistance and financial and other services.*

Readiness-Based: *The not-for-profit “client” is ready to receive this specialized kind of service (i.e., not in a crisis).⁹*

Competence-Based: *The capacity building services are offered by well-trained providers (both foundation staff and expert service providers) and requested by knowledgeable, sophisticated customers (not-for-profit managers and board members).*

⁸ Linnell, D. (2003). *Evaluation of Capacity Building – Lessons from the Field*. Washington: Alliance for Non-Profit Management.

⁹ One may cause more harm than good by funding an organization just because it fits one's capacity building program goals and criteria. If an organization is struggling to meet current financial objectives, for instance, a fund development plan may not make this organization more effective or resilient to future challenges unless it also addresses underlying issues. In addition to financial needs, the organization may have an ineffective board of directors, few volunteers, staff burnout and/or inefficient programs.

Our Findings

General Approaches to Capacity Building

The researchers found two approaches toward building organizational capacity:

- A community development approach that sees capacity building as a process and works with grantees to reflect on their practices for self-learning within a broader context; and
- A focussed approach that provides technical support to improve structures within organizations.

These approaches look at building organizational capacity as both a means and/or as an end. Capacity building can be seen as a philosophy which influences how individuals, organizations or communities think about everything they do. Its nature is dynamic, with no beginning or end. This approach is guided by values that emphasize building upon the existing strengths/capacities of individuals, organizations and communities.

Organizational Capacity Building Does Not Just Happen

It is deliberate, comprehensive and takes time and commitment from the top.¹⁰ It allows organizations to meet their internal structural needs and also strengthens relationships that make organizations more responsive to changing outside environmental and societal needs and realities.

“We need to provide an enabling environment (funding practices, technical assistance, policies) that encourages capacity building among individual organizations.”

– Mark Cabaj, Tamarack Institute, a member of OTF's Capacity Building Resource Committee

Funders Need To Take the Whole Organizational Context into Account

They need to carefully consider how they provide supports, their relationship with grantees, the culture of grantee organizations and the strengths grantees already possess.

A Strategic Plan Is Not Enough

Organizational effectiveness is about performance and results, as well as having secure funding and a good set of management practices.¹¹ In other words, a strategic plan is a good beginning, but it is not enough. Organizations must also understand how the planning process leads to specific outcomes, better programs, expanded programs, or a more stable organization.¹² In fact, adaptability is one trademark of an organization capable of being effective.

The research emphasizes the importance of different dimensions to supporting organizational sustainability such as leadership and the ability to reflect, mobilize resources and build solid relationships. While each of these dimensions is helpful to performance, an emphasis on any one dimension can lead to “ineffective patterns.”

¹⁰ Doherty, Susan and Steven E. Mayer (2003). Results of an Inquiry into Capacity Building Programs for Non-Profit Organizations. Minneapolis, MN: Effective Communities Project.

¹¹ Dr. Barbara Blumenthal, a well-known researcher in organizational management and advisor to a number of foundations on the design and implementation of organizational capacity building programs, reached this conclusion.

¹² Blumenthal, B. (2004). Investing in Capacity Building: A Guide to High-Impact Approaches. The Foundation Centre. Retrieved on 30/03/05 from <http://fdncenter.org/learn/bookshelf/blumenthal/text.html>

What is required is "...to recognize the need to develop a more fluid capacity that responds to current landscape and economic realities. Sustainability then becomes about fluidity and responsiveness and the capacities that support financial vibrancy: the ability to transition from one sustainable moment to the next."

– Marilyn Struthers, OTF Program Manager¹³

According to the OTF-funded *Building Sustainable Non-Profits in Waterloo Region*,¹⁴ sustainability as an outcome is rooted in a financial model that requires organizations to be more strategic, efficient and focused on outcomes. Alternatively, sustainability as a process is rooted in an ecological perspective. As the concept translates to this organizational development approach, the broader aspects with which organizations interact become key. These include the social, economic and environmental aspects of the community.¹⁵

Organizational Growth Is Only One Success Factor

Although grantees that were interviewed often apparently measured success based on program demand and growth, the research clearly indicates that organizations place too little attention on how they will manage internally to support increased program demand.

Attracting more resources and providing additional programs and services may be an indicator of success and valuable to a not-for-profit's effectiveness. But finding resources is often easier than addressing the need for real change in the organization. All too often additional resources or programs result in unhealthy growth that impedes program quality and leaves organizations financially unstable.

Funders should therefore examine each organization with the goal of achieving a good alignment and fit between and among different parts of the organization and its environment. OTF needs to raise awareness of all the implications when an organization receives funding and the impact of that funding on the organization.

OTF funded an organization to establish a community relations office. This office would provide technical assistance vouchers to rural women involved in small businesses and ensure long-term sustainability through partnerships with businesses, individuals and foundations. This program was much needed and therefore grew extremely quickly. But it was predominantly reliant on project funding, and the group may have had ambitious and unrealistic programmatic and fundraising goals. The individuals interviewed realized in hindsight that it would have been better to refocus and build more slowly upon what they did well instead of spreading themselves too thin.

¹³ Marilyn Struthers, an OTF colleague, in her research on financial sustainability within the voluntary sector.

¹⁴ Available at <http://www.crehs.on.ca/downloads/sustainability%20manual.pdf>

¹⁵ Centre for Education and Research and Social Planning Council for Cambridge and North Dumfries (2004). [Building Sustainable Non-Profits: The Waterloo Region Experience.](#)

Organizational Culture Plays An Important Role

The importance of organizational culture is consistent in all research on organizations. Organizational culture refers to commonly held values, beliefs, attitudes and approaches that shape the behaviour of the organization. Organizational culture is central in determining organizational outcomes and performances. It is often overlooked by managers as an explanation for high staff performance.¹⁶ There is a strong consensus among researchers that continuous learning, open discussions, problem solving, focus on the future and willingness to make tough decisions are all effective practices within a successful culture.

Furthermore, success in structural change, whether at the board, management or program level, may depend on the development of new cultural paradigms, new ways of working. The reverse is also true: any structural change can greatly impact the culture of the organization, whether that structural change is internal or external, whether it comes from program growth, loss of funding, increase in staff, or increases in other resources.

“Culture runs like an invisible thread throughout the entire subject of capacity building.”
– Venture Philanthropy Partners, 2001¹⁷

Capacity Building Takes Time

It can easily take three to five years for major structural change to transform and adapt the culture of an organization. This may mean that supporting structural change to improve organizational effectiveness will not be successful if the culture of the organization is thrown out of balance.

A Culture of Continuous Improvement

As a result of three-year OTF funding for a community development staff person, one social service organization exceeded developmental goals, leveraged funding to expand staff positions and secured a three-year service contract. The organization attributes its success to the way it responds to opportunities and challenges. It has established “action values” that promote a culture of continuous improvement, self-reflection, skill development, continuous learning and service excellence by always “looking one step ahead.” It has also self-directed a merger with another organization because it recognized that this would make the most effective service delivery model.

A Culture of Adaptability

Grantees very strong in building capacity also tended to identify other more intangible elements, such as continuous learning, value-based leadership, ongoing self-reflection and assessment. Several described their actions as strategic, passionate and responsive to the community at large. They mentioned that organizational culture was impacted each time new funding was made available.

A chairperson of a social service agency stated that “capacity building affects the whole community. Organizations have to be resilient and sustainable and then the whole community will benefit.” The organizational culture needs to be constantly adaptable and flexible in order to support change. OTF is in an ideal position to take a longer-term view when deciding to support structural change so that support is available for the required (and likely unavoidable) cultural changes.

¹⁶ Clemmer, J. (2003). The Leader's Digest: Timeless Principles for Team and Organization Success. Toronto: TCG Press, pg. 34.

¹⁷ McKinsey & Company (2001). Effective Capacity Building in Nonprofit Organizations. Reston, VA: Venture Philanthropy Partners, pg. 63.

Leadership Breeds Leadership

Researchers emphasize the importance of leadership at the senior level of organizations and also encourage a “philosophy of leadership” to handle change throughout the organization.

Organizations can succeed in capacity building efforts only through effective leadership at the senior staff or management level and at the board of directors’ level. Organizational leaders need to commit to internal and external improvements to support any growth or change. To put this another way, not-for-profit organizations must cultivate visionary leaders who can build upon and improve current successes.¹⁸

Organizations considered strong in grantee interviews identified leadership development throughout the organization as key to their success. Broad-based leadership was part of the culture of these organizations and grantees were quite emphatic that it was key to building the capacity of the organization to survive the changing realities in which they work. As one arts organization grantee stated, “leadership breeds leadership.”

Funders can cultivate leadership when they clarify their own vision, ask grantees about their vision, invest in ideas, think beyond programmatic boxes in funding and show flexibility in grantmaking for grantees.

– Ted Halstead, *Grantmakers for Effective Organizations*, Conference 2002.¹⁹

External Accountabilities Are A Major Issue

Organizations need to be adaptable, flexible and able to respond to change and growth. At the same time, funders also expect them to be accountable through responsive programs that demonstrate tangible outcomes and impacts appropriate to the resources invested, and through efficient management systems.

Although organizational development grants are hard to evaluate, it is clear that foundations and grantees that work in partnership and share flexibility and accountability create deeper relationships and are more effective over the long term.

Both the literature scan and grantee interviews confirmed that in this current economic environment, organizations are experiencing pressure to improve management practices and address the issues of accountability, effectiveness and transparency. They are also experiencing the current call for funding policy to reflect a common vision and to balance accountability between funders, voluntary sector organizations and citizen recipients.²⁰ As Susan Doherty and Stephen Meyer put it, the current funding environment's impact on organizations is “a renewed pressure to act like a business, to be more accountable, effective and achieve results.”²¹

¹⁸ Light, P.C. (2002). Pathways to Non-Profit Excellence. Washington: Brookings Institution Press.

¹⁹ Grantmakers for Effective Organizations (2002). Capacity-Building for Impact: The Future of Effectiveness for Non-Profits and Foundations. Report on the 2002 National GEO Conference. Washington, D.C. http://www.geofunders.org/_uploads/documents/live/conference%20report.pdf. Pg. 14.

²⁰ Eakin, L. (2001), An Overview of the Funding of Canada’s Voluntary Sector. Ottawa: Voluntary Sector Initiative Working Group on Financing.

²¹ Doherty, Susan and Steven E. Mayer (2003). Results of an Inquiry into Capacity Building Programs for Non-Profit Programs. Minneapolis, MN: Effective Communities Project, pg. 9.

According to several grantee interviews, OTF already works from a community development philosophy that establishes close relationships with grantees and thus is well positioned to look at accountability from a broad perspective. They provided the following tips on how OTF and other grantmakers can further its investment in the voluntary and community sector:

1. OTF can continue to listen to grantees and incorporate what they learn from these discussions into practice (reflective practice).
2. OTF can enable grantees to take risks. As one grantee advised, “you need to allow us to take risks and trust the process”.
3. OTF can look at softer, more intangible elements of capacity building and identify measurable results for accountability without impeding the process of building capacity.

Organizations Need Resilience To Know What Is Best

Much of the literature states that organizational readiness is critical to implementation of successful capacity building strategies. The research also states that organizations themselves know best what they need to build capacity.

Our experience suggests that this is an oversimplification. “A far greater challenge,” according to Blumenthal, “is to improve a not-for-profit’s internal practices...For grantmakers, the challenge is to entice grantees to undertake capacity building work, which is only successful if grantees are motivated.”²²

Although a community organization is aware of its own needs, it may not be reluctant to create changes that significantly impact its organizational culture. OTF can help to prepare organizations for building a stronger infrastructure by funding organizational reviews, feasibility studies or organizational skill assessments. These could be the first steps toward preparing organizations to undertake more comprehensive organizational development work.

²² Blumenthal, B. (2004) Investing in Capacity Building: A Guide to High-Impact Approaches. The Foundation Centre. Online at <http://fdncenter.org/learn/bookshelf/blumenthal/text.html>, pp. 6-7

An Organization That Wasn't Ready At First

A young art gallery requested four-year funding for staffing six months after its funding ran out. OTF staff met with the organization and realized that its programs were excellent and that it attracted and profiled incredible local talent. However, accountability structures were not in place, communication was poor, relationships within the community were strained and leadership was weak.

OTF gave the gallery two options. It could take its original submission forward (with a good possibility of being declined on the basis of OTF's research into its long-term viability). Or, it could adjust its grant request to provide for a shorter period of staffing support plus support for a consultant to undertake an organizational review. The review would provide the gallery with clear directives and suggestions for developing systems to strengthen its infrastructure. The gallery reluctantly chose the latter option, protesting that it already had policies and procedures in place, and that what it really needed was funding that would support staffing.

The resultant comprehensive review confirmed OTF's original assessment and included strong recommendations for improvement. The then current board of directors and senior staff did not see the benefit of this information and passed it off as too critical, harkening back to past programs the gallery offered the community.

Three months later, the organization again faced the need to close its doors unless it could secure full operational funding. In the face of this crisis, the founder, who had had a negative impact on board decisions, left the organization, as did board members and senior staff. New board members and volunteers carried on operations for over a year without funding.

The gallery was only able to implement the review recommendations 18 months after the original OTF funding. At time of writing, it had new volunteers, strengthened relationships with the municipality and the community, had raised significant funding resources and had a renewed energy.

Specific Grants Supporting Technical Improvements Are Important

They have an impact on an organization's staff and volunteer time, resulting in capacity building consequences. While a specific grant program may be necessary to build capacity, it may not be sufficient for an organization at all stages of its growth.

There Is a Need for Flexible and Organization-Specific Approaches

An overall message in the literature is that there are no universal solutions, no simple recipes and no magic formulas to strengthen organizations. Even though not-for-profit organizations sometimes demonstrate skills deficiencies or inexperience in aspects of management, structure or process, there is no such thing as a “best practice” one can impose to fit all situations – such as a standard management structure, an operational review or the development of standardized policies.

Studies frequently show that the impact of funding a particular pillar is contingent upon factors within a broader organizational context.

These factors might include the size of the organizational infrastructure, level of planning, program complexity, timing, current funding environment, community support for issues and more.

A “best practice” therefore needs to be individualized and customized to each organization, taking into consideration the organizational culture within a broader societal context and in that particular period of time.

“Our sense is that organizational development is somewhat shaggier, less systematic, and more situation-specific than the way we think about it in workshops and learning clusters...in reality and practice, it's not as neat as we present it; it's different from organization to organization.”

– VESEEHC Final Report ²³

Management Support Organizations (MSOs) Can Be Effective Capacity Builders

Within the community, infrastructure organizations, also known as management support organizations (MSOs), are a lead intermediary across organizations of diverse capacities but common goals. MSOs are not-for-profit organizations, often supported by a large number of funders, who assist other not-for-profit organizations in improving their effectiveness. Some provide a range of services, including promoting best practices, advising, coaching, training, and providing opportunities for networking and

A sports organization received an OTF grant for consultant to develop a three-year strategic plan that would provide the organization with some needed direction. However, the consultant soon realized that the board of directors and the organization's coaches were not getting along. Crisis management between the two groups was essential before any strategic planning process could be successfully implemented.

on-site consulting to organizations. Others play a representational role, both supporting and representing voluntary organizations and the development of the voluntary sector.²⁴

MSOs play a key role in developing and supporting organizational capacity building across a sector or sub-sector. Some foundations have suggested, however, that when MSOs take the approach of only focusing on technical needs of organizations, their support may be overwhelming. These foundations suggest there is a need to develop more flexible and client-centered approaches to building capacity as an alternative to MSOs. Volunteer-driven grantees at the local and the province-wide level confirmed that these concerns may be significant.

²³ Philbin, Ann and Sandra Mikush. *VESEEHC Final Report* quoted in *A Framework for Organizational Development: The Why, What and How of OD Work* by Mary Reynolds Babcock Foundation.

http://www.mrbf.org/resources/serve_resource.aspx?id=10&num=1

²⁴ Morgan, G.G. (2004). *Funding for Voluntary Sector Infrastructure: A Case Study Analysis*, an unpublished paper presented at the International Society for Third Sector Research Conference, Toronto.

Both grantees and other external advisors recommended process-oriented strategies such as peer support/mentoring groups and team learning opportunities to support organizations facing the kinds of issues now addressed by MSOs. Grantees are convinced that such strategies, undertaken with due respect for the context of local communities, would ensure more positive effects than imposing “best practice” approaches that ignore broader context and specific realities.

Furthermore, according to grantees and external advisors, OTF needs to explore its role in building system-wide community initiatives and the sector as a whole, in order to fully support and strengthen the voluntary sector in Ontario.

The researchers concluded that since capacity building issues are complex and take time to implement, and since resources are limited, funders continuously need to work collaboratively to support system-wide issues that affect communities. OTF’s support of broader networks increases opportunities to build capacities across all individuals, organizations and communities.

Community Context Is Important

Our research found that the changing conditions in a community are just as important to an organization's success as are its internal strengths.

The literature, however, is inconsistent on whether strengthening organizations directly builds the health and well-being of the broader community. The authors of *Community Visions, Community Solutions: Grantmaking for Comprehensive Impact*, for instance, take the unequivocal view that funders build community capacity by responding to a need which has arisen from the community (neighbourhood, citizens, etc.), rather than by supporting particular programs or the organizations which deliver those programs.²⁵ Other researchers support the view that there may be a need for a holistic approach to building and strengthening the voluntary sector.

It is imperative for OTF “to provide grantees with upfront time to evaluate specific training needs of the target community, to tailor even off-the-shelf training, so that learners work on real life issues in workshops.”

– Catherine Ludgate, IMPACS, a member of the Capacity Building Resource Committee

“...community capacity building could not happen without strong, viable and resilient organizations to support the community.”

– a key informant who works with community neighbourhoods

²⁵ Connor, Joseph A., Stephanie Kadel-Taras (2003). Community Visions, Community Solutions: Grantmaking for Comprehensive Impact. Wilder Publishing Center: Saint Paul, MN, pg. 20.

Conclusions

This capacity building research project should be a first step toward a more in-depth analysis of strengthening organizational capacity (and thus the capacity of the community) and incorporating lessons learned into OTF's grantmaking practices.

OTF is ideally-positioned to become a leader in capacity building for the voluntary sector because:

- OTF's renewed mission is to achieve its vision of building healthy and vibrant communities “by strengthening the capacity of the voluntary sector.”
- OTF has six years of granting experience and recently completed environmental scans.
- OTF already funds programs aligned with current provincial government priorities.
- OTF is positioned to make a substantial contribution to enhancing the sectors' capacities to provide informal care, offer voluntary support to formal systems and strengthen families and communities.
- OTF already has a grantmaking program that builds strong relationships and works closely with grantees to strengthen outcomes.
- OTF is a relational funder with a presence in communities, enabling it to share expertise and work in collaboration with grantees and its partners.
- OTF is a broad and generic funder – a powerful Ontario-based vehicle capable of investing in voluntary sector-wide organizational capacity building.

Comprehensive Approach

Building organizational capacity takes place where the individual, community and organization intersect. Together, the key elements needed to build capacity – such as structure, culture and community – support and promote organizational health. For example, for organizations to be resilient to change, they must establish a culture that promotes value-based leadership, strategic thinking, continuous learning and creativity as part of everyday behaviour. These softer elements will be adapted throughout the organization and affect all its internal and external actions. Organizations likewise remain relevant to their community when they establish strong relationships and understand and act within their community realities such as current economic climate, history, etc.

Capacity Building Framework

One must conceptualize and design a framework for organizational capacity building before one can design interventions to support it. The Internal Advisory Group therefore designed the following framework to help OTF researchers conceptualize what they meant by organizational capacity building. As we continue to test this framework for its accessibility and practicality, it remains a work in progress.

At the heart of this framework is the recognition that organizations exist within communities; as such they are inherently value-based and must nurture organizational cultures that support their organizations' missions. To be truly effective, organizations need to develop and strengthen their organizational structures, build adaptable cultures, understand realities within the context of their communities and strengthen relationships within their communities.

Our Major Finding: The Four Pillars of Capacity Building

Organizational capacity builds and is built by the following four interrelated pillars, as illustrated in Figure 1:

1. **Relevance:** aligning with and understanding community realities such as socio-economic mix, societal norms and values, diversity, history, physical environment, assets/capacities and issues/needs.
2. **Responsiveness:** developing and strengthening community relationships through ongoing consultation and collaboration to create a shared vision and promote inclusiveness.
3. **Effectiveness:** practising good board governance, management systems and evaluation; implementing well-planned programs and services, communication strategies, resource management and technology.
4. **Resilience:** nurturing an organizational culture that fosters leadership and creativity and embraces strategic thinking, financial vibrancy, continuous learning, asset/strength-based thinking and change management.

Figure 1: The Framework for Organizational Capacity Building –



This framework attempts to:

- Illustrate the role organizations play in developing their capacity and the capacity of the communities they serve;
- Identify the specific elements that underlie the four main organizational capacity building pillars;
- Broaden one's thinking of how organizations can function effectively.

For example, to become a resilient organization, one needs to build an organizational culture that supports the resilience pillar. Likewise, if an organization wants to strengthen its responsiveness pillar, it needs to build community relationships, etc.

Grantee interviews revealed that an organization often focuses on one or two elements within one of the pillars. Many organizations, for instance, measure success based on their program growth (responsiveness). However, if its effectiveness to support this growth is weak (i.e. organizational infrastructure components such as a strong board, leadership, communications and culture), then the organization faces challenges to sustain itself over the long term.

Likewise, an organization may be relevant and responsive to community needs, but lacks mechanisms within its structure and organizational culture to be resilient and effective.

A well-balanced organization requires all four pillars – relevance, responsiveness, effectiveness and resilience. As Figure 1 makes clear, the four pillars are interconnected and each pillar has several elements of which organizations need to be aware in order to build a healthy organization.

One should recognize that this framework seeks to reflect a picture of how an organization is functioning at a specific period of time. As internal and external circumstances change (such as an infusion of funds, a funding loss, change in staff, new board members, revised program), the pillars requiring an organization's attention will change as well.

The intent is not to address all pillars at one time, but rather to broaden an organization's awareness of these four pillars and elements within those pillars that are strong and ones that need strengthening at a certain period of time.

Figure 2: The Illustrative Model for Organizational Capacity Building

Organizational Capacity Building: **The Four Pillars**



Where We Go From Here

Definition of Organizational Capacity Building

Building capacity for not-for-profit organizations is a process that strengthens four interrelated pillars – relevance, responsiveness, effectiveness and resilience.

Building Capacity, Granting for Impact

In conclusion, OTF will use this definition as the basis for future discussion. We intend to employ our new understanding of capacity building to further explore how it applies to our grant making and to help inform our discussions with other funders in the community.

Appendix A – Case Studies

OTF staff selected these particular organizations to highlight some of the key themes reflected in this project's organizational capacity building model:

- **relevance** to community reality
- **responsiveness** to community relationships
- **effectiveness** as reflected in organizational structure
- **resilience** reflected in organizational culture.

Each of the following profiles is less of a project history than it is an outline of organizational architecture and how capacity building has come to reside at the core of these organizations:

- Hospice Association of Ontario
- Regent Park Community Health Centre – Pathways to Education Program™
- Réseau Ontario
- Midaynta Association of Somali Service Agencies
- Prince Edward Point Bird Observatory
- Niagara Mentoring and Leadership Initiative
- Youth Opportunities Unlimited (YOU) / Reuse It
- Jumblies Theatre and Clay & Paper Theatre
- eyeGO to the Arts
- Children's Water Education Council (CWEC)/ Just Add Water

Hospice Association of Ontario (HAO)

The vision, mission and values of the Hospice Association of Ontario lie at the heart of its decision making processes, just as they are positioned at the centre of OTF's organizational capacity building framework.

The Association's training programs for care providers were well received within its own hospice membership. However, HAO realized that it could only sustain itself as an organization if it could involve its members in expanding and adapting its training program throughout Ontario. HAO therefore decided to build its financial vibrancy by providing fee-for-service training programs. This would be a natural extension of HAO's well-founded reputation as experts in the area of helping people to die well.

HAO identified Long-Term Care (LTC) homes as care providers that address issues similar to those their hospices address with their clients. HAO therefore marketed its specialized end-of-life care training programs to LTC homes. Deliberately starting small and staying close to Toronto, HAO tested its capacity to reach out to this new market. Once it received positive results, HAO called on OTF to support a systematic and planned expansion to other regions of Ontario. It is in the process of doing so by involving its members as key program delivery agents (**resilience**).

This expansion strategy, supported by OTF, serves a number of purposes. The involvement of hospice members increases their local reputation, sustainability and profile in a shared vision (**responsiveness**). The strategy has also provided the means for entering into collaborative arrangements with multiple LTC sites and provide on-site training (**relevance**). These enhance the provision of quality end-of-life care to their residents.

OTF Program: Province-Wide grant
Purpose: Sustainability development
Category: Human and social services

HAO, centrally located in Toronto, is now Canada's largest volunteer hospice organization. HAO members have become the largest direct service providers within Ontario's voluntary health care sector.

Today, in more than 450 communities throughout Ontario, 13,300 volunteers dedicate 630,000 hours of service each year to HAO's member hospices.

These volunteers provide emotional, psychological and spiritual support to help people with terminal illnesses live at home or in a home-like setting as fully and as comfortably as possible. They also provide respite, emotional and bereavement support to family members.

Executive Director: Janet Napper
Board Chair: Bruce Peer
www.hospice.on.ca

In addition, throughout this expansion, HAO has paid fastidious attention to quality and continuous evaluation from multiple sources, including participants and trainers (**effectiveness**). This feedback has provided partnership development initiatives. It has also provided the means for HAO to explore new training programs and private as well as not-for-profit partnership opportunities, all within the context of its desire to honour its mission and build on its core competencies.

Regent Park Community Health Centre – Pathways to Education Program

When the diverse and long-time residents of Regent Park and the Regent Park Community Health Centre in Toronto met over a three-year period to create a vision for community succession, they were also planting the seeds for the award-winning and high-profile Pathways to Education Program™.

The vision that inspired Pathways was no less than to transform the life chances of a whole generation of young people and enable them to become the future leaders of their community.

Pathways' first funding partners – OTF and the Counselling Foundation of Canada – provided the means for this vision to become a reality. The organizers gave considerable thought to real differences that this initiative could make within the community, rather than focusing on initiatives trying to make other organizations (such as schools) change. In response to the findings of focus groups with youth, parents, agency staff and schools, they decided to focus on the Grade 8/9 transition period (which contributed to a 56% high school drop-out rate at the time) and support through high school.

Today, Pathways provides integrated academic, social, financial and advocacy support that helps young people in the program succeed in high school, post-secondary education and employment. These areas of support, plus the research that binds them, is rigorously monitored, regularly evaluated and communicated. Parents and youth have to sign an agreement in order to participate and both receive support. Pathways has also established key linkages with area high schools and boards of education as the students and their siblings progress through the system (**relevance** and **responsiveness**).

This initiative started with three staff and 120 students. The results were demonstrable and allowed for the development of feedback and evaluation mechanisms. Within four years, the infrastructure had grown to 25 full-time equivalent employees and 618 students.

OTF Program:	Province- Wide grant
Purpose:	Community succession
Category:	Human and social services

Multiple funders and donors of this Toronto-based initiative now support the annual operating budget of \$2.5 million. More than 350 volunteer tutors, mentors, program ambassadors and board members provide more than 21,000 hours a year of their time (resilience).

The development thrust of the Pathways to Education Program has always been focused on strategic relationship building and long-term informal partnerships with relevant organizations such as post-secondary institutions, school boards and youth employment centres (responsiveness).

The Pathways to Education Program has truly developed into a successful model of effective outcome-based programming by increasing community capacity and partnership.

Executive Director: Carolyn Acker

P2E Program Director: Norman Rowen

Board President: Diana Moeser

www.p2e.ca

By 2004, 99% of eligible Grade 9 students and parents were registered in the program and 60 volunteer group mentors and 150 volunteer tutors were recruited and trained (**effectiveness**).

Pathways students now significantly outperform their peers at most of the high schools they attend. Absenteeism has dropped by 60% and the proportion of youth with serious academic problems has been reduced by over 50%.

Réseau Ontario (RO)

From its inception in 1999, Ottawa-based Réseau Ontario has dedicated itself to providing full-service support for high quality Franco-Ontarian presentations. RO has fostered its inherent flexibility, risk tolerance, self-reflection and responsiveness. As a result, it has developed and successfully implemented an integrated strategy to nurture touring attractions across the Franco-Ontarian community.

RO is a dynamic network of presenters (at schools, theatres, festivals and cultural centres) with a deep-rooted commitment to quality and continuous improvement for presenters and professional artists alike (**resilience**).

The presenters and artists benefit from RO's extensive booking capacity and from participating in Contact Ontariois, a key annual showcase event. RO also provides presenters and artists with training and consultation in many areas. These include start-up processes, the development of new venues, distribution and promotion advice, fundraising strategies, strategic partnership development and an arts and the schools strategy which links RO productions and teachers' guides to the Ontario curriculum (**responsiveness**).

Its three-year OTF grant provided RO with the means to engage in comprehensive strategic planning and board development. OTF funding also enabled RO to implement a growth strategy by hiring a full-time marketing and promotions coordinator.

RO generates other revenue from membership fees and grants. Block booking allows it to enjoy economies of scale and reduced costs for producers and artists. While costs will be reduced once its current development phase is complete, ongoing sustainability for an intermediary organization is always a serious voluntary sector challenge.

OTF Program: Province-Wide grant

Purpose: Building administrative capacity

Category: Arts and culture

RO is now working at increasing the ethnic diversity of its member presenters so it can be more inclusive and appeal to an even wider range of Franco-Ontarians (relevance).

RO's success has attracted the attention of media and corporate supporters and all levels of government. It is also now recognized as a cultural resource for other presenter networks across Canada.

Executive Director: Chantal Lamoureux

Board President: Robert-Guy Despatie

www.reseauontario.ca

The greatest benefit to RO from its OTF funding has been its increased access to Franco-Ontarian students throughout Ontario. For example, before its OTF funding, RO presented 52 shows with eight to 10 artists. In 2002-2003, RO experienced a 260% increase in its number of performances. By 2004-2005, it was presenting 450 shows and workshops with 20 artists to audiences comprised of more than 60,000 people (**effectiveness**).

These results have also fostered the development of a school board network that is designed to strengthen the relationship between the arts and education.

Midaynta Association of Somali Service Agencies

In the early 1990s, tens of thousands of immigrants from Somalia came to Toronto as refugees after a devastating civil war. In response to this community's needs and differences, almost 50 Somali community support agencies evolved.

By 1995, the Midaynta Association of Somali Service Agencies had been created to address family reunification issues and provide a forum for service delivery agencies. As community needs emerged, so did inter-agency issues. Executive Director Ibrahim Absiye experienced this dynamic first-hand and developed a personal and larger, more inclusive vision for the organization and for the Somali community (**relevance**).

With OTF support, Midaynta launched an organizational development process that responded to the development of the Somali community in Toronto.

The transition to a community with a greater degree of unity under a shared community vision was not easy.

Initial successes reflected an increased level of trust between agencies and the active support of community elders. The organization successfully completed an inclusive consultation process with the existing board of directors, agency staff and community focus groups of youth, women and elders.

A full two-day consultative retreat in August of 2004 provided the space to acknowledge 10 years of challenges and 10 years of successes and to create a collective and positive vision for the future. Hearts and minds were united and the organization was set for the next stage of development – the transition to Midaynta Community Services.

OTF Program: Community grant
Purpose: Building agency capacity
Category: Human and social services

Midaynta Association of Somali Service Agencies Executive Director Ibrahim Absiye networks with similar agencies across the GTA and seeks out mentors in Toronto immigrant community service organizations.

He actively solicited advice from fellow participants in the York-Maytree Management Certificate Program as he progressed toward building board and administrative capacities and procedures (effectiveness).

Ibrahim believes in the importance of strong, flexible and transparent leadership and strength – all reflections of a deeply-held commitment to community (resilience).

Executive Director: Ibrahim Absiye
Board Chair: Abdulkadir Abow
www.midaynta.com

This entity is in the process of becoming a community-run and community-wide full-service agency, applying for charitable status, electing a community board and developing the means to address key community priorities such as inter-generational family issues (**responsiveness**).

What was behind the success of this process? Ibrahim Absiye suggests that many factors helped participants identify with and join their shared vision. The key ones were openness, honesty, inclusiveness, the willingness to create a common ground for all stakeholders, process transparency and a common language.

Prince Edward Point Bird Observatory (PEPtBO)

To say that the Prince Edward Point Bird Observatory tapped into an unappreciated and unexplored natural resource would be an understatement on at least four counts.

The first natural resource PEPtBO tapped into was the passion and dedication that a few volunteers contributed to create the only full-time bird observatory on the north shore of Lake Ontario. Initially PEPtBO was a pilot project, using borrowed equipment and facilities to conduct banding activities. But the energy of a wide base of infectious enthusiastic community supporters, trained volunteers and university students helped it expand. PEPtBO eventually established itself as an integral component of migration monitoring research in Canada, continuing to grow as rapidly as the number and types of species it catalogued. At the same time, its diverse board grew to reflect a wide range of technical, community and regional expertise (**relevance**).

The second natural resource was the link between bird monitoring and education. PEPtBO became part of the Canadian Migration Monitoring Network, achieved designation as a global IBA (Important Birding Area) and now provides five education programs linked to the Grade 2 to Grade 12 curriculum. More than 500 school children annually participate in banding; they pass on conservation messages to their parents and complement important research activities (**responsiveness**).

The third natural resource was the connection of birding to eco-tourism and local economic development. Banding takes place only in spring and fall. It is an activity that extends the normal tourist season and attracts avid birders from around the world. As a result, partnerships with local bed and breakfasts and inns have emerged. In addition, PEPtBO has been able to supplement and subsequently supplant OTF funds with membership fees and fundraising events. These include the spring Prince Edward County Birding Festival, Fall Dinner and Dance Bird Ball and the Baillie Bird-a-thon (**resilience**).

OTF Program:	Community grant
Purpose:	Capital investment and operating funds
Category:	Environment

PEPtBO is located along the eastern tip of Prince Edward County, about 20 minutes southeast of Picton. Its two-year OTF grant provided critical resources for a number of initiatives. The funding allowed PEPtBO to completely renovate an on-site cottage that provides facilities for national and international volunteers and equipment; engage the services of a licensed bird bander; and ensure access for school children who otherwise could not afford the necessary transportation costs. By-products of the project funding included the development of volunteer and educational programs and the opportunity to plan PEPtBO's development, growth and sustainability.

More than 50 volunteers contribute almost 6,500 hours of time annually to this seasonal and volunteer-driven charitable organization. It prides itself on operating within its means, building core partnerships and taking planned steps forward (effectiveness).

Project Coordinator: Brian Joyce

Board Chair: Eric Machell

www.peptbo.ca

The fourth natural resource was the ambient flora and fauna combined with millions of migratory birds. More than 300 bird species (the banding totals are 5,000 to 7,000 migrating birds and 98 species) pass through Prince Edward Point and the county annually, including one of the largest fall migration concentrations of Northern Saw-whet Owls in Canada. The project also educates visitors on the importance of the surrounding natural wildlife and ecosystems (deer, otters, coyotes, beavers, turtles and frogs) (**relevance**).

Niagara Mentoring and Leadership Initiative

Two-way partnerships had been the order of the day for Niagara-area United Ways and other regional service agencies for more than 50 years. Then a 2003 voluntary sector labour market study conducted by the Centre for Community Leadership at Niagara College changed the status quo. This labour market study profiled – for the first time – the challenges faced by voluntary sector organizations in the area.

The results were not dramatically different from other studies. But they provided a level of detail and important recommendations which put the issues facing voluntary sector organizations in the Niagara Region squarely at the doorstep of leading funders and sectoral service providers.

The United Ways of St. Catharines and District, South Niagara, and Greater Fort Erie, Information Niagara and the Centre for Community Leadership decided to take up the challenge – they would work together for the first time.

The power dynamic between funders (in this case the United Ways) and service providers who may be current or potential grantees can be a sensitive issue at the best of times. This commitment required them to address the challenges of arriving at a collaborative consensus among all five organizations (**relevance**).

Participants built conversations and commitments incrementally over several months, facilitated by OTF's Regional Program Manager. To the collective credit of everyone involved, they kept their attention firmly focused on the labour market study and the overarching needs of the voluntary sector (**responsiveness**).

OTF Program:	Community grant
Purpose:	Mentoring and leadership
Category:	Human and social services

Lessons learned:

- **Have the right people in the room.**
- **Determine individual and collective motivations for participating.**
- **Put the "elephant in the room" on the table and directly address underlying "deal-breaking" issues.**
- **Take time to build trust and rapport.**
- **Acknowledge and address organizational cultural issues.**
- **Keep community needs in view at all times.**

Executive Director: Rosanna Thoms

Board Chair: Karen Pearson

www.informationniagara.com

The result is the Niagara Mentoring and Leadership Initiative, a "one stop shop" which will focus on four areas of organizational capacity building support:

- In-house volunteer mentors
- Peer support groups
- Strategic planning
- Training

Youth Opportunities Unlimited (YOU) / Reuse It

One look at the YOU website and one knows one is entering an environment where a caring social enterprise is endeavouring to meet the long-term employment needs of at-risk youth. Its upbeat look and "can do" approach clearly energize youth and staff alike.

YOU has succeeded in its plan to move away from its former label as a traditional youth job placement service agency that had been serving young people in London and Middlesex since 1982. It has become a successful retail sales group that exposes local businesses to a wide range of entrepreneurial youth who subscribe to a shared social and environmental perspective.

In 1996, YOU created Reuse It – a business with a fee-for-service component that combined social conscience with the ability to make a living. It encourages businesses to hire youth for junk removal services, custom woodworking and recycling services. It was a great demonstration of how these disparate communities could work together. In this case, Reuse It created a customized blue box service for small businesses, as well as Muskoka chairs and garden furniture from telephone poles and baskets. Young adults, employers/businesses and homeowners with a shared focus on the environment also created Market Quality Preserves, which allows participants to split their time between the kitchen and a retail kiosk at the Covent Garden Market. Both Reuse It and Market Quality Preserves now conduct their retail sales under the YOU Made It banner.

YOU's products have shifted over time from simple to more complex, requiring sophisticated production and retail skills. It encourages its participants to concentrate on the process of doing things. This creates opportunities for them to connect with environmental issues and their own creativity. It also helps youth develop entrepreneurial and life skills and build their self-esteem and potential experience portfolios. Graduates of the program are now capable of managing a warehouse or a retail operation or coordinating 50-60 recycling contracts (**resilience**).

OTF Program: Community grant

Purpose: Organizational effectiveness

Category: Environment

Because of their close connection to youth, the 35 staff generated a new vision and values statement for subsequent board approval. Thus YOU's mission and values, rather than products and funding, were what drove priorities and opportunities (resilience).

YOU has recognized its production limits, weighing its training mission with the need to promote its social and environmental value-added benefits.

As a result, YOU's products and its mission are now intimately linked. All customers – from businesses contracting for recycling services to retail customers at the YOU kiosk in the Covent Garden Market in London – learn about YOU and its vision for the community (relevance).

Executive Director: Steve Cordes

Board President: Jim Graham

www.you.on.ca

Meanwhile, YOU re-examined its own focus and realized that training was its ultimate goal, not generating revenue. But with very few people at the management level, YOU had limited ability to plan and develop new initiatives and sources of revenue and meet or address youths' basic needs. It therefore re-structured its operations so it could focus on getting things done better rather than merely completing projects. Its key leaders are service stream managers (e.g. basic needs service manager, youth enterprise services manager, partnership development manager) who have had extensive prior experience with YOU. These individuals collaborate on ventures, allowing the Executive Director to play a more strategic community liaison role (**effectiveness**).

Jumblies Theatre and Clay & Paper Theatre

Compatibility between artistic directors is not unusual. It rarely extends to collaborating on administrative supports and extensive transitional mentoring. However, that is exactly what took place between art-in-the-heart-of-community companies Jumblies Theatre and Clay & Paper Theatre, both based in Toronto.

Clay & Paper, while well-established, needed support to make a transition to a higher profile and more complex scale of production. Jumblies Theatre was just getting started and needed to build its administrative infrastructure from scratch.

The grant from OTF provided the means to jointly acquire the services of an administrator to guide them through their respective administrative transitions.

Jumblies was able to recognize the importance of a sound administrative infrastructure. It established synergistic relationships between and amongst its financial systems, operational policies and procedures, functional job descriptions, governance and board development, fund acquisition and maturing artistic capacity (**effectiveness**).

At the same time, Jumblies' artistic director Ruth Howard realized the benefits of building growth and artistic integrity hand-in-hand rather than at the expense of one another (**resilience**).

Their administrative collaboration complemented a mutually supportive artistic mentoring process between the two artistic directors.

Clay & Paper Artistic Director David Anderson mentored Jumblies, providing a source of artistic creativity. On the administrative level, a foundation was established to solicit development and artistic grants from a number of foundations and work toward a vision of having a permanent space (**effectiveness**).

OTF Program: Community grant

Purpose: Organizational effectiveness

Category: Arts and culture

Clay & Paper Theatre has presented large-scale giant puppet productions in open community commons since 1969 and doesn't charge an admission fee.

Jumblies Theatre, established in 2001, creates grassroots community arts projects in urban settings.

Clay & Paper

Artistic Director: David Anderson

Board Chair: Sheila Goulet

www.clayandpapertheatre.org

Jumblies

Artistic Director: Ruth Howard

Board Chair: Lisa C. Freeman

www.jumbliestheatre.org

Both companies nurtured the participation of theatre students and established an intimate mentoring network called Raucous Caucus throughout their transition (**relevance**).

Jumblies Theatre and Clay & Paper Theatre are now established, recognized Toronto-based theatre companies.

These two Toronto-based companies also make significant contributions to the theatre scene-at-large by mentoring other companies and speaking out on the importance of support for the arts in Canadian society (**responsiveness**).

eyeGO to the Arts

eyeGO to the Arts has grown like a brush fire, alighting the energy of presenters and young people into enthusiasm for the performing arts throughout Ontario.

Before launching eyeGO to the Arts in 2000, the Centre in the Square in Kitchener Waterloo and the River Run Centre in Guelph spent almost 12 months, supported by the Ontario Arts Council, investigating the feasibility of establishing a vehicle to promote attendance to the performing arts by young people. They used focus groups, among other vehicles, to explore why young people weren't attending the performing arts and what one could do to make it possible for them to attend. They learned that the programs themselves didn't need to change, but the experience needed to be demystified. Traditional promotional vehicles were not reaching young people and financial considerations were a real barrier.

The result is eyeGO to the Arts, a \$5 ticket program dedicated to full-time students in Grades 9 through 12. It provides a limited number of best available seats to any performance in a given community – be it Stomp, Lily Tomlin, a symphony or an opera (**relevance**).

Through eyeGO to the Arts, going to a performance is as easy as going to a movie. Students can select a show in their community on the eyeGO to the Arts website, go to the box office, show proof they are a high school student and pay \$5 for an eyeGO to the Arts ticket. An outreach officer makes direct presentations to schools and an eyeGO Youth Council provides inspiration and a reality check. Word of mouth and a dynamic website also increase the popularity of the program (**responsiveness**).

Behind the scenes, OTF funding provided the "gift of time" to develop a three-year strategic plan and a comprehensive marketing strategy. The group opted against going the traditional route of hiring one multi-purpose administrative person (which would strain resources).

OTF Program: Community grant

Purpose: Organizational effectiveness

Category: Arts and culture

The very essence of eyeGO to the Arts is to reach out to young people and nurture future audiences. So media, corporate and community support has been an essential component of the group's success. Within less than a year, the group went from having two partnerships to having 33. The experience has literally changed lives, enabling young people to open their eyes to a world which they had otherwise perceived as closed to them (responsiveness).

Director of Development Cheryl Ewing finds her carefully calculated statistics redundant as she recounts the difference the program has made.

"Collecting the stories" is a key component of their development success.

The pressure from young people to expand the program across Canada came early in the launch of the program. eyeGO to the Arts chose to undergo a five-to-ten-year strategic planning process and put in place a national expansion committee. It is now poised to expand throughout the province (resilience).

Director of Development: Cheryl Ewing

Board Chair: Bill Chesney

www.eyego.org

Instead they hired Brava, a full-service special events and arts management company, which offered the services of three talented professionals.

This administrative component is likely to decrease as the group undertakes an anticipated expansion and puts appropriate systems in place (**effectiveness**).

Children’s Water Education Council (CWEC) / Just Add Water

Its “Just Add Water” strategy is the latest in a series of initiatives by the Waterloo Wellington-based Children’s Water Education Council (CWEC). This strategy also reflects its development as the premier voice in Ontario for water conservation, protection and education.

Children’s groundwater festivals had already taken place in a number of locations throughout Ontario. But they gained a significant foothold and following in Waterloo Wellington when 5,000 children participated in the Waterloo Wellington Children’s Groundwater Festival in 2000.

This experience prepared the Festival to make the transition into the province-wide CWEC in 2001. A regional Community grant from OTF that year provided the means for the Council to stabilize its operations and embark on a number of training, research and development initiatives, including strategic planning, board development, website development, a comprehensive “How to Host a Water Festival” handbook and a festival marketing strategy (**effectiveness**).

Learning through experience has been a key component of the Festival from the outset. It has taken great care to ensure that it provides activities tied to specific curriculum requirements. For children in the later grades, the program becomes more scientific than in the early grades. Older children can take a field course that offers drilling, installation and monitoring of wells (**relevance**).

The centerpiece of a second OTF Province-Wide grant is a “Just Add Water” concept that makes it easier for communities to organize a children’s water festival. Local organizers can choose to use up to 10 pre-designed and fabricated activity centres that come in a mobile trailer and can be circulated around regions to a number of festivals (**resilience**).

Since its inception in 2001, the Council has hosted or supported the hosting of 14 festivals. These festivals have brought together more than 3,500 volunteers who have educated 180,000 students from Grades 2 to 6 at local water festivals.

OTF Programs: Community and Province-Wide grants

Purpose: Building capacity

Category: Environment

The position of the CWEC as both a role model and mentor for other festivals has resulted in the important development of a network of festival organizers who meet in locations throughout Ontario to exchange experiences and ideas and address issues of quality control (resilience). These meetings also provide an opportunity for those who are interested in hosting a festival to learn more.

Plans are underway to continue expanding the number and locations of water festivals, including to Northern Ontario. This will empower even more children to become stewards of one of our most precious of natural resources.

In 2002, the Waterloo Wellington Children’s Groundwater Festival received the prestigious Outstanding Achievement Award for volunteerism in Ontario.

Program Coordinator: Susan Reid

Board Chair: Peter Grey

www.cwec.ca

Partnerships have also expanded CWEC. The Ontario Water Works Association and Conservation Ontario now participate, and organizers are hoping to foster other viable and compatible relationships that can lead to partnerships (**responsiveness**).

Appendix B – Annotated Bibliography

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This communiqué presents research conducted at Johns Hopkins University. It provides an impression of how U.S. nonprofit organizations have coped with changing economic times. Among other areas, it reports on primary drivers of cost increases, changes in activity levels and success of organizations in coping with fiscal stress. It also provides an extensive overview of organizations' current social and financial situations.

Alliance for Nonprofit Management. *Capacity Building for What? A Mosaic of Opportunity: Report on the 2003 Annual Conference*. Alliance for Nonprofit Management: Washington, D.C., 2003.

This report on the 2003 Houston conference emphasizes the need to develop a more focused sense of capacity building for nonprofit organizations. It cites the importance of creating stronger communities, active civil engagement and inclusive democracy sensitive to the needs and opportunities of all people. It includes case studies, perspectives and quotations of participants, presenters and leaders.

American Institutes for Research. *The BEST Assessment and Planning Guide: An Agency Guide for Building Effective Substance Abuse Treatment Organizations*. Charles and Helen Schwab Foundation.

This self-assessment and planning guide outlines diagnostic measures for evaluating an organization's strengths and weaknesses. Agency managers can select among eight areas of organizational functioning to determine how to use resources most effectively to improve their organization. These eight areas include purpose and goal attainment; governance and leadership; structure and communication; clinical care and quality improvement; staff development and human resources; business operations; infrastructure; and community context and connectedness.

Backer, Thomas E. and Miyoko Oshima. *The State of Nonprofit Capacity Building in Los Angeles*, 2004.

This report provides an overview of the current climate of the nonprofit sector, including services available and the challenges each service faces. It also provides an impression of how the Los Angeles nonprofit sector fits into a broader national context.

Beaulieu, Marielle. Développement organisationnel et formation Inc. *The Francophone Community Living in Ontario: Added Value*. Prepared for the Ontario Trillium Foundation, February 2004.

This document, a result of OTF's concern with serving the Francophone community more efficiently and effectively, presents extensive socio-demographic information about Ontario Francophone communities. It includes results from strategic planning conducted in 2001-2002 for the Comité de direction, interviews with leaders of organizations who have received OTF funding and recommendations for the future.

Berry, Mindy L. and Jessica Chao. *Engaging Diverse Communities For and Through Philanthropy.* Prepared for the Forum of Regional Associations of Grantmakers, 2001.

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Blumenthal, Barbara. *Investing in Capacity Building: A Guide to High-Impact Approaches.* The Foundation Centre. fdncenter.org/learn/bookshelf/blumenthal/text.html

This excerpt discusses the principles of capacity building for not-for-profit effectiveness. On the basis of her research on capacity building and interviews with capacity builders, Blumenthal presents outcomes such as the importance of internal consistency, the central role of culture and a clear view of the future.

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Canadian Conference of the Arts. *Organizational Development/Capacity-Building/Stabilization Programs for Not-for-Profit Arts and Museum Organizations.* www.ccarts.ca/en/advocacy/publications/toolkits/04_03_org.html

This details and provides contact information on various organizations across Canada that provide funding for capacity building projects in the arts and culture sector.

Canadian International Development Agency. *Capacity Development: Why, What and How.* Capacity Development, Vol. 1, No. 1, May 2000.

This paper introduces an Occasional Series of discussion papers on capacity development with an overview of capacity development for development practitioners. It outlines some of the reasons why the international development community has developed an interest in capacity development, attempts to explain what the term capacity development means and details some of the implications of embracing a capacity development approach for donors and developing countries.

Canadian International Development Agency. *The Emerging Program Focus: Striving for Greater Development Impact.* Capacity Development, Vol. 1, No. 2, May 2000.

This edition of the Occasional Series explores the growing focus within the international development community on programs. It elaborates on some of the differences between the traditional project modality (often seen as supply-driven and focused on short-term implementation issues) and the emerging program approach (which emphasizes local ownership, broad participation, promotion of synergies and long-term results).

Canales, Jim, et al. *Funder Collaboratives to Build Nonprofit and Community Capacity*. Council on Foundations 54th Annual Conference, April 2003.

This Microsoft PowerPoint presentation, provided by representatives from the James Irvine Foundation, The Conservation Company, Greater New Haven Community Foundation and the Amherst H. Wilder Foundation, provides an overview of what capacity building and funder collaboratives mean. It also profiles cases and provides an extensive bibliography of resources on funder collaboratives and capacity building.

Cannon, Lisa. *Keeping the Work of Social Entrepreneurs Alive: The Importance of Being Sustainable*. Ashoka – Innovators for the Public: Arlington, VA, 2001.

This article focuses on organizational sustainability and within that, financial sustainability. It explains the numerous benefits to achieving greater sustainability for social entrepreneurs and other civil society organizations.

Capers, Christopher, Michael Collins and Shahna Gooneratne. *Assessing Venture Philanthropy*, a comprehensive paper prepared for Professor James Austin's Harvard Business School course on "Entrepreneurship in the Social Sector." pages.prodigy.net/michael_collins/VP/VP.htm

This paper explores the relationship between foundations and the not-for-profit organizations they fund. Foundation involvement with not-for-profit organizations can be as limited as simply writing a cheque, or as extensive as providing technical assistance and advice on program management. Traditionally, foundations made grants to and primarily focused on the specific programs that they funded, encouraging innovation as not-for-profit organizations competed for funding. Whatever the level of involvement, foundations typically have not intervened in the daily operations of the not-for-profit organizations they funded, nor have they particularly concerned themselves with the organizational capacity of funded organizations.

CRA. *Consultation on Proposed Policy: Guidelines for Registered Charities on Related Business*. www.cra-arc.gc.ca/tax/charities/consultation_policy-e.html

This is a consultation document on the related business provisions for charities in the Income Tax Act.

Center for Effective Philanthropy. *Listening to Grantees: What Nonprofits Value in Their Foundation Funders*. Center for Effective Philanthropy: Cambridge, MA, 2004.

This work takes the position that 1) quality of interactions with foundation staff, 2) clarity of communication of a foundation's goals and strategy and 3) expertise and external orientation of the foundation illustrate three fundamental values of nonprofit organizations. It presents the implications of implementing these values and highlights factors less important to nonprofit organizations, such as the attributes and administrative requirements of the grant.

Centre for Research and Education in Human Services. *Building Sustainable Nonprofits: the Waterloo Region Experience*.

Though written by the Region of Waterloo, this manual provides all nonprofit organizations with useful strategies for increasing their capacity building abilities. It includes an overview of key concerns of nonprofit organizations including information on relationships and partnerships, planning and leadership, organizational culture and organizational relevance.

Clemmer, Jim. *The Leader's Digest: Timeless Principles for Team and Organization Success.* TCG Press: Toronto, ON, 2003.

Clemmer illustrates his principles of leadership with inspirational quotations and global anecdotes, each projected into a real-life setting. He addresses issues such as leading through change and recognizing one's own leadership responsibilities at all levels of organization, communication and partnership.

Community Wealth Ventures, Inc. *Venture Philanthropy: Landscape and Expectations.* The Morino Institute: Reston, VA, 2002.

The Morino Institute asked Community Wealth Ventures, Inc. to survey social venture fund efforts around the country to determine how the best practices of venture capital can be applied to funding not-for-profit organizations seeking to make positive social change. This report describes what was learned, the venture philanthropy landscape today and some of the opportunities and challenges of this alternative philanthropic approach.

Connolly, Paul. *Building to Last: A Grantmaker's Guide to Strengthening Nonprofit Organizations.* The Conservation Company. www.consco.com

This 12-page briefing paper explains why funders invest in capacity building and the range of methods they use to support nonprofit organizational effectiveness. It lays out a step-by-step process – from community and organizational needs assessment to strategy selection, implementation and evaluation – funders can use to strengthen the management and governance of nonprofit organizations.

Connolly, Paul and Carol Lukas. *Strengthening Nonprofit Performance: A Funder's Guide to Capacity Building.* Wilder Publishing Center: Saint Paul, MN, 2002.

Connolly and Lukas present a comprehensive guide for funders thinking about supporting nonprofit capacity building. It includes chapters entitled "Why Invest in Capacity Building," "What Capacity Building Is," and "How to Build the Capacity of Nonprofits." It explains how one can adjust these principles to apply to the needs of many kinds of funding organizations with various goals, sizes and means.

Connolly, Paul and Peter York. *Building the Capacity of Capacity Builders.* The Conservation Company: New York, NY, September 2003.

This book makes the point that nonprofit organizations want and need to improve their performance and impact. It makes clear that capacity building activities – such as strategic planning, board development and technology upgrades – help enhance nonprofit organizational effectiveness. However, it acknowledges that the specific nature of the demand for capacity building, the quality and value of capacity building services provided and the health of the groups that provide this assistance are less clear.

Connolly, Paul and Peter York, *Evaluating Capacity-Building Efforts for Nonprofit Organizations.* The Conservation Company, June 2002. www.consco.com

This paper explains how nonprofit organizations, consultants, funders and evaluators can evaluate capacity building activities.

Connolly, Paul and Peter York. *Learning As We Go: Making Evaluation Work For Everyone.* The Conservation Company: New York, NY, September 2003.

This briefing paper distills what the Conservation Company has learned about evaluative learning and provides information and tools to help take next steps so everyone can "learn as we go."

Connolly, Paul and Peter York. *Pulling Together: Strengthening the Nonprofit Sector Through Strategic Restructuring,* May 2002.

The Strategic Solutions Initiative – a continuum of partnerships including mergers, joint ventures, administrative consolidations and joint programs – was formed in 1998 to broaden the nonprofit sector's perception, understanding and use of strategic restructuring. This paper outlines its preliminary evaluation findings between 1998 and 2001.

Connor, Joseph A. and Stephanie Kadel-Taras. *Community Visions, Community Solutions: Grantmaking for Comprehensive Impact.* Wilder Publishing Center: Saint Paul, MN, 2003.

Written primarily for funders and based on five years of research, this book by Connor and Kadel-Taras examines methods for communities to solve problems. It provides strategies for funding communities and systems that allow funders to overcome feelings of frustration. Its final chapters are dedicated to sustaining community problem solving and laying the groundwork for change.

Conservation Company. *Tools, Techniques and Methods for Evaluating Capacity-Building Efforts,* June 2003.

This is an evaluation-oriented Microsoft PowerPoint presentation from the June 2003 Alliance for Nonprofit Management Conference. It defines logic models, explains how they can be used and provides examples of different logic models that help to plan out an evaluation of a capacity building project.

Consortium of Foundation Libraries. *Tools for the Trade: Core Resources for Grantmakers,* 2003.

This annotated bibliography includes books, articles, websites and other media resources that encompass a core list of materials in the area of philanthropy. Topics include collaboration, diversity, evaluation and organizational effectiveness, grantmaking, reference, law and finance, management and governance, communications and public relations and information management.

Culwell, Alexa Cortes, K.P. Enright, B.D, Kibbe. *Funding Effectiveness: Lessons in Building Nonprofit Capacity.* Jossey-Bass: San Francisco, CA, 2004.

This collection of essays from chief executive officers, executive directors, founders and presidents provides their views on increasing nonprofit capacity, improving organizational effectiveness, establishing expectations and supportive engagement to ensure results and creating a capacity for measurement of organizational effectiveness.

Cutler, Ira. *End Games: The Challenge of Sustainability.* The Annie E. Casey Foundation: Baltimore, MD, 2002.

Ira Cutler of the Cornerstone Consulting Group pulls together the thoughts and views of what he describes as "two dozen very smart people," for funders and communities.

David, Tom. *Becoming a Learning Organization*. Marguerite Casey Foundation, 2002.

David encourages leadership reflection by asking five relevant questions. These questions address 1) the meaningfulness of grantmaking priorities, 2) choice of organizations to fund, 3) effectiveness, 4) whether any learning has taken place and 5) whether strategic communication of learning is being expressed to key audiences. He emphasizes the importance of dedicating time for such reflection, as well as ensuring that board executives demonstrate strong support surrounding such reflection.

David, Tom. *Reflections on Sustainability*. California Wellness Foundation: Woodland Hills, CA, 2001.

The recent rapid growth of the philanthropic sector would seem to indicate that the answer to the sustainability dilemma should be clearer than ever. This book posits that that is not the case. It argues that the behavior of foundations – even when they're acting with the best of intentions – can actually exacerbate the struggles that nonprofit organizations face in sustaining their work. It also notes that not all foundation-funded projects deserve to be sustained.

Dees, J. Gregory. *Enterprising Nonprofits: What to do when traditional sources of funding fall short?* Harvard Business Review, January-February 1998, pp. 55-67.

Nonprofit leaders need to craft their strategies carefully to explore the new possibilities of commercialization and to avoid its perils. This article suggests a framework – the social enterprise spectrum – that can help them understand and assess the options they face.

De Vita, Carol J. and Cory Fleming, eds. *Building Nonprofit Capacity and Strengthening Nonprofits*. The Urban Institute: Washington, D.C., 2001.

This research report includes two papers that address key concerns of capacity building. *Building Nonprofit Capacity* provides a definition for capacity building, a term that has created problems for organizations during times of grant decision making due to its expanse and popularity. *Strengthening Nonprofits* provides an illustration of how capacity building affects the quality of life in nonprofit organizations' communities of service.

Doblin, Lynne. *Conversation on Capacity Building and High Expectations/High Support/High Performance*. Richard and Susan Smith Foundation: Chestnut Hill, MA, 2004.

This summary introduces the Richard and Susan Smith Foundation and provides background information for the presenting members at the “Building Capacity with High Expectations and High Support: the Experience of the 2003 Capacity Building Grantees” conference. It reflects on the conference and discusses the key areas of concern raised by presenters.

Doherty, Susan and Steven E. Mayer. *Results of an Inquiry Into Capacity Building Programs for Nonprofit Programs*. Effective Communities Project: Minneapolis, MN, 2003.

In an attempt to demystify the concept of organizational capacity building, this paper provides principles that can allow foundations and nonprofit organizations to improve their effectiveness.

Eakin, Lynn. *Myths, Money and Service Provision: An Overview of the Funding of Canada's Voluntary Sector.* Prepared for the Voluntary Sector Initiative, September 2001.

This review brings together the field experience of voluntary sector organizations with the literature on nonprofit funding. It uses this combined perspective to provide an overview of today's situation and help determine the most productive and urgent priorities for future action.

Eakin, Lynn. *Supporting Organizational Infrastructure in the Voluntary Sector.* Prepared for the Voluntary Sector Initiative, May 2002.

This paper points out that existing funding practices are facing challenges to support organizational infrastructure. Funding the voluntary sector to deliver programs or services has typically followed a common formula and practice that has evolved over time. But research or best practice literature has not supported funding formulae and funding practices, and some current funding practices are counterproductive.

Etchard, Nicole and Lee Davis. *Prophets for Non-Profits?* Alliance. Allavida: London, UK, June 2002.

www.philanthropyuk.org/documents/TheProspectsforVenturePhilanthropyintheDevelopingWorld.doc

This article suggests that venture philanthropy is a means – a particular approach to philanthropy – rather than an end in itself. It is a new angle on philanthropy that is engaging a new type of philanthropist and bringing new resources to the nonprofit sector.

Foote, Joseph. *Leadership in Challenging Times.* Council on Foundations 55th Annual Conference, 2004.

This discussion paper presents key issues and ideas important to the advancement of successful grantmaking. It focuses on grantmakers and the specific challenges facing them during changing political times and provides motivating solutions for the future.

The Foundation Centre. *Capacity Building for Nonprofit Organizations: A Resource List.* www.fdncenter.org/learn/topical/capacity.html

More and more, foundations are providing grants to help nonprofit organizations carry out their missions more effectively. A wealth of literature has emerged as experts examine the impact of capacity building programs. This resource list contains citations to selected works from the Foundation Centre's bibliographic database, Literature of the Nonprofit Sector (LNPS) Online. LNPS Online is designed for grantmakers and nonprofit organizations interested in learning more about capacity building. For complete bibliographies on related topics, one can search the site using "technical assistance" in the subject heading or "capacity building" in the keyword field.

The Foundation Centre. *Moving the Field Forward: Toward Greater Accountability and Effectiveness in Philanthropy,* 2004.

This strategic plan focuses on the Foundation Centre's new directions. It discusses in detail four strategic priorities – 1) increased philanthropic knowledge, 2) more effective serving of communities, 3) greater co-operation among grantmakers and grantseekers and 4) heightened awareness of critical issues to the philanthropic sector to improve public discourse.

Gabriel, Yiannis. *Organizations in Depth: The Psychoanalysis of Organizations.* Sage: London, UK, 1999.

This chapter explores the role psychoanalysis can play in deepening understanding of the interaction of culture and the individual. Drawing from research conducted within Japanese organizations, Gabriel recognizes the significance of the cultural dimensions of organizations. Gabriel also explores the notion of organizational socialization and how rites of passage evident in socialization rituals are evident and significant to the success of an organization.

Garethson, Jane. *Status Report on the Establishment of the Toronto Centre for Community Leadership.* Toronto Centre for Community Leadership: Toronto, ON, 2004.

Garethson presents a proposal for future needs in Toronto's nonprofit sector. She emphasizes the importance of increased knowledge about capacity building in order to effectively incorporate its principles in creating a more efficient nonprofit culture. Garethson also discusses the importance of developing management support organizations, citing the successful incorporation of such organizations throughout Canada and the United States.

Grantmakers for Effective Organizations. *Capacity-Building for Impact: The Future of Effectiveness for Nonprofits and Foundations.* Report on the 2002 National Conference.

This report includes a series of articles based on the proceedings of the 2002 National Conference of Grantmakers for Effective Organizations (GEO), the largest gathering to date of funders seeking to build a stronger, more capable nonprofit sector.

Grantmakers for Effective Organizations. *Connecting: 2002 Annual Report.*

This annual report uses GEO's fifth anniversary as an opportunity for reflection. It presents an image of how GEO has increased its capacities for support. This year, it focused on technology and how it can be used to create connections and share knowledge.

Greene, Stephen G. *Getting the Basics Right: Grantmakers Seek Effective Ways to Improve Charities' Operations.* Chronicle on Philanthropy, May 2001.
www.eisenhowerfoundation.org/frames/media/GettingtheBasicsRight_Chronicle_May3-2001.html

According to this source, a growing number of foundations are trying to become better at improving the effectiveness of nonprofit organizations. Most foundations still prefer to underwrite a charity's services or programs. But many grantmakers have been trying to ensure that the nonprofit organizations running those services or programs become more stable and successful. By providing capacity building grants, foundations seek to strengthen their grantees' management and governance in prosaic but critical ways. These can include developing the skills of board and staff members, tightening financial management, drafting strategic plans or upgrading communications technology.

Horsnell, Andy and John Pepin. *How Your Nonprofit Can Enhance Capacity, Impact and Sustainability,* Front & Centre. Canadian Centre for Philanthropy: Toronto, ON, Vol. 9, No. 4, July 2002.

The author aims to help the reader make an informed decision about if and how one should explore social entrepreneurship as a strategy to enhance one's organizational capacity, mission impact and financial sustainability.

Institute for Conservation Leadership. *Benchmarking Your Organization's Development*. Institute for Conservation Leadership: Takoma Park, MD.

This workbook designed for organizations with "...a small to mid-sized staff and a volunteer board" encourages leaders to take stock of self-management effectiveness. It outlines areas which may require strengthening, such as budgeting and accounting, vision and planning and public communications and alliances. It also includes self-directed questionnaires and journaling. Organizations that complete the workbook can gain a better understanding of how to make their groups more effective and efficient.

Jacobs, Bruce. *Echoes from the Field: Proven Capacity-Building Principles for Nonprofits*. Prepared by Innovation Network Inc. for The Environmental Support Centre.

Jacobs summarizes a study conducted on behalf of the Environmental Support Centre. This study was the beginning of a search for what really works in providers' capacity building services at the grassroots level. He explains the nine principles developed during the course of this research, discusses the key skills providers need in order to implement these principles most effectively and concludes with important issues and questions for the future. www.innonet.org or www.envsc.org

James, Louis. *Venture Philanthropy: Breakthrough for Change or Misguided Ideology?* Foundation Watch. Capital Research Centre: Washington, D.C., July 2001.

This book is about a new type of philanthropy, Venture Philanthropy (VP). VP is an outgrowth of the unprecedented wealth creation of the New Economy, wherein venture capital practices are applied to philanthropy by investing strategically in social entrepreneurs. VP claims to spur nonprofit enterprises to become more effective by producing improved social returns.

Klein, Colin, Laura and Paul Connolly. *Getting In Shape: Fitness Tips for Established Nonprofits*. Nonprofit World, Vol. 18, No. 1, 2000.

Colin Klein and the Connollys tackle the issues of declining organizations and provide insight into avoiding their negative experiences. It cites characteristics of successful mature nonprofit organizations such as a vital mission, high-quality programming and clear communication. The authors also provide a checklist of warning signs of decline and a list of symptoms and treatments of stagnation and decline available to organizational leaders.

LaFrance, Steven et al. *Funder Networks in Action: Understanding Their Potential for Philanthropy*. Prepared for Grantmakers in Effective Organizations (GEO), 2004.

This GEO research is about effectively connecting grantmakers through networks of funders. It sums up chief results from a survey and case study interviews with diverse funder networks, and incorporates GEO's goals of establishing a set of tools for grantmakers.

LaFrance, Steven and Rick Green. *Theory of Change*. Prepared for Grantmakers for Effective Organizations (GEO), October 2003.

This paper outlines GEO's views on evaluating the performance of philanthropy and the nonprofit sector, and provides insight into increasing and maintaining grantmaker effectiveness. It describes GEO's "Three Spheres of Influence" – GEO members, all grantmaking organizations and philanthropy as a system, and explains how they contribute to philanthropic success.

LaPiana, David. *Beyond Collaboration: Strategic Restructuring of Nonprofit Organizations*. James Irvine Foundation: San Francisco, CA, 1998.

This study was commissioned to develop an approach through which foundations might assist nonprofit organizations in strategic restructuring.

La Piana, David. *Real Collaboration: A Guide for Grantmakers*, January 2001.

This guide addresses the benefits of Real Collaboration. It identifies challenges facing grantmakers involved in funding collaborative initiatives, assists grantmakers in evaluating the state of a collaborative relationship and helps grantmakers gain the emotional empowerment to improve or dissolve unhealthy collaborations.

La Piana Associates Inc. *Strategy Formation: Beyond Strategic Planning*.

This briefing paper outlines strategy across many platforms. It begins with La Piana Associates' experience with strategic planning and moves on to discuss the limitations of strategic planning, differing experiences in the business and nonprofit sectors, and alternative approaches.

La Piana Associates Inc. *Tool for Assessing Startup Organizations: A Due Diligence Supplement for Grantmakers*. Prepared for Grantmakers for Effective Organizations, June 2003.

Written primarily for funders, this report is intended to allow program officers to more accurately assess and examine a nonprofit's strengths and weaknesses. It identifies what defines a startup nonprofit and how to get results more successfully. It also provides a matrix to assist funders in deciding whether this report is appropriate for their purposes.

Letts, Christine W., William Ryan and Allen Grossman. *Virtuous Capital: What Foundations Can Learn from Venture Capitalists*. Harvard Business Review, March-April 1997, pp. 36-44.

This article aims to provide a better understanding of which venture capital practices the nonprofit sector could put to use. Insights from foundation leaders, nonprofit groups and venture capital firms help clarify what foundations can learn from venture capitalists.

Lister, Dianne. *The Changing Environment for Fundraising and the Voluntary Sector: Building Human Resources and Financial Capacity*. Keynote address at the Second Annual National Forum of the Public Policy & Third Sector Initiative, 2001.

This address has two goals: to illustrate philanthropy through example rather than theory and to offer a definition of the relatively new profession of fundraising. It provides specific recommendations on how to "cross the divides" by developing and expanding programs that invest in human capital. It points out that developing and investing in professional fundraising leaders will, by definition, improve the financial capacity of the sector.

Marguerite Casey Foundation. *Organizational Capacity Assessment Tool*. Marguerite Casey Foundation.

This self-assessment tool was created to provide nonprofit organizations with an organized communication platform that could help them increase their efficiency and effectiveness. It is a tool that rates leadership capacity, adaptive capacity, management capacity and operational capacity.

Martinez, Dr. Cathy. *Building Tools for Nonprofit Sustainability and Innovative Giving: Cluster Evaluation Plan.* CentrePoint Institute, September 6, 2003.

This report provides information on the evaluation tools used by the W.K. Kellogg Foundation. It details the Foundation's framework for evaluation and tools for cluster logic models, lists evaluation questions and explains the evaluation instrument, methods and timelines involved in the Cluster Evaluation Plan.

Mary Reynolds Babcock Foundation. *What is Organizational Development: Core Components.*

The Babcock Foundation provides an explanation and diagram of 12 "core components" of effective organizations to illustrate how they interact with each other and the broader community. This report also provides case study illustrations of these components at work, showing how they have contributed to making organizations more effective.

Massarsky, Cynthia W. and Samantha L. Beinhacker. *Enterprising Nonprofits: Revenue Generation in the Nonprofit Sector.* Yale School of Management – The Goldman Sachs Foundation Partnership on Nonprofit Ventures: New Haven, CT, 2002.

This paper summarizes what has been learned from survey data and interviews with experts in the field in order to provide a first blush perspective on trends in the field of nonprofit enterprise. Its intent is to help readers begin to identify lessons learned and to set the stage of future efforts to support nonprofit organizations' business activities.

Massarsky, Cynthia W. and Samantha L. Beinhacker. "Nonprofit Enterprise: Right for You?," *The NonProfit Quarterly*, Fall 2002, pp. 50-55.

The latest conferences, workshops and publications in the nonprofit world, says this article, are abuzz with a new vocabulary. They are touting the merits of concepts such as social entrepreneurship, nonprofit enterprise and entrepreneurial profits. What does this mean for the typical nonprofit organization trying to do its important work?

Miller, Clara. *Hidden In Plain Sight: Understanding Nonprofit Capital Structure.* *The Nonprofit Quarterly*, Spring 2003.

Miller describes four principles for understanding capital structure in detail: 1) capital structure must be recognized in order for a nonprofit to succeed, 2) it always has an impact on capacity, mission and program, 3) it is linked directly to a nonprofit's underlying business and 4) healthy capital structures are difficult to sustain in nonprofit organizations.

McGill-McConnell Masters of Management Program for the Voluntary Sector. *Voluntary Sector Moves the World Towards Sustainability*, July 2002.
www.cvsrd.org/eng/discussion_papers/TIPS.doc

Every voluntary sector organization in Canada contributes to social, economic or environmental sustainability. Yet the basic underpinnings of our country seem to be in growing crisis. Our air and water are literally killing people, many people struggle to get adequate health care or other kinds of support services and the gap between rich and poor is growing. In this paper, six students of the McGill-McConnell Masters of Management Program for the Voluntary Sector think through how to turn this sobering situation around. They realize that there is a huge difference within their own sector in understanding the concept of sustainability and how it relates to their work.

McKinsey & Company. *Effective Capacity Building in Non-Profit Organizations*. Venture Philanthropy Partners (VPP): Washington, D.C., 2001. www.venturephilanthropypartners.org

McKinsey & Company prepared this study at the request of VPP to bring some common language to the discussion of capacity building and offer insights and examples of how nonprofit organizations have pursued building up their organizational muscle. It contributes to the growing national conversation about how to help nonprofit organizations become stronger, more sustainable and better able to serve their communities. Nonprofit organizations can use the practical assessment tool McKinsey developed for this report to measure their own organizational capacity.

Misiewicz, Kaycee. *Building Core Competency*. Responsive Philanthropy, Fall 2003.

The National Committee for Responsive Philanthropy decided to publish this paper when discussing the outcomes of its June 2003 meeting of nonprofit leaders. It tackles how the difference between long-term versus short-term returns affects foundation funding and stresses the importance of shifting foundation focus to long-term gains in order to provide a holistic approach to nonprofit effectiveness.

Mittenthal, Richard A. *Ten Keys to Successful Strategic Planning: For Nonprofit and Foundation Leaders*. The Conservation Company. www.consco.com

This briefing paper on strategic planning discusses general components of a strategic plan and the value of developing one. It includes a selected bibliography of resources and publications that focus on strategic planning.

Morgan, Diane. *Volunteering – Its Place in Community Capacity Building*. Prepared for the Museums Australia Queensland State Conference, September 2001. www.maq.org.au/programs/conf01/proceedings/dimorgan_print.html

This paper is an overview of the role of volunteers in the nonprofit sector. It provides the CEO of Museums Australia Queensland's perspective on the relationship between volunteerism and aspects of nonprofit capacity building.

Morgan, Peter. *Capacity and Capacity Development – Some Strategies*. Prepared for the Political and Social Policies Divisions, CIDA, October 1998.

This note sets out some of the main strategies or approaches to capacity development that project designers and participants use, implicitly or explicitly, in trying to achieve capacity.

Myerson, Debra E. *If Emotions Were Honoured: A Cultural Analysis*. In *Emotion In Organizations*, Stephen Fineman ed. Sage: London, UK, 2000.

Myerson uses a 14-month ethnographic study to demonstrate the low importance attributed to emotions in social occupations. The research focuses on social workers who experience burnout, working in an environment where emotions are not honoured and suppression of emotions is expected. She concludes that those working in emotionally stressful occupations would be treated differently if emotions were truly honoured, and calls for broader distribution of emotional labour throughout communities.

Nares, Peter, Jennifer Harold and Janet Murray. *A Conceptual Framework and Toolkit for Assessing the Long and Short Term Impact of Ontario Trillium Foundation Funded CED Activities.* OTF Occasional Series of Reports, April 1998.

OTF commissioned this report to learn more about the field of community economic development and the effectiveness of its grantmaking in this specific cluster of projects.

Newman, Audrey. *Built to Change: Catalytic Capacity-Building in Nonprofit Organizations.* The David and Lucile Packard Foundation and The Nature Conservancy: Los Altos, CA, 2001.

This report summarizes results from interviews, discussions and literature searches about what makes for highly effective capacity building and about how to start chain reactions for change. It summarizes guidance from the field, identifies four elements of catalytic capacity building and talks about how to scale these activities.

Orosz, Joel J., Cynthia C. Phillips and Lisa Wyatt Knowlton. *Agile Philanthropy: Understanding Foundation Effectiveness.* Prepared for the Dorothy A. Johnson Center for Philanthropy and Nonprofit Leadership, August 2002.

This study on Foundation Effectiveness (FE) sets out a conceptual framework of how FE is at its most successful and discusses how to use FE for optimal results.

Osten, Marc, Jillaine Smith and Rob Stuart. *From Obstacles to Opportunities: Six Interlocking Elements of Strategic Technology Grantmaking.* Prepared for the Summit Collaborative, March 2003.

With the growing presence of technology in our society, the role of technology-related grantmaking is growing. This study discusses the different types of technology-related grantmaking available, how to use each type of funding, how to increase grantmaking strategies and how to facilitate sharing ideas between funders. It also addresses the challenges facing funders in the face of the increasing importance of technology and how to overcome these challenges.

Pepin, John. *Venture Capitalists and Entrepreneurs Become Venture Philanthropists.* www.charityvillage.com/cv/research/rph19.html

This article demonstrates how charities, venture capitalists and entrepreneurs may work together in strategic alliances. It explores and provides examples of venture philanthropy from the perspective of venture capitalists and entrepreneurs, and shows charities how to prepare themselves to take advantage of these entrepreneurial opportunities. Although the emphasis in this article is on venture philanthropy, a charity can use the processes outlined to take advantage of opportunities within the broader social entrepreneurial context.

Porth, Pat, ed. *When is a Business Not a Business? Maybe, When a Charity Runs It.* Canadian Fund Raiser Vol. 12, No. 15, August 15, 2002.

This is a journal article about recent consultations conducted by CRA on the way it applies the rules governing charities that carry on business activities.

Pratt, Jon. *The Dynamics of Funding: Considering Reliability and Autonomy*, The NonProfit Quarterly, Fall 2002, pp. 56-61.

The problems created by low reliability and limited autonomy of funding are an obvious and all-encompassing fact of life for nonprofit organizations, but the solutions are not. This article presents a framework for assessing an organization's sources of support based on the reliability and flexibility of decision-making available to the organization. It presents a "Reliability-Autonomy Matrix" that can help staff and board members understand the complexity of their organizations' revenue streams and their effect on every aspect of the organization's planning and management.

Quadra Planning Consultants Ltd. *Pacific Northwest Capacity Builders: Short-term Training Evaluation Final Report*. Quadra Planning Consultants: Vancouver, BC, 2001.

This report presents the outcome of follow-up evaluations of short-term training sessions conducted by the Pacific Northwest Capacity Builders. It concludes that the short-term training was successful, on the basis of case studies, interviews and reviews of training materials: training participants are now positively applying the knowledge and skills they acquired in their own organizations.

Reis, Tom and Stephanie Clohesy. *Unleashing New Resources and Entrepreneurship for the Common Good: A Scan, Synthesis and Scenario for Action*. W.K. Kellogg Foundation: Battle Creek, MI, 1999.

This paper describes how philanthropy, social change organizations and leaders are integrating market concepts into their work, value sets and organizational structures. It makes the case that a critical mass of organizations and leaders are engaging in these opportunities, resulting in a perceptible demand for new learning environments and related services, actions and solutions and spaces for convening.

Roberts, Linda. *Caught in the Middle: What Small, Non-Profit Organizations Need to Survive and Flourish*. Voluntary Sector Initiative (VSI), 2001.

VSI commissioned this discussion paper to learn more about small nonprofit community-based organizations, because there is very little information on these organizations even though they constitute the vast majority of the nonprofit sector. Its findings on the successes and struggles of small organizations and the supports they require to do their work effectively became the basis of further VSI research on the needs and hopes of small organizations, including rural organizations.

Ryan, William P. *Nonprofit Capital: A Review of Problems and Strategies*. Rockefeller Foundation: New York, NY, 2001. www.rockfound.org/Documents/453/npcapital.pdf

This paper was commissioned by the Fannie Mae and Rockefeller Foundations to review current practices and thinking on how to meet nonprofit organizations' needs for financial capital. Both foundations, joined by the Surdna Foundation, wanted a map of this vast, sometimes technically complex landscape, to aid in their own analysis and strategy development.

Scott, Katherine. *Funding Matters: The Impact of Canada's New Funding Regime on Nonprofit and Voluntary Organizations*. Canadian Council on Social Development: Ottawa, ON, 2003.

This study discusses changes in funding practices in the Canadian economy and social development sector. These changes fundamentally impacted financial capacity and ultimately determine the longevity of nonprofit and volunteer organizations.

Sievers, Bruce. *If Pigs Had Wings: It's Sexy to Compare Grantmaking to Venture Capitalism. It's Also Dead Wrong.* Foundation News & Commentary, November-December 1997.

Nonprofit management scholar Bruce Sievers criticizes the premise of the controversial 1997 Harvard Business Journal piece that sparked interest in venture philanthropy (see Letts, Ryan and Grossman above).

Skloot, Edward. *The Promise of Venture Philanthropy.* Surdna Foundation, Inc.: New York, NY. Keynote address at the Sixth Annual Nonprofit Executive Series: Building the Entrepreneurial Nonprofit: Town Hall, Seattle, WA, 2000. www.surdna.org/venture.html

What the nonprofit sector needs most are capital, technology and a culture of sharing knowledge. Capital and technology have always been scarce. The voluntary sector has always been impoverished. The slowness of institutional philanthropy in doling out its money has been part of the reason. Now the mega-wealthy can provide the money and the technological capability to help answer some of our most pressing social questions – and nudge older forms of philanthropy too.

Struthers, Marilyn. *Resourcing/Funding “Best Practices” in the Nonprofit Sector in Ontario,* November 2002.

This report draws on 10 case studies to identify successful practices of nonprofit organizations. Among these are the importance of creating a harmonious relationship between and among the way revenues and resources are generated, who is on the board and their position and the work that resources are to support.

Teram, Eli and Uri Igra. *Crazy Versus Epoxy Gluing: Control and Trust in the Merger of Human Service Organizations.*

This paper concerns itself with the results of organizational mergers and specifically on how mergers affect organizational control and trust. It argues that attempts to tighten organizational control early in the merging process can impede trust. It refers to Turning Point Youth Services to illustrate its position.

Theisen, Marissa et al. *Arizona Nonprofit Capacity Building Initiative Final Report,* March 2003. www.asu.edu/copp/nonprofit/asst/asst_ini.htm#capacity

This scan was conducted in Arizona to understand the capacity building needs of nonprofit organizations, the quality and availability of services to address those needs and, in an appendix at the end, a review of best practices.

Torjman, Sherri and Eric Levitan-Reid. *Comprehensive Community Initiatives.* Caledon Institute of Social Policy: Ottawa, ON, 2003.

A comprehensive approach to community initiatives is key to emphasizing the role of neighbourhoods in creating improved outcomes for individuals and families. This introductory guide to Comprehensive Community Initiatives (CCIs) provides broad descriptions of CCI features.

Venture Philanthropy Partners. *The Seven Elements of Nonprofit Capacity.*

This paper provides the McKinsey Capacity Assessment Grid, which defines seven elements of nonprofit capacity – aspirations, strategies, organizational skills, human resources, systems and infrastructure, organizational structure and culture. The grid allows organizations to self-assess their strengths in each of these seven elements and provides insight into how to improve each area.

Venture Philanthropy Partners. *Venture Philanthropy 2002: Advancing Nonprofit Performance Through High-Engagement Grantmaking.* Venture Philanthropy Partners: Washington, D.C., 2002.

Prepared for Venture Philanthropy Partners (VPP) by Community Wealth Ventures, this report is a useful resource for those working in venture philanthropy and other forms of high-engagement grantmaking and those interested in learning more about the field. It emphasizes valuable lessons learned and features a series of essays from funders, recipients and leaders in the field. A complete version of the report is at www.venturephilanthropypartners.org

Woodwell, William H. *Capacity Building for What?: A Mosaic of Opportunity.* Report on the 2003 Annual Conference prepared for Alliance for Nonprofit Management. www.allianceonline.org

Capacity building for what? One would think that nonprofit capacity builders could answer this question on the spot. But changing times – precarious times – demand that everyone working to strengthen the capacity of nonprofit organizations develop a more focused sense of why we do what we do. This report on this Houston-based conference looks into the mission-rich work of capacity builders. It includes a wide range of perspectives, case studies, quotes and other information from some of the 150 presenters and facilitators who contributed to the conference.

York, Peter. *Learning as We Go: Making Evaluation Work for Everyone.* The Conservation Company, 2003.

This 12-page briefing paper discusses the importance of effective evaluation. It emphasizes facilitating continuous learning, with suggestions and key elements for implementing evaluative learning models for nonprofit organizations and funders.

Zimmerman, Brenda and Raymond Dart. *Charities Doing Commercial Ventures: Societal and Organizational Implications.* Ontario Trillium Foundation and Canadian Policy Research Networks Inc., April 1998.

This paper examines the societal and organizational implications of charities that undertake commercial ventures in Canada. The specific objectives of this research were to identify emergent patterns in the commercial activities of Canadian charities; potential sectoral and societal implications of these emergent patterns; consequences to individual charities of increasing levels of commercial activity; and research questions or issues for further study.

Appendix C – Acknowledgements

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