MONITOR INSTITUTE

STUDYING RESILIENCY

SELECT BIBLIOGRAPHY

Preface

The S. D. Bechtel, Jr. Foundation defines resiliency as the capacity of an organization to respond effectively to change, to adapt successfully to new and unforeseen conditions and circumstances – and to seize opportunity.

Because the Foundation is investing all assets by 2020, it has special interest in the ongoing sustainability of grantees. We know that resiliency matters to grantee success. In 2013, Foundation program officers began working in partnership with grantees to examine and discuss seven factors that can contribute to organizational resiliency. These factors are now available for broad use via a free, downloadable ***Resiliency Guide***. Version 2.0 of the *Guide* is being released with this bibliography in March 2016.

In advancing this work, the Foundation commissioned Monitor Institute to conduct a comprehensive literature review. In 2015, the Monitor team developed a rich bibliography of publications relevant to resiliency, including specific sources related to each of the resiliency factors used in the *Guide*. We are pleased to share the results of their search with you here.

BARBARA KIBBE

Director, Organizational Effectiveness
S. D. Bechtel, Jr. Foundation
March 2016

General Organization Building

- **Strengthening Nonprofit Capacity**, by Grantmakers for Effective Organizations. 2015.

  Summary: GEO defines capacity as "a wide range of capabilities, knowledge and resources that nonprofits need in order to be effective." Capacity building in turn is defined as "funding and technical assistance to help nonprofits increase specific capacities to deliver stronger programs, take risks, build connections, innovate and iterate." Capacity building needs to be individually tailored to suit the needs of grantees. The article lists three principles for effective capacity building: 1) make it contextual; 2) make it continuous; and 3) make it collective. It also discusses five of the most common ways grantmakers support capacity building, as well as how to assess the impact of capacity-building efforts.

  Note: **What Are Three Principles for Building Nonprofit Capacity?** is a related, abbreviated piece that just describes the three principles.

Resiliency Factors

CULTURE OF LEARNING

- **The Challenge of Organizational Learning**, by Katie Smith Milway and Amy Saxton. *Stanford Social Innovation Review.* Summer 2011.

  Summary: Organizational learning is "the intentional practice of collecting information, reflecting on it, and sharing the findings, to improve the performance of an organization." The authors surveyed nonprofits about how they learn and found three common barriers to knowledge sharing across nonprofits and their networks: a lack of clear and measurable goals about using knowledge to improve performance, insufficient incentives to participate in organizational learning activities, and uncertainty about the most effective processes for capturing and sharing learning. They discuss how to overcome these barriers and define four elements of learning: supportive leaders, a culture of continuous improvement, intuitive knowledge processes, and a defined learning structure.

- **Is Yours a Learning Organization?**, by David A. Garvin, Amy C. Edmondson, and Francesca Gino. *Harvard Business Review.* March 2008.

  Summary: The authors suggest that learning cultures help organizations respond to unpredictable circumstances, and they detail the three building blocks of a learning culture: a supportive environment, concrete learning processes, and leadership that reinforces learning. They also provide a diagnostic tool, the Learning Organization Survey, to determine how well a team, department, or organization is performing for each building block and to pinpoint opportunities for improvement.

- **Building a Strategic Learning and Evaluation System for Your Organization**, by Hallie Preskill and Katelyn Mack. FSG. 2013.

  Summary: This report focuses on evaluation as a tool for strategic learning and provides a framework for linking evaluation to strategic and organizational-level decision making. The authors' strategic approach to evaluation involves a clear vision for evaluation, a culture of learning, a compelling strategy, coordinated evaluation and learning activities, and a supportive environment. These elements work together to ensure that learning and evaluation activities reflect and help answer the most pressing questions in an organization.

- **Collective Genius**, by Linda Hill, Greg Brandeau, Emily Truelove, and Kant Lineback. *Harvard Business Review.* June 2014.

  Summary: The authors explore how leaders can create more innovative organizations. If a question calls for an original response, a leader can't know in advance how to solve it. The primary question thus becomes: "How do I set the stage for innovation to happen?" The role of the leader is to create a community that is willing and able to innovate. In order to facilitate a willingness to innovate, leaders must create communities that share a sense of purpose, values, and rules of engagement. And to build the ability to innovate, organizations must develop three capabilities: creative abrasion, creative agility, and creative resolution.

- **Social Innovation and Resilience: How One Enhances the Other**, by Frances Westley. *Stanford Social Innovation Review.* Summer 2013.

  Summary: The author discusses how social innovations can build resilient social-ecological systems. Part of building resilience in complex systems is strengthening cultures of innovation, which value diversity, encourage engagement across disparate elements, and allow for experimentation rather than blame. Such cultures support social innovation, and social innovation in turn builds resilience.

TALENT & LEADERSHIP

- **The Energy Project**, by Tony Schwartz et al.

  Summary: The Energy Project provides learning and resources on how to meet employees' four core needs: physical health, emotional happiness, mental focus, and spiritual purpose. While there is a book, **The Way We're Working Isn't Working**, additional resources are available on The Energy Project website and elsewhere, including:

  - **The Human Era @ Work**: A report discussing The Quality of Life @ Work study of 20,000 employees, conducted jointly with *Harvard Business Review*, which details the four core needs.
  - **The Way We're Working Isn't Working**: TEDx presentation by Tony Schwartz on how the reality of renewing our personal energy is just as important as expending it.
  - **Tips for Energy Management** that focus on what individual employees can do.
  - **Why You Hate Work**, by Tony Schwartz and Christine Porath. *New York Times Sunday Review.* May 30, 2014.

- **How Management Teams Can Have a Good Fight**, by Kathleen M. Eisenhardt, Jean L. Kahwajy, and L.J. Bourgeois III. *Harvard Business Review.* 1997.

  Summary: A key management challenge is to keep constructive conflict over issues from degenerating into dysfunctional interpersonal conflict, to encourage managers to argue without destroying their ability to work as a team. This article details six effective tactics for managing interpersonal conflict: work with more, rather than less, information and debate on the basis of facts; develop multiple alternatives to enrich the level of debate; share commonly agreed-upon goals; inject humor into the decision process; maintain a balanced power structure; and resolve issues without forcing consensus.

- **Board Stories Involving Humans**, by Ruth McCambridge. *Nonprofit Quarterly.* Summer 2007.

  Summary: The success of a board comes not from a particular structure, but instead from the "mix of personal and group chemistry and the skills of board members to interact with constituents and each other, keeping and maintaining the work of the organization intact and a singular priority." The author suggests that board recruitment recommendations often treat people interchangeably, rather than creating the "visceral connection of lived common cause." But motivated people can get around even flawed board structures. She focuses on the importance of deep knowledge of constituents, mutability of board roles and processes, and not becoming imprisoned by board culture.

- **The Discipline of Teams**, by Jon R. Katzenbach and Douglas K. Smith. *Harvard Business Review.* July 2005.

  Summary: This is a reprint of an older article, in which the authors define teams as: "a small number of people with complementary skills who are committed to a common purpose, set of performance goals, and approach for which they hold themselves mutually accountable." With this precise definition, they develop four elements that make teams function: common commitment and purpose, performance goals, complementary skills, and mutual accountability. They also discuss three types of teams – those that recommend things, those that make or do things, and those that run things – and discuss the different types of challenges faced by each.

- **How Can We Target Our Leadership Development Support?**, by Grantmakers for Effective Organizations. 2014.

  Summary: There is no one-size-fits-all approach to leadership development, which must be tailored to the specific capacity needs of the organization and context. This article outlines a framework to help guide grantmakers' thinking about the different levels and domains leadership development support can cover. These include individual, organizational, and community capacity needs. Sample activities for each level and purpose are included.

CONTEXT (OUTSIDE-IN THINKING)

- **Competitive Positioning: Why Knowing Your Competition Is Essential to Social Impact Success**, by Peter Frumkin and Suzi Sosa. *Nonprofit Quarterly.* October 27, 2014.

  Summary: The authors discuss the markets in which nonprofits innovate, defining a market as the "summation of the various providers offering the same product or service, usually within a finite set bound by a specific customer or geography." While providers may be more or less collaborative, all compete for donor support and other resources. Competitive analysis tools can help determine the quality of an innovation and its associated risks. While competitive analysis can be more challenging in the social sector, it "functions as an inventory of other organizations providing the same or similar products or services, and often immediately signals the magnitude of the proposed innovation." The authors walk through the steps of the market mapping process in detail and illustrate how to use a competitive market matrix.

- **Nine Key Trends Affecting the Charitable Sector** and **Forty Forces: Strategic Dialogues for Looking over the Horizon**. Independent Sector and Monitor Institute. 2015.

  Summary: These are interrelated materials to help an organization consider the broader trends that could influence their organization in the years to come. *Nine Key Trends* provides an evolving context for the charitable sector over 20 years, including six assumptions and three critical uncertainties. These include assumptions about global and national forces (e.g., greater ethnic diversity and new generations of leadership), the context for pursuing social impact (e.g., new models for social welfare and social change), and three critical uncertainties about the government (e.g., will there be a resurgence of the public's voice in policymaking?). *Forty Forces* provides four exercises (that include **cards**) to help organizations test a current or emerging strategy against forces that could transform the environment in which they operate.

- **Flipping Orthodoxies: Overcoming Insidious Obstacles to Innovation**, by Bansi Nagji and Helen Walters. *Rotman Magazine.* Fall 2011.

  Summary: Orthodoxies are biases or conventions that are often not explicitly recognized but limit how we think about opportunities for change. The authors discuss internal and external orthodoxies with examples and put forth a five-step plan for "flipping" orthodoxies. These include: 1) be ruthless about finding them; 2) ask "why not?" on a regular basis; 3) widen your field of vision; 4) be a credible heretic; and 5) recognize those who dare.

- **Scanning the Landscape 2.0: Finding out What's Going on in Your Field**, by Anne MacKinnon and Lisa Philp. GrantCraft. 2012.

  Summary: The authors provide a practical guide to help grantmakers look across a field and identify opportunities to be especially influential or innovative. They discuss what scanning is and different types of scanning for different purposes: finding a strategic direction, hearing from key constituencies, understanding emerging issues, mapping the funding environment, and finding gaps. It includes tested methods for soliciting unfamiliar ideas, meeting new people, and encouraging candid views and input. The authors also explore managing expectations that can emerge from asking grantees questions, how to scan continuously, and how to share the results of a scan.

PLANNING & EXECUTION

- **The Strategic Plan is Dead. Long Live Strategy**, by Dana O'Donovan and Noah Rimland Flower. *Stanford Social Innovation Review.* January 10, 2013.

  Summary: The authors believe that "a better understanding of the history of strategy and what caused the demise of binder-bound strategic planning can point the way to re-inventing strategy for the world we live in today." They articulate the case for "adaptive strategy," which emphasizes rapid prototyping and experimentation, pattern recognition, and decentralized decision making based on a real-time understanding of what's happening on the ground. This approach can be guided by four questions about the organization's strategic direction: what vision it wants to pursue, what role it will play, how it intends to succeed, and what capabilities will be required.

- **Managing to Change the World: The Nonprofit Manager's Guide to Getting Results**, by Alison Green and Jerry Hauser. Jossey-Bass. 2012.

  Summary: A nonprofit manager's fundamental job is to get results, sustained over time, rather than boost morale or promote staff development. This is a shift from the tenor of many management books, particularly in the nonprofit world. This work is designed to teach new and experienced nonprofit managers the fundamental skills of effective management, including: managing specific tasks and broader responsibilities; setting clear goals and holding people accountable to them; creating a results-oriented culture; hiring, developing, and retaining a staff of superstars.

- **Transformative Scale: The Future of Growing What Works**, by Jeffrey Bradach and Abe Grindle. *Stanford Social Innovation Review.* Feb. 19, 2014.

  Summary: This article focuses on how organizations can achieve transformative scale. The authors describe nine strategies for scaling impact that fall into two broad categories: organizational pathways (i.e., those that build on what individual organizations can do), and field-building pathways (i.e., those that push the field and its constellation of actors toward a shared target).

REPUTATION & COMMUNICATIONS

- **The Role of Brand in the Nonprofit Sector**, by Nathalie Kylander and Christopher Stone. *Stanford Social Innovation Review.* Spring 2012.

  Summary: Many nonprofits continue to use their brands primarily as a fundraising tool. The authors develop the Nonprofit Brand IDEA framework, in which "IDEA" stands for brand integrity, brand democracy, brand ethics, and brand affinity. Using this framework, they promote the idea of a broader and more strategic approach to brand management to create greater social impact and tighter organizational cohesion.

- **Twenty-First-Century Communications versus the Illusion of Control: An Epic Battle**, by Ruth McCambridge. *Nonprofit Quarterly.* August 27, 2014.

  Summary: The author discusses the risks of not knowing what stakeholders are thinking, and she calls the degree to which nonprofits tend to marginalize the communications function "both wasteful and immoral." As a result of the explosion of shared platforms and the changes brought by social media, the author suggests we rethink the role and style of communications in our work to engage with and create reciprocity with stakeholders. She recommends using communications to involve stakeholders as "part of the intelligence and energy of the enterprise in a way that respects them, integrates their thoughts and ideas, responds to them, and encourages them to respond to one another while advancing cause and knowledge."

- **Storytelling and Social Change: A Strategy Guide for Grantmakers**, by Paul VanDeCarr. 2013.

  Summary: "If we live by stories, we change by stories." This guide focuses on how to use "narrative strategies," or strategies that use storytelling, to advance social change. It details the uses of story: to learn, organize, educate, and advocate; and it provides multiple case studies for each. This guide explores the way funders and nonprofits have used storytelling in doing needs-and-strengths assessments, community organizing, public education, and program evaluation. It also discusses ways to integrate stories into grantmaking, engage applicants and grantees in storytelling, and evaluate impact through narratives. *While this guide is aimed primarily at grantmakers, the author suggests it is relevant for nonprofits and others as well.*

- **Creating a Foursquare Communications Platform: Easy Steps to Build the Communications Capacity of Your Grantees**, by Spitfire Strategies. 2010

  Summary: Strong communications is the key to any successful campaign. Investing in building the capacity of grantees to use communications as effectively as possible can offer big payoffs for both funders and grantees. This document suggests that funders consider four key areas when putting a communications capacity-building program in place: 1) what grantees already do well and where they need help; 2) what approaches will work best to address the specific needs of grantees; 3) how to make capacity-building dollars go farther by ensuring grantees build their own capacity and integrate learnings into the rest of the organization; and 4) how to assess the extent to which the investment is paying off.

PARTNERSHIPS & ALLIANCES

- **The Dawn of System Leadership**, by Peter Senge, Hal Hamilton, and John Kania. *Stanford Social Innovation Review.* Winter 2015.

  Summary: The authors argue that a unique type of leader, the system leader who catalyzes collective leadership, is needed to help solve our most complex social problems. Many collective actions have failed because they haven't fostered collective leadership within and across collaborating organizations. The article discusses three core capabilities that system leaders need to foster collective leadership: 1) the ability to see the larger system; 2) the ability to foster reflection and more generative conversations; and 3) the ability to shift the collective focus from reactive problem solving to co-creating the future. The authors also provide detailed advice for how to move along the path to becoming a system leader.

- **Working Better Together: Building Nonprofit Collaborative Capacity**, by Grantmakers for Effective Organizations. 2013.

  Summary: This article suggests that collective action can help nonprofits increase their impact in complex and dynamic systems, but that attention must be paid to key capacities needed for these types of partnerships to thrive. The article offers a perspective on the core capacities nonprofits need to collaborate and the role funders can play. They identified key capacities that enable collective action:

  – Strong leadership and an open mindset
  – The ability to share power and responsibility
  – Adaptability and flexibility
  – Strong connectivity and relationship building

  Approaches for funders to best support collaborative capacity include:

  – Help make connections, but don't force them
  – Offer core support and flexible, long-term funding to grantees
  – Provide necessary resources to support and enable collaboration

- **Partnerships: Frameworks for Working Together**. The National Resource Center. 2010.

  Summary: This is a nuts-and-bolts guide to developing partnerships that explores how to "build, sustain, and evaluate them in a thoughtful way." It details types of partnerships, steps for successfully forming partnerships, and how to manage them. The guide includes checklists for evaluating potential partnerships, starting the process, and setting up and maintaining partnerships; a norms template for identifying shared values; tips for facilitating open, honest communication; a shared work plan form; a discussion of the role technology can play in managing partnerships; and questions for monitoring and evaluation.

- **Working Wikily**, by Diana Scearce, Gabriel Kasper, and Heather McLeod Grant. *Stanford Social Innovation Review*. Summer 2010.

  Summary: This article explores how social media tools are driving more connected ways of working, characterized by principles of greater openness, transparency, distributed effort, and collective action. It discusses the different forms that networks can take and when a networked approach is appropriate.

- **Capacity Building 3.0: How to Strengthen the Social Ecosystem**, by Jared Raynor with Chris Cardona, Thomas Knowlton, Richard Mittenthal, and Julie Simpson. TCC Group. 2014.

  Summary: The authors suggest that the "conversation on capacity building has not kept pace with the evolution of the sector," and that we still tend to think narrowly about the capacities of nonprofit workers and organizations. As a result, we neglect many other participants in the social ecosystem, including funders, the private sector, government, support organizations, and cross-sectoral networks. The authors discuss an evolution in the "who," the "how," and the "what" of capacity building. They explore new innovations and techniques being used for effective capacity building, and a changed focus on contributing to the capacity of the larger social ecosystem, as well as an organization's own internal capacity needs. Three capacities are identified as essential to "Capacity 3.0": the ability to understand, respond to, and structure oneself in relation to an ever-changing ecosystem.

- **Catalyzing Networks for Social Change: A Funder's Guide**, by Monitor Institute and Grantmakers for Effective Organizations. October 2011.

  Summary: Funders know that to tackle 21st century problems effectively, they need to act as conveners, champions, and matchmakers, connecting people, ideas, and resources. This guide is for both grantmakers who are just beginning to explore and experiment with networks and for those who are further along and want to reflect on their practice. It explores working with a network mindset, cultivating networks, and assessing and learning about network impact.

FINANCIAL FOOTING

- **An Executive Director's Guide to Financial Leadership**, by Kate Barr and Jeanne Bell. *The Nonprofit Quarterly*. Fall/Winter 2011.

  Summary: Financial leadership is the job of an executive director and involves "developing and maintaining a business model that produces exceptional mission impact and sustained financial health." The authors provide a guide for the executive director that details the eight key business principles of financial leadership practice. These include elements such as strong annual budgeting, planning for reserves, and managing the right risks.

- **Ten Nonprofit Funding Models**, by William Foster, Peter Kim, and Barbara Christiansen. *Stanford Social Innovation Review*. Spring 2009.

  Summary: The authors define the ten different types of nonprofit organizations' long- term funding strategies. They argue that the lack of clear language on different funding models has led to "a poverty of understanding and clear thinking." The article is written to help nonprofit executives improve their fundraising and financial management. They also argue that thinking through funding models becomes particularly important as nonprofits get bigger, as there are fewer effective funding strategies at the $25 million level and beyond.

  Note: Peter Kim, Gail Perreault, and William Foster have an update to this article, **Finding Your Funding Model** (*Stanford Social Innovation Review*, Fall 2011), in which they discuss how to identify the best funding model for any given organization.

- **The Generosity Network**, by Jennifer McCrea and Jeff Walker. 2013.

  Summary: This is a guide to the art of activating resources of every kind in support of a worthy cause. The authors "show how traditional pre-scripted, money-centered, goal-oriented fund-raising techniques lead to anxiety and failure, while open-spirited, curiosity-driven, person-to-person connections lead to discovery, growth – and often amazing results." While this is a book-length resource, they include additional resources on their website:

  - **A Checklist for Fund-Raisers**: Includes a range of non-financial requests one can make in order to engage prospective donors.
  - **What's Your First Meeting IQ**: Provides a case study and post-mortem on how to make the first meeting with a prospective donor as effective as possible.

Field Building

- **Building and Supporting Sustainable Fields: Views from Philanthropy**, by Janice Petrovich for the Robert Wood Johnson Foundation. July 2013.

  Summary: Building strong fields is one way for funders to catalyze systemic change. This paper details the elements of a strong field, which include multiple components such as shared identity, effective leaders, and diverse and interconnected constituencies. It also lays out the many ways that funders can support field building (e.g., enabling mechanisms for information sharing and coordinated action). The article provides questions funders can ask to assess field strengths and needs and discusses effective donor practices.

- **Building to Last: Field Building as Philanthropic Strategy**, by Lucy Bernholz, Stephanie Linden Seale, and Tony Wang for the MacArthur Foundation. 2009.

  Summary: This paper defines a field as "a multidisciplinary area of specialized practice that engages diverse stakeholders," and it provides examples of philanthropic field building. The authors discuss a number of design principles for philanthropic field building. These include:

  – Recognize the philanthropic opportunity
  – Establish a research base
  – Prioritize sets of actors and networks
  – Develop and adopt the right standards
  – Build a network infrastructure
  – Share knowledge

- **The Strong Field Framework: A Guide and Toolkit for Funders and Nonprofits Committed to Large-Scale Impact**, by Bridgespan Group and the Irvine Foundation. 2009.

  Summary: This article suggests that field building is an important lever for social change, and it provides a framework that is meant to help funders and nonprofits assess the strengths and weaknesses of major components of a field. Field elements include:

  – Shared identity
  – Standards of practice
  – Knowledge base
  – Leadership and grassroots support
  – Funding and supporting policy

  The article describes the steps needed to conduct a field assessment. These include defining the field, crafting a research agenda, gathering results, and formulating recommendations.

- **Building Fields for Policy Change**, by Lucy Bernholz and Tony Wang for the MacArthur Foundation. 2010.

  Summary: Field building and policy change both involve acting across entire ecosystems of change, "where the work of grantees mutually reinforces and strengthens the impact of one another." This article explores the intersection of the two types of work, addressing two questions:

  – How can the resources of a foundation and a field be used most effectively to implement policy strategies?
  – What tools and best practices exist for funders interested in analyzing and strengthening fields?

  The article provides case studies and case study questions. It then details the tools, techniques, and best practices for field building in effecting policy change. These include practices such as mapping the field, supporting intermediaries, and strengthening network capacity.