



# **Social Impact Exchange**

Taking successful innovation to scale

## **Scaling Social Impact:**

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### *A Literature Toolkit for Funders*

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# I. Introduction

## *Scaling Impact*

Despite all the important work accomplished by nonprofit organizations over the last hundred years, significant growth or scaled impact has remained an elusive goal for most of them. Even the most effective mission-driven organizations face the daunting challenge of scaling social impact. Most have remained small in proportion to the social problem that they work to improve. The inability to achieve scale – that is, to make a meaningful and sustainable impact by reaching greater numbers of people – has limited the potential of these organizations and the people and causes they serve. Simply put, society’s complex and pressing challenges call for solutions with a greater scale of impact.

Philanthropists and professional philanthropic organizations have been grappling with these issues for a long time. They know intuitively that to scale the impact of a social innovation often requires a different way of thinking as well as a different way of funding. The organization’s path to scaling impact might include replicating the organization in new places, or it might include influencing others to magnify the impact of many players affecting the people the organization is aiming to serve. What kind of support does the organization or a set of organizations need as it starts down the scaling path? For the funder, the questions of how best to aid nonprofits to manage the challenges of scale are complex and far-reaching: from capacity-building to financial modeling, from managing policy and advocacy to outcome evaluations or fine-tuning organizational structure. The “field of practice” around scaling impact for nonprofits is both essential and continuously evolving.

## *What Do We Know?*

Enter the role of knowledge and literature. Much of the experience in the past 10-20 years in scaling has been built up by practitioners actually experimenting to see what works. And funders have been integrally involved in a lot of this experimentation. The developing set of materials written about both nonprofit manager and funder experience relating to the scaling of impact is varied and rich, though it is not always easy to find.

The Social Impact Exchange is a cross-sector membership association for sharing knowledge and increasing investment in scaling effective social programs and solutions. The Exchange is a partnership between Growth Philanthropy Network (GPN) and two centers at Duke University, the Center for the Advancement of Social Entrepreneurship (CASE) and the Center for Strategic Philanthropy and Civil Society (CSPCS) (see Appendix A). The three have been exploring both the field of literature and the types of lessons contained within it for several years, building on GPN’s work in helping grantmakers to find new ways to scale impact, and Duke’s work in developing models and frameworks and a case study database on scaling. In 2012, with support from Grantmakers for Effective Organizations (GEO), the Exchange set out to document and analyze the currently available literature on scaling, in order to both highlight the best set of resources available that are useful to funders actively pursuing grantmaking strategies around scaling impact, and to shine a light on what still needs to be studied and explored. This report is a compendium of the main findings of that work, and is arranged in the form of a funder-facing literature review (with materials selected based on their usefulness to funders and grantmakers interested in supporting scaling initiatives and listed in priority order), with links and abstracts, along with recommendations for future work.

## *Ongoing Work: The Knowledge Working Group and the Knowledge Center*

In addition to this review of the literature to-date in scaling social impact relevant to grantmakers, the Exchange is managing two other projects to continue to develop knowledge on the subject. The first is a peer group of professionals who regularly produce the majority of the literature on scaling. This group, called the Knowledge Working Group of the Exchange, is a professional network of approximately four dozen researchers and practitioners who provide strategic direction for capturing, sharing, and leveraging knowledge on scaling impact within the field (see Appendix B for a list of members). The group helped develop a detailed list of topics in scaling that informs our research, will continuously share reports and

lessons with each other and a larger group, and is currently working on several other projects related to engaging with grantmakers around how they can implement lessons and strategies in their own work.

One of the key projects of the Exchange's Knowledge Working Group is contributing to an active online database on scaling content. That database, called the Knowledge Center, is a free multimedia database created to house content on scaling impact. It now contains approximately 175 entries including case studies, white papers, research reports, articles, tools, and templates. It is accessible at <http://bit.ly/siexknowledge> and is free to access (see Appendix C for more details).

### *The Need for a New Framework*

When GEO asked us to pursue this literature review, we narrowed the broad field of literature around a set of questions we collectively thought were most relevant to grantmakers. These included:

1. **Scaling Strategies:** What strategies are top-performing nonprofits using to scale impact?
  - What are the different stages of growth for replication-based models of scaling?
  - What are the different stages of growth for non-replication-based models of scaling (e.g., advocacy/policy models, hybrid value chains, or movement-building models)?
2. **Readiness:** How are funders using evaluation and evidence-based information to identify worthy and ready nonprofits at various stages of the growth/scaling life cycle?
  - What are the best evaluation and evidence-based information to expect from organizations at various stages of development and scaling of impact?
3. **Capacity Needs:** What are the key capacity building needs of nonprofits at each stage in their scaling cycle?
4. **Lessons and Frameworks:** What are the lessons and frameworks that funders can apply to their own scaling portfolios?

As the discerning reader will see, nearly all of these questions ask explicitly for some guidance around scaling from a stage or lifecycle perspective. We reviewed the broader nonprofit literature in search of a lifecycle framework around which we could organize our work. We found that most of the frameworks concentrate on the evolution of an organization (its growth and maturity) rather than the evolution of a scaling initiative or set of initiatives that aim to maximize social impact.

We also wanted a framework that would clearly differentiate the sets of issues that are relevant for grantmakers as opposed to issues solely oriented toward nonprofit managers. Grantmakers must often take a more systemic view, as they evaluate many kinds of scaling initiatives, not just those organized around organizational replication or expansion. Grantmakers also need to compare organizations, figure out ways to integrate their strategies, and explore more “bang for the buck” ways of scaling impact in resource-constrained environments, from leveraging the effect of distribution networks to building collective impact projects with many organizations focused around common outcomes.

### *Evolution of a Scaling Initiative*

Thus, in order to categorize the large body of literature on scaling impact that responds to the questions above, and to help funders think about the stages of a scaling initiative, we developed a framework that depicts the “Evolution of a Scaling Initiative.” The framework, which we have laid out in the graphic below, draws from the Exchange's [Topics in Scaling](#), a detailed outline of the topic areas covered in the knowledge on scaling impact.

The framework titled “Evolution of a Scaling Initiative” lays out four stages of scaling:

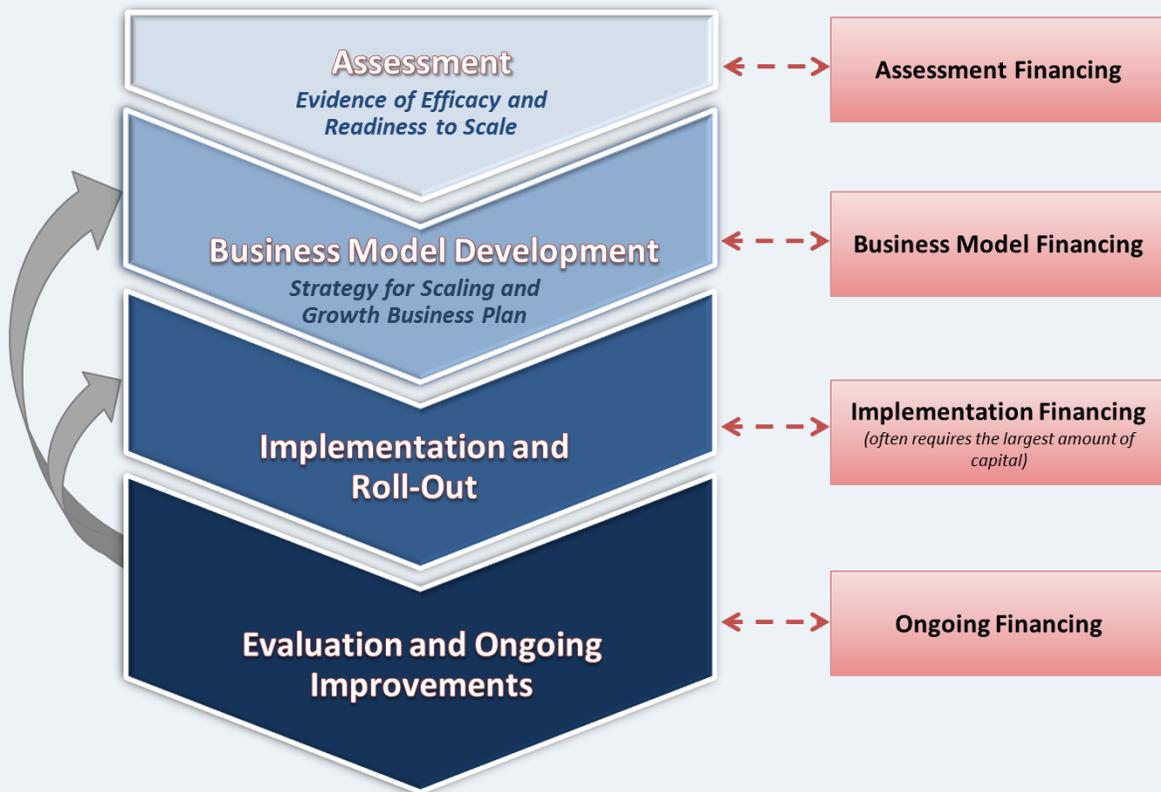
1. **Assessment: Evidence of Efficacy and Readiness to Scale**
2. **Business Model Development: Strategy for Scaling and Growth Business Plan**

- 3. **Implementation and Roll-Out**
- 4. **Evaluation and Ongoing Improvements**

The framework applies to multiple types and strategies for scaling impact (both replication and non-replication-based models) including specific programs, entire organizations, models or services, social movements, policy initiatives, advocacy campaigns, marketplace solutions, and systemic change initiatives.

The graphic depicts the process of scaling as a continuous evolution, because scaling initiatives do not typically have an end point, but rather further mature and often revisit previous stages of the process. The framework continues to apply at all levels of the organization’s or initiative’s growth. Additionally, the graphic indicates that financing is needed at all stages and throughout the entire scaling evolution.

**Evolution of a Scaling Initiative**



Our report is organized around this framework as it integrates the critical questions that are relevant to grantmakers. It includes issues of strategies, readiness, capacity and lessons, but acknowledges that these issues repeat throughout the evolution of a scaling initiative, regardless of the organization’s stage of development. The capacity of the organization to undertake assessment will be different from that needed to implement, for example. And the literature relevant to each stage does differ. Further, this model allows us to discern and consider the issue of scaling with more granularity from a funder’s perspective. The organization may be 2 years old or 10 when it decides to engage in a scaling effort around its impact. In fact, Duke’s research shows that most organizations develop new kinds of initiatives on a regular basis to test and then scale their innovations. This process can be in different stages for different initiatives within the same organization.

The framing questions for our review, then, are:

- What questions should funders ask at different stages in the evolution of a scaling initiative?
- What kinds of financing should be considered at each stage?

Our literature review uses this framework to organize our findings, and within each considers the following questions:

- What did we find in the literature?
- What are implications for research and future work?
- What are the overall best readings in terms of ideas or frameworks?
- What are examples of case studies and lessons learned?
- What are the most important works that address a funder perspective?

We hope that readers will find our report a useful, time-saving resource for identifying lessons and tools from others, in order to reap the benefits of what has been tried and learned before. At the same time, we believe it is important to continue to develop and share knowledge about scaling social impact initiatives, as collectively, we still have a lot to learn.

More research and knowledge development is an essential part of a successful social impact sector. We are excited about the new thinking in the field of scaling, and the healthy dissemination of what has come before. We are convinced that by sharing and developing new knowledge about what works with respect to scaling, grantmakers and practitioners can find more points of success.

# I. Executive Summary

The literature around scaling strategies for nonprofits relevant to grantmakers is vast. Our literature review included reading and reviewing every piece of work in the Social Impact Exchange’s 175 item online database, plus selected reviews of other published content from many of the Exchange’s Knowledge Working Group’s member organizations’ websites and data repositories. (The Knowledge Working Group and its members are detailed in Appendix B. More detail on our methodology is in Appendix D.) This executive summary offers our overall observations about the state of knowledge from these sources and some of the themes that emerged.

- The Majority of the Scaling Literature is Written for Practitioners, Not Funders. A majority of the existing literature in our database review is written for a broad nonprofit audience. As a result, the knowledge base on scaling is mostly focused on providing nonprofit leaders, practitioners, program directors and managers with the information they need to undertake a scaling initiative, not on discussing the funder’s role in supporting scaling initiatives.
- Still, There are Significant Resources Relevant to Funders. Approximately one third of all the literature in the database addresses roles of the funder. Of that third, the resources that were written specifically for grantmakers or funders are generally written by foundations, or were commissioned by foundations and written by consulting firms, evaluation firms, and intermediaries.

Our editorial filter for this review was to include the materials we judged to be most useful to funders and grantmakers interested in supporting scaling initiatives. Therefore, this review is not a comprehensive listing of all content on scaling, but an editorialized selection, based on pieces we believe reveal fundamental, generalizable frameworks, theories and lessons for grantmakers that are communicated in effective, readable ways. For this reason, this review does not include many purely academic studies.

- Evolution of Literature from Scaling Organizations, to Scaling Impact: The earlier literature on scaling focuses on scaling organizations – for example, the literature in the Exchange’s database dates to 1994, with a report published by Public/Private Ventures on the strategy of replicating social programs. However, in the last decade or so, the literature has shifted to include a broader definition of scale – moving away from the concept of scaling as organizational growth and towards the concept of scaling impact, or the outcomes the organization has generated beyond just the organization itself.
- Replication and Non-Replication Scaling Strategies are Key Distinctions. In order to achieve this scaled impact, the literature includes discussion of multiple pathways to scale. A key distinction that has emerged in the literature is between strategies that involve **geographic replication** (for example, opening up new branches in order to implement a program model for new sets of beneficiaries) vs. what we call **non-replication options** (affiliating with new partners, disseminating ideas about change models directly or indirectly, working to change policy environments, and other strategies to create thought change or promote a social movement, etc.).
- Literature on Non-Replication Scaling Strategies is Much Earlier Stage than Literature on Replication-based Scaling Strategies. For a new area of knowledge to be rich and useful, according to some conversations in our Knowledge Working group, it will combine four types of knowledge:
  - A new area often starts with initial *frameworks* which define and describe new phenomena.
  - Then come *case studies*, usually qualitative, that start to help document common patterns of practice to help refine the frameworks.

- Once there is some common terminology, and a range of practice, deeper questions about effectiveness emerge and we start to see *empirical studies*, commonly with better data collection and some statistical rigor.
- Over time, a collection of empirical studies may result in the last type of knowledge: a set of more *proven theories and constructs* that become adopted and understood as how things work.

Within the scaling literature, we see all four stages: frameworks, case studies, empirical studies, and stronger theories and constructs. But when we separate replication and non-replication literature, we see a large dichotomy. The literature on non-replication is clearly newer, less formalized, and less complete. Different writers are using different terminology to describe the same strategies, and their overlaps are not widely understood. There are very few case studies, almost no empirical studies, and thus very few tested or generalizable theories. It is an area still under consideration and lessons will continue to emerge. There is also, we note, limited funder-focused literature on experience in combining these two strategies.

- A Trend toward Collaborative Strategies as a Means to Scale Sustainably. One of the strongest emerging trends in the literature relates to scaling through collaboration. From FSG’s work on Collective Impact to Ashoka’s on Hybrid Value Chains, there are many new terms and techniques which share a common thread: to use inter-organizational collaboration to find ways to benefit from collaborative approaches to achieving the outcomes desired by several different stakeholders. The potential benefits of these approaches are intriguing; building on existing networks and assets can lower the costs of scaling, and concentrating on the ends (desired outcomes) instead of the means (program fidelity), can create motivations for new ways to achieve effectiveness.

In the midst of this trend toward collaboration, a less discussed, but presumably just as important set of issues surrounds the role of the potential parties “taking up” a scalable innovation. What are the criteria for other organizations, localities, businesses and governments looking to adapt and adopt units of change that work? What are the driving questions of constituency readiness and commitment, and what scaling attempts have failed on the partner end and why? Some of these issues are coming out in the Social Impact Bond literature (see our Financing section, below). We hope to see more in this area going forward.

- There is a Growing Emphasis on Performance and Funding What Works. There is also a collection of literature (including books and blogs) that brings attention to what has been called performance-based philanthropy. These resources are directed primarily at philanthropists and discuss a more rigorous commitment to investing for impact, i.e., directing capital to evidence-based high-performing nonprofits.

A corollary body of literature has emerged to help funders think about the implications of their acting as market makers with their philanthropy. The capacity-building movement was a first wave of this – where funders recognized that organizations need to bolster their systems and infrastructure in order to scale program delivery and funders needed to fund holistically to achieve this.

It appears that a second wave is the emphasis on ultimate impact and outcomes, rather than on the organizational strategies to get either big or efficient. The scaling programs initiated by the Obama Administration are primary examples of this trend (including the Department of Education i3 grants, the Center for National and Community Service’s Social Innovation Funds, and the Office for Management and Budget’s allocations for Social Impact Bonds). There is a beginning stream of new knowledge coming from these government scaling efforts, and we expect to see more, which will be important. The funder perspective of this trend, including from experienced philanthropists like Paul Brest and Mario Marino, concentrates on how to infuse performance-based thinking into all philanthropic activity, emphasizing laser-like focus on what funders and nonprofit managers can do to create cultures of continuous learning and improvement around achieving results.

- The Rise of the Philanthropist Acting as an Impact Investor. Another emerging trend emphasizes the role of markets and investment in accessing the amount of capital needed to scale innovations that work. This traces the rise of the social or impact investor – where funders are interested in results and returns, both social and financial, on their capital. These trends around capital and performance intersect with the scaling literature and are often so intertwined it is difficult to separate the strands. We have tried in this review to keep a focus on the kinds of financing that need to be considered by funders at each stage of a scaling initiative, and have created a separate section just on financial and investment topics as they relate to funders’ interest in scaling.

## II. The Literature Review

The following literature review is divided into the 4 stages of our framework, “Evolution of a Scaling Initiative,” plus an additional section on financing across all stages.

1. **Assessment:** *Evidence of Efficacy and Readiness to Scale*
  2. **Business Model Development:** *Strategy for Scaling and Growth Business Plan*
  3. **Implementation and Roll-Out**
  4. **Evaluation and Ongoing Improvements**
- and*
5. **Financing Across All Stages**

### Assessment

*Evidence of Efficacy and  
Readiness to Scale*

The literature in “Assessment: Evidence of Efficacy and Readiness to Scale” relates to the analysis that grantmakers need to do to decide if an organization has an innovation that is ready to scale.

This pre-investment exploration requires that the funder and nonprofit manager have a clear sense of a unit of change – a program, an initiative, a set of operational principles, etc.— and its ability to create desired outcomes over time. Some critical questions include:

- How well have the nonprofit managers proven they can create the desired outcomes?
- What are the conditions under which they have succeeded and how replicable are they?
- Is the information managers provide complete and convincing?
- If not, what other questions need to be answered and how?

Since a full business-planning phase may follow, this stage is about assessing the past performance of the organization or initiative and the value of investing in taking it to scale.

Readiness to scale is reflected in a myriad of factors, so there is no “one size fits all” checklist, though there are some tools available that can be customized to each situation. The funder will want to evaluate both efficacy (operational and social performance) and readiness (including adaptability of the model for the kind of scaling the grantee intends).

We have included here some of the most insightful pieces we’ve found on the fundamental principles of readiness and those that relate past performance assessment to future scaling efforts. Assessment is both an art and a science, so we’ve also included very strong case studies on longer-term scaling results, which may help give context to this initial screening exercise and evaluation of work to date.

*What we found:*

- How and what to assess
- Measuring and assessing performance
- Readiness checklists, frameworks for setting goals for outcomes and impact
- Case studies, both on individual scaling initiatives and across groups of similar ones
- Strong literature (frameworks, cases, checklists) on assessing readiness for scaling through replication

*Implications for Research and Future Work:*

- Better literature (frameworks, cases, checklists) on assessing readiness for scaling through non-replication strategies (see Business Planning Overview Section for review of these strategies)
- Pros and cons of grantmaker involvement at this stage for different kinds of scaling strategies

 Overview Readings	Abstracts
<p><a href="#">Scaling What Works: Implications for Philanthropists, Policymakers, and Nonprofit Leaders</a> By Nancy Roob and Jeffrey L. Bradach <i>The Bridgespan Group</i>, 2009</p>	<p>Offers four critical lessons about scaling nonprofit programs, including the need for rigorous impact analysis to distinguish promising programs from proven ones, new funding patterns, capacity building support, and ongoing research and evaluation, as guidance for government investment and for partnerships with philanthropy.</p>
<p><a href="#">Capturing the Essential Elements</a> By David Racine <i>Public/Private Ventures</i>, October 2004</p>	<p>When a program with demonstrated effectiveness is expanded, knowing how it works and why is an indispensable first step in preserving quality. This report shows how to define a model's essential elements and contains lessons for program developers, funders and practitioners interested in adopting model programs.</p>
<p><a href="#">But Does it Work? How Best to Assess Program Performance</a> By Jed Emerson <i>Stanford Social Innovation Review</i>, Winter 2009</p>	<p>There have been significant advances in the development of reporting systems that can track the effectiveness of programs; however, many fall short of what is considered scientifically valid evidence. This article reports on the Edna McConnell Clark Foundation's work measuring programs at three levels of effectiveness: apparent, demonstrated, proven.</p>
<p><a href="#">The Essential Connection: Using Evaluation to Identify Programs Worth Replicating</a> By Kathryn Furano, Linda Z. Jucovy, and David P. Racine <i>Public/Private Ventures</i>, September 1995</p>	<p>This publication describes how to use practical evaluation methods to identify social programs that are both effective and capable of being successfully transferred to new settings. It also provides guidance in making sound decisions about the suitability of investing time and money in program expansion.</p>
<p><a href="#">Zeroing in on Impact</a> By Susan Colby, Nan Stone, &amp; Paul Carttar <i>Stanford Social Innovation Review</i>, Fall 2004</p>	<p>This article argues that in an era of declining resources, nonprofits need to clarify their intended impact. In the face of resource-allocation decision difficulty, revising the organization's mission so that it is narrowly focused on a finite set of objectives is one way to resolve it.</p>
<p><a href="#">How Can Grantmakers Support Readiness to Scale Impact?</a> By Dara Major <i>Grantmakers for Effective Organizations</i>, 2011</p>	<p>Grantmakers are shifting the way they think about scale, emphasizing not size or reach but impact. For grantmakers interested in supporting grantees going to scale, how do you know when a nonprofit is ready? What is the best way to support these grantees? This briefing paper explores activities grantmakers should consider in supporting organizations preparing to scale impact.</p>
<p><a href="#">How Do We Approach Impact and Evaluation in the Context of Scale?</a> By Dara Major <i>Grantmakers for Effective Organizations</i>, 2011</p>	<p>This briefing paper explores the role evaluation can play in identifying whether something works (and why and how), and in assessing readiness for, planning and implementing approaches to scaling. It provides a framework and questions for grantmakers to consider when integrating evaluation into efforts to scale and facilitate learning across organizations.</p>



## Case Studies/Lessons Learned

## Abstracts

[The Fulfillment Fund: Managing Programmatic Growth](#)

*The Bridgespan Group*, October 2004

Since its inception in 1973, the Los Angeles-based Fulfillment Fund has been guided more by vision than by plan. The Fund has expanded significantly and the founder is eager to expand to other cities. But without concrete plans for growth or fundraising, and without a measurement system in place, is the Fund ready to replicate?

[Growing What Works: Lessons Learned from Pennsylvania's Nurse-Family Partnership Initiative](#)

By Jennifer Collins Stavrakos and Geri Summerville with Laura E. Johnson  
*Public/Private Ventures*, 2009

This study shows that the replication of evidence-based models can be an enormous challenge, even for highly defined and effective programs. Replication across many sites, and by a common funder, is labor-intensive and comes with expectations of outcomes similar to those achieved in research trials. Ensuring fidelity to the established program model, while allowing for local innovation, is paramount to success.

[Innovations for Scale and Sustainability in EITC Campaigns](#)

By Amy Brown and Kirstin Moy  
*The Aspen Institute*, December 2005

There is increasing interest in identifying alternative models for Earned Income Tax Credit (EITC) outreach, tax preparation and asset development programs that have greater potential for scale, sustainability and impact. This examination of five pilots can help expand understanding of the challenge of scale for the community economic development field.

[AfterZone: Outcomes for Youth Participating in Providence's Citywide After-School System](#)

By Tina J. Kauh  
*Public/Private Ventures*, August 2011

This report presents findings from a 3 year quasi-experimental evaluation of the AfterZone—a citywide effort providing out-of-school-time youth services. The paper summarizes patterns of youth participation; examines the benefits to youth; and presents implications for funders, policymakers and program leaders interested in implementing their own system.



## Useful Tools/Frameworks

## Abstracts

[Scaling for Social Impact: Exploring Strategies for Spreading Social Innovations](#)

Greg Dees and Beth Anderson  
*The Center for the Advancement of Social Entrepreneurship (CASE), Duke University*, October 2003

PowerPoint slides from a one-day workshop delivered to nonprofits interested in exploring strategies for spreading social innovations.

[Capacity Assessment Grid](#)

*McKinsey & Company*  
2009

As part of its report, [Effective Capacity Building in Nonprofit Organizations](#), McKinsey & Co. developed an assessment grid, also called the Organizational Capacity Assessment Tool (OCAT), which can be used to score the organization on seven elements of organizational capacity.

[Social Impact Exchange Due Diligence Framework for Scaling Initiatives](#)

*Growth Philanthropy Network & Alliance for Effective Social Investing*  
2011

Members of the Social Impact Exchange's Market Development Working Group and the Alliance for Effective Social Investing collaborated to create this common framework, which provides funders with guidelines on basic topics to cover when doing due diligence on scaling initiative. It has five sections, including a major section on evidence level and several sections on organizational readiness to scale.

[Getting Replication Right: The Decisions That Matter Most to Organizations Looking to Expand](#)

By Kelly Campbell, Mandy Taft-Pearman and Matthew Lee  
*The Bridgespan Group*, June 2008

By surveying a number of nonprofit leaders who have successfully grown their organizations through replication, coupled with The Bridgespan Group's own experience in the field, this article outlines the key decisions that need to be made in order to carry out a successful replication effort.

[Investing in What Works](#)

By David P. Racine  
*Replication & Program Strategies, Inc.*  
November 2000

Getting organized for replication is no simple matter. There are many moving parts to a replication effort, and each needs to be thought through carefully. This working paper details the questions that should frame any serious replication effort.

[Learning from Performance Measurement: Investing in What Works](#)

By *Root Cause*  
June 2008

As part of the Social Innovation Forum, six organizations defined their two-year goals, the investment required to achieve those goals, and a set of key measures. This report provides profiles (and a template) showing each organization's progress and lessons learned.

[Driving Strategy for Social Impact](#)

By Paul Connolly and Anne Sherman  
*TCC Group*, October 2011

This report guides organizations through an iterative strategy development process. The authors outline a five step process (identify the right questions to ask and gather the best data; turn data into knowledge; turn knowledge into strategy; make the strategy actionable; implement, assess, and refine) and offer tips on successful strategy practices.

[What Makes An Effective Advocacy Organization?: A Framework for Determining Advocacy Capacity](#)

By Jared Raynor, Peter York and Shao-Chee Sim  
*TCC Group*, January 2009

By drawing on interviews with national experts, past research on organizational effectiveness and evaluations of advocacy projects, this report outlines a model for evaluating organizational capacity for advocacy organizations and describes the characteristics that are critical to high-performing advocacy organizations and how they interrelate.



Insights for Funders

Abstracts

[Collective Impact](#)

By John Kania and Mark Kramer  
*Stanford Social Innovation Review*, Winter 2011

The authors discuss large-scale social change requires broad cross-sector coordination, yet the social sector remains focused on the isolated intervention of individual organizations.

[Don't Compromise "Good Overhead" \(Even in Tough Times\)](#)

By Don Howard and Ann Goggins Gregory,  
*The Bridgespan Group*, October 2008

Donors should never assume that low overhead is a sign of efficiency. Often it means the organization is stretched too thin, which ultimately can hurt the nonprofit, donors and beneficiaries. Both funders and nonprofits have a stake in guarding "good overhead," the infrastructure investments that are the backbone to creating and growing impact.

[Patient Capital: The Next Step Forward?](#)

George M. Overholser  
*Nonprofit Finance Fund*, August 2002

This speech discusses why nonprofit capital funding often backfires, and how we can adapt traditional capital campaigns to fix the problem.

[Tools to Support Public Policy Grantmaking](#)

By Martha Campbell and Julia Coffman  
*The Foundation Review*, Spring 2010

This article provides guidance on how foundations can frame, focus, and advance efforts to achieve public policy reforms. Five steps for developing public policy strategy are described and two tools developed specifically to support foundations during the strategy development process are presented.

[Building Fields for Policy Change](#)

By Lucy Bernholz and Tony Wang  
*Blueprint R + D*, June 2010

This report demonstrates how funders can improve their policy strategies by integrating some of the core elements of field building. It provides illustrative examples and identifies tools and best practices for funders to strengthen their fields of interest.

[Hidden in Plain Sight](#)

By Clara Miller  
*Nonprofit Quarterly*, Spring 2003

This report highlights capital structure - the distribution, nature and magnitude of an organization's assets, liabilities and net assets - as a critical driver of organizational success. It also illustrates how funders can inadvertently contribute to the undercapitalization of nonprofits and suggests several "capital-savvy principles for grantmakers."

[Expanding the Impact of Grantees: How Do We Build Capacity of Nonprofits to Evaluate, Learn and Improve?](#)

Dara Major and Kathy Brennan  
*Grantmakers for Effective Organizations (GEO)*  
December 2011

High-performing organizations use data and feedback to continually assess and improve their work. Behind such efforts are supportive grantmakers who play a unique role helping grantees conduct evaluation and effectively use information. This paper explores how grantmakers can best support grantee efforts to strengthen evaluation and learning capacity.



## Business Model Development

*Strategy for Scaling and  
Growth Business Plan*

The literature in "Business Model Development: Strategy for Scaling and Growth Business Plan" relates to forward-looking strategy and planning. The critical question faced by any scaling initiative after assessing how well its outcome delivery model has worked to date is "how are you planning to scale its impact?"

The strategic questions for how to scale are complex and range from replication (for example, opening up new branches in order to repeat the program model for new sets of beneficiaries) to non-replication options (affiliating with new partners, disseminating ideas about change models directly or indirectly, working to change policy environments, and other strategies to create thought change or promote a social movement). There are some excellent frameworks around these options, as well as an emerging case literature on diverse experiences. However, there is very little empirical data confirming how well most of these strategies have worked.

There is quite a bit of material in the literature on how to assemble a business plan; we've limited our selection here to a few key pieces. All the common topics from the world of business apply to scaling initiatives: market, customer, demand, fixed and variable costs, marketing, etc. But they must be considered differently when the goal is to scale impact, and ultimately change behavior, not grow revenues and profits.

One of the strongest emerging trends in the literature relates to refining a pathway to scale sustainably, where the program benefits from economies of scale. There are many new terms for techniques to get this done: using hybrid value chains, open source distribution, establishing partnerships, benefitting from network effects, etc. The underlying trend in all of this is in looking at collaborative relationships as the key to scaling sustainably. From the Collective Impact framework to the Social Impact Exchange itself, which operates working groups to develop and test collaborate funding structures, we expect to see more activity, and hopefully knowledge, develop in this area.

In the midst of this trend toward collaboration, a less discussed, but presumably just as important set of issues surrounds the role of the potential parties “taking up” a scalable innovation. What are the criteria for other organizations, localities, businesses and governments looking to adapt and adopt units of change that work? What are the driving questions of constituency readiness and commitment, and what scaling attempts have failed on the partner end and why? We hope to see more in this area going forward.

*What we found:*

- Case studies on strategic pathways to scale for nonprofits, replication and non-replication; theoretical frameworks
- Essential business planning elements
- Impediments to good business model development
- Some in-depth case studies on sector-specific lessons in scaling

*Implications for Research and Future Work:*

- Roles and guidelines for grantmakers during the planning stage
- Guidelines and lessons from the point of view of an organization adopting a scalable model or program: what to watch out for, partnership choices and lessons
- Successful patterns of grantmaker involvement in funding the scaling organization vs. their potential collaborative partners in scaling
- Most important outcomes from the planning process that will reduce the risk of unsuccessful implementation

 Overview Readings	Abstracts
<p><a href="#">What Do We Mean by Scale?</a> By Dara Major <i>Grantmakers for Effective Organizations (GEO)</i> 2011</p>	<p>Grantmakers are broadening their understanding of scale as a means to grow social impact without necessarily increasing the size of the organization or programs they support. Recognizing that there are a variety of approaches to scale, this paper explores what can be scaled and grantmaking practices that support nonprofits in growing their impact.</p>
<p><a href="#">Pathways to Social Impact: Strategies for Scaling Out Successful Social Innovations</a> By Gregory Dees, Beth Anderson, and Jane Wei-Skillern <i>The Center for the Advancement of Social Entrepreneurship (CASE), Duke University</i> August 2002</p>	<p>The Matrix of Strategic Options for Scaling Out is a conceptual framework to help social entrepreneurs and funders identify and assess options for scaling innovations, including branching, affiliation and dissemination. The authors also recommend refining scaling strategy by considering the Five R's: Readiness, Resources, Receptivity, Risk, and Return.</p>
<p><a href="#">Scaling Impact</a> By Jeffrey Bradach <i>The Bridgespan Group</i>, Summer 2010</p>	<p>This article poses the question, “How can we get 100x the impact with only a 2x change in the size of the organization?” It identifies some tools and strategies that expand the impact of organizations well beyond what their size would seem capable of (e.g., using web and social media to expand networks, using intermediaries, developing talent, etc).</p>
<p><a href="#">Business Planning for Nonprofits: What It Is and Why It Matters</a> By Kelly Campbell and Betsy Haley <i>The Bridgespan Group</i>, August 2008</p>	<p>This article describes four components typically seen in the business planning process: strategic clarity; strategic priorities; resource implications; and performance measures. Noting that business planning requires significant energy, the authors also include questions readers can use to help determine if their organization is ready to take the plunge.</p>

<p><a href="#">Business Planning for Enduring Social Impact: A Root Cause How-to Guide</a> By Andrew Wolk and Kelley Kreitz <i>Root Cause</i>, 2008</p>	<p>This guide provides an introduction to business planning, drawing on Root Cause's consulting engagements with dozens of organizations and its work with its own social enterprise initiatives.</p>
<p><a href="#">Scaling Social Impact: When Everybody Contributes, Everybody Wins</a> By Jon McPhedran Waitzer &amp; Roshan Paul <i>Innovations</i>, 2011</p>	<p>This article provides an overview of challenges of scaling, strategies to overcome these obstacles, and lessons learned. The authors describe emerging mechanisms for scaling impact beyond organizational growth; they identify “open-source changemaking” (or open innovation) and “smart networks” as key pathways for spreading social innovations.</p>
<p><a href="#">How Do Networks Support Scale?</a> By Dara Major <i>Grantmakers for Effective Organizations (GEO)</i> 2011</p>	<p>Many grantmakers are adopting a network mindset, going beyond the traditional constraints of stand-alone grants, initiatives or organizations. This briefing paper provides a look at how networks can support the efforts of grantmakers to build relationships, harness complementary resources and work together to scale impact.</p>
<p><a href="#">Asset Building for Social Change: Pathways to Large-Scale Impact</a> <i>The Ford Foundation</i>, 2004</p>	<p>This report presents a scaling framework defined by “five basic pathways to scale.” The report shares key learnings and gaps; which strategies can be used to move along a particular pathway; how combinations of pathways may be used; what each pathway’s factors for success may be; and how to design solutions and build capacities for “scalability.”</p>
<p><a href="#">Scaling Your Social Venture: Becoming an Impact Entrepreneur</a> By Paul N. Bloom <i>Palgrave MacMillan</i>, June 2012</p>	<p>When should a social entrepreneurial venture scale? What should they try to understand about the ecosystem in which they operate? What steps can be taken to assess the organization's unique situation and determine the most effective scaling strategies? Bloom outlines the SCALERS model for building an organization's capacity to scale.</p>
<p><a href="#">How Nonprofits Get Really Big</a> By William Foster and Gail Fine <i>Stanford Social Innovation Review</i>, Spring 2007</p>	<p>Since 1970, only 144 U.S. nonprofits have reached \$50 million in annual revenue. Most of the members of this elite group got big by doing two things. They raised the bulk of their money from a single type of funder such as corporations or government and they created professional organizations tailored to the needs of their primary funding sources.</p>

 Case Studies/Lessons Learned	Abstracts
<p><a href="#">New Pathways to Scale for Community Development Finance</a> By Gregory A. Ratliff and Kirsten S. Moy with Laura Casoni, Steve Davidson, Cathie Mahon, and Fred Mendez <i>Profitwise News &amp; Views</i>, December 2004</p>	<p>This paper proposes a framework for CDFIs and funders to facilitate product development and expand delivery. The authors look at ten case studies, capturing the lessons of these cases, and exploring ways CDFIs may grow and extend their reach to millions of unserved and underserved households in need of their services.</p>
<p><a href="#">ChildFinance: Changing an Ecosystem to Achieve Social Impact</a> By Paul N. Bloom and Bram Stoffele <i>Center for the Advancement of Social Entrepreneurship (CASE) at Duke University and ChildFinance</i>, 2010</p>	<p>This case study on Aflatoun, one of the world’s leading social enterprises, examines how to create a “Path to Ecosystem Change” in order to achieve greater social impact.</p>

<p><a href="#">Scope, Scale, and Sustainability</a> By Tina R. Trent and David M. Chavis <i>Association for the Study and Development of Community</i>, November 2007</p>	<p>This report summarizes a study of eleven Comprehensive Community Initiatives (CCIs) - multifaceted initiatives addressing complex problems and funded by public sector agencies and philanthropies. The report examines the success factors as they relate to a CCI achieving the scale required to generate community-level outcomes and sustain impacts.</p>
<p><a href="#">A Conversation on Sustaining Rapid Growth in Nonprofits</a> Compiled by Richard and Susan Smith Family Foundation January 2005</p>	<p>Summary of meeting which gave representatives from six organizations receiving Smith Family Foundation Capacity Building Grants an opportunity to share their experiences in navigating periods of rapid growth. The report includes dialogue between funders and grantees on how they might best collaborate in growing worthy organizations to scale.</p>
<p><a href="#">Capturing the Essential Elements</a> By David Racine <i>Public/Private Ventures</i>, October 2004</p>	<p>When a program with demonstrated effectiveness is expanded, knowing how and why it works is an indispensable first step. This report shows how to define a model's essential elements to increase the chances of successful replication. It contains lessons for program developers, funders and practitioners interested in adopting model programs.</p>
<p><a href="#">Learning from Performance Measurement: Investing in What Works</a> By Root Cause June 2005</p>	<p>As part of the Social Innovation Forum, six organizations defined their two-year goals, the investment required to achieve those goals, and a set of key measures. This report provides profiles (and a template) showing each organization's progress and lessons learned.</p>
<p><a href="#">More Bang for the Buck</a> By Alex Neuhoff and Bob Searle <i>Stanford Social Innovation Review</i>, Spring 2008</p>	<p>Recognizing that increasing productivity could be a powerful way for nonprofit organizations to multiply the impact of their work, the authors explore how three nonprofits succeeded in reducing costs without sacrificing the quality of their services.</p>



## Useful Tools/Frameworks

## Abstracts

<p><a href="#">Cultivate Your Ecosystem</a> By Paul N. Bloom and Gregory Dees <i>Stanford Social Innovation Review</i>, Winter 2008</p>	<p>Social entrepreneurs not only must understand the broad environment in which they work, but also must shape those environments to support their goals, when feasible. Borrowing insights from the field of ecology, the authors offer an ecosystems framework to help social entrepreneurs create long-lasting and significant social change.</p>
<p><a href="#">Approaches to Scaling Social Impact</a> By John Kalafatas <i>The Center for the Advancement of Social Entrepreneurship (CASE), Duke University</i>, 2006</p>	<p>Organizations face options about what to scale and how to scale their impact. The spectrum of goals and strategies for creating and scaling social impact ranges from impact through direct service to impact through indirect influence. By selecting combinations of goals and strategies from this "toolbox," organizations can craft a strategy for scaling impact.</p>
<p><a href="#">Laying a Solid Foundation: Strategies for Effective Program Replication</a> By Geri Summerville with Becca Raley <i>Public/Private Ventures</i>, July 2009</p>	<p>This publication is a guide for policymakers, practitioners and philanthropists interested in a systematic approach to program replication. It lays out key structures that should be in place before wide-scale replication is considered, the steps needed to ensure success, and details on when to replicate, where the replication should take place, and staff resources needed.</p>

[Locally Grown: Key Strategies for Expanding Workforce Services](#)

By Sheila Maguire

*Public/Private Ventures*, November 2006

This report profiles three workforce organizations and explores the strategies they used to grow their programs locally. The report examines the dilemmas workforce organizations frequently face in meeting the needs of their customers—job seekers and employers—and also the needs of the public funding agency that is often paying the bill.

[The Networked Nonprofit](#)

By Jane Wei-Skillern and Sonia Marciano

*Stanford Social Innovation Review*, Spring 2008

Do nonprofits have to be large to do the most good? Some of the world's most successful organizations stay small, sharing their load with like-minded, long-term partners. The success of these networked nonprofits suggests that organizations should focus less on growing themselves and more on cultivating their networks.



Insights for Funders

Abstracts

[Catalyzing Networks for Social Change: A Funder's Guide](#)

By Diana Scaire

*Grantmakers for Effective Organizations (GEO) and the Monitor Institute*, 2011

This publication explores what it takes to cultivate a network mindset, and offers recommendations for how funders can effectively build the capacity of networks and share what they're learning with the broader field. This guide is for grantmakers who are just beginning to explore networks and for those further along who want to reflect on their practice.

[Social Movements and Philanthropy: How Foundations Can Support Movement Building](#)

By Barbara Masters and Torie Osborn

*The Foundation Review*, 2010

As foundations seek to catalyze broad-based social change, there is a need for greater understanding of what social movements are, how they evolve, and the unique challenges they present. The authors identify five core elements to movement building: organizing an authentic base; leadership; vision and ideas; alliances; and advocacy infrastructure.

[Why Supporting Advocacy Makes Sense for Foundations](#)

*The Atlantic Philanthropies*, May 2008

This report explores the experiences of funders committed to supporting advocacy efforts. The report provides about the wide spectrum of advocacy activities funders can support, including: Research and Dissemination; Raising Awareness; Community Organising; Grassroots Mobilisation; Building Capacity; Policy Development; Lobbying; and Litigation.

[Making Change: How Social Movements Work and How to Support Them](#)

By Manuel Pastor and Rhonda Ortiz

*University of Southern California*, March 2009

In recent years, there has been renewed philanthropic interest in investing in social movements, community organizing and policy change. This report offers a guidepost to both funders and the field by detailing what makes for a successful social movement, what capacities need to be developed and what funding opportunities might exist.

## Implementation and Roll-Out

The literature in “Implementation and Roll-Out” relates to execution of the plan and, from a funder’s point of view, the intervening funding model that gets put into action to support the plan. More often than not both of these unfold over time, with different ecosystem players, including funders, refining their roles as the full plan becomes clear and as evidence becomes defined through experimentation. It is rarely the case that

all questions from the planning phase are fully answerable without testing through practice; implementation capital usually includes supporting an iterative learning and assessment process.

Still, this is clearly the phase that often requires the greatest cash commitment from grantmakers. As a result, there is a large amount of literature paying attention to two critical but related themes:

- 1) what the organization needs to do to build its *capacity* to scale, and
- 2) how funders can most effectively *use their capital* to leverage successful scaling

Experience is diverse, ranging from one funder providing one organization with an overall expansion grant to funding collaboratives aiming to unify multi-organization involvement over a common set of milestones. Models of complex layered capital and contracts among grantmakers, investors and governments that have become commonplace in asset-intensive scaling efforts like affordable housing, may become more prominent in new vehicles, such as Social Impact Bonds. In addition, we see a lot of experimentation in the early stages of implementation.

We've separated the literature on the issues of capital markets, capital purpose, capital tools, and capital collaboratives into the final section of the paper, on Financing Scale. Still, more than a few of the pieces in this phase discuss financial frameworks as the critical issue for funders remains – how does the social innovation initiative get the cash it needs to grow to 5x or 50x its impact and how can you, as a funder, exploit the best tools to help them succeed?

*What we found:*

- Operational strategies for growth: new sites, marketing, training staff, etc.
- Distinction between growth/equity capital and service purchase capital
- Funder collaboration and networks
- Role of intermediaries, as brokers

*Implications for Research and Future Work:*

- Funding needs of nonprofits during execution stage
- Strategic planning for successive levels of investment in implementation over time
- Best mix of funding types
- Controlling quality as part of growth
- How implementation looks different depending on where nonprofit is in its lifecycle



## Overview Readings

## Abstracts

[Going to Scale: The Challenge of Replicating Social Programs](#)

By Jeffrey Bradach

*Stanford Social Innovation Review*, Spring 2003

This article tackles the question of how proven nonprofit programs can increase their reach beyond single communities and how nonprofits can think about the decision to replicate and steps they can take through lessons learned by Jumpstart, City Year and STRIVE.

[Effective Capacity Building in Nonprofit Organizations](#)

By McKinsey & Co.

*Venture Philanthropy Partners*, August 2001

This report offers seven components of capacity building and offers insights and examples of how nonprofits have pursued building up their organizational muscle. McKinsey also developed a practical assessment tool for this report that nonprofits can use to measure their own organizational capacity.

<p><a href="#">Building Capacity in Nonprofit Organizations</a> By Carol J. DeVita and Cory Fleming <i>Urban Institute</i>, April 2001</p>	<p>This report focuses on capacity building and how each stakeholder—nonprofit, foundation, and researchers— has a role to play. The authors define capacity building, discuss why there is a need for it, outline its role in the development of nonprofits, and give guidelines to grantmakers on how and why to fund this effort.</p>
<p><a href="#">Reflections on Capacity Building</a> By Laura Campobasso and Dan Davis <i>The California Wellness Foundation</i>, April 2001</p>	<p>Nonprofit organizations often find it easier to raise funds for specific projects than resources to grow and develop their organization. This “lessons learned” paper explores the California Wellness Foundation’s efforts to promote capacity building at four public health initiatives.</p>
<p><a href="#">Deeper Capacity Building for Greater Impact</a> By Paul Connolly <i>TCC Group</i>, April 2007</p>	<p>This paper explains how to design a long-term capacity-building initiative. It is written for all sizes and types of funders including private foundations, corporate community involvement departments, and public agencies that want to pursue an initiative.</p>

 Case Studies/Lessons Learned	Abstracts
<p><a href="#">More Bang for the Buck</a> By Alex Neuhoff and Bob Searle <i>Stanford Social Innovation Review</i>, Spring 2008</p>	<p>Recognizing that increasing productivity could be a powerful way for nonprofit organizations to multiply the impact of their work, the authors explore how three nonprofits succeeded in reducing costs without sacrificing the quality of their services.</p>
<p><a href="#">Growth of Youth Serving Organizations</a> <i>The Bridgespan Group</i>, March 2005</p>	<p>This report looks at the growth in U.S. youth-serving organizations: the prevalence of growth, the factors that were critical in shaping how these organizations grew, and the major consequences of growth. It includes a summary, white paper, and case studies of <a href="#">20 youth-serving organizations</a> that had experienced significant growth in recent years.</p>
<p><a href="#">The Growth of YouthBuild</a> By Ayse Gucl, supervised by J. Gregory Dees and Beth Anderson <i>The Center for the Advancement of Social Entrepreneurship (CASE), Duke University</i> February 2004</p>	<p>This case study highlights the strategic decisions made in the scaling process of YouthBuild. YouthBuild combined both replication and advocacy efforts to effectively scale its impact. Learn about the challenges it faced and how it got legislation passed and partnered closely with the federal government to support its expansion.</p>
<p><a href="#">Guidelines for Replicating Programs to Prevent Teen Pregnancy</a> By Geri Summerville <i>Public/Private Ventures</i>, January 2006</p>	<p>This report provides guidance about the replication of effective pregnancy prevention programs and discusses lessons from the replication experiences of three specific programs: The Teen Outreach Program, The CAS-Carrera Program, and Plain Talk.</p>
<p><a href="#">Growing Bigger Better: Lessons from Experience Corps’ Expansion in Five Cities</a> By Lauren J. Kotloff with Linda Jucovy <i>Public/Private Ventures</i>, June 2008</p>	<p>Experience Corps underwent a four-year expansion with funds to expand in 5 of its 14 cities. This report evaluates the expansion effort, documents the strategies sites used to tackle challenges, and presents lessons relevant to other programs considering expansion, including the conditions that help assure success as well as the difficulties likely to be faced.</p>

[Citizen Schools: Creating a Strong Program Locally as a Basis for National Expansion](#)  
*The Bridgespan Group*, October 2004

Citizen Schools was patient, fine-tuning its model and tracking outcomes until it had established a solid foundation. When the organization was finally ready to expand, it grew along three dimensions: extending the program in Boston, developing a training program for other organizations, and expanding to other cities. By maintaining clear outcomes and investing in key talent, Citizen Schools improved its quality as it grew.



### Useful Tools/Frameworks

### Abstracts

[Good Stories Aren't Enough: Becoming Outcomes Driven in Workforce Development](#)  
By Martha A. Miles  
*Working Ventures: A Publication of Public/Private Ventures*, July 2006

Workforce development organizations are becoming more focused on outcomes; yet managers often face a challenge getting buy-in from staff about collecting and using data. This report looks at the experience of six organizations as they became more outcomes-driven and identifies strategies to increase staff involvement and communication around data.



### Insights for Funders

### Abstracts

[Fire, Aim, Ready: Why Most Foundation-Funded Capacity Building Efforts Miss the Mark](#)  
By Mary Genis  
*Philanthropy News Digest, Foundation Center*  
February 2008

In this article, the author reviews how nonprofit organizations can enhance their capacity-building efforts and proposes a new framework to use in the delivery of these efforts. In particular the author notes that leadership development and management training are crucial and organizations need to focus their efforts on creating these opportunities for staff.

## Evaluation and Ongoing Improvements

The literature in “Evaluation and Ongoing Improvements” relates to the set of tools, frameworks and experiential evidence that the organization(s) overseeing the scaling implementation can use to manage performance over the lifespan of the scaling initiative.

Much of the literature pertains to performance assessment and a performance culture. A continuous orientation towards outcomes requires a new way of working and thinking that becomes acutely important for a scaling initiative. There is some significant literature on this way of thinking.

Scaling requires constant tweaking and refining as you look for indicators of effectiveness. As a corollary, a new set of tools has emerged over the past 5-10 years to turn attention from post-hoc evaluation of what happened, to real-time indicators of performance that managers can react to in order to make mid-course corrections. For example, evaluation tools have been categorized by McKinsey and the Foundation Center specifically around grantmaker strategies, a huge step forward for funders. In addition, the “collective impact” frameworks offer grantmakers a new way of thinking about continuous evaluation of multi-actor collaborations and scaling efforts.

On the other hand, there is still not a great deal of attention in the literature to how best to engage grantmakers in evaluating non-replication scaling efforts. It is likely they will require new kinds of performance assessment and oversight.

*What we found:*

- Outcome-oriented thinking and frameworks
- Discussions of “collective impact” strategies
- Performance assessment tools for tracking costs and operations
- Dashboards and other data frameworks for ongoing management and improvement
- Importance of continuous improvement and learning plans

*Implications for Research and Future Work:*

- How to establish a strong culture of improvement
- Frameworks and tools to assess non-replication based scaling efforts

 Overview Readings	Abstracts
<a href="#">A Decade of Outcome-Oriented Philanthropy</a> By Paul Brest <i>Stanford Social Innovation Review</i> , 2012	Brest discusses approaches to philanthropy where donors seek to achieve clearly defined goals; where they and their grantees pursue evidence-based strategies for achieving those goals; and where both parties monitor progress toward outcomes and assess their success in order to make appropriate course corrections.
<a href="#">Leap of Reason: Managing to Outcomes in an Era of Scarcity</a> By Mario Morino <i>Venture Philanthropy Partners</i> , 2011	In this book, Morino calls on funders to empower nonprofits to manage smarter through greater use of information on performance and impact. The book also includes essays written by sector leaders with hands-on experience leading the transition to managing to outcomes, a framework to help organizations begin “managing to outcomes” and a compendium of relevant readings.
<a href="#">Yes We Can! Performance Management in Nonprofit Human Services</a> By David E.K. Hunter, Ph.D. <i>Social Solutions, Inc.</i> , 2009	The question of when and how to evaluate programs is an extremely complex one and many organizations struggle with the balance between accountability and over-measurement. This report discusses a five step process to successful performance management, allowing nonprofits to effectively manage programs, and ultimately help people.

 Case Studies/Lessons Learned	Abstracts
<a href="#">Learning from Performance Measurement: Investing in What Works</a> By <i>Root Cause</i> , June 2005	As part of the Social Innovation Forum, six organizations defined their two-year goals, the investment required to achieve those goals, and a set of key measures. This report provides profiles (and a template) showing each organization’s progress and lessons learned.

<p><a href="#">Measuring and/or Estimating Social Value Creating: Insights Into Eight Integrated Cost Approaches</a></p>	<p>This report analyzes eight approaches to integrating cost in estimating social value creation and assessing the relative benefits of funding a particular program or organization. These include two classical methodologies (cost-effectiveness analysis and cost-benefit analysis) and six promising approaches that have been developed in the last decade.</p>
<p>By Melinda T. Tuan <i>Bill and Melinda Gates Foundation</i> December 2008</p>	
<p><a href="#">AfterZone: Outcomes for Youth Participating in Providence's Citywide After-School System</a></p>	<p>This report presents findings from a 3 year quasi-experimental evaluation of the AfterZone—a citywide effort providing out-of-school-time youth services. The paper summarizes patterns of youth participation; examines the benefits to youth; and presents implications for funders, policymakers and program leaders interested in implementing their own system.</p>
<p>By Tina J. Kauh, <i>Public/Private Ventures</i> 2011</p>	
<p><a href="#">Breakthroughs in Shared Measurement and Social Impact</a></p>	<p>The traditional approach of measuring success of individual grants and initiatives neglects the reality that no single organization can solve the scale of today's social challenges. This research highlights 20 social enterprises that developed innovative and coordinated web-based approaches to evaluate their impact across multiple grants and stakeholders.</p>
<p>By Mark Kramer, Marcie Parkhurst, Lalitha Vaidyanathan <i>FSG Social Impact Advisors</i>, July 2009</p>	
<p><a href="#">Leveraging Limited Dollars: How Grantmakers Achieve Tangible Results by Funding Policy and Community Engagement</a></p>	<p>The paper assesses the impact of foundation-funded policy advocacy, community organizing and civic engagement. It explains how these strategies create stronger communities and why they are successful. It provides a profile of grantmakers who currently fund these types of strategies, and offers suggestions for other funders. The full series of studies and a database of policy wins is available at <a href="http://www.ncrp.org/gcip">www.ncrp.org/gcip</a>.</p>
<p>By Lisa Ranghelli <i>National Committee for Responsive Philanthropy</i> January 2012</p>	



**Useful Tools/Frameworks**

**Abstracts**

<p><a href="#">TRASI</a> (Tools and Resources for Assessing Social Impact) <i>The Foundation Center</i></p>	<p>Tools and Resources for Assessing Social Impact (TRASI) is a searchable, expert-reviewed database of over 150 approaches to measuring the impact of social programs and investments. It also features a community portal for nonprofits, grantmakers, and social enterprises to connect with peers and evaluation experts.</p>
<p><a href="#">Outcome Indicators Project</a> <i>The Urban Institute &amp; The Center for What Works</i></p>	<p>The Outcome Indicators Project provides a framework for tracking nonprofit performance. It suggests outcomes and outcome indicators to assist nonprofits that seek to develop new outcome monitoring processes or improve existing systems. The website also contains reports applying the Outcome Framework to 14 specific program areas (e.g., advocacy, performing arts, youth mentoring, etc)</p>

[Performance Dashboards: Speedometer and Odometer for Social Enterprise](#)

By David Derryck and Samra Haider  
*REDF*, April 2009

Presentation of the basics of performance dashboards: What are dashboards and why are they useful? How are nonprofit and for-profit dashboards different? Who looks at a dashboard?

[An Information OASIS: The Design and Implementation of Comprehensive and Customized Client Information and Tracking Systems](#)

By Fay Twersky and BTW Consultants  
*REDF*, 2002

Despite increasing demands for outcome measurement, nonprofits typically do not have the capacity to collect, analyze and use outcome information. This paper describes the process of planning and developing customized tracking systems for nonprofits. The system is called OASIS (Ongoing Assessment of Social Impacts) and aims to help managers assess whether their organization is having the desired impact.



Insights for Funders

Abstracts

[Expanding the Impact of Grantees: How Do We Build the Capacity of Nonprofits to Evaluate, Learn and Improve?](#)

By Dara Major  
*Grantmakers for Effective Organizations (GEO)*  
2011

High-performing organizations seek and use data and feedback to continually assess and improve their work. This paper explores how grantmakers can effectively support grantee efforts to strengthen evaluation and learning capacity.

[Measuring the Impacts of Advocacy and Community Organizing: Application of a Methodology and Initial Findings](#)

By Lisa Raghelli  
*The Foundation Review*, 2009

This article describes some of the theoretical frameworks and methods for measuring the impact of civic engagement, policy advocacy, and community organizing. It includes a measurement tool as well as key findings from two state-level initiatives to analyze impacts of advocacy programs.

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## Financing Across All Stages

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The critical question faced by grantmakers across every phase is about how to match the kind, amount and constraints of capital to its purpose, so that the scaling initiative is given the cash it needs to succeed, at the right time and amount along the way. But for many, this has been elusive given the disconnect between grantmaking patterns and the diverse capital needs of sustainable scaling of impact. For example, it is clear that implementation capital requires collaboration among funding sources simply to generate enough capital, yet foundations and grantmakers are not structured for easy collaboration. Thus a significant portion of this literature relates to how grantmakers can act cohesively and more like a capital market that can work effectively to nurture and support healthy scaling, from assessment through evaluation. Subthemes include capacity-building, build vs. buy capital, PRIs, MRIs and impact investing, funding collaboratives, and outcome-driven capital strategies.

Financial Tools & Strategies	Abstracts
<p><a href="#">How Does Financial Sustainability Relate to Growth — and What Can Grantmakers Do to Support It?</a> By Dara Major <i>Grantmakers for Effective Organizations (GEO)</i> 2011</p>	<p>Financial health is critical to scaling social impact. This paper explores the role grantmakers can play in assessing and nurturing an organization's internal health, while putting them on track to financial sustainability. By achieving financial stability nonprofits gain the ability to adapt over time, meet unanticipated needs and plan for the future.</p>
<p><a href="#">From Blueprint to Scale: The Case for Philanthropy in Impact Investing</a> By Harvey Koh, Ashish Karamchandani and Robert Katz <i>Monitor Group in collaboration with Acumen Fund</i> April 2012</p>	<p>Truly realizing impact investing's potential will require more, not less, philanthropy, and that philanthropy will need to be delivered in new ways. The report explains how impact investing is constrained by the realities of inclusive business; describes enterprise philanthropy; analyzes case studies from Acumen Fund's portfolio; offers recommendations for philanthropic funders and impact investors; and more.</p>
<p><a href="#">Money to Grow On</a> By William Foster <i>Stanford Social Innovation Review</i>, Fall 2008</p>	<p>For-profit investors have sophisticated techniques for spotting and growing the most promising companies. Yet foundations and other nonprofit donors have not developed similar approaches. By better translating for-profit concepts, donors can learn how to scout and grow the best nonprofits and nonprofits can better attract cash for expansion.</p>
<p><a href="#">Creating a Capital Curve for Social Enterprises</a> By Brian Trelstad and Robert Katz <i>Acumen Fund</i>, February 2012</p>	<p>A key question many impact investors have is how best to arrange the financing mix of the social businesses they support in order to achieve greatest possible impact. This paper shares Acumen's insight into how best to help social enterprises navigate the path towards scale and sustainability.</p>
<p><i>Developing a Capital Market</i></p>	
<p><a href="#">The Nonprofit Marketplace: Bridging the Information Gap in Philanthropy</a> By Maisie O'Flanagan, Jacob Harold and Paul Brest <i>The William and Flora Hewlett Foundation and McKinsey and Co.</i>, 2008</p>	<p>This paper seeks to answer two questions: what do donors need to make smart decisions about giving, and how can the philanthropic world ensure that the most effective nonprofits get the resources they need? This paper summarizes the authors' perspectives on how the nonprofit sector might improve the flow of information over the next 5 to 10 years.</p>
<p><a href="#">The U.S. Nonprofit Capital Market</a> By Jed Emerson <i>REDF</i>, 2000</p>	<p>This article presents a basic framework for understanding the work of funders and practitioners, and the resources that connect them. It uses as its basic frame of reference the for-profit capital market, drawing parallels and lessons from that comparison, to help understand the strategic use of philanthropic capital in the pursuit of charitable goals.</p>
<p><a href="#">Billions of Drops in Millions of Buckets: Why Philanthropy Doesn't Advance Social Progress</a> By Steven H. Goldberg <i>John Wiley &amp; Sons, Inc.</i>, 2009</p>	<p>In this book, the author explores three questions: Why does the social sector need more effective capital markets? What would robust nonprofit capital markets look like? How can such markets be created? The book addresses how the nonprofit market should be structured to best allocate funds in support of high-performing organizations.</p>

*Grantmaker practices, strategies, and challenges in financing scaling initiatives*

[A Decade of Outcome-Oriented Philanthropy](#)

By Paul Brest

*Stanford Social Innovation Review*, 2012

The author discusses approaches to philanthropy where donors seek to achieve clearly defined goals; where they and their grantees pursue evidence-based strategies for achieving those goals; and where both parties monitor progress toward outcomes and assess their success in order to make appropriate course corrections.

[PRI Makers Network Publications](#)

A collection of relevant resources on PRIs can be found at this resources link.

[Nonprofit Growth Capital: Defining, Measuring and Managing Growth Capital in Nonprofit Enterprises: Part One: Building is not Buying](#)

By George M. Overholser

*Nonprofit Finance Fund*, 2010

Building an enterprise is fundamentally different than buying services from that enterprise. And yet, standard nonprofit accounting sheds no light on the building vs. buying distinction. The author believes that this missing distinction is a major reason why a market for nonprofit growth capital has failed to materialize, but that the system can be fixed.

[The Growth Capital Market in the U.S.](#)

By Heiner Bauman

*Alliance Magazine*, March 2005

One of the primary obstacles to scale is lack of access to growth capital. Some social entrepreneurs have turned to venture philanthropy firms that specifically support the formation, establishment and growth of social enterprises. This article discusses the developing growth capital market in the US, and the limitations of this market.

[A New Kind of Grant](#)

By George M. Overholser

*Nonprofit Finance Fund*, June 2008

The toughest thing about building or expanding a nonprofit enterprise is getting the funding. This article presents a different way to find the money without ending up on the fund-raising treadmill: the Sustainable Enhancement Grant: A New Funding Tool for Building Organizations.

[Breaking the Wall Between Funding Direct Services and Advocacy](#)

*National Committee for Responsive Philanthropy*

Fall 2011

This article features two foundations (The Marguerite Casey Foundation and the Foundation for the Mid South) that fund both important direct social services within their communities as well as policy and civic engagement efforts that seek to address the root causes of critical social issues.

[Examples of Program Related Investments](#)

*Federal Register, The Daily Journal of the U.S.*

*Government*

April 2012

This document contains proposed regulations that provide guidance to private foundations on program-related investments (PRIs) and will affect foundation managers who participate in the making of PRIs. The proposed regulations also include a series of new examples illustrating investments that qualify as PRIs.

[Funder-Intermediary Relationships: Promises and Pitfalls](#)

*Fieldstone Alliance*, March 2008

This report summarizing findings of a Fieldstone Alliance online survey and outlines critical success factors that lead to positive, mutually beneficial relationships between funders and intermediaries. The findings can be used by both funders and intermediaries as a guide when developing contracts or grants, and as a tool to manage partnerships.

[How Can Grantmakers Aggregate Resources to Grow Impact?](#)

By Dara Major

*Grantmakers for Effective Organizations (GEO)*

2011

Approaches to solving social problems are often fragmented and funding processes complex or unnecessarily restrictive. This briefing paper explores more unified grantmaking approaches, like co-funding, that increase leverage and reduce transaction costs. It also highlights funders who achieve better results through a collective approach than by working alone.

*Applying for-profit business strategies to nonprofit grantmaking – thinking like an investor*

[The Capital Curve for a Better World](#)

By Matthew Bishop and Michael Green  
*Innovations Journal*, MIT, Winter 2010

This article discusses financing social innovation and provides examples to illustrate the building blocks of a social capital market, and how they have (or can) be implemented successfully. A theme is linking finance to the right kind of organization structure at the right time and that this requires a sophisticated understanding of social impact and metrics.

[Impact Capital Measurement: Approaches to Measuring the Social Impact of Program-Related Investments](#)

By Melinda Tuan  
*Robert Wood Johnson Foundation*  
November 2011

This report describes five different foundations' approaches to measuring the social impact of PRIs and also reviews three additional approaches to measuring the social impact of other impact investments that may be relevant to foundations. The purpose is to present some possibilities for thinking about measuring the social impact of program-related investments.

[Interview - Paul Brest, Jed Emerson, Katherina Rosqueta, Brian Trelstad and Michael Weinstein](#)

*Alliance Magazine*, April 2009

This interview talks with several industry leaders about the strengths and weaknesses of their approaches to assessing the impact of funding, what they had learned from the research, and what they see as the next steps for the field.

[Venture Philanthropy 2002: Advancing Nonprofit Performance Through High-Engagement Grantmaking](#)

Prepared by *Community Wealth Ventures* for  
*Venture Philanthropy Partners*, January 2002

This report emphasizes lessons learned about venture philanthropy and other forms of high-engagement grantmaking and features a series of essays from leaders in the field. It also includes comprehensive profiles of 50 organizations involved in high-engagement grantmaking, as well as an analysis of survey data tracking trends in the field.

[The Equity Capital Gap](#)

By Clara Miller  
*Stanford Social Innovation Review*, Summer 2008

For-profits can raise money to fund growth by tapping equity capital (money invested in return for ownership and profits). Nonprofits have no corollary, making it difficult and time-consuming to raise money. The author explores ways that nonprofits and funders can create a version of equity capital and develop an equity approach to doing business.

[Guide to Effective Social Investing](#)

By David E.K. Hunter and Steve Butz  
*Alliance for Effective Social Investing*  
October 2008

This guide provides a means for bringing greater rationality to the ways in which nonprofits are selected to receive funds, and for clarifying how to think about the measurable social value that they – and those who invest in them – can and should be held accountable for creating.

[Hidden in Plain Sight: Understanding Nonprofit Capital Structure](#)

By Clara Miller  
*Nonprofit Quarterly*, Spring 2003

This report highlights capital structure - the distribution, nature and magnitude of an organization's assets, liabilities and net assets - as a critical driver of organizational success. It also illustrates how funders can inadvertently contribute to the undercapitalization of nonprofits and suggests several "capital-savvy principles for grantmakers."

*New investment products and financial vehicles for scale*

[From Potential to Action: Bringing Social Impact Bonds to the U.S.](#)

By Laura Callanan, Jonathan Law and Lenny Mendonca  
*McKinsey & Co.*, 2012

This report explain how SIBs are structured, assesses their potential in two specific program areas (homelessness and criminal justice), describe the various stakeholder groups involved, and present the results of a pro forma analysis of a hypothetical SIB.

[Social Impact Bonds: A Promising New Financing Model to Accelerate Social Innovation and Improve Government Performance](#)

By Jeffrey B. Liebman  
*Center for American Progress*, February 2011

This report examines the social impact bond, including why existing government approaches create barriers to social innovation, describing the social impact bond model and the U.K. Peterborough Prison test, discussing the key challenges in selecting promising applications, and discussing the work to be done to establish the first U.S.-based tests of the model.

[Pay for Success Learning Hub](#)

*Nonprofit Finance Fund*, 2011

NFF's Pay for Success Learning Hub provides extensive information on the development of Social Impact Bonds, and has aggregated resources on the topic for service providers, investors, government, and other stakeholders.

[A New Tool for Scaling Social Impact: How Social Impact Bonds Can Mobilize Private Capital to Advance Social Good](#)

*Social Finance, Inc.*, 2012

This publication provides an overview of both the promise and challenges of developing and implementing Social Impact Bonds in the United States. Despite the many complexities, multi-stakeholder interactions, and varying dimensions of risks, Social Impact Bonds represent a potentially valuable new tool for scaling social impact.



**Case Studies/Lessons Learned**

**Abstracts**

[Moving Ideas and Money: Issues and Opportunities in Funder Collaboration](#)

By Ralph Hamilton  
*The Funder's Network for Smart Growth & Livable Communities*, February 2002

This paper looks at funding collaboration, reporting general findings from a diverse sample of experienced collaborators, and framing tensions funders face when choosing a collaborative approach. The final section suggests both cautions about funder collaboration, as well as opportunities that funder collaboration offers philanthropy.

[An Experiment in Coordinated Investment](#)

*Edna McConnell Clark Foundation*  
October 2008

This report documents the Edna McConnell Clark Foundation's experience with its Growth Capital Aggregation Pilot – describing the factors that led them to develop the pilot, key aspects of this joint approach to supporting three effective youth organizations, and what the Foundation and its co-investors hope to accomplish moving forward.

[Collaborating to Innovate: Achievements and Challenges in the New York City Sectors Planning Phase](#)

By Stacy Woodruff-Bolte and Shayne Spaulding  
*Public/Private Ventures*, August 2007

This report looks at the initial start-up and planning phases of NYCSI (the New York City Sectors Initiative, a project aimed at creating a new model for workforce development in NYC). The report reflects on lessons learned around how to build collaborative workforce projects aimed at meeting the needs of employers and job seekers.

[From Blueprint to Scale: The Case for Philanthropy in Impact Investing](#)

By Harvey Koh, Ashish Karamchandani and Robert Katz  
*Monitor Group in collaboration with Acumen Fund*  
April 2012

Truly realizing impact investing's potential will require more, not less, philanthropy, and that philanthropy will need to be delivered in new ways. The report explains how impact investing is constrained by the realities of inclusive business; describes enterprise philanthropy; analyzes case studies from Acumen Fund's portfolio; offers recommendations for philanthropic funders and impact investors; and more.

[Collaborative Funding for Greater Impact: A Case Study of the Cincinnati Experience](#)

By William H. Woodwell, Jr.  
*Grantmakers for Effective Organizations (GEO)*  
2012

A group of 15 grantmakers collaborated to deliver funding and technical assistance to nonprofits working to improve outcomes - from cradle to career - for young people in the region. This guide explains their story and offers takeaways that apply to any grantmaker that wants to join with others to amplify impact and support nonprofits in collaborative ways.

[More Than Money: Making a Difference with Assistance Beyond the Grant](#)

By Ellie Buteau, Phil Buchanan, Cassie Bolanos, Andrea Brock, and Kelly Chang  
*Center for Effective Philanthropy*, December 2008

This report examines the different ways that foundations provide assistance to nonprofit organizations beyond grantmaking, and describes which ones "really matter to grantees." It also looks at three foundations that exemplify the trend: the Hartford Foundation for Public Giving, Winter Park Health Foundation, and The Wallace Foundation.

[From Grantmaker to Federal Grantee: Risks and Rewards](#)

By William H. Woodwell Jr.  
*Grantmakers for Effective Organizations*, 2011

This guide highlights three grantmakers that participated in the Social Innovation Fund's inaugural year. The report includes their experience of shifting from grantmaker to federal grantee (benefits and barriers), how they strengthened their own knowledge and what capacities they developed to make the partnership with the federal government work.

[Widening the Pool: Open and Inclusive Grant Competitions](#)

By William H. Woodwell Jr.  
*Grantmakers for Effective Organizations*, 2012

This guide explores how grantmakers designed and managed open grantmaking processes as a condition for receiving SIF grants. Topics include broadening the applicant pool, open communication, consistent technical assistance to applicants, and application review. Lessons are applicable to grantmakers interested in making their processes open and transparent.

## Appendix A: About the Social Impact Exchange Partners

The **Social Impact Exchange** (<http://www.socialimpactexchange.org>) is a community of funders, advisors, wealth managers, intermediaries, nonprofits and researchers interested in funding and developing practices for scaling-up social solutions. The Exchange's purpose is to establish a *marketplace ecosystem* that consistently enables effective social interventions to achieve scaled impact.

The Social Impact Exchange was launched by the *Growth Philanthropy Network (GPN)*, in partnership with Duke University - *Center for Strategic Philanthropy and Civil Society (CSPCS)* and its *Center for the Advancement of Social Entrepreneurship (CASE)*. The Exchange has three main functions:

- **Facilitate increased funding** of nonprofit scaling initiatives through funder networks and growth capital markets in specific issues and geographies.
- **Develop and share knowledge**, including research, information and education that leads to more effective scaling efforts.
- **Build Field Infrastructure** to enable a *capital marketplace* to emerge, including standards, funding platforms, and distribution channels to efficiently connect funders with growth initiatives.

### About Growth Philanthropy Network:

Growth Philanthropy Network (GPN, [www.growthphilanthropy.org](http://www.growthphilanthropy.org)) was founded in March 2004 as a nonprofit committed to the long-term goal of building a philanthropic *capital marketplace* and ecosystem that will provide consistent and reliable funding for the large-scale expansion of high-impact nonprofit initiatives. Our mission is to exponentially increase the positive social impact of best-in-class nonprofit organizations in order to improve the lives of millions of individuals.

We believe the establishment of a growth capital marketplace, in which funders make well-researched investments to help top-performing nonprofits with proven solutions scale their impact, will transform the social sector.

### About CASE at Duke University:

The Center for the Advancement of Social Entrepreneurship (CASE, [www.caseatduke.org](http://www.caseatduke.org)) at Duke University's Fuqua School of Business promotes the entrepreneurial pursuit of social impact through the thoughtful adaptation of business expertise. For over 10 years, CASE has prepared current and emerging leaders, and the organizations that support them, to achieve real and lasting social change, through:

- **Education:** We prepare Duke MBA students to become leaders of consequence.
- **Research:** We conduct research and develop new insights.
- **Field-Building:** We provide the tools and help build the ecosystems that allow social entrepreneurs to succeed.

### About CSPCS at Duke University:

The Center for Strategic Philanthropy and Civil Society (CSPCS, [www.cspcs.sanford.duke.edu](http://www.cspcs.sanford.duke.edu)) researches, analyzes, and promotes philanthropy that consistently produces high impact. CSPCS stimulates communication, collaboration, and problem-solving around pressing issues of public policy and philanthropy.

The Center was formally created in 2008 at the Terry Sanford Institute of Public Policy (now the Sanford School of Public Policy), Duke University. Edward Skloot, for 18 years the President of the Surdna Foundation in New York City and, before that, the founder of a nonprofit organization focusing on social entrepreneurship, directs the Center. Joel Fleishman, Professor of Law and Public Policy and the motive force behind the Center's establishment, is the Center's Faculty Chair.

## Appendix B: Social Impact Exchange Knowledge Working Group

The Social Impact Exchange Knowledge Working Group is a professional network of 50 researchers and practitioners who provide strategic direction for capturing, sharing, and leveraging knowledge on scaling impact within the field. The Knowledge Working Group meets several times annually and in the coming year will be instrumental in building out the Exchange’s database of resources, identifying priorities for future research and writing, and designing a professional development program for foundations, intermediaries, consultants and others.

Knowledge Working Group Members		
Joy Anderson <b>Criterion Ventures</b>	Kimberly Dasher Tripp <b>Skoll Foundation</b>	Adin Miller <b>Adin Miller Consulting</b>
William Bacon <b>The Duke Endowment</b>	Meghan Duffy <b>Grantmakers for Effective Organizations</b>	Matt Nash <b>CASE at Duke University</b>
Lucy Bernholz <b>Arabella Philanthropic Advisors</b>	Nadine Freeman <b>Ashoka</b>	Scott Newbert <b>Villanova University</b>
Paul Bloom <b>CASE at Duke University</b>	Kevin Greer <b>New Profit Inc.</b>	Cynthia Osborn <b>Lutheran Services in America</b>
Elizabeth Boris <b>The Urban Institute</b>	Allen S. Grossman <b>Harvard Business School</b>	Craig Reigel <b>Nonprofit Finance Fund</b>
John Brothers <b>Cuidiu Consulting</b>	Pamela Hartigan <b>Skoll Centre for Social Entrepreneurship at Oxford University</b>	Lauren Russell Geskos <b>Rockefeller Philanthropy Advisors</b>
Ronna Brown <b>Philanthropy New York</b>	Rob Ivry <b>MDRC</b>	Tamara Schweitzer Raben <b>Growth Philanthropy Network</b>
Mike Burns <b>BWB Solutions</b>	Michele Kahane <b>The New School</b>	Edward Skloot <b>Duke University</b>
Ellie Buteau <b>The Center for Effective Philanthropy</b>	Gabriel Kasper <b>Monitor Group</b>	Brett Smith <b>University of Miami</b>
Laura Callanan <b>McKinsey &amp; Co.</b>	Tom Kelly <b>Annie E. Casey Foundation</b>	Suzanne Smith <b>Social Impact Architects</b>
Amy Celep <b>Community Wealth Ventures</b>	Kelley Kreitz <b>Root Cause Institute</b>	Katie Smith Milway <b>The Bridgespan Group</b>
Albert Chung <b>The Edna McConnell Clark Foundation</b>	Victor Kuo <b>FSG</b>	Geri Stengel <b>Ventureneer</b>
Cathy Clark <b>CASE at Duke University</b>	Christine Letts <b>Harvard University</b>	Geri Summerville <b>Summerville Consulting</b>
David Colby <b>Robert Wood Johnson Foundation</b>	Chris Lindquist <b>The Bridgespan Group</b>	Michael Swack <b>University of New Hampshire</b>
Paul Connolly <b>TCC Group</b>	Katelyn Mack <b>FSG</b>	Jackie VanderBrug <b>Criterion Ventures</b>
Jody Cornish <b>New Profit, Inc.</b>	Sheila Maguire <b>Public/Private Ventures</b>	Jessie Watrous <b>Annie E. Casey Foundation</b>
Helen Davis Picher <b>William Penn Foundation</b>	Cynthia W. Massarsky <b>Growth Philanthropy Network</b>	Peter York <b>TCC Group</b>

## Appendix C: Social Impact Exchange Knowledge Center

The Social Impact Exchange is a cross-sector membership association for sharing knowledge and increasing investment in scaling effective social programs and solutions. It is a partnership between the Growth Philanthropy Network and Duke University. The primary purpose of the Exchange is to create a national marketplace consisting of key stakeholders who collaborate to build best practices around scaling social impact.

Central to building this marketplace is the need to consistently capture, share, and leverage knowledge on scaling, in order to inform and guide funders and social investors, educate nonprofits about what it takes to scale impact, and to provide the sector overall with a framework for achieving scale and sustaining growth. This commitment to knowledge building for the sector led the Social Impact Exchange to build a Knowledge Center, a free online database that currently houses 175 pieces of content that address the topic of scale. The database includes a mix of content types including: case studies; white papers; research reports; studies; guidebooks; essays; magazine and newspaper articles; workshop/presentation slides; tools; templates; books; and blog entries.

With the help of Knowledge providers in the field (many of whom are members of the Exchange's Knowledge Working Group), the Exchange is continually capturing new information and research on the topic of scaling impact. In the coming months, the Exchange will be updating the Knowledge Center to provide improved functionality, include more multimedia resources, and to further categorize the content around specific subtopics. The Exchange will be constructing topic and subtopic filters according to the [Topics in Scaling](#) document that the Knowledge Working Group developed.

The Knowledge Center is free to access at: <http://bit.ly/siexknowledge>.

## Appendix D: Methodology

### *Scope:*

As part of the collaborative research initiative with GEO, “Scaling What Works,” The Social Impact Exchange was commissioned to conduct a literature review to determine what resources and materials exist, particularly for funders, on the topic of scaling impact.

Based on the literature review, the Exchange has summarized findings regarding what is known and what funders need to know about the stages of scaling impact, and grantmaker practices that support different types of scaling initiatives.

The literature review highlights available resources for both replication-based and non-replication-based models of scaling, as well as lessons and frameworks that funders can apply to their own scaling portfolios.

In identifying what resources exist for the funder’s role in scaling impact, the Exchange has also provided suggestions on where further knowledge and research could be developed.

### *Approach and Process:*

In conducting the literature review, the Exchange first combed through its existing body of resources in the Knowledge Center (see Appendix B). These resources were assembled from previously aggregated lists that both the Exchange and Duke University had on file. In addition, the knowledge working group members and founding members of the Exchange were surveyed for their top resource picks. In order to categorize the large body of literature on scaling impact and help funders and nonprofit organizations think about the stages of a scaling initiative, the Exchange developed a framework that depicts the “Evolution of a Scaling Initiative.” The framework (described and presented on page 4) draws from the Exchange’s [Topics in Scaling](#), a detailed outline of the topic areas covered in the knowledge on scaling impact.

The Knowledge Center database includes a mix of content types including: case studies, white papers, research reports, studies, guidebooks, essays, magazine/newspaper articles, workshop/presentation slides, tools/templates, books, and blog entries. A majority of the resources are written in the format of case studies and reports, and traditional media articles.

The Exchange has plans to build a more robust database that will include more multimedia content, and links to other relevant information hubs and blogs. In addition, the Knowledge Center currently covers primarily U.S.-based nonprofits, but future plans include adding scaling among international organizations as well as scaling among other types of organizations, i.e. hybrids and social purpose for-profits.

### *Reaching out to Knowledge Providers:*

In addition to reviewing the content in our own Knowledge Center, the Exchange reached out to approximately 90 knowledge providers and leaders in the field to request their help in locating additional resources on scaling impact. The Exchange incorporated these submissions wherever relevant for the report and included them in our literature review. Additionally, we conducted our own Internet keyword search, as well as reviewed the resource databases of a number of individual foundations and intermediaries to compile a more comprehensive body of content.

The resulting literature review contains some new discoveries from these additional outreach methods.