The SIF's Impact on Strengthening Organizational Capacity

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The SIF's Impact on Strengthening Organizational Capacity

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Executive Summary

The Corporation for National and Community Service (CNCS) implements the Social Innovation Fund (SIF), an initiative that combines public and private resources to grow the impact of innovative, evidence-based solutions to improve the lives of people in low-income communities throughout the United States. Since its authorization in 2009, the SIF has received approximately $50-70 million per year in annual appropriations from Congress. These federal dollars are matched by non-Federal funds dollar for dollar at both the recipient level and subrecipient level. The SIF leverages federal funds through public-private collaborations by awarding grants to highly successful intermediary grantmaking organizations, herein referred to as SIF grantees. These organizations, in turn, provide funding to local nonprofits that are implementing promising community-based programs with evidence of successful outcomes in one of three core areas: youth development, economic opportunity, and healthy futures.

The purpose of the SIF national assessment is to facilitate program evaluation and management by CNCS, support the greater goal of learning from the federal government's "tiered-evidence" initiatives, and conduct an independent evaluation of the SIF program. The main objective of the national assessment is to look at the impact on the organizational capacity, knowledge, and practices of SIF grantees. The assessment focuses on SIF grantees' adoption of evidence-based grantmaking strategies, ability, and willingness to build the evidence base for the service models they support, to scale the service models, and to use collaborative approaches to address local community needs. The audience for the report includes SIF program managers, CNCS and other federal leadership, current and potential SIF grantees, and the broader philanthropic and nonprofit sector.

The national assessment employs a quasi-experimental design (QED) to evaluate the impact of the SIF on organizational change. The findings presented in this report primarily draw on data from surveys of the following groups, as well as follow-up interviews with the SIF grantees.

- **SIF grantees compared with themselves over time**. Using each SIF grantee as its own comparison, the evaluation assesses capacity building from a pre-SIF baseline (2009) to the time the survey was developed in 2014. This comparison allows examination of change by having SIF grantees serve as their own controls in the analysis, also known as reflexive control. This comparison does not, however, rule out the possibility that the observed change is part of a more general trend.

- **SIF grantees compared with SIF applicants not selected**. A comparison of SIF grantees to SIF applicants who were not selected for grants provides an important counterfactual for the SIF grantee experience. Those "Non-selected SIF Applicants" included in the comparison submitted applications that were compliant and scored "satisfactory" or above by CNCS (and its external reviewers) on both the program review and evaluation review. Comparing the performance of Non-selected SIF Applicants to that of SIF grantees controls for motivation and helps reduce selection bias.

- **SIF grantees compared to a nationally representative sample of grantmaking nonprofits**. This sample comprises a cross-section of grantmaking nonprofits in the United States that meet basic SIF eligibility criteria and are similar to the SIF grantees in terms of revenue and grantmaking size. Selection criteria included the size of the organization (gross revenue of $1M or more) and the volume of grants made to community organizations (grants totaling $800K or more). Including this comparison group allows us to control for changes in the broader philanthropic world.

Summary of Findings

The national assessment found promising evidence of improved organizational capacities among the SIF grantees. Exhibit ES-1 summarizes the quantitative findings. Between 2009 and 2014, SIF grantees grew in organizational capacities and behaviors in 13 out of 14 measures related to selection of grantees, support for grantees, evaluation, scaling up, and collaboration. The decrease in one item was largely due to change from one grantee.[1]

To assess whether to attribute these changes to the SIF, the evaluation also examined whether the comparison groups of Non-selected SIF Applicants and the National Sample of Grantmaking Nonprofits experienced changes in their organizational capacity during this time, and the extent of any change. Although all three groups reported important changes, reflecting shifts in the nonprofit world in recent years, there were some noticeable differences between the SIF grantees and the comparison groups. In-depth interviews with SIF grantees provided additional insights into the nature of the change they experienced. The changes include:

- **Evaluation:** Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly more growth between 2009 and 2014 in three areas, including: 1) conducting rigorous evaluations of the programs; 2) using evaluation findings to improve programs; and 3) using evaluation findings to demonstrate and communicate effectiveness of programs funded by the organization. The sizes of the differences in all three areas were large. Compared to Non-selected SIF Applicants, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization conducted rigorous evaluations of programs funded by the organization and the effect size was large. Although the differences in the other two areas were not statistically significant due to small sample sizes, the effect sizes were medium and small, respectively.

> *"Strengths of the model are in the rigor of the evaluations and the partnership and transparency of the staff. SIF has proven to have some of the most rigorous evaluation requirements that any of our partners or subgrantees have experienced. This led to very strong evaluations. The transparency and partnership of the CNCS staff was invaluable. CNCS and JBS staff made themselves immediately available to talk with our staff and the subgrantee evaluation team to help determine ways to overcome the obstacles."*
> *—a SIF grantee*

Themes that emerged from the follow-up interviews included: 1) the SIF focus on evaluation helped grantees plan and implement more—and more formal—evaluation; 2) grantees increased their evaluation capacity with evaluation staff hires and the use of external evaluation partners; 3) the SIF focus on evaluation helped grantees use evidence to improve results; and 4) the assistance helped position SIF subgrantees to attract new funders, because they had the skills to conduct rigorous evaluation and communicate program effectiveness.

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[1] For selecting subgrantees through an open competition, 6 of the 20 grantees reported changes. The average response was largely influenced by one grantee who reported "always" using open competition in 2009, but "never" using open competition in 2014.

Exhibit ES-1. *Summary Table for Impact on SIF Grantee Organizational Capacity*

Organizational capacity	Change in SIF grantees from 2009 to 2014	Difference in changes: SIF 2010-2012 grantees vs National Sample of Grantmaking Nonprofits	Difference in changes: SIF 2010-2012 grantees vs Non-selected SIF Applicants
Evaluation			
A. Conducted rigorous evaluations of programs funded by your organization	↑	+Large*	+Large*
B. Used evaluation findings to improve programs funded by your organization	↑	+Large*	+Medium
C. Used evaluation findings to demonstrate and communicate effectiveness of programs funded by your organization	↑	+Large*	+Small
Support for subgrantees			
A. Provided funding to carry out an evaluation or hire an external evaluator, as part of the grant or through other means	↑	+Large*	No
B. Provided training or technical assistance by your staff consultants or other means to conduct rigorous evaluation	↑	+Large*	+Small
C. Provided training or technical assistance by your staff consultants or other means to support implementation of the program	↑	No	+Small
Scale up			
A. Undertook efforts to scale up existing program(s) – i.e., to expand the program(s) within the community or to other communities or populations	↑	+Small	+Small
B. Selected programs for scale-up based on rigorous evaluation that shows them to be effective	↑	+Medium*	+Small
Collaboration			
A. Participated in funding alliance(s) with other nonprofit sector organizations. (For example, co-funding programs through joint funding; providing or receiving matching funds; or other collaboration)	↑	+Small	No
B. Participated in collaborations with other nonprofit organizations to share knowledge	↑	+Small	+Small
C. Collaborated with other organizations for purposes of advocacy – to advocate for or develop public support for programs or approaches to addressing social problems	↑	No	No
Selection of subgrantees to fund			
A. Used an open competitive process to solicit and review applications and to make selection decisions	↓	-Medium*	-Small
B. Required applicant organizations to provide evidence of intervention effectiveness to be eligible for funding (includes pre- and post-test outcome data or other evidence based on evaluation studies)	↑	-Medium	+Small
C. Required applicants to submit a plan for rigorous evaluation of intervention to be eligible for funding (that is, quasi-experimental designs with a comparison group, experimental designs or other similarly rigorous designs)	↑	-Small	+Small

↑SIF grantees experienced positive change, ↓SIF grantees experienced negative change
*statistically significant difference at 0.05 level. A lack of significant difference between SIF grantees and Non-selected SIF Applicants is partly attributed to the small sample sizes.
According to Cohen, Large effect size at 0.8 or more; medium effect size at 0.5-0.79; small effect size at 0.2-0.49; no effect size smaller than 0.2.
+difference favoring SIF grantee; -difference favoring comparison group

- **Support for subgrantees:** Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization 1) provided funding to subgrantees to carry out an evaluation or hire an external evaluator, whether as part of the grant or through other means, and 2) provided training or technical assistance to conduct rigorous evaluation. The effect sizes in the first two areas were large but negligible in 3) providing TA to support program implementation. Compared to Non-selected SIF Applicants, although the change patterns for SIF 2010-2012 grantees were not statistically significant, we found small differences in favor of SIF grantees in the magnitude of the differences regarding provision of TA to evaluation and TA to program implementation.

  > *"SIF has been a partner in the work. With the focus on innovation, change, and impact, the relationship was more dynamic than with other government funding relationships."—a SIF grantee*

  In addition, follow-up interviews indicated: 1) SIF grantees had increased their investment in growing the capacity of their subgrantees in terms of compliance capacity, evaluation capacity, and communication capacity; 2) the SIF helped grantees become more strategic in how they support their subgrantees; and 3) the support grantees provided gave their subgrantees a solid foundation upon which to grow.

- **Scale-up**: Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which they selected programs for scale-up based on rigorous evaluation that shows them to be effective, and the effect size was medium. Although no statistically significant difference was found in undertaking efforts to scale up existing program, we found small differences in favor of SIF grantees in the magnitude of the differences. Compared to Non-selected SIF Applicants, although the change patterns for SIF 2010-2012 grantees were not statistically significant, we found small differences in favor of SIF grantees in the magnitude of the differences in both areas

  Themes related to scaling included: 1) the SIF helped grantees develop methods for choosing which interventions to scale up and 2) grantees packaged what they learned from the SIF to support scaling.

- **Collaboration**: No statistically significant differences were found between SIF grantees and the comparison groups. However, compared to the National Sample of Grantmaking Nonprofits, we found small differences in favor of SIF grantees in the magnitude of the differences regarding participating in funding alliances with other nonprofits, and participating in collaborations with other nonprofits to share knowledge. Compared to Non-selected SIF Applicants, we found small differences in favor of SIF grantees in the magnitude of the differences in collaborations to share knowledge.

  > *"The community of funders created through monthly calls, issue area groups, and the national convenings was extremely strong compared to other federal grant programs."*
  > *—a SIF grantee*

  Follow-up interviews revealed: 1) the SIF gave grantees a variety of collaborative learning opportunities; 2) the SIF influenced how grantees support peer learning among their subgrantees; and 3) the SIF highlighted the value of external partnerships.

- **Selection of subgrantees to fund:** Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly less change between 2009 and 2014 in the extent to which the organization used an open competitive process to solicit and review applications and to make selection decisions, again largely due to change from one grantee. We also found medium to

small differences in favor of the National Sample of Grantmaking Nonprofits in all three areas. The findings were somewhat inconsistent from the Non-selected SIF Applicants. While the same was true in using open competitive process, we found small differences in favor of SIF grantees in effect sizes with regard to requiring applicants to provide evidence of effectiveness, and to submit a plan for rigorous evaluation in order to be eligible for funding.

In spite of this, follow-up interviews indicated: 1) the SIF helped grantees build a more systematic process for subgrantee selection; 2) the selection process helped grantees identify subgrantees with a stronger evidence base; and 3) the SIF's competitive solicitation process allowed grantees to reach subgrantees in new markets and geographic areas.

The SIF grantees attributed many organizational changes to their participation in the SIF program. In particular, they credited technical assistance or support (e.g., coaching, facilitation, tools) received during the SIF funding period to help increase capacity or accomplish change. These supports include providing guidance on federal compliance, networking opportunities, evaluation plan, general support by SIF program office, annual convening, and other outside training and resources. Other factors that contributed to the reported change included direction from the organizational leadership and trends in the larger grantmaking world.

The SIF grantees observed capacity development among their subgrantees: 1) implementing the interventions in their communities; 2) designing and conducting rigorous evaluations of these interventions; 3) making use of evaluation findings for program improvement; 4) raising matching funds for the intervention; 5) scaling up the intervention; and 6) sharing knowledge and best practices.

Recommendations
The SIF grantees regarded rigorous evaluation, collaborating, and engaging in peer-learning experience as the main strengths of the SIF model. They also valued the transparency and accessibility of the CNCS staff, their flexibility, and the requirement for rigorous documentation. While these early areas of progress are encouraging, the grantees also offered recommendations for program improvement.

- **Modifying matching requirement.** Although the match requirement is set by the SIF statute, many grantees reported that meeting the matching requirement was a major challenge. Even for those who had early success, by years 2 and 3, several grantees mentioned that it became an exercise of moving existing funds around to meet the match, but not truly leveraging new dollars.

- **Providing even stronger support for complying with federal regulations.** Although the SIF has provided substantial compliance support, grantees found that federal requirements in the areas of financial regulations and criminal background checks were particularly challenging. It may be helpful for CNCS to provide additional support.

- **Including a planning year.** Although the SIF underwrites evidence-based intervention, a few grantees recommended including a planning year.
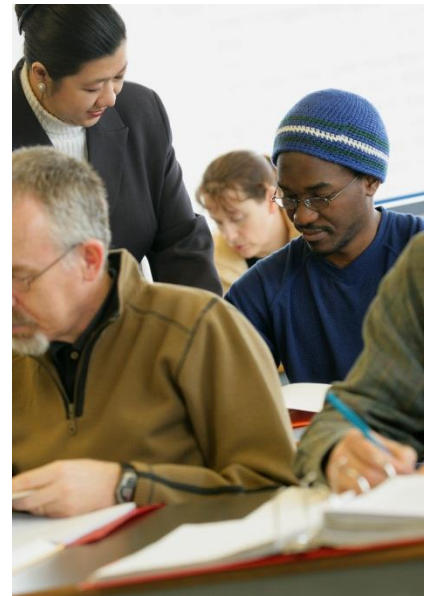
- **Expanding collaboration.** SIF grantees recommended continuing collaboration among SIF grantees and funders, and reiterated the importance of securing engagement and feedback from private foundations and philanthropies.

- **Improving the application process.** SIF grantees and applicants offered additional recommendations to improve the SIF application process, such as adjusting the timeframe, including a pre-qualification phase, more transparency about implementation requirements, and further streamlining and clarifying of application requirements.

Limitations

Limitations of this study include the small number of SIF grantees and Non-selected SIF Applicants in the sample. The relatively small number of cases renders analyses of the survey data vulnerable to such factors as the presence of outliers. We used various strategies to mitigate the issue including the use of non-parametric assumption in statistical significance testing, effect size calculations, etc. Another limitation is that much of the change was reported retrospectively and depends on self-report. We address it by acquiring documentary evidence from SIF grantees to support changes reported in the survey. Finally, discussion with CNCS staff and grantees indicates that the experience of the initial 2010 SIF cohort differed from that of subsequent cohorts, which may affect comparisons and analyses of trends. Additionally, the mix of SIF-funded organizations over time has varied, with the result that, although this study can provide evidence about the experience of this specific group of organizations, because the future mix of organizations and the experience of later SIF cohorts may differ, the potential to generalize from this study to the broader population of future SIF grantees is limited. We combined qualitative and quantitative methods to obtain more in-depth understanding of survey findings. Overall, we tried to carefully present findings so that readers understand the strengths and limitations of the data.

Next Steps

Building organizational capacities requires a multi-faceted approach and long-lasting commitment. Although this report provides promising evidence that the SIF program moved grantee organizations in the right direction, we also found that these changes were often incremental and that time was required for changes in one program to permeate the rest of the organization.

We will continue to examine these questions next year. In addition to relying on surveys to document and capture changes in intermediary capacities and experiences over time, and provide broad-brush findings, we plan to use other methodologies, such as case studies. Our purpose will be to provide an in-depth examination of selected grantees, to understand their internal and external contexts, the factors that facilitate and inhibit capacity building, and further uncover best practices and lessons learned.

1.   Introduction

The Social Innovation Fund (SIF) is a federal program to leverage public and private resources to grow the impact of innovative, evidence-based solutions to improve the lives of people in low-income communities throughout the United States. It was authorized by the 2009 Serve America Act and is administered by the Corporation for National and Community Service (CNCS). The SIF is part of the federal government's efforts to support "tiered-evidence initiatives" to promote social innovation.

Since 2010, the SIF has received an annual Congressional appropriation of approximately $50-70 million. The program leverages federal funds through public-private collaborations by awarding grants to highly successful intermediary grantmaking organizations. Federal dollars are matched up by non-Federal funds dollar for dollar at both the recipient level and subrecipient level. In turn, these organizations provide funding to local nonprofits that are implementing promising community-based programs with evidence of successful outcomes in one of three core areas: youth development, economic opportunity, and healthy futures. The SIF is characterized by the unique interplay of six key elements:

- It relies on intermediary grantmaking institutions to implement the program—they take on the role of finding, selecting, monitoring, supporting, evaluating, and reporting on the nonprofit organizations implementing community-based interventions.

- It is a tiered-evidence initiative that requires all funded programs/interventions to demonstrate at least preliminary evidence of effectiveness, or funding "what works."

- It requires that all programs or interventions implement a rigorous evaluation that will build on their level of evidence. [2]

- It charges intermediaries with scaling evidence-based programs—increasing impact within their community or to communities across the country—and as such, grapples with the field-wide challenge of how best to do so successfully and efficiently.

- It leverages public-private partnerships to effect large-scale community impact in ways that neither a traditional federal grant nor a philanthropic investment could achieve on its own. This strategy features a unique leveraged funding model to support nonprofit programs.

- It is committed to improving the effectiveness of nonprofits, funders, and other federal agencies by capturing and learning about best practices and promoting approaches that will generate the greatest impact for individuals and communities.

By 2014, the SIF had completed four rounds of grantmaking (in 2010, 2011, 2012, and 2014) and selected a total of 26 grantees for 27 grants. These grantees have in turn selected more than 200 nonprofit organizations through open and competitive processes to implement promising interventions in youth development, economic opportunity, and healthy futures. Exhibit 1 summarizes the number of awards by year.

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[2] Although there is no consensus within the evaluation field concerning what constitutes a particular level of evidence, the SIF program divides evidence into three categories: preliminary, moderate, and strong (CNCS, n.d.). These divisions are based on how well a particular evaluation is able to address concerns about internal and external validity, with evaluations that are more effective generating strong or moderate levels and those that are less so generating preliminary levels of evidence.

Exhibit 1. *SIF awards by year*

Award year (cohort)	Number of Grants to SIF grantees	Number of SIF subgrantees funded
2010	11	149
2011	5	48
2012	4	15
2014	7*	40
Total	27	252

Extracted from CNCS website.
* There were 7 new grants in 2014, but one was to an organization funded in an earlier cohort. As a result, there are 27 SIF grants, but 26 grantee organizations.

2.   SIF National Assessment

The purpose of the SIF national assessment is to facilitate program evaluation and management by CNCS, support the greater goal of learning from the federal government's tiered-evidence initiatives, and conduct an independent evaluation of the SIF program. The main objective of the national assessment is to look at the impact on the organizational capacity, knowledge, and practices of SIF grantees. To meet the need for information about the implementation and effectiveness of the SIF, CNCS contracted with ICF International to support CNCS's Office of Research and Evaluation to implement an independent national assessment of the SIF. The assessment focuses on SIF grantees' adoption of evidence-based grantmaking strategies, ability, and willingness to build the evidence base for the service models they support, scale the service models, and use collaborative approaches to address local community needs. To measure the capacity of the SIF grantees—and to compare them with other grantmaking organizations—the emphasis of the evaluation is on changes in organizational behavior in terms of policies and practices. The audience for the report includes SIF program managers, CNCS and other federal leadership, current and potential SIF grantees, and the larger philanthropic and non-profit sector.

This chapter provides an overview of the SIF national assessment. Appendix A presents a detailed description of the national assessment. Appendix B offers details about the evaluation methodologies, including information about research design, sampling, survey instruments, data collection, and analysis.

2.1   Evaluation Questions

The SIF national assessment is designed to provide information for CNCS on the implementation and effectiveness of the SIF. The key questions for the SIF national assessment are:

- Does participation in the SIF increase the capacity of organizations (e.g., skills, attitudes, behavior) in the use of evidence-based grantmaking strategies?

- Does participation in the SIF increase the willingness and ability of organizations to build the evidence base for high-impact models?

- Does participation in the SIF increase organizational knowledge of how to scale effective program models?

- Does participation in the SIF facilitate collaborative approaches to addressing local community needs?

Exhibit 2 presents the SIF logic model developed by the evaluation team to guide the national assessment. The logic model was used to help understand the program and its context, as well as to inform evaluation design and instrument development.

Exhibit 2. *SIF Logic Model*
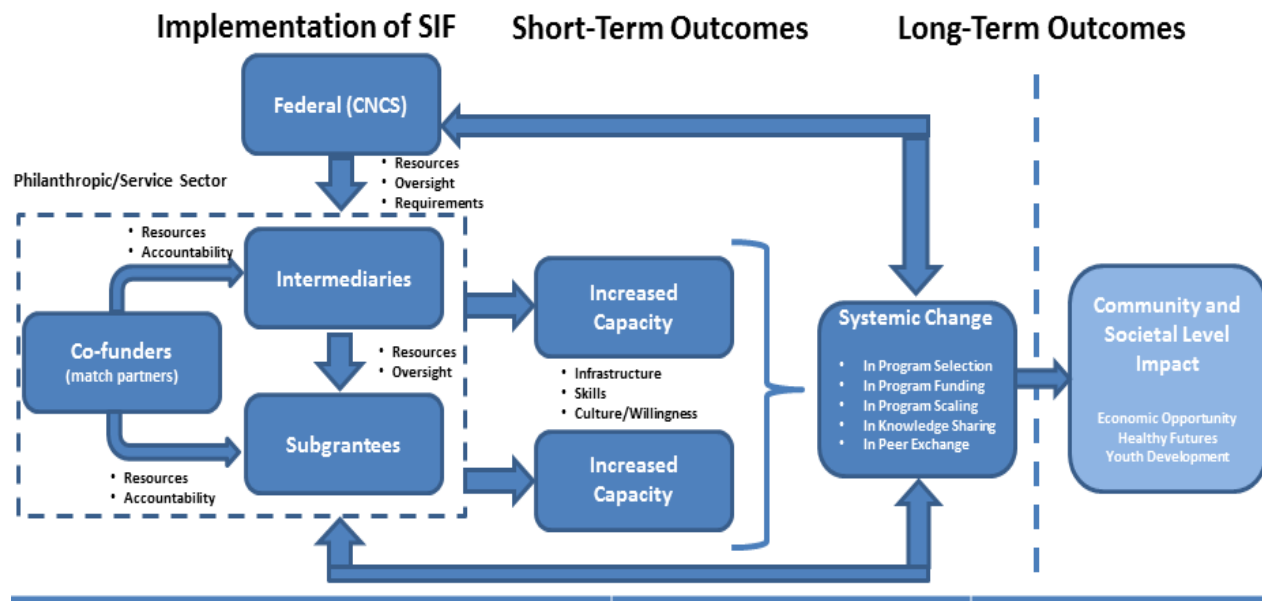
2.2   Evaluation Design

The national assessment employs a quasi-experimental design (QED) to evaluate the impact of SIF on organizational change. The purpose of this approach is to create a counterfactual to compare SIF grantees with what would have happened in the absence of the SIF. The comparisons are:

- **SIF grantees compared with themselves over time**. Using each SIF grantee as its own comparison, the evaluation assesses capacity building from a pre-SIF baseline (2009) to the time the survey was administered in 2014. This comparison allows examination of change by having SIF grantees serve as their own controls in the analysis. This comparison does not, however, rule out the possibility that the observed change is part of a more general trend.

- **SIF grantees compared with Non-selected SIF Applicants**. A comparison of SIF grantees to Non-selected SIF Applicants who were not selected for grants provides an important counterfactual for the SIF grantee experience. Those "Non-selected Applicants" included in the comparison submitted applications that were compliant and scored "satisfactory" or above by CNCS (and its external reviewers) on both the program review and evaluation review. Examining the performance of Non-selected SIF Applicants relative to SIF grantees controls for motivation and helps reduce selection bias.

- **SIF grantees compared to a nationally representative sample of grantmaking nonprofits**. This sample comprises a cross-section of grantmaking nonprofits in the United States that meet basic SIF eligibility criteria and are similar to the SIF grantees in terms of revenue and grantmaking size. Selection criteria included the size of the organization (gross revenue of $1M or more) and the volume of grants made to community organizations (grants totaling $800K or more). Including this comparison group allows us to control for changes in the broader philanthropic world.

Exhibit 3 presents response rates for each respondent group. The surveys achieved 100% response from SIF grantees, but lower response rates from Non-selected SIF Applicants and the National Sample of Grantmaking Nonprofits. Non-response analysis was conducted to assess the potential bias resulting

from these lower response rates. Results from the non-response analysis did not suggest a significant potential for non-response bias affecting the survey of Non-selected SIF Applicants or the National Sample of Grantmaking Nonprofits. (See details in Appendix B). In addition, we weighted the responses for these two groups to improve precision of the estimates.

Exhibit 3. *Response rates for the survey by group*

	SIF 2010-2012	Non-selected SIF Applicants 2010-2012	SIF 2014	Non-selected SIF Applicants 2014	National Sample of Grantmaking Nonprofits
Completed response	20	9	6	9	387*
Response rate	100%	35%	100%	60%	12%

*including 169 non-eligible organizations which do not make grants.

2.3   Data Collection and Analysis

To provide a well-rounded picture of the organizational changes experienced by the SIF grantees, findings presented in this report drew on multiple sources of data:

- Surveys of SIF grantees and two comparison groups: 1) organizations that applied for the SIF but were not funded (Non-selected SIF Applicants), and 2) a national comparison sample of United States grantmaking nonprofit organizations (the National Sample of grantmaking nonprofits).

- Qualitative interviews with 1) SIF grantees, to develop information on evidence to support and document organizational changes reported in the survey, and 2) a combination of SIF grantees and other stakeholders (subgrantees, program officers, and others) to develop information briefs on specific topics of interest to CNCS and the field.

- Data from other sources, including IRS form 990 (financial data submitted by nonprofits).

Building organizational capacities requires a multi-faceted approach and long commitment. According to Harsh (2010), capacity building is a recurring cycle of intervention, support, and growth. In developing the survey, CNCS and ICF discussed and tested approaches to conceptualizing and measuring organizational capacity. Broadly, capacity refers to the potential of an organization to carry out its mission effectively. As the evaluation question indicates, this involves an array of elements, including financial, human, technological, and other resources; infrastructure to support the work; leadership; organizational culture and climate; and engagement and partnership within the organization and between the organization and its organizational partners and other stakeholders.

To measure the capacity of the SIF grantees—and to compare them with other grantmaking organizations—CNCS and ICF determined that it was feasible and appropriate to focus on organizational behavior. From the perspective of organizational change, behavior is, ultimately, the measure that matters. To allow for comparison over a common time frame and to gain insights into factors that contributed to change, the survey asked SIF grantees and the comparison organizations about organizational behaviors in fourteen different areas in 2009 (before SIF implementation) and in 2014, and asked respondents to report factors that contributed to any changes in the extent of these organizational behaviors. Cognitive interviews and pretests determined that respondents understood and could report on organizational behavior and change in behavior, could make distinctions in the degree of organizational behavior using the survey's 7-point scale, and could report factors that contributed to the changes. Because the survey provided an opportunity to ask SIF grantees about their perceptions of change among their subgrantees, the survey also asked a question about change in subgrantee capacity.

Data analysis focused first on documenting and analyzing change in grantmaking strategies, use of data and evaluation, engagement in building an evidence base for programs and scaling programs based on evidence of effectiveness, and collaboration to address community needs.

Comparisons between SIF grantees and other organizations were then used to attribute observed change to SIF participation. To test for differences between the SIF grantees and Non-selected SIF Applicants, we used non-parametric technique known as Mann-Whitney test to account for the small sample sizes of the two groups. For differences between SIF grantees and the National Sample of Grantmaking Nonprofits, we calculated the confidence interval at 95% around the values for the nonprofit sample; then, if the difference between the SIF value and the value for the sample is larger than the confidence interval for the sample, we can draw the inference that the observed difference is greater than would occur by chance (Cochran, 1977; the appropriate test is a one-sample t-test). In addition, we used effect size estimates to gauge the practical significance of the differences. Statistical significance which measures the probability of getting a result, is highly dependent on sample sizes. On the other hand, effect sizes measures the magnitude of the difference and is less dependent on sample sizes. A small effect can be statistically significant if the sample size is large. Cohen (1988) defined effect sizes as "small, d = 0.2," "medium, d = 0.5," and "large, d = 0.8".

Next, analyses of open-ended questions from the surveys addressed "how" and "why" questions relating to the factors that contribute to the observed change. Finally, interview data and documentary evidence provided insights to supplement data from the surveys.

2.4 Limitations

The national assessment has both strengths and limitations. In terms of strengths, the inclusion of two comparison groups provides an opportunity to address questions about SIF grantees relative to similar, highly committed organizations (Non-selected SIF Applicants), and to broader trends in the field of nonprofit grantmaking (the National Sample of Grantmaking Nonprofits). In addition, the combination of multiple data collection strategies—combining quantitative survey methodology with qualitative interview and document review methods—makes it possible to obtain specific and objective information about change as well as insights into factors that contribute to reported change.

Limitations of this study include the small number of SIF grantees and Non-selected SIF Applicants in the sample. The relatively small number of cases renders analyses of the survey data vulnerable to such factors as the presence of outliers. We used various strategies to mitigate the issue including the use of non-parametric assumption in statistical significance testing, effect size calculations, etc. Another limitation is that much of the change was reported retrospectively and depends on self-report. We address it by acquiring documentary evidence from SIF grantees to support changes reported in the survey. Finally, discussion with CNCS staff and grantees indicates that the experience of the initial 2010 SIF cohort differed from that of subsequent cohorts, which may affect comparisons and analyses of trends. Additionally, the mix of SIF-funded organizations over time has varied, with the result that, although this study can provide evidence about the experience of this specific group of organizations, because the future mix of organizations and the experience of later SIF cohorts may differ, the potential to generalize from this study to the broader population of future SIF grantees is limited. We combined

qualitative and quantitative methods to obtain more in-depth understanding of survey findings. Overall, we tried to carefully present findings so that readers understand the strengths and limitations of the data.

3. Evaluation Findings

The chapter first describes the background and demographics of the survey respondents, and then discusses the support received by SIF grantees. Next, the chapter examines the impact on organizational capacities through comparison of SIF grantees with the comparison groups. Finally, it looks at the reflections of SIF grantees about their SIF experiences. The evaluation findings consider early SIF grantees from 2010-2012 cohorts and their corresponding comparison groups. Because the SIF 2014 grantees were only in the first year of SIF funding when the survey was administered, it was too early to expect the survey to show any major changes resulting from the SIF grant. Appendix C offers early findings about SIF 2014 grantees and 2014 Non-selected SIF Applicants.

3.1 Background and Demographics

Demographics about the organizations surveyed help us understand their context and establish a frame of reference to interpret the survey results. We specifically looked at financial indicators, grantmaking practices, and level of federal funding.

3.1.1 Financial Data

Exhibit 4 compares SIF grantee organizations and their comparison groups on three financial indicators for 2013: gross revenue, total value of government grants received, and total value of grants made to U.S. organizations. These data were obtained from GuideStar based on the nonprofit data submitted to the IRS through Form 990 or Form 990-PF.

SIF 2010-2012 grantees were similar to the comparison samples of Non-selected SIF Applicants and the National Sample of Grantmaking Nonprofits in terms of gross revenue and government grants received. Although similar to Non-selected SIF Applicants in terms of the value of the grants they made to U.S. organizations, SIF 2010-2012 grantees gave significantly more to U.S. organizations than did the National Sample of Grantmaking Nonprofits.

Exhibit 4. *Financial indicators by respondent group*

Financial indicators (2013)		SIF 2010-2012	Non-selected SIF Applicants 2010-2012	National Sample of Grantmaking Nonprofits
Gross Revenue	n	15	9	147
	Mean	$76,573,121	$74,927,426	$98,431,599
	Median	$44,479,384	$22,234,541	$ 6,833,348
Total Value of Government Grants received	n	14	6	121
	Mean	$5,307,259	$980,788	$3,741,735
	Median	$1,411,197	$618,451	$ 660,614
Total Value of Grants made to US Organizations	N	15	9	218
	Mean	$21,573,525 b+	$33,890,743	$12,483,991
	Median	$11,462,022	$ 8,278,806	$ 4,111,065

Statistical significance (p<.05) is noted as:
    a: significant difference between SIF 2010-2012 and Non-selected SIF Applicants 2010-2012
    b: significant difference between SIF and the National Sample of Grantmaking Nonprofits
    +: favoring SIF
    -: favoring the comparison group
Sample sizes for Exhibit 4 are smaller than those reported in other exhibits due to missing data.

3.1.2 Grantmaking Practices

The survey asked Non-selected SIF Applicants and the National Sample of Grantmaking Nonprofits a set of questions concerning their grantmaking practices to ensure that they fit the selection criteria for the comparison group.

SIF grantees were geographically based, issue-based, or both. A great majority of both Non-selected SIF Applicants and the National Sample of Grantmaking Nonprofits were geographically based. About half these organizations were issue-based, either exclusively or in addition to their geographic focus, meaning that their programs focus on specific issue areas but may be located in a variety of geographic locations around the U.S. (Exhibit 5).

Exhibit 5. *Grantmaking focus for the comparison groups*

Grantmaking focus	Non-selected SIF applicants 2010-2012 (n=9)	National Sample of Grantmaking Nonprofits (n=217)
Geographically based (make grants to organizations within a community, state, or other specified geographic region)	88.9%	80.2%
Issue-based (make grants to organizations whose programs focus on specific issue areas, but may be located in a variety of geographic locations around the U.S.)	55.6%	41.9%
Both geographically based and issue-based	44.4%	30.0%
Other	0.0%	16.1%

Exhibit 6 shows that the comparison samples of both Non-selected SIF Applicants and the National Sample of Grantmaking Nonprofits were similar in terms of their grantmaking areas, with the majority of the organizations awarding grants in the same areas targeted by the SIF: healthy futures, youth development, and economic opportunity. A third of the National Sample of Grantmaking Nonprofits reported that they make grants, but not in any of the three SIF areas. A greater percent of Non-selected SIF Applicants than the National Sample of Grantmaking Nonprofits fund youth development and economic opportunity.

Exhibit 6. *Grantmaking areas for the comparison groups*

Grantmaking area	Non-selected SIF applicants 2010-2012 (n=9)	National Sample of Grantmaking Nonprofits (n=213)
Community health or healthy futures: Promoting healthy lifestyles and reducing the risk factors that can lead to illness. Interventions include disease prevention and low-income healthcare/outreach.	66.7%	67.6%
Youth development (includes early childhood development): Preparing America's youth for success in school, active citizenship, productive work, and healthy and safe lives. Interventions include summer or after-school programming, delinquency prevention, and youth mentoring/tutoring/volunteers.	100.0%	73.7%
Economic opportunity: Increasing economic opportunities for economically disadvantaged individuals. Interventions include job or career training or job readiness for adults.	77.8%	55.9%
Makes grants to U.S. nonprofit organizations to carry out programs or interventions, but not in any of the areas listed	33.3%	33.8%
Makes grants to U.S. nonprofit organizations, but not to carry out programs or interventions	0.0%	7.0%

Finally, nonprofit respondents in the sample showed limited knowledge of the SIF: 45% of grantmaking organizations and 71% of non-grantmaking nonprofits were unaware of the SIF. Only about 10% of grantmaking nonprofits and 5% of all nonprofits knew quite a lot or a great deal about the SIF (Exhibit 7).

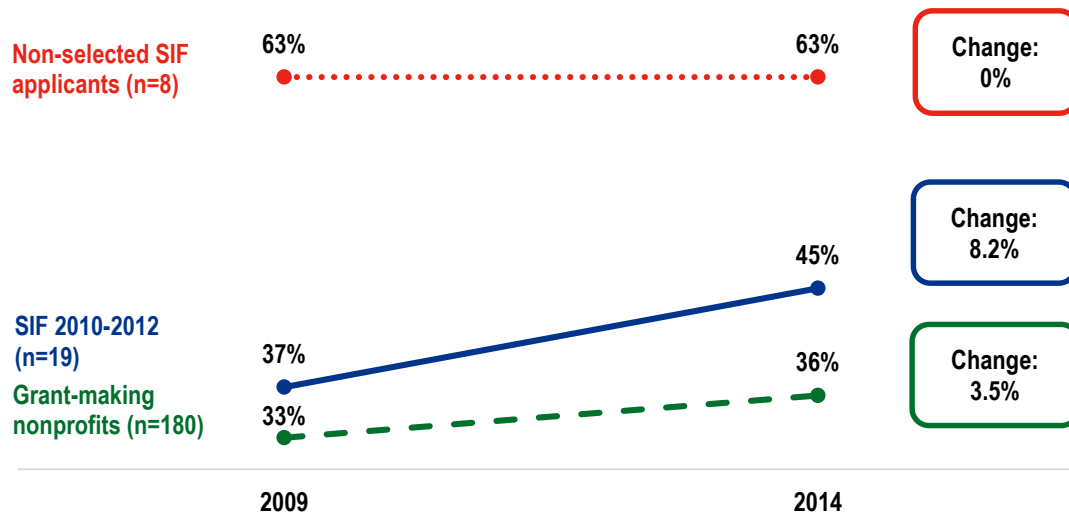**Exhibit 7.** *Level of knowledge about CNCS among nonprofits*
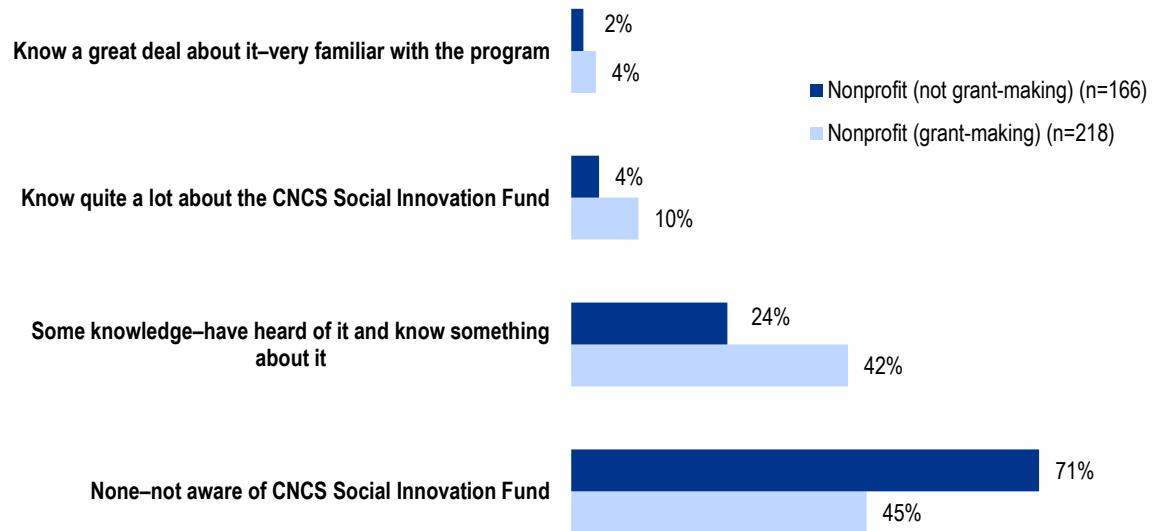
3.1.3 Federal Funding

The survey asked about other federal funding sources because of indications from CNCS and SIF grantees that some grantees found it challenging to comply with federal funding requirements. These data provide context for analysis of the SIF experience and capacity development, and suggest consequences for subsequent federal funding.

Exhibit 8 compares the proportion of grantees in each group that received federal funding in 2009 and 2014. Several interesting findings emerge. First, two-thirds of SIF 2010-2012 grantees had no prior federal funding. In addition, among the National Sample of Grantmaking Nonprofits, about two-thirds had neither current nor previous federal funding.

Exhibit 8. *Federal funding experience of SIF grantees and the comparison groups*

Non-selected SIF applicants (n=8): 63% (2009) → 63% (2014), Change: 0%

SIF 2010-2012 (n=19): 37% (2009) → 45% (2014), Change: 8.2%

Grant-making nonprofits (n=180): 33% (2009) → 36% (2014), Change: 3.5%

The survey also asked SIF grantees whether SIF was the first federal funding their organization had ever received. Among the SIF 2010-2012 grantees, half indicated that it was (not shown in exhibits).

3.2   Support Received by SIF Grantees

CNCS provides extensive technical assistance (TA) and other support to SIF grantees. This includes hands-on support throughout from CNCS SIF program officers; extensive support, TA, and review of evaluation plans and products by CNCS's Office of Research and Evaluation and their evaluation TA contractor; and a variety of efforts to engage the grantees as a group (e.g., convenings, conference calls, and resource sharing). Through these means, CNCS provides substantial assistance to individual grantees, and also leverages their capacity by connecting SIF grantees to one another and giving them opportunities to share their strengths and learn from each other's strengths. Six key elements make up the SIF's capacity building approach (Exhibit 9). The SIF builds capacity around evaluation, federal grants management and compliance, and communication and outreach, and it does this through convenings, the Knowledge Network, and the Knowledge Initiative.

Exhibit 9. *Social Innovation Fund (SIF) Capacity Building and Knowledge Sharing Program*

The survey asked SIF grantees to reflect on the support from the SIF. Open-ended questions gave them opportunities to share feedback about TA or support (e.g., coaching, facilitation, and tools) received during the SIF funding period to help increase capacity or make change. Specifically, grantees shared feedback on which support was more or less helpful, and whether they would like additional TA or support in specific areas.

Helpful support. Two or more grantees identified each of the following areas as particularly helpful: federal compliance, networking, evaluation planning, general support by the SIF program office, the annual convening, external contractors, and other external training and resources such as Scaling What Works http://www.scalingwhatworks.org, the Knowledge Initiative, and issue area groups. Below are excerpts from grantee responses describing how they benefitted:

- *We received a lot of support from the SIF evaluation team at CNCS and the evaluation TA contractor with finalizing the evaluation plans. We also felt the Knowledge Initiative has been really helpful for connecting with other organizations. The SIF grantee calls with specific topics have helped us find other intermediaries to connect with and learn from. For instance, we have coordinated two proposals with another SIF grantee regarding our work around a shared measurement framework.*

- *The annual convening is particularly helpful. That face-to-face contact is very valuable. I think the most helpful resource from SIF was the SIF program officer—she is outstanding and an incredible resource in terms of helping navigate requirements of the grant and with planning and thinking about program objectives and requirements. She was very helpful in the start-up phases and now in year 3 continues to be helpful as things change.*

Less helpful support. Two or more SIF 2010-2012 grantees reported as less helpful: the SIF Evaluation Plan (SEP) review and webinars, evaluation, and the Knowledge Network. Other types of support were each cited once by different grantees as less helpful: the annual SIF meeting, grantee calls, communications, financial tracking, and compliance coaching. Some of these areas coincide with those that other grantees considered to be helpful, showing that these responses may vary depending on the individual grantee's perspectives and experiences. The comments provide context or suggestions about ways to improve:

- *SIF grantee calls: The effectiveness of an issue group has varied; some calls and peer exchange are helpful, but given our different program model, not all topics are relevant.*

- *SEP webinars: Receive resources/training before grant requirements are released to give grantees and subgrantees more time to prepare.*

- *Evaluation. The changes in national evaluation TA provider and expectations of grantees made this difficult. Evaluation TA is not always helpful. Their approach seems restrictive and they were not always timely.*

- *Financial tracking: Financial tracking spreadsheets and e-grants are awkward and difficult to report with accurately.*

- *Knowledge Network: Make it more user friendly, easier to navigate.*

Areas requiring more support. SIF 2010-2012 grantees identified a wide range of areas in which they would have benefited from more support or resources. Areas cited by two or more respondents included criminal history check, compliance, implementing evaluation expectations/guidance, and training for subgrantees. Other types of support were each suggested once by different grantees: dividing grantees by approach rather than issue area, more support for interactions with SIF grant officers, a planning year, sustainability, financial reporting tools, TA from the start of the grant, connecting grantees to funders, a filing system based on SIF monitoring tools, and bringing subgrantees together to advance philanthropic understanding of scaling. The following comments provide additional context:

- *More support around the flexibility or levels of interpretation within SIF would have been helpful in figuring out how rigorous evaluation needed to be and what qualified as match or did not.*

- *Although none of us were specifically funded to do so, I feel as though the SIF missed an opportunity to bring together subgrantees to substantially move forward philanthropic understanding of scaling. There were some dynamic conversations that were started at SIF gatherings, and many of the grantees have individually reported on their learnings, but, in hindsight, CNCS should have put more effort into bringing these lessons together with a focus on informing others.*

3.3 Impact on Organizational Capacity

The main objective of the national assessment is to look at the SIF's impact on the organizational capacity of grantees, not only with respect to the SIF program, but also organization-wide. This section examines organizational capacity in five areas, including selection of subgrantees, support for subgrantees, evaluation, scaling up of evidence-based programs, and collaboration. The discussion of each area is organized as follows:

- **SIF Grantee Changes**. Comparison between the organizational capacity of SIF 2010-2012 grantees in 2009 and their capacity in 2014

- **Changes for SIF Grantees vs. Comparison Groups.** Comparison between SIF 2010-2012 grantees and two comparison groups—Non-selected SIF Applicants and the National Sample of Grantmaking Nonprofits in terms of any changes in organizational capacity from 2009 to 2014

- **SIF Grantee Observations about Change.** SIF grantee observations obtained from open-ended questions about organizational capacity

- **SIF Grantee Evidence of Change.** Evidence from follow-up interviews with SIF grantees and grantee-provided documentation of change
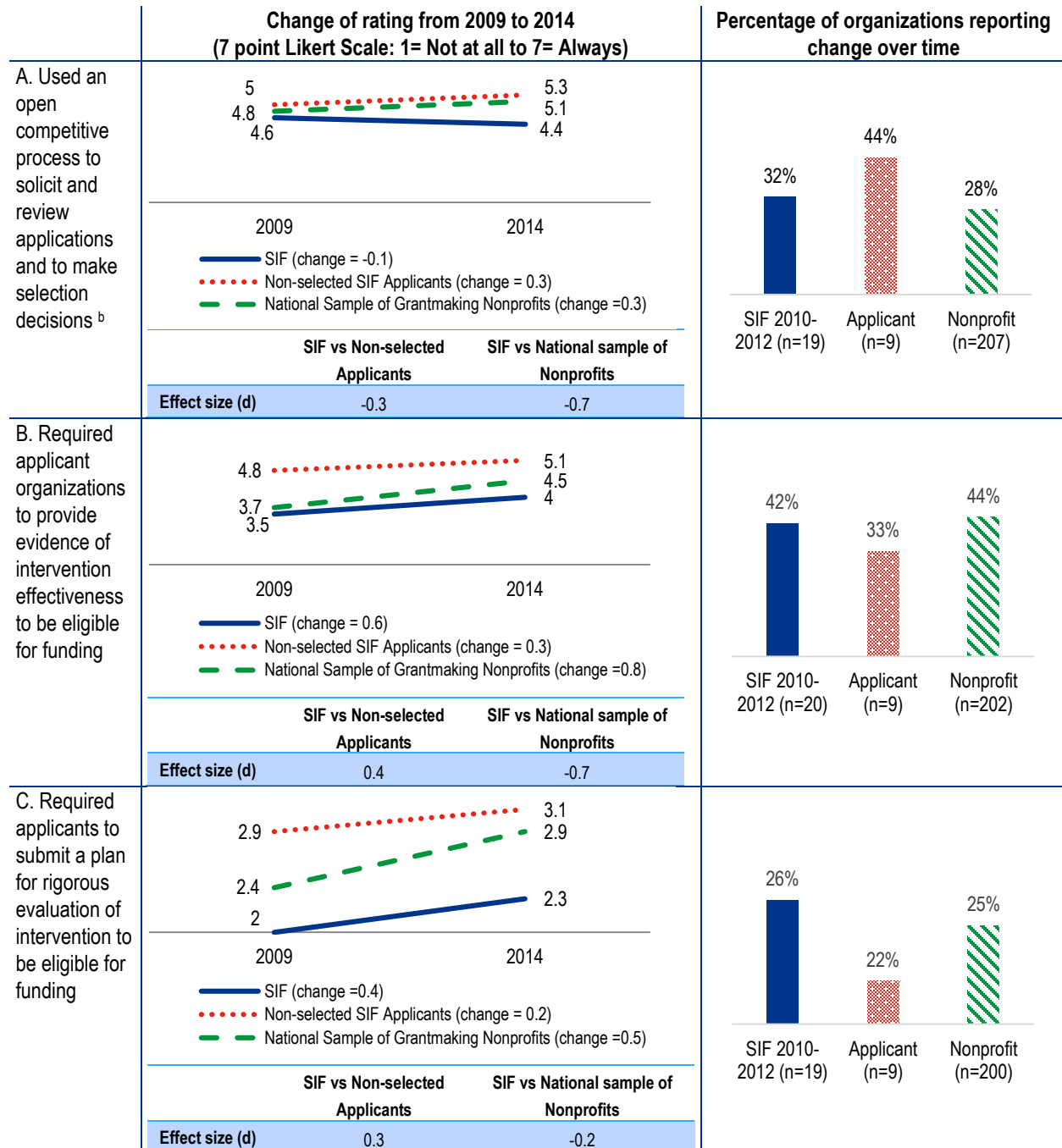
3.3.1 Selection of Subgrantees

The survey asked how SIF grantees selected subgrantees in both 2009 and 2014. It also inquired about changes the SIF grantees experienced, as intermediary organizations, during this period and, for those that reported changes, the major factors that contributed to the changes.

SIF Grantee Changes. Exhibit 10 shows that about one-third of SIF grantees reported changes in grantee selection practices. Between 2009 and 2014, SIF grantees in the 2010-2012 cohort raised the requirement that—to be eligible for funding—applicant organizations provide evidence of intervention effectiveness (Item B: 5.0 to 5.3) and submit a plan for rigorous evaluation of the intervention (Item C: 4.8 to 5.1). The practice of operating an open and competitive process to solicit and review applications and to make

selection decisions changed in a negative direction between 2009 and 2014 (Item A: 4.6 to 4.4). The reported decrease primarily reflects one grantee's account.[3]

Exhibit 10. *Changes in how SIF 2010-2012 grantees and comparison groups approached subgrantee selection*

	Change of rating from 2009 to 2014 (7 point Likert Scale: 1= Not at all to 7= Always)	Percentage of organizations reporting change over time
A. Used an open competitive process to solicit and review applications and to make selection decisions [b]	5 4.8 4.6 ... 5.3 / 5.1 / 4.4 2009 2014 —— SIF (change = -0.1) ⋯⋯ Non-selected SIF Applicants (change = 0.3) – – National Sample of Grantmaking Nonprofits (change =0.3)	32% — SIF 2010-2012 (n=19) 44% — Applicant (n=9) 28% — Nonprofit (n=207)

	SIF vs Non-selected Applicants	SIF vs National sample of Nonprofits
Effect size (d)	-0.3	-0.7

B. Required applicant organizations to provide evidence of intervention effectiveness to be eligible for funding	4.8 ⋯⋯ 5.1 3.7 3.5 — 4.5 / 4 2009 2014 —— SIF (change = 0.6) ⋯⋯ Non-selected SIF Applicants (change = 0.3) – – National Sample of Grantmaking Nonprofits (change =0.8)	42% — SIF 2010-2012 (n=20) 33% — Applicant (n=9) 44% — Nonprofit (n=202)

	SIF vs Non-selected Applicants	SIF vs National sample of Nonprofits
Effect size (d)	0.4	-0.7

C. Required applicants to submit a plan for rigorous evaluation of intervention to be eligible for funding	2.9 ⋯⋯ 3.1 2.4 – – 2.9 2 —— 2.3 2009 2014 —— SIF (change =0.4) ⋯⋯ Non-selected SIF Applicants (change = 0.2) – – National Sample of Grantmaking Nonprofits (change =0.5)	26% — SIF 2010-2012 (n=19) 22% — Applicant (n=9) 25% — Nonprofit (n=200)

	SIF vs Non-selected Applicants	SIF vs National sample of Nonprofits
Effect size (d)	0.3	-0.2

Statistical significance ($p<.05$) is noted as:
    a: significant difference between SIF 2010-2012 grantees and Non-selected SIF Applicants 2010-2012
    b: significant difference between SIF 2010-2012 grantees and the National Sample of Grantmaking Nonprofits

[3] For selecting subgrantees using open competition, 6 of the 20 grantees reported changes. The average response was largely influenced by one grantee who reported always using open competition in 2009 but never using open competition in 2014.

Changes for SIF Grantees vs. Comparison Groups. Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly less change between 2009 and 2014 on the extent to which the organization used an open competitive process to solicit and review applications and to make selection decisions, again largely due to change from one grantee. We also found medium to small differences in favor of the National Sample of Grantmaking Nonprofits in all three areas. The findings were somewhat inconsistent from the Non-selected SIF Applicants. While the same was true in using an open competitive process, we found small differences in favor of SIF grantees in effect sizes with regard to requiring applicants to provide evidence of effectiveness, and to submit a plan for rigorous evaluation in order to be eligible for funding.

> **Highlight: Focus on Outcomes**
>
> One SIF grantee partnered with other funders to expand collective focus on outcomes through the SIF. A collaboration of funders specified outcomes and used a competitive process to select subgrantees that have demonstrated these outcomes in prior work. Many of these same funders then applied this model to another collaborative grant program, where they are able to identify community programs that clearly demonstrate cost savings and sustainability.

SIF Grantee Observations about Change. Among SIF 2010-2012 grantees, a majority attributed changes in their process of selecting subgrantees to their participation in the SIF; among the National Sample of Grantmaking Nonprofits, a majority attributed changes to direction from the organization's board or other leadership. Both comparison groups also mentioned trends in the broader grantmaking world as important factors contributing to change. (See Appendix D for details).

The National Sample of Grantmaking Nonprofits also pointed out that they designed these changes to make the grant competition more fair and transparent. One respondent noted that "Donor tolerance for funding that does not have measurable results has changed." Some added that their organizations have always required prior evidence in grant applications, but in some cases, prior evidence is not easy to come by. For example, one nonprofit respondent observed, "We fund arts experiences; (It is) difficult to quantify the impact of arts education experiences in one year."

In open-ended comments about how their participation in the SIF contributed to their approach to selecting subgrantees, SIF 2010-2012 grantees reiterated the themes of implementing application-based competitions, emphasizing evidence and evaluation, and increasing use of tools. Below are comments that offer context:

- *The SIF RFP process was the first ever for this organization. We found this process to be helpful and plan to use it in the future.*

- *For another program, we now use a competitive selection process for all of our new, non-SIF sites. We found the selection process to be a valuable method of pre-planning and gauging interest and dedication to the model.*

SIF Grantee Evidence of Change. SIF grantees were selected through a rigorous, open competition, and they select their subgrantees through a similar competitive process. For some grantees, conducting a competitive selection process was a significant change from the way in which they had traditionally made funding decisions. Some grantees saw

> **Tools and Resources: Assessing Evaluation and Financial Management Capacity**
>
> One grantee developed a set of tools for assessing applicants' evaluation and financial management capacity.
>
> Application reviewers used the **evaluation assessment tool** to assess the strength of applicants' current level of evidence, based on the soundness of their theory of change, their history with using evaluation, and their data collection capacity. Reviewers also rated applicants' capacity to conduct an evaluation, based on their budgets, personnel, understanding of SIF levels of evidence, and evaluation methods.
>
> The **financial management survey** required applicants to provide copies of documents demonstrating their financial capacity, such as IRS forms, financial statements, audits, accounting policies, and procedures manuals. It also required them to describe the financial management qualifications of key staff and discuss their organizational policies and procedures for financial management.

significant value in a competitive selection process and applied it to other grant programs they manage. The follow-up interviews revealed these themes related to the SIF requirement for competitive selection:

- **The SIF helped grantees build a more systematic process for subgrantee selection.** Although grantees did not institute many changes, a few did develop and use various combinations of requests for proposals (RFPs), external and internal review teams, and tools and frameworks for reviewing funding applications and selecting subgrantees in a systematic way.

- **The SIF selection process helped grantees choose subgrantees with strong evidence.** SIF grantees were better able to identify applicants with a strong evidence base and the capacity to build evidence further. Grantees designed SIF solicitations to clearly articulate the initial level of evidence they expected of subgrantees.

- **The SIF's competitive solicitation requirement helped grantees reach subgrantees in new markets and geographic areas.** Some grantees reached applicants in markets and geographic areas they would not have otherwise reached when they shifted from a direct selection process to a competitive solicitation with the SIF.

3.3.2   Support for Subgrantees

Grantmaking organizations vary in the extent to which they provide support to subgrantees to develop their capacity to accomplish the work. The survey asked respondents about both financial and non-financial assistance they provided to help subgrantees implement and evaluate their programs.

SIF Grantee Changes. Exhibit 11 indicates that about one-third of SIF 2010-2012 grantees reported changes in the ways in which they support their subgrantees. On average, SIF grantees in the 2010-2012 cohort expanded the support they gave subgrantees by more often providing funding to carry out an

evaluation or hire an external evaluator (Item A: 3.0 to 3.9), providing training or technical assistance to conduct rigorous evaluation (Item B: 3.6 to 4.3), or supporting implementation of the program (Item C: 4.4 to 5.0).

Changes for SIF Grantees vs. Comparison Groups. Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization: 1) provided funding to carry out an evaluation or hire an external evaluator, as part of the grant or through other means, and 2) provided training or technical assistance to support conducting rigorous evaluation. The effect sizes in the latter two areas were large, but negligible in providing TA to support program implementation. Compared to Non-selected SIF Applicants, although the change patterns for SIF 2010-2012 grantees were not statistically significant, we found small differences in favor of SIF grantees in the magnitude of the differences regarding provision of TA to evaluation and TA to program implementation.

SIF Grantee Observations about Change. Among organizations that reported changes in how they support grantees, the majority of SIF 2010-2012 grantees attributed these changes to their participation in the SIF, whereas a majority of the National Sample of Grantmaking Nonprofits attributed these changes to direction from the organization's board/leadership, and to trends in the broader grantmaking world as major factors in driving technical assistance to support program implementation. (See Appendix D for details.) Another theme identified by SIF grantees in open-ended responses was that their organizational

business model had shifted toward a stronger emphasis on grantee support, in terms of either evaluation or technical assistance or both.

Some SIF grantees specifically credited the SIF with changing how they provide TA to subgrantees—not only within their SIF programs, but across their broader portfolios.

- *SIF offered both the opportunity and the mandate to increase the level of TA for our subgrantees around evaluation and program administration. In 2009 we offered small TA grants around program implementation, and in 2014 we were able to offer larger one-on-one TA awards to our SIF subgrantees, as well as group TA and training to support data collection and other evaluation activities.*

- *SIF's requirements around technical assistance and shared learning have impacted our impact work more generally (not just the body of work that is funded by SIF). More importantly, SIF has been a "lever" that we've used by demonstrating the government's commitment to this kind of support, we can make a stronger case for providing it. Also, as part of SIF we joined another grantmaker in making grants, and their promotion of this message of support beyond the grant has been influential.*

Exhibit 11. *Changes in support for subgrantees from SIF grantees and comparison groups*
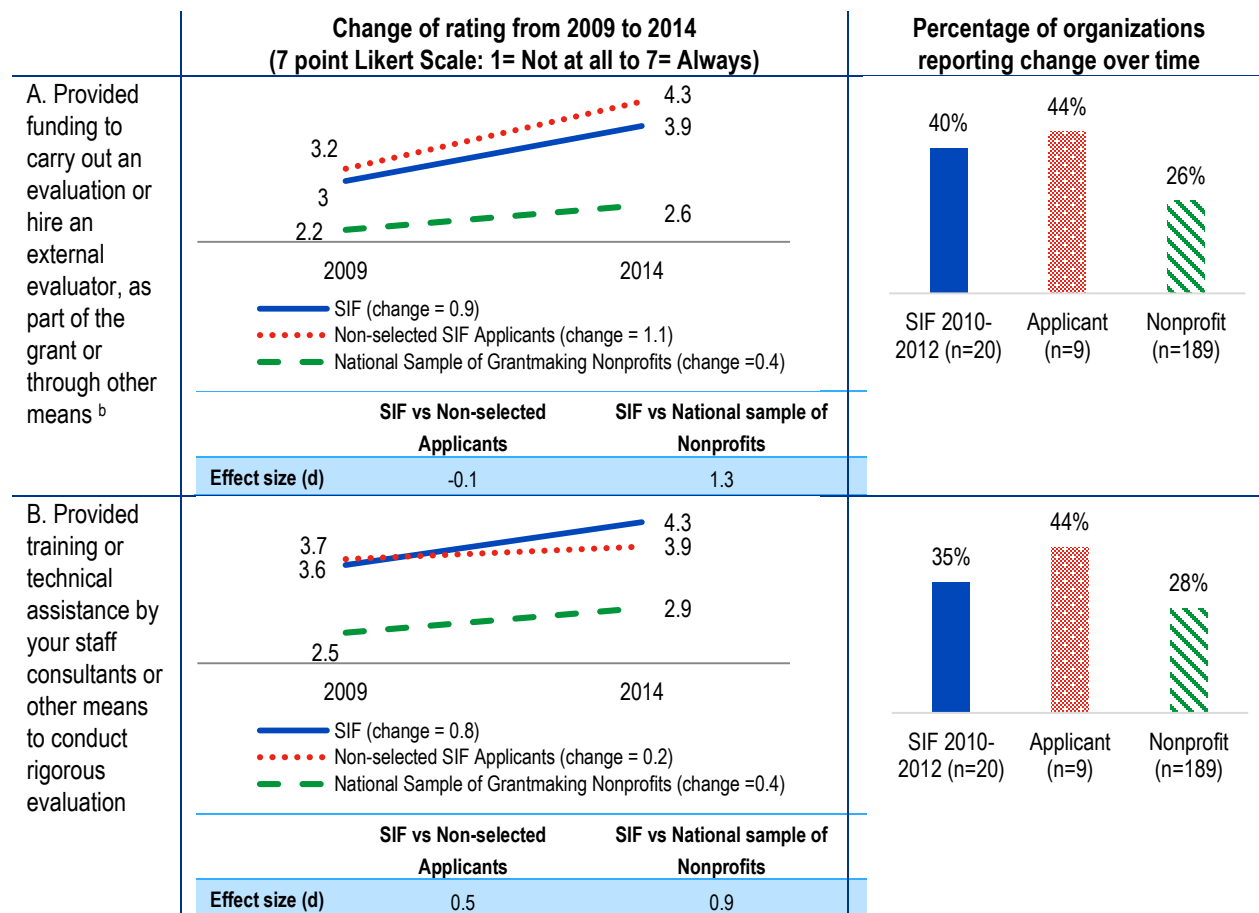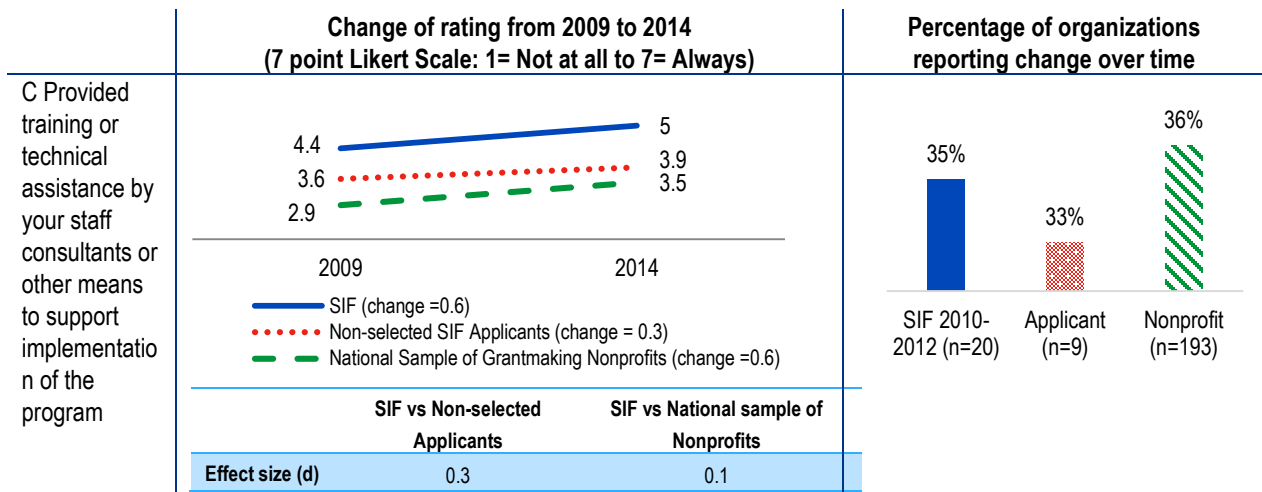
	Change of rating from 2009 to 2014 (7 point Likert Scale: 1= Not at all to 7= Always)	Percentage of organizations reporting change over time
C Provided training or technical assistance by your staff consultants or other means to support implementation of the program	4.4 → 5 3.6 → 3.9 2.9 → 3.5 2009 — 2014 —— SIF (change =0.6) ••••• Non-selected SIF Applicants (change = 0.3) – – – National Sample of Grantmaking Nonprofits (change =0.6)	35% 33% 36% SIF 2010-2012 (n=20) · Applicant (n=9) · Nonprofit (n=193)

	SIF vs Non-selected Applicants	SIF vs National sample of Nonprofits
Effect size (d)	0.3	0.1

Statistical significance (p<.05) is noted as:
  a: significant difference between SIF 2010-2012 grantees and Non-selected SIF Applicants 2010-2012
  b: significant difference between SIF 2010-2012 grantees and the National Sample of Grantmaking Nonprofits

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Tools and Resources: Menu of TA Options

By placing a strong emphasis on approaching TA in a strategic way, the SIF helped grantees understand subgrantees' TA needs, plan their TA strategies, and communicate more clearly to subgrantees the TA they could provide. One grantee developed a resource that summarized the host of technical assistance options available to subgrantees so that they could better understand the assistance available to them to support and sustain the SIF model.

SIF Grantee Evidence of Change. The SIF increased the amount of support that grantees were expected to provide to their subgrantees, and required them to think carefully about how they provided this support. Ultimately, the support that subgrantees received through the SIF gave them the foundation they needed to grow their impact. Follow-up interviews uncovered several themes about grantee support:

- **SIF grantees increased their investment in growing subgrantees capacity**. Grantees invested more in increasing the capacity of their SIF subgrantees through the SIF, especially capacity related to compliance, evaluation, and communications.

- **The SIF helped grantees become more strategic about how they support their subgrantees**. The SIF led to a more sophisticated and standardized approach to TA than many grantees had used prior to receiving the grant. Several grantees developed standards for providing TA across sites.

- **The support that SIF grantees provided to their subgrantees gave them a solid foundation from which to grow.** Grantees helped subgrantees develop the skills to implement projects with the level of rigor required by the SIF. Grantees made efficient use of the TA they were required to provide by ensuring that it was useful for the SIF, as well as applicable to efforts well beyond the SIF.

Highlight: Hands-on Support to Subgrantees

The SIF increased the amount of hands-on support and oversight that many grantees provided to their subgrantee organizations. One grantee developed a strategy for providing this hands-on support to its subgrantee organizations by implementing frequent check-ins with the subgrantees and working closely with them throughout the grant. As a result, the grantee helped integrate the organizations' programmatic, clinical, finance, compliance, and human resources staff to improve program implementation. One subgrantee had difficulty developing this level of integration, and implemented a corrective action plan to support communication across all levels of the organization.

3.3.3   Use of Data, Evidence, and Evaluation

The survey included questions about how SIF grantees used evaluation in 2009 and 2014 and their evaluation resources and infrastructure. In addition, respondents were asked whether their organizations had changed the way they use data and evidence, and what factors contributed to those changes.

SIF Grantee Changes. Evaluation is the area in which SIF grantees identified the greatest changes, with about two-thirds reporting increases in their capacity to conduct rigorous program evaluation (Item A: 3.1 to 4.5), use evaluation findings to improve programs (Item B: 3.9 to 4.9), and demonstrate and communicate program effectiveness (Item C: 3.7 to 4.9) (Exhibit 12). This outcome resonates with the substantial focus that the SIF program places on this area.
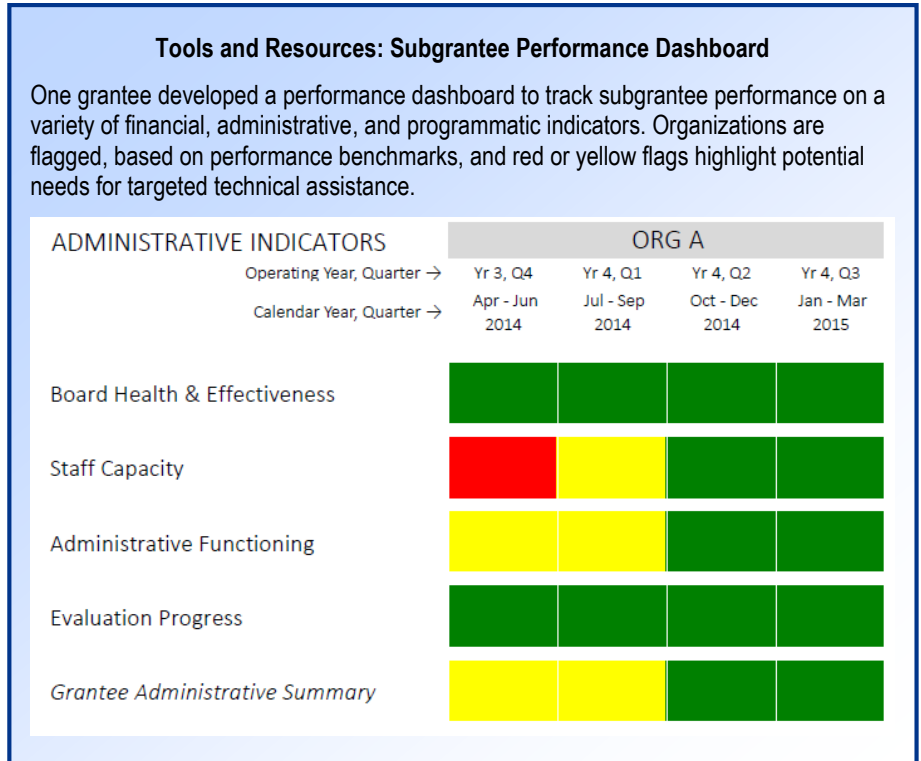
Tools and Resources: Subgrantee Performance Dashboard

One grantee developed a performance dashboard to track subgrantee performance on a variety of financial, administrative, and programmatic indicators. Organizations are flagged, based on performance benchmarks, and red or yellow flags highlight potential needs for targeted technical assistance.

Changes for SIF Grantees vs. Comparison Groups. Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly more growth between 2009 and 2014 in all three evaluation areas, including 1) conducting rigorous evaluations of the programs; 2) using evaluation findings to improve programs; and 3) using evaluation findings to demonstrate and communicate effectiveness of programs funded by the organization. The effect size differences in all three areas were large. Compared to Non-selected SIF Applicants, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization conducted rigorous evaluations of programs funded by the organization, and the effect size was large. Although the differences in the other two areas were not statistically significant due to small sample sizes, the effect sizes were medium and small respectively.

Exhibit 12. *Changes in how SIF grantees and comparison groups approached evaluation*

	Change of rating from 2009 to 2014 (7 point Likert Scale: 1= Not at all to 7= Always)	Percentage of organizations reporting change over time
A. Conducted rigorous evaluations of programs funded by your organization [ab]	3.4, 3.3, 3.1 → 4.5, 4.1, 3.6 2009 / 2014 SIF (change = 1.4) Non-selected SIF Applicants (change = 0.4) National sample of grantmaking nonprofits (change =0.7)	70% SIF 2010-2012 (n=20) 25% Applicant (n=8) 40% Nonprofit (n=184)

	SIF vs Non-selected Applicants	SIF vs National sample of Nonprofits
Effect size (d)	1.0	1.9

B. Used evaluation findings to improve programs funded by your organization [b]	5.1, 3.9, 3.6 → 5.4, 4.9, 4.3 2009 / 2014 SIF (change = 1.0) Non-selected SIF Applicants (change = 0.3) National Sample of Grantmaking Nonprofits (change =0.7)	60% SIF 2010-2012 (n=20) 22% Applicant (n=9) 39% Nonprofit (n=183)

	SIF vs Non-selected Applicants	SIF vs National sample of Nonprofits
Effect size (d)	0.7	0.8

C. Used evaluation findings to demonstrate and communicate effectiveness of programs funded by your organization [b]	4.9, 3.8, 3.7 → 5.7, 4.9, 4.6 2009 / 2014 SIF (change = 1.2) Non-selected SIF Applicants (change = 0.8) National Sample of Grantmaking Nonprofits (change =0.8)	60% SIF 2010-2012 (n=20) 33% Applicant (n=8) 43% Nonprofit (n=181)

	SIF vs Non-selected Applicants	SIF vs National sample of Nonprofits
Effect size (d)	0.3	0.8

Statistical significance ($p<.05$) is noted as:
  a: Significant difference between SIF 2010-2012 grantees and Non-selected SIF Applicants 2010-2012
  b: Significant difference between SIF 2010-2012 grantees and the National Sample of Grantmaking Nonprofits

In addition to change in organizational capacity and practice, the survey asked about changes in evaluation staffing and budget. It also examined evaluation capacity through the lens of personnel and budget as measures of organizational infrastructure to support growth.

SIF grantees, Non-selected SIF Applicants, and the National Sample of Grantmaking Nonprofits all reported increases between 2009 and 2014 in several indicators of evaluation capacity, including the

presence of staff position(s) or groups within the organization dedicated to evaluation; external evaluation partners that provide the organization with evaluation services; and line items in the organization's budget dedicated to evaluation.

SIF 2010-2012 grantees had a significantly higher baseline of evaluation capacity in 2009 than the National Sample of Grantmaking Nonprofits, meaning SIF 2010-2012 grantees were more likely in 2009 to have: 1) staff position(s) or a group within the organization dedicated to evaluation; 2) external evaluation partner(s) that provide evaluation services; and 3) line items in the organization's budget dedicated to evaluation. However, SIF grantees also experienced significantly more growth than did the National Sample of Grantmaking Nonprofits in these areas (Exhibit 13).

Exhibit 13. *Changes in evaluation infrastructure for SIF grantees and comparison groups*

Did/does your organization have the following?	Group	2009		2014		
		n	% (yes)	n	% (yes)	Change
Staff position(s) or a group within your organization dedicated to evaluation	SIF 2010-2012	20	50.0% [b+]	20	70.0%	20.0% [b+]
	Non-selected SIF Applicants 2010-2012	8	50.0%	8	75.0%	25.0%
	National Sample of Grantmaking Nonprofits	187	30.0%	189	38.9%	7.7%
External evaluation partner(s)—consultant(s) or organization(s)—that provide your organization with evaluation services	SIF 2010-2012	20	70.0% [b+]	20	95.0%	25.0% [b+]
	Non-selected SIF Applicants 2010-2012	8	62.5%	8	87.5%	25.0%
	National Sample of Grantmaking Nonprofits	186	34.9%	189	45.4%	9.6%
Part of the organization's budget dedicated to evaluation	SIF 2010-2012	20	75.0% [b+]	20	95.0%	20.0% [b+]
	Non-selected SIF Applicants 2010-2012	8	62.5%	8	87.5%	25.0%
	National Sample of Grantmaking Nonprofits	187	35.5%	189	47.2%	11.7%

Statistical significance (p<.05) is noted as:
   a: significant difference between SIF and Non-selected SIF Applicants
   b: significant difference between SIF and National Sample of Grantmaking Nonprofits
   +: favoring SIF
   -: favoring the comparison group

Exhibit 14 shows that the majority of SIF grantees and Non-selected SIF Applicants reported that their evaluation budgets were significantly higher in 2014 than in 2009 in terms both of total dollar amount and as a percentage of the organization's total annual budget. In contrast, the National Sample of Grantmaking Nonprofits was more likely to report that their evaluation budgets were about the same in 2014 as in 2009.

Exhibit 14. *Reported changes in evaluation budgets of SIF grantees and comparison groups*

Total evaluation budget ($) - change from 2009 to 2014

Group	Substantially higher	Somewhat higher	About the same	Somewhat lower	Substantially lower
SIF 2010-2012 (n=20)	50%	20%	30%		
Non-selected SIF Applicants (n=6)	33%	50%	17%		
National Sample of Grantmaking Nonprofits (n=160)	17%	25%	58%	<1%	

Evaluation budget as a % of organization's total annual budget - change from 2009 to 2014

Group	Substantially higher	Somewhat higher	About the same	Somewhat lower	Substantially lower
SIF 2010-2012 (n=20)	30%	25%	35%	5%	5%
Non-selected SIF Applicants (n=6)	17%	33%	50%		
National Sample of Grantmaking Nonprofits (n=156)	13%	16%	63%	7%	2%

Legend: ■ Substantially higher ■ Somewhat higher ■ About the same ■ Somewhat lower ■ Substantially lower

SIF grantees significantly exceeded the National Sample of Grantmaking Nonprofits in terms of annual evaluation budget as a percent of the organization's total budget (4.1% higher) in 2009, and experienced a greater increase in that budget (1.7%) in 2014 (Exhibit 15). One caveat is that, in some cases, the evaluation budget may be included in the program budget rather than a separate line item. In addition, the mean values for the National Sample of Grantmaking Nonprofits were skewed by one outliner that has a much higher evaluation budget than any others. Across the three groups, no differences were found in the number of full-time equivalent (FTE) staff with primary responsibility for evaluation. One possible explanations is that SIF grantees tend to hire external evaluators, because internal staff are not equipped to conduct the level of rigorous evaluations required. Nevertheless, additional staff may be hired to oversee these evaluations.
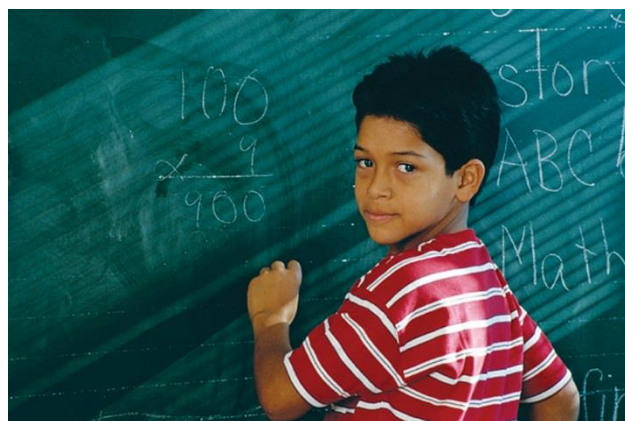
Exhibit 15. *Changes in the evaluation budgets of SIF grantees and comparison groups*

Did/does your organization have the following?	Group	2009					2014					Change (mean)
		n	Mean	Median	Min.	Max	n	Mean	Median	Min.	Max	
Total annual evaluation budget (in $) – for in-house evaluators or external partners	SIF grantees 2010-2012	10	$860,590	$170,450	$0	$6,300,000	10	$1,789,800	$425,000	$0	$10,100,000	$939,344
	Non-selected SIF Applicants 2010-2012	1	$150,000	$150,000	$150,000	$150,000	1	$200,000	$200,000	$200,000	$200,000	$50,000
	National Sample of Grantmaking Nonprofits	66	$568,817	$0	$0	$60,000,000	58	$1,115,810	$0	$0	$63,000,000	$43,195
Annual evaluation budget as a % of the total organization budget	SIF 2010-2012	13	4.1% [b+]	1.5%	0.0%	10.0%	13	5.8%	4.0%	0.0%	14.0%	1.7% [b+]
	Non-selected SIF Applicants 2010-2012	0	--	--	--	--	0	--	--	--	--	--
	National Sample of Grantmaking Nonprofits	76	1.2%	0.0%	0.0%	70.0%	80	2.9%	1%	0%	65.0%	0.8%
Number of full time equivalent (FTE) staff with primary responsibility for evaluation	SIF 2010-2012	17	1.0	0.5	0	3	17	1.7	1	0	7	0.7
	Non-selected SIF Applicants 2010-2012	3	0.5	0.5	0	1	3	1.3	1	1	2	0.8
	National Sample of Grantmaking Nonprofits	101	1.8	0	0	150	104	3.1	.40	0	200	0.9

Statistical significance (p<.05) is noted as:

    a: significant difference between SIF and Non-selected SIF Applicants

    b: significant difference between SIF and National Sample of Grantmaking Nonprofits

    +: favoring SIF

    -: favoring the comparison group

SIF Grantee Observations about Change. For those SIF 2010-2012 grantees reporting changes in their use of evaluation, the majority attributed the change to their participation in the SIF. In contrast, a majority of the National Sample of Grantmaking Nonprofits credited direction from the organization's board/leadership for the change (See details in Appendix D). In the open-ended responses, respondents noted other factors such as increased capacities in terms of staff, software, available evidence-based programs, and framework change, with an emphasis on collective impact evaluation.

When asked how participation in the SIF had contributed to their organization's approach to evaluation, 2010-2012 SIF grantees noted an increase in their communication of findings, appreciation of evaluation, and use of resources and tools.

- *SIF's emphasis on rigorous evaluation is giving us an opportunity to demonstrate to our organization as a whole how evaluation can impact results. It's allowing us to show what it means to fund for impact.*

- *The SIF helped us look at regional evaluation capacity—both from a grantee and evaluator standpoint. We are working with other local funders to build capacity. We are much more focused on evaluating at both a program level and our own community change efforts.*

SIF Grantee Evidence of Change. SIF grantees and subgrantees rigorously evaluate their programs to strengthen their base of evidence and assess their programs' effectiveness, efficiency, and impact in the communities they serve. SIF grantees planned and implemented more evaluation than they had before the SIF, hired evaluation staff to increase their evaluation capacity, used evidence to improve results, and communicated results to prospective funders. Multiple themes emerged from the interviews regarding evaluation:

- **The SIF emphasis on evaluation helped its grantees plan and implement more—and more formalized—evaluation**. To accommodate the SIF's strong emphasis on evaluation, grantees implemented more formalized frameworks to prepare for and implement evaluations and became more intentional about how they related evaluation results to growth.

- **Grantees increased their evaluation capacity by hiring evaluation staff and external evaluation partners.** SIF grantees learned quickly that they had to devote a significant amount of capacity to evaluation, and they engaged staff and external partners to focus specifically on evaluation.

- **The SIF emphasis on evaluation helped grantees use evidence to improve results.** The SIF helped grantees orient their programs toward using evidence to inform programmatic improvements in order to achieve a bigger impact in the communities they serve.

- **SIF subgrantees attracted new funders as a result of their skills in conducting rigorous evaluation and communicating program effectiveness.** The SIF created a culture of evaluation, embedding it into funding objectives and offering funding to subgrantees to conduct evaluations. Having the capacity to conduct rigorous evaluations armed grantees and subgrantees with robust data, which enabled them to communicate more effectively about their program's impact and value.

> **Highlight: Demonstrating the Benefits of Evaluation**
>
> Conducting in-depth program evaluation is a core component of the SIF. One grantee is using a randomized controlled trial (RCT) to evaluate their programs. Given that subgrantees are often focused on using the SIF funding to serve as many people as possible with the supportive housing intervention, some subgrantees were hesitant to implement an RCT for fear of not being able to serve all beneficiaries in need. However, the grantee worked closely with the subgrantees to understand their concerns and to demonstrate the value of an RCT evaluation. If and when the evaluation shows strong evidence, subgrantees will see that participants are served in the long term, and they can then use these results to scale the model to serve more people in need.

3.3.4   Scaling Up Programs with Evidence of Effectiveness

Increasingly, federal and nonprofit grantmakers are concentrating on scaling up programs that have demonstrated evidence of effectiveness. Scale-up may be broadly defined as increasing the impact of a program within a community or expanding it to other communities or populations.

SIF Grantee Changes. About half of the SIF 2010-2012 grantees reported changes in their efforts to scale up existing programs (Item A: 4.2 to 5.1), and to select programs for scale-up based on rigorous evaluation that demonstrates their effectiveness (Item B: 3.5 to 4.6) (Exhibit 16).

Changes for SIF Grantees vs. Comparison Groups. Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization selected programs for scale-up based on rigorous evaluation that demonstrates their effectiveness; the effect size was medium. Although no statistically significant difference was found in undertaking efforts to scale up existing programs, we found small distinctions in favor of SIF grantees in the magnitude of those differences. Compared to Non-selected SIF Applicants, although the change patterns for SIF 2010-2012 grantees were not statistically significant, we found small distinctions in favor of SIF grantees in the magnitude of the differences in both areas.

Exhibit 16. Changes in approach to scaling up programs for SIF grantees and comparison groups

	Change of rating from 2009 to 2014 (7 point Likert Scale: 1= Not at all to 7= Always)	Percentage of organizations reporting change over time
A. Undertook efforts to scale up existing program(s)—i.e., to expand the program(s) within the community or to other communities or populations	SIF (change = 0.9), Non-selected SIF Applicants (change = 0.5), National Sample of Grantmaking Nonprofits (change =1.0). 2009 to 2014: 4.5→5.1, 4.2→5, 2.9→4	53% SIF 2010-2012 (n=19), 38% Applicant (n=8), 53% Nonprofit (n=173)

	SIF vs Non-selected Applicants	SIF vs National sample of Nonprofits
Effect size (d)	0.4	0.3

	Change of rating from 2009 to 2014	Percentage of organizations reporting change over time
B. Selected programs for scale-up based on rigorous evaluation that shows them to be effective	SIF (change = 1.1), Non-selected SIF Applicants (change = 0.6), National Sample of Grantmaking Nonprofits (change =0.9). 2009 to 2014: 3.5→4.6, 3.4→4, 2.4→3.3	53% SIF 2010-2012 (n=19), 25% Applicant (n=8), 39% Nonprofit (n=170)

	SIF vs Non-selected Applicants	SIF vs National sample of Nonprofits
	0.3	0.6

Statistical significance (p<.05) is noted as:

a: significant difference between SIF 2010-2012 grantees and Non-selected SIF Applicants 2010-2012

b: significant difference between SIF 2010-2012 grantees and the National Sample of Grantmaking Nonprofits

SIF Grantee Observations about Change. For those SIF 2010-2012 grantees reporting changes in scaling up programs, a majority attributed the changes to the organization's participation in the SIF, whereas a majority of the National Sample of Grantmaking Nonprofits attributed changes to the direction from the organization's board/leadership. SIF 2010-2012 grantees also cited direction from the organization's board/leadership as a major factor (See details in Appendix D). In open-ended questions, respondents noted increased capacities in terms of staff, shifts in organizational strategies such as adoption of Results-based Accountability, and more funds raised to allow for scaling up.

Asked how participation in SIF contributed to the organization's approach to scaling up, SIF 2010-2012 grantees reported a greater understanding of scaling, more available funding, newly created staff positions, and evaluation readiness. For example,

- *For some organizations, their investment helps them build their evidence. For the SIF, we continued our practice of funding organizations that either have been evaluated or were poised for rigorous evaluation within the SIF 5-year timeframe.*

- *SIF is providing us with the evidence needed to scale certain programs. The evaluation findings give the rationale for scale. We also have a deeper understanding of what it takes to scale programs and how to support organizations to grow. We would not have had that "forced learning" without SIF.*

SIF Grantee Evidence of Change. Themes related to scaling are summarized as follows:

- **The SIF helped grantees develop methods for choosing which interventions to scale up.** The emphasis on evaluation and the TA that grantees provided to their subgrantees helped them better understand which programs were likely candidates for expansion.

- **Grantees packaged what they learned from the SIF to support scaling**. The SIF served as a learning lab for grantees, who took the lessons from the SIF and applied them within their organizations to support scaling efforts.

> **Tools and Resources: Preparing to Scale**
>
> The SIF is focused on growing programs that can make a deeper or broader impact on communities. One grantee supports scaling by helping its subgrantees describe their programs to groups that might adopt them. The organization is developing an implementation template in which subgrantees record the details of their programs. The template calls for the subgrantee to outline the need for the program, its vision and mission, its logic model and theory of change, and its core program components. The grantee encourages subgrantees to use the template to support scaling and replication efforts.

3.3.5   Collaboration to Address Community Needs

By providing SIF grants, CNCS also anticipates wider and deeper collaboration among SIF grantees, with other grantmakers, and among subgrantees to address community needs and improve collective impact.

SIF Grantee Changes. Exhibit 17 shows that about half of the SIF 2010-2012 grantees indicated changes in collaboration between 2009 and 2014, reporting considerable changes in participating in funding alliance(s) with other nonprofit sector organizations (Item A: 3.6 to 4.3), knowledge sharing (Item B: 4.2 to 5.2), and collaborating for purposes of advocacy (Item C: 3.5 to 4.1).

Changes for SIF Grantees vs. Comparison Groups. No statistically significant differences were found between SIF grantees and the comparison groups. However, compared to the National Sample of Grantmaking Nonprofits, we found small differences in favor of SIF grantees in the magnitude of the differences regarding participating in funding alliances with other nonprofits, and participating in collaborations with other nonprofits to share knowledge. Compared to Non-selected SIF Applicants, we found small differences in favor of SIF grantees in the magnitude of the differences in collaborations to share knowledge.
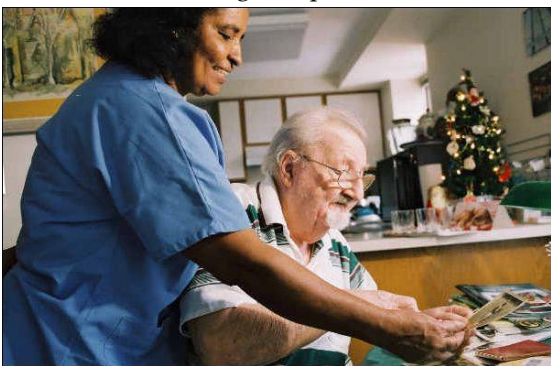
SIF Grantee Observations about Change. For those reporting changes in collaboration through funding alliances and knowledge sharing, a majority of SIF 2010-2012 grantees attributed these changes to the organization's participation in SIF and to trends in the broader grantmaking world, whereas a majority of the National Sample of Grantmaking Nonprofits attributed these changes to the direction from the organization's board/leadership. SIF grantees and the National Sample of Grantmaking Nonprofits both cited direction from the organization's board/leadership as a major factor behind changes in collaboration for advocacy. Trends in the broader grantmaking world also played a key role for many SIF grantees (See details in Appendix D). SIF participation was not a major factor here, possibly because federal funding does not allow the use of federal funds for lobbying (which may have been conflated with advocacy).

In open-ended questions, a few respondents also pointed out other factors that contributed to increased collaboration, such as the recession and budget cuts, consolidation of services to focus on collective impact, and the need for increasing advocacy efforts.

Regarding the ways that participation in the SIF influenced to their approaches to collaboration, SIF 2010-2012 grantees emphasized various forms of collaboration among grantees, among funders, and across industries. For example,

- *To bolster support of our subgrantees, the organization entered into a strategic collaboration with the evaluator in our application to become a SIF intermediary. This collaboration extended beyond our SIF work to support most of our grantees.*

- *Our previous grantmaking did not necessarily have a match requirement; however, SIF funding does have this requirement and so we are participating in these efforts with our SIF subgrantees. We've always participated in industry-specific exchanges; however, now we participate in cross-industry exchanges via the SIF Economic Opportunity Group.*

Exhibit 17. *Changes in approach to collaboration by SIF grantees and comparison groups*
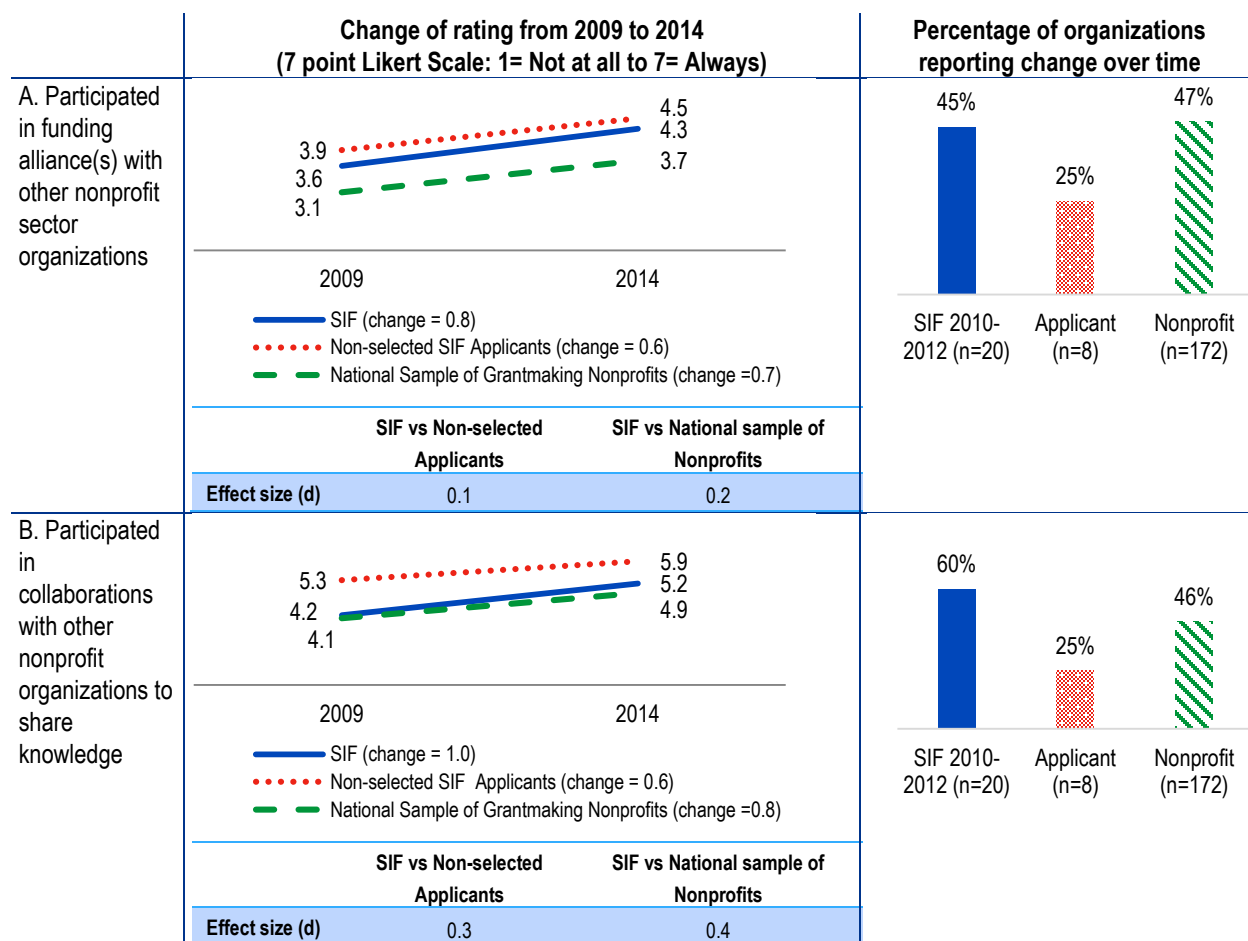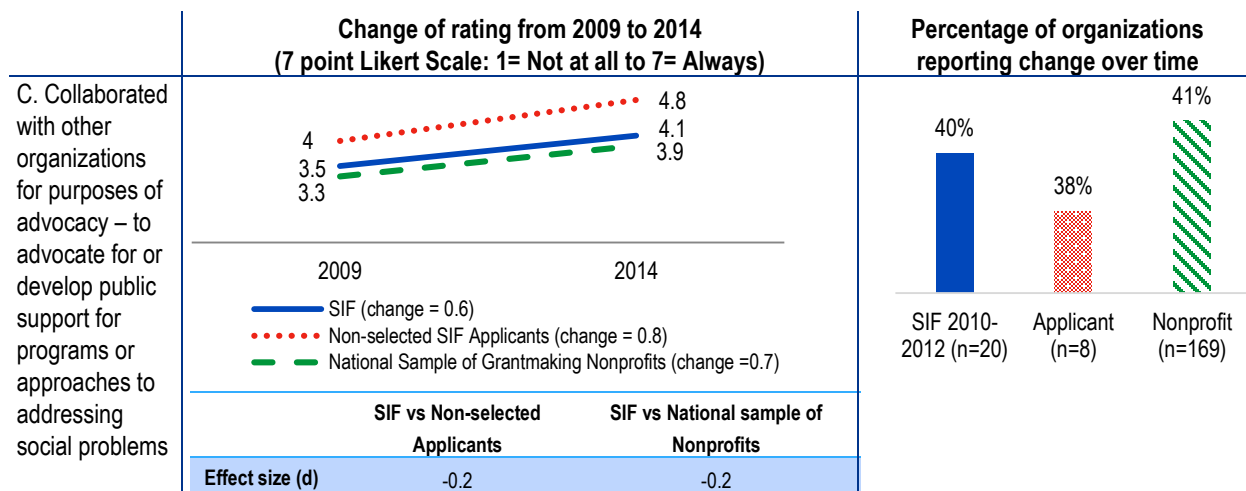
	Change of rating from 2009 to 2014 (7 point Likert Scale: 1= Not at all to 7= Always)	Percentage of organizations reporting change over time
C. Collaborated with other organizations for purposes of advocacy – to advocate for or develop public support for programs or approaches to addressing social problems	 4.8 4.1 3.9 4 3.5 3.3 2009 2014 —— SIF (change = 0.6) ••••• Non-selected SIF Applicants (change = 0.8) – – – National Sample of Grantmaking Nonprofits (change =0.7)	 40% 38% 41% SIF 2010-2012 (n=20) Applicant (n=8) Nonprofit (n=169)

	SIF vs Non-selected Applicants	SIF vs National sample of Nonprofits
Effect size (d)	-0.2	-0.2

Statistical significance (p<.05) is noted as:
  a: significant difference between SIF 2010-2012 grantees and Non-selected SIF Applicants 2010-2012
  b: significant difference between SIF 2010-2012 grantees and the National Sample of Grantmaking Nonprofits

SIF Grantee Evidence of Change. The SIF built collaboration and sharing of best practices and lessons learned into its model as a way to continually improve the effectiveness of the programs it funds. The SIF provided grantees with a variety of opportunities to collaborate and learn from one another, encouraged grantees to support knowledge-sharing among their subgrantees, and highlighted the value of partnerships with other organizations and potential funders. The following themes emerged from the interviews.

- **The SIF gave grantees a variety of collaborative learning opportunities.** The SIF afforded grantees a variety of opportunities to share resources, knowledge, and best practices with their peers. Many grantees used the SIF network to create and engage in various experience-sharing forums.

- **The SIF encouraged grantees to support peer learning among their subgrantees.** The SIF encouraged grantees to create networks among their subgrantees around common issues, and used a variety of ways to do so such as the collaborative problem solving approach described in the highlight box.

- **The SIF highlighted the value of external partnerships.** The SIF showed grantees the importance of connecting with partners in the areas in which they serve, especially for funding purposes. Establishing relationships with funding partners was essential for SIF grantees to meet the match requirement, especially for those implementing programs in under-resourced communities.

> **Highlight: Collaborative Problem-Solving**
>
> SIF grantees were creative about how they brought together peers and partners for idea exchange and collective problem solving. One grantee hosted a "hackathon," modeled after convenings in which developers collaboratively create new software or improve existing software. This "hackathon" did not focus on software. Instead, it used the "hackathon" collaborative problem solving strategy by convening program partners to "get inside the youth development" system in which they worked to "identify a common barrier affecting each organization." The "hackathon" leveraged key staff from multiple organizations to address young people's access to public transportation, which can limit their participation in the educational and career preparation services that are available throughout the National Capital Region.

3.4   Reflections on SIF Experience

Finally, the survey asked SIF grantees to reflect on their experiences with SIF in areas such as the tiered-evidence grant program, major changes, development of subgrantee capacity, strengths and benefits of

the SIF model, challenges and problems with the model, and recommendations for improvement. Non-selected SIF Applicants also shared insights about their experiences in applying for the program. These areas are not relevant to the National Sample of Grantmaking Nonprofits.

3.4.1   Tiered-Evidence Grant Program

The survey provided an opportunity to ask grantees for their perspectives on the tiered-evidence approach to grantmaking. All SIF 2010-2012 grantees said that tiered-evidence initiatives were at least "somewhat effective" in building evidence in a topic area, including 36.8% who said they considered these initiatives "very effective" in this regard (Exhibit 18). Grantees who responded "somewhat effective" elaborated on such cautions as the need to wait for results or to look at evaluation beyond their own program. They also acknowledged that rigorous evaluation may not be essential for every program, that a more adaptable approach could be beneficial; and that tiered evidence is more effective with tested practices than with pilot programs. They pointed out the possible tension between meeting requirements and finding the best method to build evidence, and that it is difficult to implement evaluation and scale up simultaneously. The SIF selects programs that have evidence, and does not accept new, but untested programs, however promising. Other tiered-evidence programs, such as the U.S. Department of Education's Investing in Innovation (i3), take a different approach and include programs at very early stages of development.

Exhibit 18. *How effective do you think tiered-evidence initiatives are in achieving such outcomes as building evidence in an area? (n=19)*
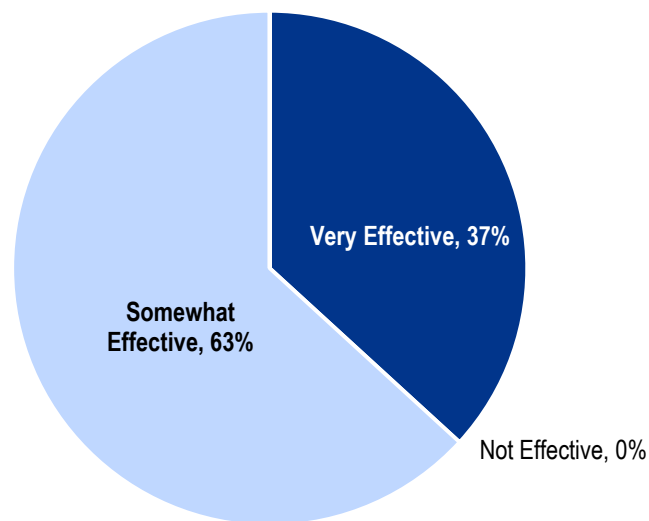
Asked about the strengths or contributions of tiered-evidence initiatives, two or more SIF grantees noted that these initiatives allow organizations at different levels of maturity to undertake evaluations, and inform program improvement/replication. Areas mentioned once by different respondents included influencing funders to invest in evidence and effectiveness, rewarding evidence-based intervention, encouraging nonprofits to build capacity to reach outcomes, and creating a library of effective, evidence-based interventions other communities can implement. Respondents noted:

- *The contribution of tiered evidence is that it allows for organizations with different levels of maturity and organizational readiness to seriously undertake evaluation. It is a serious step towards wanting to improve their programs for the people that they serve. We know every program is not ready for a randomized controlled trial*

(RCT), but organizations can aspire to move their programs in that direction if they are in the habit of being accountable and having great performance feedback loops.

- *Tiered-evidence initiatives allowed us to increase our capacity to help subgrantees secure evidence, to understand how to meet nonprofits where they are in terms of data collection and use, and to understand how to move them along a continuum in terms of evidence. This is how they will create social change. It also helps to continue to grow the organization's knowledge of what works and inform the field about how to get outcomes for certain populations.*

- *It has been extremely helpful to have the assistance of the third party evaluation across all of the subgrantee organizations. Due to this, we will leave the project with solid evidence that will allow us to scale the initiative to new sites. The evaluation—and particularly the use of RCT—has gained the interest of many new partners.*

Grantees also were candid about the problems or limitations of tiered-evidence initiatives. They pointed out factors such as limited organizational readiness, cost and time required, disagreement concerning the level of evidence standards, difficulty in communicating variation, tendencies to limit innovation, state agencies unready to embrace the model, and a tendency to divert focus from what is important to what is measurable. For example:

- *Tiered-evidence initiatives have yet to fully show their promise to lead into follow-on funding streams for programs that show promising evidence. It has also been difficult for some programs to adhere to the short evaluation timeframes required. Also, tiered-evidence initiatives across government are not yet aligned in their definition of evidence levels, and the funding allocated is still very small compared to the rest of the federal budget. Further, state funding tends not to value tiered funding yet.*

- *Tiered evidence is great in theory, but there are so many variables when dealing with people that sometimes a more adaptable approach, such as developmental evaluation, is called for. The idea of randomized control trials as the "gold standard" is a little dated.*

- *Worst case, they preclude funding for early exploration of truly innovative approaches to some of our most persistent social challenges.*

3.4.2   Changes across Organizations

Exhibit 19 indicates that 68% of the SIF 2010-2012 grantees reported that their SIF experience had affected how they conduct other programs. They cited increased focus on evaluation capacity building, compliance, TA provision, competitive selection processes, scaling up programs, collaboration, and sustainability.

- *We have increased our focus on evaluation capacity-building in order for our grantees to understand how to use evidence for program improvement.*

- *We are taking what we've learned from SIF that has had positive impact in terms of process (such as competitive bids, an emphasis on accountability), and we are applying those standards to other bodies of work we fund.*

- *The SIF experience--the ability to scale up our program, provide intensive national technical assistance, competitively select subgrantees, and make a commitment to data and outcomes is a goal for all programs at the organization.*

Exhibit 19. *Has your SIF experience affected how you conduct other programs? (n=20)*

No, 21%

N/A* , 11%

Yes, 68%
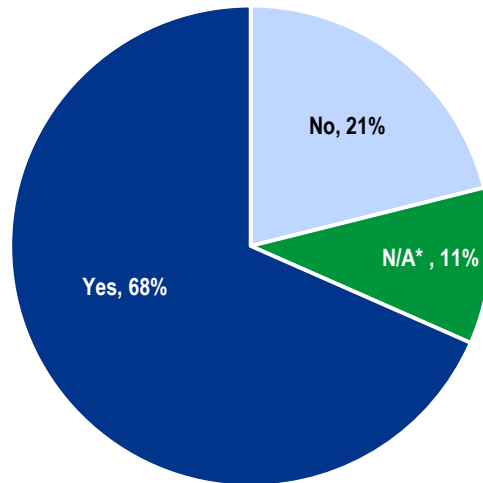
* N/A – do not manage any other programs in which the organization funds grantees to carry out projects in communities

The survey asked SIF grantees about major changes that their organizations had experienced during each year of the SIF funding as well as the reasons for those changes. Exhibit 20 summarizes the themes reported by two or more respondents by implementation year. No consistent theme was identified for year 5.

Exhibit 20. *Summaries of changes by year of SIF funding (n=20)*

Changes	Frequency	Summary of reasons for the change
Year 1		
Increased ability to meet compliance requirements	4	The ramp up year was used to set up the new SIF award
Added staff capacity with particular expertise	4	Needed to add staff with particular expertise to help grantees meet federal/SIF compliance requirements, support SIF work , and support evaluation
Developed grants management/admin system	2	The ramp up year was used to set up the new SIF award
Developed partnerships/collaboration	2	For fundraising requirements and nature of the SIF work
Scaling	2	SIF resources (along with private funds) allowed for a movement toward scaling effective approaches
Year 2		
Increased ability to meet compliance requirements	3	CNCS started to provide more specific instruction and assistance
Implemented the program	2	To get the program running, ensure subgrantees were implementing best practices
Focused on evaluation	2	To meet SIF requirement
Year 3		
Worked on sustainability	3	Funding was nearing an end, changed focus to sustainability
Implementation	2	Continued implementation
Experienced staff turnover	2	Board decision not to invest in 4th year of match
Year 4		
Worked on sustainability	2	Determining the value of the SIF to network partners to identify what aspects are sustainable beyond SIF dollars

Finally, the survey asked the sample of Non-selected SIF Applicants about their experience with the application process. Fifty percent of the Non-selected SIF Applicants reported that the experience of applying for SIF funding had an effect on their organization (not presented in the exhibits). Specifically, they mentioned increased attention to evaluation, added clarity and focus, and increased collaboration.

- *The SIF application process forced us to be more strategic in delivering our message and more collaborative in program design. It has helped us refine our programming and, we believe, advance our mission.*

- *In developing our SIF application we refined our plan for a statewide funders collaborative and we are now moving forward with that work. It also helped us engage partners and define our focus on financial stability.*

- *We created the Social Innovation Board to raise money for scaling evidence-based programs, purchased a relational database outcomes management system to help collaborations conduct more sophisticated analysis of outcomes, contracted with another organization to help us create an evaluation and learning system, and just recently hired a full-time evaluation expert who will help conduct formal evaluations of two key projects involving more than 20 partners. He will also provide training and technical assistance to partners.*

3.4.3 Development of SIF Subgrantees' Capacity

In order to assess capacity, the survey asked the SIF grantees to rate the capacity of their subgrantees to carry out different functions at two points in time: when their SIF funding started, and in 2014. The survey also asked SIF grantees to assess the extent to which any changes in subgrantee capacity were attributable to their participation in SIF.

The change in reported subgrantee capacity between the time they received SIF funding and 2014 was statistically significant in all seven areas investigated (Exhibit 21). In all but one of these areas (scaling up the intervention), a majority of SIF 2010-2012 grantees attributed a substantial amount of the change to participation in the SIF (Exhibit 22).

Exhibit 21. *SIF impact on subgrantees as perceived by SIF grantees (n=19)*

	To what extent did your subgrantees do this …? 7 point Likert Scale: 1- Not at all to 7- Always		
	At the start of SIF funding	**2014**	**Change**
A. Implement the interventions they are carrying out in their communities	3.5	4.4	0.8
B. Design and conduct rigorous evaluations of their interventions	2.3	3.6	1.3
C. Make use of evaluation findings for program improvement	2.6	3.7	1.1
D. Raise matching funds for the intervention	3.2	3.8	0.7
E. Meet federal compliance requirements	2.7	4.2	1.4
F. Scale up the intervention (i.e., increase impact within the community or expand to other communities)	2.9	3.8	0.9
G. Share knowledge and best practices	3.1	3.9	0.8

Exhibit 22. *Perceived level of SIF contribution to subgrantee capacity (n=20)*

Legend: ■ A substantial amount ■ Some ■ A little ■ None

Category	A substantial amount	Some	A little	None
A. Implement the interventions they are carrying out in their communities	62%	31%		8%
B. Design and conduct rigorous evaluations of their interventions	82%	12%	6%	
C. Make use of evaluation findings for program improvement	79%	14%	7%	
D. Raise matching funds for the intervention	55%	18%	18%	9%
E. Meet federal compliance requirements	81%	19%		
F. Scale up the intervention (i.e., increase impact within the community or expand to other communities)	39%	39%	15%	8%
G. Share knowledge and best practices	64%	9%	27%	

In open-ended responses, SIF 2010-2012 grantees mentioned four additional benefits to subgrantees: increased resources, increased ability to attract future funders, increased ability to manage federal funds, and increased technical assistance.

- *All of our subgrantees have increased their capacity in compliance. We provided technical assistance with the help of a consultant to help subgrantees comply with federal rules and regulations and prepare for A-133 audits. All subgrantees have increased their capacity to prepare for and engage in evaluation. The evaluator worked with many of our subgrantees to prepare for and execute their evaluations. In addition, we connected subgrantees with co-investors and helped them increase capacity to raise funds.*

- *Evaluation was challenging in the early days, but now they are very pleased they have this in place and capacity is significant higher. Not just the money that improved capacity, but they have improved their data collection systems, now look at data regularly with their external evaluator (each subgrantee has their own external evaluator), and receive TA from the external evaluator. The SIF helped increase this capacity, but it was also a matter of necessity outside SIF.*

Asked about other factors contributing to the increased capacity of their subgrantees, SIF grantees mentioned the effects of executive leadership/strategic planning, to the impact of coping with a difficult funding environment or loss of a contract, enhanced staff capability, organizational changes, and support from the collective impact model.

Grantees also shed light on challenges they faced while increasing subgrantee capacity to implement SIF projects, as well as effective approaches to address these challenges. Exhibit 23 summarizes the responses.

Exhibit 23. Challenges in developing subgrantee capacity to implement SIF projects and effective approaches to addressing them

Challenge in Developing Subgrantee Capacity to Implement SIF Projects	Effective Approaches
Match restrictions or requirement	Reallocate funds; identify other funding sources; devise creative funding streams
Limited resources/staff to support capacity building	Find resources and identify staff expectations for capacity building activities; work with external evaluators; work one-on-one with subgrantees on specific elements; work with local organizations; stage convenings
Tight evaluation timeline	Provide interim results so that evaluation can continue after SIF; adding a planning year would have been helpful
Sustainability beyond SIF	Develop sustainability plans; ensure subgrantees establish connections
Staff turnover	Provide focused, personal TA; ensure good documentation that builds base knowledge in organizations
Federal compliance	Provide training and monitoring; develop guidelines
Limited availability of data	Implement tool for collecting data; provide group, in-person capacity building training
Top-down nature of the evaluation	Help understand the value of co-designing evaluation
Issues with organizational leadership	Provide key leadership training
Communicating about evaluation/data expectations	Create staff position for knowledge sharing
Lack of subgrantee evaluation readiness	Secure support from evaluators
Lack of knowledge about the SIF when choosing subgrantees	Secure support from cross-site evaluation team
Scaling	Work one-on-one with subgrantees to identify pathways to scale and identify funding to test scaling efforts

3.4.4   The SIF Model's Strengths and Benefits, Challenges and Problems

In response to open-ended questions, many SIF grantees noted that rigorous evaluation and collaborative, engaging peer-learning experiences were major strengths of the SIF model. Other benefits included SIF staff transparency and accessibility, flexibility, and the requirement for rigorous documentation, which contributed to helping the model work.

- *Strengths of the model are in the rigor of the evaluations and the partnership and transparency of the staff. The SIF has proven to have some of the most rigorous evaluation requirements that any of our partners or subgrantees have experienced. This led to very strong evaluations. The transparency and partnership of the CNCS staff was invaluable. We could call on our program officers and the evaluation staff at any time to help problem solve. We had a situation where two organizations were experiencing challenges implementing their approved SEP. CNCS and JBS staff made themselves immediately available to talk with our staff and the subgrantee evaluation team to help determine ways to overcome the obstacles.*

- *The SIF has been a partner in the work. With a focus on innovation, change, and impact, the relationship was more dynamic than some government funding relationships.*

- *The community of funders created through monthly calls, issue area groups, and the national convenings was extremely strong compared to other federal grant programs.*

According to SIF grantees, the SIF model's challenges and problems included the matching requirement, the rigorous evaluation requirement with limited guidance and funding, federal compliance requirements, lack of guidance, and sustainability challenges.

- *The rigorous evaluations proved challenging, mainly because of the timing of the guidance—it was provided after subgrantees submitted the first draft of their plans. It appears that CNCS learned from this experience, and it didn't occur for subsequent cohorts. The match idea was really great in theory. Our network partners reported great success at the beginning of the SIF with raising those dollars. It was new and exciting, but by year 2 and 3, it became an exercise of moving existing funds around to the match, but not really leveraging new dollars. The role of intermediaries did not garner the acknowledgement and support nationally as originally expected.*

- *We consistently hear that raising match funds is a challenge for the subgrantees (and for us as an intermediary). Meeting all of the federal compliance requirements has also been a challenge.*

3.4.5   Recommendations

The survey also offered an opportunity for SIF 2010-2012 grantees to provide recommendations for improving the SIF program. Responses to this question echo some of the themes articulated in the challenges discussed above. Recommendations provided by more than one respondent included supporting grantees with compliance requirements, learning from intermediary perspectives, creating flexibility with the match (which requires a legislative, statutory change), minimizing staff turnover at CNCS, and including a planning year. Recommendations suggested just once by different respondents included clarity about all nuances and requirements, simplifying requirements, providing one-on-one TA, restricting small nonprofits from applying, extending the evaluation timeline, increasing the transparency of the SIF, reducing the burdens placed on SIF grantees (including reporting, convening, and interviewing), encouraging collaboration among grantees, and working with non-traditional funders. Below are quotes that illustrate some of these themes.

- *We encourage the SIF to remove restrictions on match funds. Allow time for planning for growth and evaluation. Play a more active and strategic role with federal and state agencies to serve as the bully pulpit and connect promising and proven innovation to sustainable funds.*

- *Listen to intermediaries, understand the nuances of different intermediaries, and understand that they are experts in subgrantee selection and implementation work. Make sure they understand the nature of being an intermediary and why they are effective. Ask intermediaries about what intermediaries should know and understand.*

- *Allow organizations to have one year of planning and clear expectations around all aspects of the grant. Inform grantees that capacity building for subgrantees is likely to be a heavy component of the work. Also, reduce the match requirement so efforts can be focused on capacity and evidence building and support for growth and sustainability. Lastly, with regard to sustainability, there should be mechanisms in place to make successful subgrantees aware of federal funding opportunities for which they may qualify as a result of building evidence.*

4.   Conclusions and Next Steps

Established by the Serve America Act, the SIF program has several stated purposes, including increasing the capacity of social entrepreneurs to tackle social issues, seeding experimental initiatives, and providing resources to replicate and expand effective programs. The national assessment focuses on the SIF's impact

on organizational capacities. We found evidence of positive changes in almost all target areas. However, not all areas evolved in the same way. For example, the greatest changes occurred in how organizations perform evaluations, moderate changes took place in support for subgrantees and scaling up, and there was less change in collaboration, and selection of subgrantees. Nevertheless, even with the changes, many organizations continue to have room to improve their capacity; when asked about how often they undertake activities indicative of strong organizational capacities, most of the 2014 SIF grantee responses were at or below 5 on a scale of 1-7, with 1 meaning not at all and 7 meaning always.

Building organizational capacities requires a multi-faceted approach and lengthy commitment. According to Harsh (2010), capacity building is a recurring cycle of intervention, support, and growth. Although this report has provided promising evidence that the SIF program moved grantee organizations in the right direction, these changes were often incremental, and it took time for changes in one program to spread to the rest of the organization.

We will continue to examine these questions next year. In addition to relying on surveys to continue documenting and capturing changes in intermediary capacities and experiences over time, and to provide broad-brush findings, we plan to use other methodologies and approaches, such as case studies, to provide an in-depth examination of selected grantees in order to understand the internal and external context, factors facilitating and inhibiting capacity building, and further uncover best practices and lessons learned.

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Social Innovation Fund (SIF) National Assessment Survey: Overview
January, 2015

What is the purpose of the survey? Who will use the survey findings? Why is this data collection necessary?
The survey will collect data needed to assess the implementation and effectiveness of CNCS's Social Innovation Fund (SIF). It will meet the evaluation needs of CNCS management and contribute to the evaluation of the Administration's evidence-based initiatives. There are no data available for this purpose from other sources.

Survey findings will be useful to SIF program managers, CNCS and other federal leadership, current and potential SIF grantees, and the larger philanthropic and nonprofit sector. Findings will be reported in technical reports to CNCS and information briefs for other stakeholders.

What research questions does the SIF National Assessment survey address? How does it address them?
The basic question the SIF National Assessment addresses is: Does participation in SIF increase organizations' capacity (skills, attitudes, behavior) in the areas of evidence-based grantmaking, use of rigorous evaluation to build the evidence base and scale up effective program models, and collaborative approaches to addressing community needs. The key SIF elements and research questions are shown in more detail in *Attachment 1*, together with the logic model that guides the National Assessment.

The approach to addressing these research questions is:

1. Calculate the magnitude of change experienced by SIF grantees and other surveyed organizations in key capacity areas over the time period from 2009 to 2014 and, for SIF grantees and non-selected applicants, from 2009 to 2014.

2. Test for differences in the magnitude of change between SIF grantees and comparison organizations to determine whether SIF grantee change can be attributed to SIF participation (test null hypothesis of no difference).

3. Collect additional descriptive information to increase understanding of SIF program for program improvement and replication:

    a. Describe SIF implementation experience, including program strengths and challenges.

    b. Describe how SIF participation and other factors contributed to change in SIF grantees' capacity and practices.

What groups will be surveyed? When will they be surveyed? How will the survey be administered?
The three groups that will be surveyed are:

1. All SIF grantees (n = 26; funded in cohorts between 2010 and 2014)

2. Other organizations that applied for SIF funding and that had applications that were determined to be compliant and satisfactory in quality, but that did not receive SIF funding (non-selected SIF applicants; n = 45)

3. Other nonprofit grantmaking organizations that did not apply for SIF funding (a probability sample will be selected and surveyed, to obtain 400 completed surveys)

Surveys will be administered in 2015 and 2016. The 2015 (Round 1) survey will ask about the organization's capacity in key areas in 2009 (before SIF funding began) and 2014 (after SIF funding was

provided to SIF grantees) and, for areas where capacity changed, factors that contributed to change. The 2016 (Round 2) survey will collect data about change between 2014 and 2015 for a subset of the organizations surveyed in 2015.

In each round of the survey, all respondents will be asked a core set of questions about organizational capacity and change. These questions will address the key SIF elements and research questions: grantmaking strategies; use of rigorous evaluation; organizational infrastructure; scaling up of programs; and collaboration. In addition, different subgroups will be asked questions specific to their experience. For example, SIF grantees will be asked about support they have received and about change in capacity among their subgrantees, as well as reflections on the SIF experience and recommendations. No personal or sensitive questions will be asked. *Attachment 2* shows the National Assessment questions and the survey questions that address each of those questions.

Slightly different versions of the survey will be required for different respondent subgroups and for Rounds 1 and 2. The survey versions and the subgroups to which each will be administered are summarized below:

Group	Subgroup/ Cohort	2015 survey administration (Round 1)		2016 survey administration (Round 2)	
		Survey version	Period covered	Survey version	Period covered
SIF grantees	2010-2012 cohort (N=20)	1	2009-2014	5	2014-2015
	2014 cohort (N=7)	2	2009-2014 (pre-SIF) and early SIF months	5	2014-2015
Non-selected SIF applicants	2010-2012 cohort (N=33)	3	2009-2014		No survey
	2014 cohort (N=12)	3	2009-2014	6	2014-2015
National Sample of Grantmaking Nonprofits	N=400	4	2009-2014		No survey

The survey will be administered online (using SurveyGizmo), with hard copy versions available for organizations that do not have email and web access or that prefer hard copies; in addition, to maximize responses from the SIF intermediary and non-funded applicant groups, telephone follow-up will be used if needed.

What burden does the survey place on respondents? What will the respondents get in return?
The total estimated burden for all respondents is 178.2 hours in 2015 and 28.6 hours in 2016, for a total of 206.8 hours and an annualized burden of 103.4 hours. This estimate is based on a pilot test of the survey. The range in estimated time to fill out the survey is from 20 minutes (for the nonprofit comparison group) to 40 minutes (for the 2015 round of the survey of 2010-2012 SIF grantees). No other respondent recordkeeping or other burden, other than the time to fill out the survey, is involved.

Respondents will be offered a report on the survey and a benchmarking report that compares their organization's data with aggregate data for other organizations. No payments or gifts will be given for participation in the survey.

Attachment 1: Key SIF Elements, National Assessment Research Questions, and Logic Model

Key SIF Elements
The SIF is characterized by the unique interplay of six key elements:

1. It relies on intermediary grantmaking institutions to implement the program – they take on the role of finding, selecting, monitoring, supporting, evaluating and reporting on the nonprofit organizations implementing community-based interventions.
2. It is a tiered-based evidence program that requires all funded programs/interventions to demonstrate at least preliminary evidence of effectiveness, or funding "what works."
3. It requires that all programs or interventions implement a rigorous evaluation that will build on their level of evidence.
4. It charges intermediaries with scaling evidence-based programs – increasing impact within their community or to communities across the country – and as such, grapples with a field-wide challenge of how best to successfully and efficiently do so.
5. It leverages public-private partnerships to effect large scale community impact in ways that neither a traditional federal grant investment nor a philanthropic grants investment could achieve on its own. This includes its unique leveraged funding model to support nonprofit programs.
6. It is committed to improving the effectiveness of nonprofits, funders, and other federal agencies by capturing learning and best practices and promoting approaches that will generate the greatest impact for individuals and communities.

Research Questions
The SIF National Assessment is designed to address five key questions about changes in organizational capacity (skills, attitudes, behavior) that flow out of the initiative's theory of change:

1. Does SIF increase organizational use of evidence-based grantmaking strategies?
2. Does it increase organizations' willingness and ability to build the evidence base for high-impact models?
3. Does it increase organizational knowledge of how to scale proven models?
4. Does it strengthen organizational infrastructure to support the growth of proven models?
5. Does it facilitate collaborative approaches to addressing local community needs?

Logic Model
The exhibit below provides an overview of the logic model that guides the National Assessment:
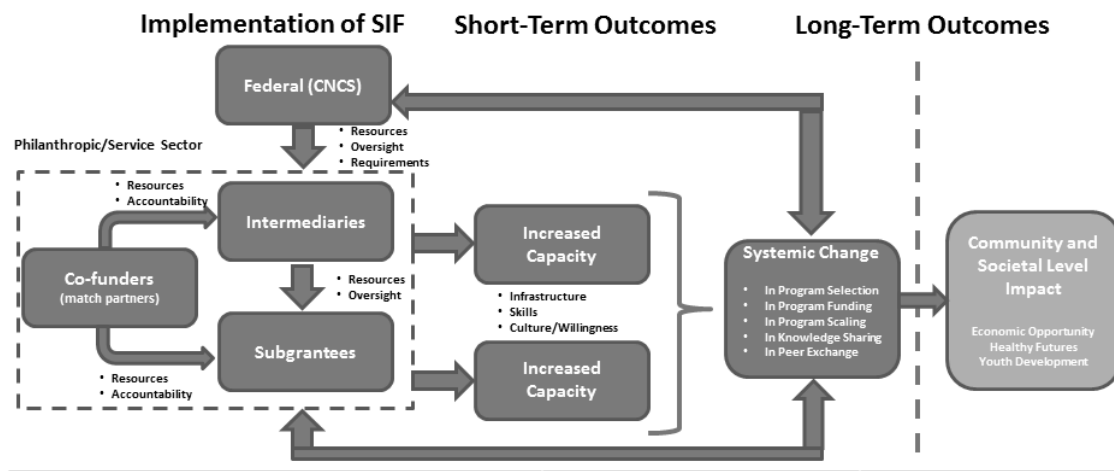
Attachment 2: National Assessment Research Questions and Survey Questions

The exhibit below lists the research questions addressed by the SIF National Assessment and, for each research question, shows the corresponding survey questions, provides notes on the groups who will be asked to answer the questions, and the survey rounds in which they will be asked. (Because some survey versions do not include all the questions and thus have different question numbers, the question numbers shown correspond to the most detailed survey, which is "Version 1" and is administered to SIF grantees.)

Research Questions and Survey Items	Notes	Rd 1	Rd 2
1) Does SIF increase organizational use of evidence-based grantmaking strategies?			
Selection of grantees to fund			
1A. Use of open competitive process	Asked of all respondents.	x	x
1B. Requirement for evidence of effectiveness	Asked of all respondents.	x	x
1C. Requirement for rigorous evaluation plan	Asked of all respondents.	x	x
23. Major changes experienced in successive years of SIF funding (year and reasons)	Asked only of SIF intermediaries.	x	x
26. Effects of SIF on conduct of other grant programs (yes/no, and describe)	Asked only of SIF intermediaries.	x	x
2) Does it increase organizations' ability and willingness (skills, attitudes, behaviors) to build the evidence base for high-impact models?			
Support provided to grantees funded by organization			
2A. Funding for grantee evaluation	Asked of all respondents.	x	x
2B. Technical assistance for grantee evaluation	Asked of all respondents.	x	x
2C. Technical assistance for grantee implementation	Asked of all respondents.	x	x
Organization's conduct and use of rigorous evaluation			
3A. Conduct rigorous evaluation of programs	Asked of all respondents.	x	x
3B. Use evaluation findings to improve programs	Asked of all respondents.	x	x
3C. Use evaluation findings to communicate program effectiveness	Asked of all respondents.	x	x
Support received by SIF intermediaries			
9. Support received to increase capacity (source; helpfulness)	Asked only of SIF intermediaries.	x	x
10. Less helpful support; ways to improve	Asked only of SIF intermediaries.	x	x
11. Areas where would have benefited from additional support	Asked only of SIF intermediaries.	x	x
23. Major changes experienced in successive years of SIF funding (year and reasons)	Asked only of SIF intermediaries.	x	x
SIF subgrantee capacity development			
12A. Implement interventions	Asked only of SIF intermediaries.	x	x
12B. Conduct rigorous evaluations	Asked only of SIF intermediaries.	x	x
12C. Use evaluation findings for program improvement	Asked only of SIF intermediaries.	x	x
12D. Raise matching funds	Asked only of SIF intermediaries.	x	x
12E. Meet compliance requirements	Asked only of SIF intermediaries.	x	x
12F. Scale-up intervention	Asked only of SIF intermediaries.	x	x
12G. Share knowledge	Asked only of SIF intermediaries.	x	x
13. SIF contribution to subgrantee capacity development	Asked only of SIF intermediaries.	x	x
14. Other capacity areas	Asked only of SIF intermediaries.	x	x
SIF intermediary capacity development			
15. Factors other than SIF that contributed to capacity change (open-ended)	Asked only of SIF intermediaries.	x	x
16. Challenges to increasing subgrantee capacity, and effective approaches (open-ended)	Asked only of SIF intermediaries.	x	x
23. Major changes experienced in successive years of SIF funding (year and reasons)	Asked only of SIF intermediaries.	x	x
26. Effects of SIF on conduct of other grant programs (yes/no, and describe)	Asked only of SIF intermediaries.	x	x

Research Questions and Survey Items	Notes	Rd 1	Rd 2
27. SIF elements organization expects to sustain (open-ended)	Asked only of SIF intermediaries.	x	x
SIF and other tiered-evidence programs			
20. Contribution to building evidence (amount and description)	Asked only of SIF intermediaries.	x	x
21. Strengths/contributions (open-ended)	Asked only of SIF intermediaries.	x	x
22. Problems/limitations (open-ended)	Asked only of SIF intermediaries.	x	x
3) Does it increase organizational knowledge of how to scale proven models?			
7A. Undertake efforts to scale up existing programs	Asked of all respondents.	x	x
7B. Select programs for scale-up based on rigorous evaluation evidence	Asked of all respondents.	x	x
23. Major changes experienced in successive years of SIF funding (year and reasons)	Asked of all respondents.	x	x
26. Effects of SIF on conduct of other grant programs (yes/no, and describe)	Asked only of SIF intermediaries.	x	x
4) Does it strengthen organizational infrastructure to support growth of proven models?			
4. Staff positions; evaluation partner; have evaluation budget in 2009 and 2014 (yes/no)	Asked of all respondents.	x	x
5. Evaluation budget (total and % of budget) – compare 2014 with 2009	Asked of all respondents.	x	x
6. Evaluation budget – total, %, and staff – in 2009 and 2014	Asked of all respondents.	x	x
23. Major changes experienced in successive years of SIF funding (year and reasons)	Asked only of SIF intermediaries.	x	x
5) Does it facilitate collaborative approaches to addressing local community needs?			
8A. Participate in funding alliances with other nonprofits	Asked of all respondents.	x	x
8B. Participate in collaborations to share knowledge	Asked of all respondents.	x	x
8C. Collaborate to develop public support for programs	Asked of all respondents.	x	x
23. Major changes experienced in successive years of SIF funding (year and reasons)	Asked only of SIF intermediaries.	x	x
26. Effects of SIF on conduct of other grant programs (yes/no, and describe)	Asked only of SIF intermediaries.	x	x
Other Information Collected			
Organizational demographics			
Geographic vs. issue funding focus	Asked of other nonprofits (available for SIF intermediaries and applicants from CNCS sources).	x	
Focus of funding (opportunity, youth, community health)	Asked of other nonprofits (available for SIF intermediaries and applicants from CNCS sources).	x	
Other information collected from SIF applicants and/or other nonprofits			
Awareness of SIF (scale)	Asked only of other nonprofits.	x	
Effect on organization of participation in SIF application process (open-ended)	Asked only of non-funded SIF applicants.	x	x
Additional reflections on SIF program/experience (asked of SIF intermediaries)			
24. What are the strengths/benefits of the SIF model compared with other programs you have participated in? Please provide examples. (Open-ended)	Asked only of SIF intermediaries.	x	x
25. What are the challenges/problems of the SIF model compared with other programs you have participated in? Please provide examples. (Open-ended)	Asked only of SIF intermediaries.	x	x
28. What advice would you give a federal agency that was considering use of an intermediary model similar to SIF? (Open-ended)	Asked only of SIF intermediaries.	x	x

Research Questions and Survey Items	Notes	Rd 1	Rd 2
29. What recommendations do you have for improving the SIF program? (Open-ended)	Asked only of SIF intermediaries.	x	x

Appendix B. Evaluation Methodologies

This evaluation examines survey data from SIF grantees and from two comparison groups: Non-selected SIF applicants, and a National Sample of Grantmaking Nonprofits that did not apply for funding from the SIF. The survey data will be collected in two rounds.

In Round 1 (2015), all SIF grantees and Non-selected SIF Applicants from the 2010-2014 cohorts were surveyed, together with a probability sample of other nonprofit grantmaking organizations. The surveys asked respondents to report information for two points in time: 2009 and 2014. Requesting information about 2009 provided retrospective baseline data reflecting how the organizations perceived their situations prior to the award of the first SIF grants. Requesting information about 2014 provided information about the recent circumstances of the organizations. This allowed for an analysis of perceived change between 2009 and 2014. For areas where change was reported, the survey also collected from respondents their perceptions of the reasons for the change.

In Round 2 (2016), the SIF grantees (all cohorts) and the Non-selected SIF 2014 Applicants will be surveyed a second time. Non-selected 2010-2012 SIF Applicants and the National Sample of Grantmaking Nonprofits will not be included in the 2016 survey. The National Sample of Grantmaking Nonprofits reported their experiences between 2009 and 2014 during Round 1, providing information needed to test the study hypotheses related to that sample. For the 2010-2012 Non-selected SIF applicants, key information was collected during Round 1. Because it is expected that additional change in 2014-2015 will be relatively modest and incremental for both of these comparison groups, the burden that a second round of data collection would impose does not appear to be warranted.

This report is based exclusively on the Round 1 data collection. Because the national assessment will cover three different groups (grantees and two comparison groups) across two survey rounds, the surveys for each group and each round include core items for all groups, but are also tailored with content specific to each group.

Appendix B provides a detailed discussion of the methodologies involved in evaluating the SIF impact on organizational capacities. It begins by describing the research design, sample selection, and statistical power. Next, it discusses the survey instruments and the development process. Next, it describes the data collection process, the resulting response rates, and non-response analysis. Finally, it presents the data analysis approaches.

B.1. Research Design, Sampling Selection, and Statistical Power

B.1.1. Research Design

The SIF national assessment is designed to compare the experience of change in capacity and organizational behavior of the SIF grantees, before and after SIF funding, to the experiences of two comparison groups also composed of nonprofit populations. The potential respondent universes for survey data collection include current SIF grantees (2010, 2011, 2012, and 2014), Non-selected SIF Applicants, and the National Sample of Grantmaking Nonprofits.

- *SIF grantees*: All of the 26 organizations that received SIF funding (a total of 27 grants) in 2010, 2011, 2012, and 2014 were included in the survey data collection. This universe is defined to include grantees that are retained in the program over the course of funding as well as those that leave the program early or that complete their program. Of the 27 funded SIF grants, 20 were funded in 2010-

2012 and 7 were funded in 2014. One of the 26 grantees received two SIF grants and is treated as 2010-2012 cohort in the survey.

- *Non-selected SIF Applicants*: This group includes 45 organizations that submitted SIF applications in 2010, 2011, 2012, or 2014, and whose applications were rated as compliant and of satisfactory quality. These include 33 organizations that submitted applications in 2010-2012 and an additional 12 organizations that submitted applications in 2014. The final sample is 41 organizations, after excluding one organization that subsequently went bankrupt and three that received SIF grants in subsequent years.

- *National Sample of Grantmaking Nonprofits*: This group includes a probability sample of all grantmaking nonprofits in the United States. After screening out non-grantmaking organizations (i.e., ineligibles), the sample includes 219 complete responses. Details about sampling this group are described below.

B.1.2. Sampling for the National Sample of Grantmaking Nonprofits

No sampling plan was required for SIF grantees or Non-selected SIF Applicants, because the survey was administered to the entire universe of organizations in these two groups. For other nonprofit organizations, a sample was selected to represent this population of organizations, using explicit stratification by organizational revenue, and implicit stratification, within each revenue stratum, by grants made to U.S. nonprofit organizations. Organizational revenue was divided into seven strata: $1M-$5M; $5M-$10M; $10M-$20M; $20M-$50M; $50M-$75M; $75M-$100M; $100M+. Within each of these revenue strata, organizations were ordered by grants to nonprofits and every m^{th} record was selected, such that $m = N_h/n_h$, where N_h is the total number of records in revenue stratum h and n_h is the number of records to be selected from that stratum.

Because nonprofit organizations are required to submit IRS Form 990 or Form 990-PF, it is possible to identify and select a nationally representative sample of grantmaking nonprofits. The IRS data allow us to limit the selection by excluding nonprofit organizations that are small in size, and those that do not make grants to nonprofit organizations or only make relatively small grants. SIF participation involves a size standard: SIF makes grants to grantees of $1 million or more per year for the grant period, who commit to making subgrants totaling at least 80% of the SIF grant (i.e., at least $800,000). To define a population of grantmaking nonprofits of size comparable to SIF grantees, ICF worked with GuideStar, an organization that obtains and manages IRS data for use in research and other applications. We estimated that approximately 3,000-4,000 U.S. grantmaking nonprofit organizations meet the size criteria for this comparison group (i.e., have revenues of at least $1 million and make grants of at least $800,000 per year).

The starting point for selection in each revenue stratum is a random number between 1 and m. The number of records to be selected from a stratum, n_h, is proportional to the size of the stratum in the population, such that $n_h = (N_h/N) * n$, where N is the total population size and n is the total number of records to be selected. This sample design ensures that the distribution of organizations in the selected sample is proportional to the population distribution with respect to revenue and grants to nonprofits. In addition, the variance achieved with this sample design is no larger than that for a simple random sample and may be smaller, potentially increasing the precision of estimates.

To achieve an absolute margin of error of at most +/- 5 percentage points on overall estimates from the sample data, the target number of completed surveys, n_C, for the other grantmaking nonprofit organization comparison group was 400. Based on the literature concerning surveys of nonprofits,

response rates in the range of 30-40% were to be expected (Baruch & Holton, 2008; Hager et al., 2003; Saunders, 2012), with sample size calculated using a conservative response rate of 25%. Preliminary power analyses indicated that this sample size would provide 0.8 power at $\alpha = 0.05$ for detecting significant effects of size $d = 0.2$, conventionally considered small effects. Because a lower-than-expected response rate was observed during fielding (the final response rate for this group was 13%), the decision was made to draw a second sample from the sampling frame using the same stratified design, but limited to only those (previously unsampled) records that included an email address on the frame. In total, 3,300 records were sampled, yielding a total of 262 completed interviews with eligible organizations.

B.1.3. Statistical Power

Because the estimates from the SIF grantee data can be treated as population values, the simplest approach to comparing means or proportions between the grantees and the two comparison groups (i.e., Non-selected SIF Applicants and the National Sample of Grantmaking Nonprofits) are one-sample t-tests or z-tests, respectively.

For the census of Non-selected SIF Applicants, non-response is treated as sampling error, making inferential statistics applicable. With 19 cases in the analytic sample for the Non-selected SIF Applicants, tests for statistically significant differences between these two groups at $\alpha = 0.05$ achieve 0.8 power for effect sizes of $d = 0.68$, which would conventionally be considered medium-large effects.

With 262 cases in the analytic sample for the National Sample of Grantmaking Nonprofits, tests for statistically significant differences between these two groups at $\alpha = 0.05$ achieve 0.8 power for effect sizes of $d = 0.17$, which would conventionally be considered small effects. Thus, the sample sizes available for these comparisons provide sufficient power for detecting significant differences even when these differences are, in practical terms, very small.

B.2. Survey Instruments

B.2.1. Survey Instruments

Key data for the SIF grantees and the two comparison groups were collected using survey methods. A retrospective survey was administered in May-June 2015 for the 2010-2012 cohorts of SIF grantees and Non-selected SIF applicants and for the National Sample of Nonprofit Grantmakers.

The surveys included a combination of closed-ended items (mostly using Likert-type scales) and open-ended items. All respondents were asked a core set of questions about organizational capacity/behavior and change in terms of the use of evidence-based grantmaking strategies; implementation and use of rigorous evaluations; scaling up of programs based on evidence of effectiveness; knowledge sharing; collaboration to address community needs; and experience with federal funding. Each survey group was asked selected questions targeted to their particular situation, in addition to the core questions. These tailored questions required four separate versions of the survey for various groups, as follows:

- Survey 1 (SIF grantees, 2010-2012 cohorts). The SIF grantees were asked the core questions, as well as questions to collect additional information specific to the SIF experience. The additional questions asked about the support they have received to carry out the SIF initiative, the capacity of their subgrantees, and factors that contributed to reported increases in subgrantee capacity, as well as several questions about the SIF initiative and its contributions and challenges.

- Survey 2 (SIF grantees, 2014 cohort). The 2014 SIF grantee cohort has had only about 6 months of SIF experience, while the 2010-2012 cohorts had multiple years of SIF experience behind them. For this

reason, the 2014 cohort was asked to answer the core questions with respect to their 2009 to 2014 experience up to the point when they began receiving SIF funding. In a separate section, the 2014 cohort survey also asked about support received to carry out the SIF initiative during the early months of their SIF experiences and their reflections on SIF based on these months of experience.

- Survey 3 (Non-selected SIF Applicants). The non-funded SIF applicants were asked the core questions and a small number of additional questions (e.g., areas of activities they fund) and about any effects they believe applying for SIF has had on their organization.

- Survey 4 (National Sample of Grantmaking Nonprofits). The other nonprofit organizations were asked the core questions and a small number of additional questions (e.g., awareness of SIF, their areas of funding).

Attachment 2 to Appendix A provides a crosswalk of survey items across respondents and data collection cycles. The survey question numbers refer to the location of the question in Survey 1 (the version administered to 2010-2012 SIF grantees), unless otherwise noted. Some survey items provide information related to more than one research question; these are listed under each of the research questions they apply to. A number of questions (e.g., ones relating to grantee selection, support, collaboration, and other topics) use a Likert scale to record the extent of organizational practices in these areas in 2009, 2014, and (for the follow-up surveys) 2015. Similarly, for information collected from SIF grantees about SIF subgrantee capacity, a Likert scale is used to assess the level of subgrantee capacity at time of SIF entry and the survey.

B.2.2. Pilot test

The procedures for data collection and response maximization were tested with a total of nine organizations selected to represent the three respondent groups (three per group). In the first phase, cognitive interviews were conducted with three respondents (one from each group). In the cognitive interviews, respondents were asked to explain their thought process and provide perspectives about the survey while they were answering the questions. These interviews provided information that was used to evaluate the quality of the response and to help determine whether the question was generating the information that was intended. For the second phase, the survey was revised and programmed, then sent to six additional respondents (two from each group), with follow-up interviews with three of the six respondents (one from each group).

During the pilot, both survey responses and discussions with respondents indicated that respondents were able to provide information about the capacities and practices of their organizations for 2014 and 2009, and their responses did not suggest a social desirability effect. For example, some respondents indicated that there was substantial change in practice between the two points in time, whereas others indicated no change, whether the initial level was low or high. The distribution of reported levels and change suggested substantial variation among respondents and respondent groups.

The pilot survey pre-notification and instructions indicated to respondents that they might want to ask colleagues to help provide information, and the online survey administration allowed for multiple respondents from an organization, if needed. Most pilot respondents said they were able to respond for the different topics and for both periods, although a few asked a colleague to help.

The items that pilot respondents said were most difficult and time-consuming to answer concerned the evaluation budget (in dollars and as a percentage of the organization's overall budget). For respondents who could provide the data, the original budget questions were retained. However, a simplified version

of the question was added that simply asked for a comparison of the magnitude of change in budget between the two years, rather than for actual figures. Respondents who had difficulty answering the original, more detailed question reviewed the simplified version and said they would be able to answer the question framed this way.

The pilot pre-notification and cover email explained the survey and asked the contact to answer the survey themselves or forward it to an appropriate colleague. When specific information was available, the survey was addressed to the organization director. If no specific contact information was available, the pilot survey was sent to a general contact for the organization. During the interviews, respondents were asked to whom the survey should be sent within the organization. Their responses confirmed that, whenever possible, it should go to the executive director of the organization or someone in a similarly senior role, both as a practical matter and to ensure that the organization's leadership was aware of the survey.

The administration of the programmed version of the pilot survey showed that respondents could access the survey link, and most could complete and submit the survey. One respondent thought he had completed the survey but was unable to submit it. Another submitted a partially completed copy of the survey. Based on this information, the survey administration plan was adjusted in several ways. First, each survey was checked as it was returned, and if the survey was only partially completed, there was follow up with the respondent. Second, a hard copy was provided for respondents who had problems completing the online survey. The respondent was also offered the opportunity to conduct the survey by telephone, if the respondent had difficulty with online or hard-copy versions.

Overall, pilot respondents appeared engaged and interested in the survey issues and questions. In the pilot test, respondents were asked if they were interested in receiving a copy of the survey report when completed, and were asked to provide contact information if they would like a copy. All said they would like to receive a copy, and the contact information they provided will make it possible to send reports to them.

B.3. Data Collection

Using SurveyGizmo software, the surveys were administered primarily online by emailing participants a respondent-specific link to an online survey tool. Online administration lessens the burden on participants by allowing them to complete the survey at a time and in a place that is most convenient to them. Additionally, respondents have the option of completing the entire questionnaire at once, of completing it over several sessions, and of obtaining assistance from colleagues within the organization to assist with specific sections (e.g., budget information). Using an online survey format also reduces burden by eliminating the time and effort required to return a hard-copy survey by mail. A hard-copy version of the survey was made available, but no organizations chose that option.

B.3.1. Communication and Administration

For the SIF grantees and Non-selected SIF Applicants, CNCS had contact information that was used to send survey communications and information about accessing the survey. For the National Sample of Grantmaking Nonprofits comparison group, basic information is available from IRS submissions and GuideStar that include employer identification numbers (EIN), addresses, and telephone numbers. Contact information (email address) for this sample was identified using multiple sources. For some, contact information is available from GuideStar or from the *Foundation Directory* or similar guides; for others, their own websites provide the needed information. In some cases, we telephoned the

organization to obtain contact information. The survey took several steps to communicate and engage with respondents.

- To the SIF grantees, who are aware of the national assessment, CNCS sent out early communications through emails to grantees, announcements through the SIF Knowledge Network site, and communications to such groups as the SIF Evaluation Working Group.

- A pre-notification letter was sent in advance of the survey to all organizations selected for the survey. The letter provided information about the survey's purpose, how CNCS will use the data, estimated time to complete the survey, assurance that participation was voluntary, and a contact person in case they had questions or wanted more information. Based on the pilot feedback, we sent communication to the executive directors of the National Sample of Grantmaking Nonprofits, with information about the survey and a request to provide information about the appropriate person to whom to send the surveyor, if the organization prefers, to have the executive director receive the survey and direct it to the appropriate person. After the pre-notification, all organizations that have email were sent the link to the survey URL.

- We allowed four weeks for organizations to respond before closing the survey (except for the second nonprofit sample). Survey receipt was closely monitored, including tracking the response rates and checking to see that the surveys received were complete (e.g., not missing sections) and, as necessary, following up with reminders to obtain completed surveys or determine reasons for non-completes. Undeliverables also were monitored, and telephone or emails were used to contact those organizations.

- Because of the importance of responses from the SIF grantees and the Non-selected SIF Applicant comparison group, intensive follow-up was used to maximize the response rate for these groups. These included telephone follow-up and, in two cases, having a trained staff member administer the survey by telephone and enter the data in the programmed instrument.

- Respondents were sent a "thank you" for their participation. We also sent a survey report and a benchmarking report that compared their responses with aggregate data from other organizations to respondents who indicated an interest. SIF grantees also received a request for a 15-30 minute follow-up interview, in which they were asked to discuss evidence to support their reports of organizational change in the survey. They also were asked to supply documentation of organizational change.

B.3.2. Response Rates

Strategies were employed to maximize response rate and minimize issues associated with non-response during the survey process:

- Working with GuideStar, Foundation Directory, and other resources (e.g., organization websites) to collect accurate and up-to-date contact information for potential survey respondents;

- Using a well-designed, easy-to-use online survey;

- Assuring respondents that their responses would remain confidential;

- Providing respondents with a contact name and telephone number for inquiries;

- Providing respondents with multiple reminders to complete the survey, each time including the direct link to the web-based survey;

- Providing respondents with an explanation of how their participation would help to inform positive changes to the field of nonprofit grantmaking, and to social innovation initiatives sponsored by CNCS's and other agencies.

- Offering the survey in hard-copy to participants who could not be contacted via email or who requested a hard-copy survey.

Response rates were computed for all three target populations following Standard Definitions by American Association for Public Opinion Research (AAPOR) for web surveys of named persons. B-2 provides the AAPOR dispositions and final response rates (RR3) for each survey population.

Exhibit B-2. AAPOR Dispositions and Final Response Rates by Survey Population

Population	Completed Surveys (*I*)	Ineligible (*X*)	No Response (*U*)	Observed Eligibility Rate (*e*)	Total Sampled (*n*)	Response Rate (RR3)
SIF grantees 2010-2012	20	0	0	100%	20	100%
SIF grantees 2014	6	0	0	100%	6	100%
Non-selected SIF Applicants (2014)	9	0	6	100%	15	60%
Non-selected SIF Applicants (2010-2012)	9	1 (bankrupt)	17	90%	27	37%
National Sample of Grantmaking Nonprofits	219	168 (non-grantmaking)	2,937	61%	3,324	12%

Final response rates were computed by using the observed eligibility rate $e = I/(I + X)$, where I is the number of completed interviews and X is the number of known-ineligible records, to estimate the fraction of non-responding organizations (U) that were eligible. Specifically:

$$RR3 = \frac{I}{I + e(U)}$$

B.3.3. Non-Response Analysis

Non-response bias occurs when the sample units that respond to a survey, systematically differ with regard to survey outcomes compared to sample units that do not respond. Consequently, non-response bias in a given survey statistic is a function of both the response rate and the extent to which responding and non-responding units differ on that dimension. Although empirical evidence suggests that response rates are not correlated with the occurrence of non-response bias (Groves & Peytcheva, 2008), higher response rates are generally considered protective against non-response bias, since high response rates mitigate the impact of systematic differences when they exist. It is therefore important to conduct an analysis of non-response bias to determine the extent to which responding and non-responding units differ in ways that could influence survey outcomes.

Although survey data for non-responding organizations are by definition not available, it is possible to evaluate the potential for non-response bias in the current surveys by comparing key characteristics known for all sampled organizations (both responding and non-responding). To the extent that these characteristics are also associated with survey outcomes, differences in the characteristics between respondents and non-respondents raise the potential for non-response bias.

Using such auxiliary data, non-response bias analyses were conducted for both the National Sample of Grant-making Nonprofit organizations (RR3 response rate = 12%) and for the survey of Non-selected SIF

Applicants (RR3 response rate = 49%). In both cases, the approach was to test for differences between responding and non-responding organizations with respect to key characteristics known for both types of record. For the sample of other nonprofit organizations, a relatively large number of auxiliary variables were available in the GuideStar IRS database from which the original sampling frame was constructed. For the Non-selected Applicant sample, auxiliary data were more limited but sufficient for analysis.

Survey of National Sample of Grantmaking Nonprofits
Auxiliary data for the other nonprofit organizations comparison group were taken from the GuideStar database used to construct the sampling frame. These variables reflect data collected from the 2013 IRS Form 990 that each of these organizations is required to file. For this analysis, both respondents determined to be eligible ($n = 219$) and respondents determined to be ineligible ($n = 168$) were classified as responding organizations (for a total of $n = 387$). The remaining sampled organizations, which did not submit completed surveys, were classified as non-respondents ($n = 2,938$). Variation in the sample sizes for responding and non-responding organizations in these analyses is due to missing values in the auxiliary variables.

Exhibit B-3 shows the bivariate comparisons for categorical variables (such as Census region). In these cases, the question is whether response rates differ between levels of the categorical variable, and differences are tested for statistical significance using the Pearson chi-square test. Exhibit B-4 shows the bivariate comparisons for continuous variables (such as organization age). Here, the question is whether the mean value of the variable differs between responding and non-responding organizations, with differences tested for statistical significance using the independent-samples *t*-test. All significance tests were conducted controlling the Type I error rate at $\alpha = .05$

Exhibit B-3. *Non-Response bias comparisons for survey of other nonprofit organizations, categorical variables*

Variable	Level	N Sampled	N Responding	N Non-Responding	Raw Response Rate	Chi-Square	df	p
Census Region	Midwest	718	96	622	13.40%	3.65	3	.302
	Northeast	694	72	622	10.40%			
	South	1,167	129	1,038	11.10%			
	West	743	89	654	12.00%			
NTEE Code (Core Categories)	I – Arts, Culture, and Humanities	119	14	105	11.80%	28.96	9	.001
	II – Education	463	45	418	9.70%			
	III – Environment and Animals	117	15	102	12.80%			
	IV – Health	738	58	680	7.90%			
	V – Human Services	568	85	483	15.00%			
	VI – International and Foreign Affairs	107	10	97	9.30%			
	VII – Public, Societal Benefit	1,093	153	940	14.00%			
	VIII – Region Related	53	5	48	9.40%			
	IX – Mutual/Membership Benefit	3	0	3	0.00%			
	X – Unknown, Unclassified	29	0	29	0.00%			
Revenue Stratum	<$5MM	1,284	142	1,142	11.10%	18.73	2	<.001
	$5-20MM	1,082	160	922	14.80%			
	$20MM+	951	83	868	8.70%			

Exhibit B-4. *Non-Response bias comparisons for survey of other non-profit organizations, continuous variables*

Variable	Response	N	Mean	SD	t	df	p
Organization Age	Non-Responding	1,409	35.3	28.6	0.88	1,569	.379
	Responding	162	33.3	25.3			
Total Revenue	Non-Responding	2938	92,088,434	4.37E+08	2.07	3,323	.038
	Responding	387	44,954,320	2.56E+08			
Receipt Totals	Non-Responding	2,938	1.56E+08	1.04E+09	1.76	3,323	.078
	Responding	387	61,394,358	3.44E+08			
Contributions	Non-Responding	2,819	28,350,667	1.12E+08	1.45	3,197	.148
	Responding	380	19,741,178	84,904,526			
Government Grants	Non-Responding	1,059	16,874,360	77,563,158	1.05	1,240	.295
	Responding	183	10,514,072	64,545,045			
Grants to U.S. Organizations	Non-Responding	2,935	11,830,001	52,909,774	1.35	3,320	.176
	Responding	387	8,166,687	16,476,379			
Total Expenses	Non-Responding	2,935	82,716,383	4.04E+08	2.01	3,320	.044
	Responding	387	40,507,200	2.26E+08			
Total Assets (EOY)	Non-Responding	2,938	2.21E+08	1.18E+09	1.45	3,323	.148
	Responding	387	1.31E+08	8.41E+08			
All-Year Employees	Non-Responding	2,924	555.7	3,086.9	2.11	3,309	.035
	Responding	387	217.4	1,715.1			

The bivariate comparisons show that some organizational characteristics are significantly associated with whether or not a sampled organization responded to the survey request. Response rates varied significantly among National Taxonomy of Exempt Entities (NTEE) categories, with the highest response rates observed among Human Services and Public/Societal Benefit organizations (15.00% and 14.00%, respectively) and the lowest response rates observed among Health, Unknown/Unclassified, and Mutual/Membership Benefit organizations (7.90%, 0%, and 0%, respectively). To the extent that survey outcomes differ by NTEE category, this association raises the possibility of some non-response bias, in that the responding organizations may not be completely representative of the target population for the survey.

Survey response was also significantly associated with total revenue, total expenses, and number of all-year employees. The pattern was for smaller organizations to respond more frequently than larger organizations. However, when breaking total revenue into the three strata used for weighting the survey data, a non-linear pattern is observed in which medium-revenue organizations are most likely to respond and low- and high-revenue organizations are less likely to respond. To the extent that survey outcomes are associated with organization size, these results again raise the possibility of non-response bias. However, because the sample was stratified by total revenue, and the weighting included an adjustment for non-response within (collapsed, three-level) revenue strata, the weighting should effectively reduce any such bias.

Survey of Non-selected SIF Applicants
Auxiliary data for the Non-selected SIF Applicant organizations came from multiple sources. For the 2010, 2011, and 2012 cohorts, SIF application data were available, including the final rating assigned to each applicant. Application data were unavailable for the 2014 cohort, however. Data on revenue and grants to U.S. organizations came from the same GuideStar database used to construct the sampling frame for the survey of other nonprofit organizations, and thus reflects financial records filed with the IRS as of 2013.

For this analysis, all respondents were determined to be eligible ($n = 19$), and the remaining sampled organizations, which did not submit completed surveys, were classified as non-respondents ($n = 21$).[4] Variation in the sample sizes for responding and non-responding organizations in these analyses is due to missing values in the auxiliary variables.

The same analytic approach was used to evaluate the potential for non-response bias in the survey of Non-selected SIF Applicants and was used for the survey of other nonprofit organizations (described above). Exhibit B-5 shows the bivariate comparisons for categorical variables (such as Census region). In these cases, the question is whether response rates differ between levels of the categorical variable, and differences are tested for statistical significance using the Pearson chi-square test. Exhibit A-6 shows the bivariate comparisons for continuous variables (such as revenue). Here, the question is whether the mean value of the variable differs between responding and non-responding organizations, with differences tested for statistical significance using the independent-samples t-test. All significance tests were conducted controlling the Type I error rate at $\alpha = .05$

Exhibit B-5. *Non-Response Bias Comparisons for Survey of Non-Selected Applicant Organizations, Categorical Variables*

Variable	Level	N Sampled	N Responding	N Non-Responding	Raw Response Rate	Chi-Square	df	p
Cohort	2014	15	9	6	60.00%	2.49	1	.115
	2010-2012	26	9	17	34.60%			
Census Region	Midwest	3	1	2	33.30%	1.41	3	.703
	Northeast	2	1	1	50.00%			
	South	7	2	5	28.60%			
	West	3	2	1	66.70%			
NTEE Code (Core Categories)	II – Education	5	2	3	40.00%	2.27	4	.686
	IV – Health	1	1	0	100.00%			
	V – Human Services	3	1	2	33.30%			
	VII – Public, Societal Benefit	26	12	14	46.20%			
	X – Unknown, Unclassified	1	0	1	0.00%			
Revenue Stratum	<$5MM	9	4	5	44.40%	2.36	2	.307
	$5-20MM	7	5	2	71.40%			
	$20MM+	21	8	13	38.10%			
Applied More than Once?	No	33	13	20	39.40%	1.40	1	.237
	Yes	8	5	3	62.50%			
Application Rank	1 or 2	7	3	4	42.90%	0.12	1	.725
	3, 4, or 5	6	2	4	33.30%			

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[4] The one organization determined not to be eligible due to having entered bankruptcy, and which did not complete a survey, is not included in these analyses.

Exhibit B-6. *Non-Response Bias Comparisons for Survey of Non-selected Applicant Organizations, Continuous Variables*

Variable	Response	N	Mean	SD	t	df	p
Organization Age	Non-Responding	19	46.05	33.46	0.42	34	.679
	Responding	17	41.76	27.42			
Total Revenue	Non-Responding	20	44,792,054.00	44,078,279.00	0.03	35	.974
	Responding	17	44,207,512.00	64,912,570.00			
Receipt Totals	Non-Responding	19	96,699,839.00	139,630,000.00	0.11	34	.914
	Responding	17	89,802,711.00	233,350,000.00			
Contributions	Non-Responding	18	31,307,778.00	29,048,579.00	-0.52	33	.606
	Responding	17	38,907,671.00	54,298,882.00			
Government Grants	Non-Responding	11	3,968,798.00	6,592,691.00	-0.66	21	.516
	Responding	12	11,326,320.00	36,312,618.00			
Grants to U.S. Organizations	Non-Responding	18	22,383,509.00	23,706,628.00	-0.38	32	.707
	Responding	16	27,146,356.00	47,134,988.00			
Total Expenses	Non-Responding	20	39,557,176.00	38,667,169.00	-0.10	35	.919
	Responding	17	41,151,817.00	55,426,404.00			
Total Assets (EOY)	Non-Responding	20	201,460,000.00	433,650,000.00	0.83	35	.410
	Responding	17	99,062,554.00	283,550,000.00			
All-Year Employees	Non-Responding	20	151.30	228.10	-0.20	35	.842
	Responding	17	172.10	394.00			
Federal Funding Requested	Non-Responding	17	2,393,156.00	2,376,380.00	1.41	24	.170
	Responding	9	1,253,012.00	420,088.00			
Final Application Score	Non-Responding	8	63.31	25.80	0.61	12	.551
	Responding	6	52.47	40.50			

Partly due to the small sample sizes available for these analyses, the bivariate comparisons do not show any significant associations between the characteristics of Non-selected SIF Applicants and whether or not an organization responded to the survey request. Nevertheless, two characteristics showed marginally significant associations with response ($p < .2$). First, the 2014 cohort of Non-selected SIF Applicants was more likely to respond (raw response rate = 60.0%) compared to the 2010-2012 cohort (raw response rate = 34.6%). Second, the mean dollar amount of federal funds requested in the application was lower for responding organizations ($M = \$1,253,012.00$) compared to non-responding organizations ($M = \$2,393,156.00$).

Although the small sample sizes available for this analysis limit the ability to draw reliable conclusions, the overall patterns suggest that organization size (in terms of total revenue, receipt totals, contributions, grants to U.S. organizations, total expenses, and number of employees) was not systematically related to survey response. Although there appeared to be some variation in response rates by Census region, NTEE code, number of applications, and application rank, this variation is more likely to be random rather than systematic. Finally, as noted, there was a tendency for organizations who applied in 2014 to be more likely to respond than earlier applicants, and for the later respondents to have requested less federal funding. Overall, this analysis does not suggest a significant potential for non-response bias to have affected the survey of Non-selected SIF Applicants.

B.4. Data Analysis

We employed the mixed-method approach in all phases of the evaluation, including design, data collection, and data analysis in order to draw on the strengths of both quantitative and qualitative approaches.

B.4.1. Quantitative Analysis

The quantitative survey data are primarily Likert scale measures, including measures of the same attribute at two time points. The main types of analysis are:

- **Descriptive analyses of changes over time for SIF grantees and comparison groups.** These include means and proportions. Examples include the mean scale value for a group, such as group mean on the importance of evidence of effectiveness as a basis for funding for SIF grantees; or the proportion that report different scale values, e.g., the percentage reporting evidence of effectiveness is relied on to a large or very large extent for funding decisions.

- **Group difference analysis between the SIF and comparison groups.** For the analyses, we calculated values such as the mean change score for different groups or the percentage reporting change, and test differences. The text below describes the specific approach to analyzing group differences.

Data were collected for all SIF grantees, so that this group represents the entire universe of SIF intermediary organizations. As such, the measures from the survey of this group are actual population values, not estimates. Non-response among the census of Non-selected SIF Applicants (due to 19 of the 41 censused organizations responding) is treated as random error, statistically equivalent to sampling error, and estimates for this group take this variability and the finite population correction into account. The National Sample of other Nonprofit Grantmakers was a probability sample drawn from the universe of nonprofit grantmaking organizations, and estimates for this group also take into account variability due to non-response and sampling error, along with the effects of unequal weighting and the finite population correction.

To test for differences between the SIF grantees and Non-selected SIF Applicants, we used a non-parametric technique known as the Mann-Whitney test to account for the small sample sizes of the two groups. For differences between SIF grantees and the National Sample of Grantmaking Nonprofits, we calculated the confidence interval at 95% around the values for the nonprofit sample; then, if the difference between the SIF value and the value for the sample is larger than the confidence interval for the sample, we can draw the inference that the observed difference is greater than would occur by chance (Cochran, 1977; the appropriate test is a one-sample t-test.)

In addition to testing the statistical significance of group differences, we also used effect size estimates to gauge the practical significance of the differences. Statistical significance, which measures the probability of getting a result, is highly dependent on sample sizes. On the other hand, effect sizes measures the magnitude of the difference and is less dependent on sample sizes. A small effect can be statistically significant if the sample size is large.

B.4.2. Qualitative Analysis

To produce informed, actionable findings, we triangulated findings between quantitative and qualitative sources to ensure that information from one source, such as stakeholder interviews, was compared with other sources, such as document review and survey data. Triangulating results from multiple sources

creates more credible evaluation results and is critical to the validity and reliability of findings (LeCompte & Schensul, 1999).

Qualitative analyses include content analysis of documents, as well as analyses of responses to semi-structured interview questions and open-ended survey questions. We reviewed and coded the data to identify themes that are common within and across grantees, as well as potential outliers specific to an individual intermediary, in an iterative fashion. We developed initial codes for each question. Additional codes were developed as they emerged. Comparisons across time and across grantees and other groups were conducted to identify patterns of barriers and facilitators to change, and effects of the SIF experience.

Appendix C. Findings from the SIF 2014 cohort

SIF 2014 grantees were only in the first year of SIF funding when the survey was administered. The survey asked about early experiences, since they had a few months in the program at that time, although it was not expected that major changes would have yet occurred as a result of the SIF grant. 2014 responses from SIF grantees and Non-selected SIF Applicants provide useful insights into the application experience and SIF start-up, and also can be regarded as baseline data for future data collection and analysis.

C.1. Background and Demographics

Financial data. SIF 2014 grantees were similar to 2014 Non-selected SIF Applicants in terms of government grants received and grants made to U.S. organizations, but had significantly higher gross revenue than comparison organizations.

Compared to data in Exhibit C-1, SIF 2014 grantees were much larger than SIF 2010-2012 grantees on all 3 financial indicators, suggesting that the 2014 grantees were very different from the earlier cohort.

Exhibit C-1. Financial indicators by respondent groups

		SIF 2014	Non-selected SIF Applicants 2014
Gross Revenue	N	5	9
	Mean	$ 713,149,014 a+	$ 135,382,776
	Median	$ 250,075,637	$ 15,272,282
Government Grants received	N	3	6
	Mean	$ 25,492,269	$ 21,671,851
	Median	$ 1,047,131	$ 280,929
Grants made to U.S. Organization	N	5	8
	Mean	$ 91,888,326	$ 26,071,513
	Median	$ 18,532,535	$ 7,303,501

Statistical significance (p<.05) is noted as:
 a: significant difference between SIF and Non-selected SIF Applicants
 b: significant difference between SIF and the National Sample of Grantmaking Nonprofits
 +: favoring SIF
 -: favoring the comparison group

Federal Funding. Both SIF grantees and Non-selected SIF Applicants in the 2014 cohort increased the level of federal funding from 2009 to 2014, as shown in Exhibit C-2.

Exhibit C-2. Federal funding experience

		2009		2014		
	Group	n	% (yes)	n	% (yes)	Change
Received federal government funding (other than SIF)	SIF 2014	6	50.0%	6	66.7%	16.7%
	Non-selected SIF Applicants 2014	9	33.3%	9	55.6%	22.3%

The survey also asked organizations receiving SIF funding whether it was the first federal funding their organization had ever received. Among the SIF 2010-2012 grantees, half indicated that the SIF was the

first time they received federal funding; by contrast, only 16.7% of SIF 2014 grantees reported that they had never received federal funding prior to SIF (Exhibit C-3).

Exhibit C-3. Federal funding receipt by SIF grantees

	Group	n	% (yes)
Was your SIF funding the first federal government funding your organization ever received?	SIF 2010-2012	20	50.0%
	SIF 2014	6	16.7%

C.2. Support Received by SIF Grantees

Helpful support. Helpful support for the SIF 2014 grantees included general program support and TA (related to fiscal matters and evaluation), new grantee webinars, compliance training, SIF convenings, and other information sharing. Specifically,

- *Lots of fantastic support and advice from our Program Officer! Great advice from our "coach" during the process of defining the subgrantee selection process Connecting with other SIF grantees during our scale-up phase of the grant and continuing the connection, especially during Year 1.*

- *The SIF program officer provided extremely helpful support at the beginning of our grant. She connected us with other organizations implementing collective impact strategies and provided valuable input into our initial RFP. The evaluation TA contractor has been very helpful in providing assistance on questions related to fiscal and evaluation matters, respectively. The evaluation contractor has been very open and willing to help answer questions on any topic for which we needed support. Other SIF intermediaries have been very supportive and happy to answer any questions, and in two cases, to participate in our evaluator selection process.*

Less helpful support. SIF 2014 grantees listed a few areas that could be improved, including 1) offering webinars earlier rather than after strategies were already implemented; 2) providing bi-monthly conference calls in the form of webinars with presentations and visuals; 3) clarifying points of contact at CNCS to avoid confusion; 4) clarifying guidance from the fiscal officer; and 5) offering a media toolkit for communication support.

Areas requiring more support. SIF 2014 grantees said that they could have benefited from more interpretation of federal regulation and compliance, clarification of requirements, and engagement of external consultants to help meet SIF requirements. One grantee said, *"We did not fully understand how to apply for reimbursement, and the different reports that we needed to submit. More hands-on upfront support would be helpful. It all worked out, but was a little confusing."*

C.3. Impact on Organizational Capacity

Statistical significance tests did not reveal any differences between SIF 2014 grantees and their Non-selected SIF Applicants in five areas of organizational change, including selection of subgrantees, support for subgrantees, evaluation and data use, scale up, and collaboration (Exhibits C-4 through C-11). Survey data to be collected in 2016 will allow us to examine the change patterns for the SIF 2014 grantees and in comparison with their non-selection counterparts.

Exhibit C-4. Approaches to selection of subgrantees

| | Group | To what extent did your organization do this ...? | | |
| | | 7 point Likert Scale: 1- Not at all to 7- Always | | |
		2009	2014	Change
A. Used an open competitive process to solicit and review applications and to make selection decisions	SIF 2014	4.3 (6)	4.8 (6)	0.5
	Non-selected SIF Applicant 2014	5.6 (9)	5.7 (9)	0.1
B. Required applicant organizations to provide evidence of intervention effectiveness to be eligible for funding (includes pre- and post-test outcome data or other evidence based on evaluation studies)	SIF 2014	3.2 (6)	4.0 (6)	0.8
	Non-selected SIF Applicant 2014	3.3 (9)	4.4 (9)	1.1
C. Required applicants to submit a plan for rigorous evaluation of intervention to be eligible for funding (that is, quasi-experimental designs with a comparison group, experimental designs, or other similarly rigorous designs)	SIF 2014	1.5 (6)	2.2 (6)	0.7
	SIF 2014	1.7 (7)	1.9 (8)	0.3

Statistical significance (p<.05) is noted as:
   a: significant difference between SIF and Non-selected SIF Applicants
   b: significant difference between SIF and National Sample of Grantmaking Nonprofits
   +: favoring SIF
   -: favoring the comparison group

Exhibit C-5. Approach to support for subgrantees

| | Group | To what extent did your organization do this ...? | | |
| | | 7 point Likert Scale: 1- Not at all to 7- Always | | |
		2009	2014	Change
A. Provided funding to carry out an evaluation or hire an external evaluator, as part of the grant or through other means	SIF 2014	2.5 (6)	3.3 (6)	0.8
	Non-selected SIF Applicant 2014	2.6 (8)	2.6 (8)	0.0
B. Provided training or technical assistance by your staff consultants or other means to conduct rigorous evaluation	SIF 2014	1.3 (6)	2.5 (6)	1.2
	Non-selected SIF Applicant 2014	3.3 (8)	4.0 (8)	0.8
C. Provided training or technical assistance by your staff consultants or other means to support implementation of the program	SIF 2014	2.8 (6)	4.0 (6)	1.2
	Non-selected SIF Applicant 2014	4.1 (9)	4.4 (9)	0.3

Statistical significance (p<.05) is noted as:
   a: significant difference between SIF and Non-selected SIF Applicants
   b: significant difference between SIF and the National Sample of Grantmaking Nonprofits
   +: favoring SIF
   -: favoring the comparison group

Exhibit C-6. Approach to evaluation

| | | To what extent did your organization do this …? | | |
| | | 7 point Likert Scale: 1- Not at all to 7- Always | | |
	Group	2009	2014	Change
A. Conducted rigorous evaluations of programs funded by your organization	SIF 2014	2.5 (6)	3.3 (6)	0.8
	Non-selected SIF Applicant 2014	3.2 (9)	3.4 (9)	0.2
B. Used evaluation findings to improve programs funded by your organization	SIF 2014	2.3 (6)	3.7 (6)	1.3
	Non-selected SIF Applicant 2014	4.0 (9)	4.8 (9)	0.8
C. Used evaluation findings to demonstrate and communicate effectiveness of programs funded by your organization	SIF 2014	3.0 (6)	4.3 (6)	1.3
	Non-selected SIF Applicant 2014	3.3 (9)	4.4 (9)	1.1

Statistical significance (p<.05) is noted as:

    a: significant difference between SIF and Non-selected SIF Applicants

    b: significant difference between SIF and the National Sample of Grantmaking Nonprofits

    +: favoring SIF

    -: favoring the comparison group

Exhibit C-7. Infrastructure for evaluation

Did/does your organization have the following?	Group	2009		2014		Change
		n	% (yes)	n	% (yes)	
A. Staff position(s) or group within your organization dedicated to evaluation	SIF 2014	6	0.0%	6	33.3%	33.3%
	Non-selected SIF Applicant 2014	9	55.6%	9	44.4%	-11.2%
B. External evaluation partner(s)—consultant(s) or organization(s)—that provide your organization with evaluation services	SIF 2014	6	16.7%	6	100.0%	83.3%
	Non-selected SIF Applicant 2014	9	66.7%	9	77.8%	11.1%
C. Part of the organization's budget dedicated to evaluation	SIF 2014	6	0.0% [a-]	6	50.0%	50.0%
	Non-selected SIF Applicant 2014	9	66.7%	9	66.7%	0.0%

Statistical significance (p<.05) is noted as:

    a: significant difference between SIF and Non-selected SIF Applicants

    b: significant difference between SIF and the National Sample of Grantmaking Nonprofits

    +: favoring SIF

    -: favoring the comparison group

Exhibit C-8. Perceived changes in evaluation budget

Was your 2014 evaluation budget... than the evaluation budget in 2009?	Group	n	Substantially higher	Somewhat higher	About the same	Somewhat lower	Substantially lower
Total evaluation budget in dollars	SIF 2014	6	50.0%	0.0%	50.0%	0.0%	0.0%
	Non-selected SIF Applicant 2014	9	44.4%	0.0%	22.2%	11.1%	22.2%
Evaluation budget as a percentage of the organization's total budget for the year	SIF 2014	6	50.0%	0.0%	50.0%	0.0%	0.0%
	Non-selected SIF Applicant 2014	9	11.1%	33.3%	22.2%	11.1%	22.2%

Statistical significance (p<.05) is noted as:
    a: significant difference between SIF and Non-selected SIF Applicants
    b: significant difference between SIF and the National Sample of Grantmaking Nonprofits
    +: favoring SIF
    -: favoring the comparison group

Exhibit C-9. Changes in evaluation budget

Did/does your organization have the following?	Group	2009					2014					Change (mean)
		n	Mean	Median	Min.	Max	n	Mean	Median	Min.	Max	
Total annual evaluation budget (in $) – for in-house evaluators or external partners	SIF 2014	4	$12,500	$0	$0	$50,000	4	$1,000,000	$1,000,000	$0	$2,000,000	$987,500
	Non-selected SIF Applicant 2014	2	$50,000	$50,000	$0	$100,000	1	$0	$0	$0	$0	$-50,000
Annual evaluation budget as % of the total organization budget	SIF 2014	4	0.01%	0%	0.0%	0.02%	3	0.5%	0.5%	0.0%	1.0%	0.5%
	Non-selected SIF Applicant 2014	2	2.0%	2.0%	0.0%	4%	2	3.0%	3.0%	0.0%	6.0%	1.0%
Number of full time equivalent (FTE) staff with primary responsibility for evaluation	SIF 2014	5	0	0	0	0	5	0.7	0	0	4	0.7
	Non-selected SIF Applicant 2014	5	0.3	0	0	1	5	0.8	1	0	2	0.5

Statistical significance (p<.05) is noted as:
  a: significant difference between SIF and Non-selected SIF Applicants
  b: significant difference between SIF and the National Sample of Grantmaking Nonprofits
  +: favoring SIF
  -: favoring the comparison group

Exhibit C-10. Approach to scaling up programs

| | Group | To what extent did your organization do this …? | | |
| | | 7 point Likert Scale: 1- Not at all to 7- Always | | |
		2009	2014	Change
A. Undertook efforts to scale up existing program(s) – i.e., to expand the program(s) within the community or to other communities or populations	SIF 2014	3.5 (6)	4.7 (6)	1.2
	Non-selected SIF Applicant 2014	2.9 (9)	4.4 (9)	1.6
B. Selected programs for scale-up based on rigorous evaluation that shows them to be effective	SIF 2014	2.0 (6)	3.3 (6)	1.3
	Non-selected SIF Applicant 2014	2.3 (9)	3.3 (9)	1.0

Statistical significance (p<.05) is noted as:
   a: significant difference between SIF and Non-selected SIF Applicants
   b: significant difference between SIF and the National Sample of Grantmaking Nonprofits
   +: favoring SIF
   -: favoring the comparison group

Exhibit C-11. Approach to collaboration

| | Group | To what extent did your organization do this …? | | |
| | | 7 point Likert Scale: 1- Not at all to 7- Always | | |
		2009	2014	Change
A. Participated in funding alliance(s) with other nonprofit sector organizations. (For example, co-funding programs through joint funding; providing or receiving matching funds; or other collaboration)	SIF 2014	2.7 (6)	4.2 (6)	1.5
	Non-selected SIF Applicant 2014	2.1 (9)	3.9 (9)	1.8
B. Participated in collaborations with other nonprofit organizations to share knowledge	SIF 2014	3.5 (6)	4.8 (6)	1.3
	Non-selected SIF Applicant 2014	4.0 (9)	5.2 (9)	1.2
C. Collaborated with other organizations for purposes of advocacy – to advocate for or develop public support for programs or approaches to addressing social problems	SIF 2014	2.3 (6)	4.8 (6)	2.5
	Non-selected SIF Applicant 2014	3.9 (9)	5.0 (9)	1.1

Statistical significance (p<.05) is noted as:
   a: significant difference between SIF and Non-selected Applicants
   b: significant difference between SIF and the National Sample of Grantmaking Nonprofits
   +: favoring SIF
   -: favoring the comparison group

C.4. Reflections on SIF Experience

Although only 6 to 9 months into the first year of SIF grant funding at the time of the survey, several SIF 2014 grantees reported some changes in terms of implementing policies and procedures, hiring staff, evaluation, collaboration, compliance, and scaling.

- *We are working with partners in an enhanced way; we are raising match funding for the initiative in a different way than we have historically; and we have enhanced our accounting and compliance measures.*

- *We reviewed our organization's policies and procedures and made several changes to bring them into alignment with CNCS requirements. We hired one new staff member and reassigned another to manage the SIF grant. We have adjusted our grant payment process and grants monitoring procedures to accommodate SIF requirements. We instituted a criminal background check process for SIF-funded staff. We created new tools and manuals, including terms and conditions, for our SIF grantees. We work more interdependently with other departments in the foundation, including finance, development, gifts, grants and compliance, and human resources.*

SIF 2014 grantees offered additional recommendations for improving the SIF application process, such as adjusting the timeframe, including a pre-qualification phase, being transparent about implementation requirements, and further clarifying application requirements.

- *Overall the application process was smooth with appropriate levels of guidance. One suggestion is to offer a pre-qualification phase so that organizations without capacity to implement a SIF grant could be weeded out earlier, prior to wasting time/resources on the application.*

- *One of the biggest hurdles for the organization was that what was clear in the implementation was not clear in the application. In a lot of ways, they didn't understand what they were getting themselves into. They are pleased with the experience, but there have been a lot of surprises. For example, criminal history check process, type of rigor of evaluation, lack of flexibility on financial side which affects their ability to work collaboratively. (Disallowance of in-kind match—now communities have to set up a hierarchy in the way they operate. Subgrantees can't sub grant, so they must set up contracts with partners, but none of that counts as match.) But SIF has imposed a structure, and they are beginning to get through the partnership challenges they would not have had without the SIF.*

Appendix D. SIF Survey Descriptive Data Tables

Key Findings

- **Organizational capacities**: SIF 2010-2012 grantees grew in organizational capacities between 2009 and 2014 in 13 out of 14 measures related to selection of subgrantees, support for subgrantees, evaluation, scaling up, and collaboration (Tables 1-V).

- **Selection of subgrantees to fund**: Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly fewer changes between 2009 and 2014 in the extent to which the organization 1) used an open competitive process to solicit and review applications and to make selection decisions, and 2) required applicant organizations to provide evidence of intervention effectiveness to be eligible for funding (Table I).

- **Support for subgrantees**: Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization 1) provided funding to carry out an evaluation or hire an external evaluator, as part of the grant or through other means, and 2) provided training or technical assistance by staff consultants or other means to conduct rigorous evaluation (Table II).

- **Evaluation**: Compared to Non-selected SIF Applicants 2010-2012 and the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization conducted rigorous evaluations of programs it had funded. Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization used evaluation findings to demonstrate and communicate the effectiveness of programs it had funded (Table III).

- **Development of capacity among SIF subgrantees**: SIF 2010-2012 subgrantees experienced positive growth 1) implementing the interventions they are carrying out in their communities; 2) designing and conducting rigorous evaluations of their interventions; 3) making use of evaluation findings for program improvement; 4) raising matching funds for the intervention; 5) scaling up the intervention; and 6) sharing knowledge and best practices (Table VII).

Guide to the Table Shells

- Main takeaways are summarized at the bottom of each table, except for those tables in sections IX and X which are self-explanatory.

- Tables I through V present both descriptive and inferential statistics on the organizational outcomes for SIF grantees and the two comparison groups: Non-selected SIF Applicants and the National Sample of Grantmaking Nonprofits. The key information is the comparison between SIF 2010-12 grantees, Non-selected SIF Applicants 2010-12, and the National Sample of Grantmaking Nonprofits. Any information concerning SIF 2014 and Non-selected SIF Applicants 2014 (greyed out) is less important because, since SIF 2014 grantees have just begun implementation, insufficient time has passed for major changes.

- In Tables I through V, the left side contains mean scale values by year and the change. Statistical significance tests were conducted between groups on 1) change and 2) initial status in 2009. Items showing significant changes were marked with superscripts and highlighted in yellow.

- In Tables I through V, the right side contains descriptives about major factors contributing to the changes, only for those respondents who reported such changes. A respondent can select multiple responses, and hence 1) the total percentage may exceed 100%; 2) selecting "your organization's participation in SIF" as SIF grantees does not affect other response categories; and 3) due to small sample sizes, differences between SIF 2010-2012 and the Non-selected SIF Applicants were mostly not statistically significant.

- Tables VII and IX reflect SIF grantee information only. The statistics are population values and not estimates.

I. Selection of Subgrantees to Fund

	Group	To what extent did your organization do this …?[5] 7 point Likert Scale: 1- Not at all to 7- Always			Respondents with change (n)	Major factors that contributed to the change (check all that apply)					Respondents with no change
		2009	2014	Change[6]		Trends in the larger grant-making world	Your organization's participation in SIF	Specific requirements attached to the funding your organization receives	Your organization's board/leadership directed organization to implement change	Other	
A. Used an open competitive process to solicit and review applications and to make selection decisions	SIF 2010-2012	4.6 (20)	4.4 (19)	-0.1 b-	6	16.7%	33.3%	33.3%	16.7%	33.3%	13
	Non-selected SIF Applicants 2010-2012	5.0 (9)	5.3 (9)	0.3	4	0.0%	--	50.0%	75.0%	25.0%	5
	National Sample of Grantmaking Nonprofits	4.8 (207)	5.1 (207)	0.3	53	38.7%	--	24.6%	60.2%	15.9%	150
	SIF 2014	4.3 (6)	4.8 (6)	0.5	1	100.0%	--	100%	100%	100%	4
	Non-selected SIF Applicants 2014	5.6 (9)	5.7 (9)	0.1	4	25.0%	--	25.0%	75.0%	25.0%	5

[5] Significance (p<.05) were presented as:
  a: significant difference between SIF and Non-selected SIF Applicants
  b: significant difference between SIF and the National Sample of Grantmaking Nonprofits
  +: favoring SIF
  -: favoring the comparison group
[6] The change was calculated by averaging the change scores of individual records.

B. Required applicant organizations to provide evidence of intervention effectiveness to be eligible for funding (includes pre- and post-test outcome data or other evidence based on evaluation studies)	To what extent did your organization do this …? [5] 7 point Likert Scale: 1- Not at all to 7- Always				Major factors that contributed to the change (check all that apply)					
Group	2009	2014	Change[6]	Respondents with change (n)	Trends in the larger grant-making world	Your organization's participation in SIF	Specific requirements attached to the funding your organization receives	Your organization's board/leadership directed organization to implement change	Other	Respondents with no change
SIF 2010-2012	3.5 (20)	4.0 (19)	0.6	8	75.0%	62.5%	25.0%	37.5%	12.5%	11
Non-selected SIF Applicants 2010-2012	4.8 (9)	5.1 (9)	0.3	3	33.3%	--	66.7%	0.0%	0.0%	6
National Sample of Grantmaking Nonprofits	3.7 (202)	4.5 (206)	0.8	84	48.9%	--	34.0%	62.6%	9.6%	113
SIF 2014	3.2 (6)	4.0 (6)	0.8	3	66.7%	--	66.7%	33.3%	0.0%	3
Non-selected SIF Applicants 2014	3.3 (9)	4.4 (9)	1.1	7	57.1%	--	28.6%	57.1%	42.9%	2

| | Group | To what extent did your organization do this …? [5] 7 point Likert Scale: 1- Not at all to 7- Always | | | Respondents with change (n) | Major factors that contributed to the change (check all that apply) | | | | | Respondents with no change |
		2009	2014	Change[6]		Trends in the larger grant-making world	Your organization's participation in SIF	Specific requirements attached to the funding your organization receives	Your organization's board/leadership directed organization to implement change	Other	
C. Required applicants to submit a plan for rigorous evaluation of intervention to be eligible for funding (that is, quasi-experimental designs with a comparison group, experimental designs or other similarly rigorous designs)	SIF 2010-2012	2.0 (20)	2.3 (19)	0.4	5	60.0%	60.0%	20.0%	20.0%	20.0%	14
	Non-selected SIF Applicants 2010-2012	2.9 (9)	3.1 (9)	0.2	2	0.0%	--	100.0%	50.0%	0.0%	7
	National Sample of Grantmaking Nonprofits	2.4 (201)	2.9 (200)	0.5	46	47.3%	--	35.7%	45.2%	12.6%	150
	SIF 2014	1.5 (6)	2.2 (6)	0.7	2	50.0%	--	100.0%	50.0%	0.0%	4
	Non-selected SIF Applicants 2014	1.7 (7)	1.9 (8)	0.3	2	100.0%	--	50.0%	50.0%	0.0%	5

Main takeaways:

- Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly fewer changes between 2009 and 2014 on the extent to which the organization 1) used an open competitive process to solicit and review applications and to make selection decisions, and 2) required applicant organizations to provide evidence of intervention effectiveness to be eligible for funding.

- For those reporting changes in grantee selection, the majority of SIF 2010-2012 grantees attributed the changes to the organization's participation in SIF, whereas a majority of the National Sample of Grantmaking Nonprofits attributed changes to direction from the organization's board/leadership. Both groups also mentioned trends within the broader grantmaking world as a major factor.

II. Support for Grantees

| | | To what extent did your organization do this …? | | | | Major factors that contributed to the change (check all that apply) | | | | | |
| | | 7 point Likert Scale: 1- Not at all to 7- Always | | | | | | | | | |
Group		2009	2014	Change	Respondents with change (n)	Trends in the larger grant-making world	Your organization's participation in SIF	Specific requirements attached to the funding your organization receives	Your organization's board/leadership directed organization to implement change	Other	Respondents with no change
A. Provided funding to carry out an evaluation or hire an external evaluator, as part of the grant or through other means	SIF 2010-2012	3.0 (20) b+	3.9 (20)	0.9 b+	8	25.0%	75.0%	25.0%	12.5%	0.0%	12
	Non-selected SIF Applicants 2010-2012	3.2 (9)	4.3 (9)	1.1	4	0.0%	--	75.0%	25.0%	25.0%	5
	National Sample of Grantmaking Nonprofits	2.2 (189)	2.6 (189)	0.4	41	38.4%	--	37.9%	59.5%	15.1%	140
	SIF 2014	2.5 (6)	3.3 (6)	0.8	2	50.0%	--	50.0%	100.0%	0.0%	4
	Non-selected SIF Applicants 2014	2.6 (8)	2.6 (8)	0.0	0	--	--	--	--	--	8
B. Provided training or technical assistance by your staff consultants or other means to conduct rigorous evaluation	SIF 2010-2012	3.6 (20) b+	4.3 (20)	0.8 b+	7	28.6%	71.4%	42.9%	0.0%	28.6%	13
	Non-selected SIF Applicants 2010-2012	3.7 (9)	3.9 (9)	0.2	4	0.0%	--	50.0%	25.0%	50.0%	5
	National Sample of Grantmaking Nonprofits	2.5 (189)	2.9 (192)	0.4	48	51.2%	--	35.0%	51.6%	13.9%	136
	SIF 2014	1.3 (6)	2.5 (6)	1.2	3	66.7%	--	33.3%	66.7%	33.3%	3
	Non-selected SIF Applicants 2014	3.3 (8)	4.0 (8)	0.8	4	50.0%	--	0.0%	25.0%	50.0%	4

	Group	To what extent did your organization do this …? 7 point Likert Scale: 1- Not at all to 7- Always			Respondents with change (n)	Major factors that contributed to the change (check all that apply)					Respondents with no change
		2009	2014	Change		Trends in the larger grant-making world	Your organization's participation in SIF	Specific requirements attached to the funding your organization receives	Your organization's board/leadership directed organization to implement change	Other	
C. Provided training or technical assistance by your staff consultants or other means to support implementation of the program	SIF 2010-2012	4.4 (20) [b+]	5.0 (20)	0.6	7	42.9%	71.4%	28.6%	14.3%	14.3%	13
	Non-selected SIF Applicants 2010-2012	3.6 (9)	3.9 (9)	0.3	3	66.7%	--	100.0%	0.0%	33.3%	6
	National Sample of Grantmaking Nonprofits	2.9 (193)	3.5 (193)	0.6	64	38.2%	--	25.5%	57.2%	26.0%	123
	SIF 2014	2.8 (6)	4.0 (6)	1.2	3	33.3%	--	66.7%	66.7%	33.3%	3
	Non-selected SIF Applicants 2014	4.1 (9)	4.4 (9)	0.3	2	50.0%	--	0.0%	50.0%	0.0%	7

Main takeaways:

- Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization 1) provided funding to carry out an evaluation or hire an external evaluator, as part of the grant or through other means, and 2) provided training or technical assistance by staff consultants or other means to conduct rigorous evaluation.

- Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees in 2009 were more likely to 1) provide training or technical assistance by staff consultants or other means to conduct rigorous evaluation, and 2) provide training or technical assistance by staff consultants or other means to support implementation of the program.

- For those reporting changes in support for grantees, a majority of SIF 2010-2012 grantees attributed the changes to the organization's participation in SIF, whereas a majority of the National Sample of Grantmaking Nonprofits attributed changes to direction from the organization's board/leadership. Half of the nonprofits also credited trends in the broader grantmaking world as a major factor in TA to support evaluation.

III. Evaluation

	Group	To what extent did your organization do this …? 7 point Likert Scale: 1- Not at all to 7- Always			Respondents with change (n)	Trends in the larger grantmaking world	Your organization's participation in SIF	Specific requirements attached to the funding your organization receives	Your organization's board/leadership directed organization to implement change	Other	Respondents with no change
		2009	2014	Change							
A. Conducted rigorous evaluations of programs funded by your organization	SIF 2010-2012	3.1 (20)	4.5 (20)	1.4[a+ b+]	14	28.6%	78.6%	14.3%	7.1%	7.1%	6
	Non-selected SIF Applicants 2010-2012	3.3 (8)	3.6 (8)	0.4	2	100.0%	--	100.0%	0.0%	50.0%	6
	National Sample of Grantmaking Nonprofits	3.4 (184)	4.1 (185)	0.7	62	34.7%	--	22.1%	69.5%	12.6%	109
	SIF 2014	2.5 (6)	3.3 (6)	0.8	3	66.7%	--	66.7%	66.7%	0.0%	3
	Non-selected SIF Applicants 2014	3.2 (9)	3.4 (9)	0.2	3	66.7%	--	33.3%	33.3%	33.3%	6
B. Used evaluation findings to improve programs funded by your organization	SIF 2010-2012	3.9 (20)	4.9 (20)	1.0[b+]	12	33.3%	58.3%	8.3%	33.3%	25.0%	8
	Non-selected SIF Applicants 2010-2012	5.1 (9)	5.4 (9)	0.3	2	50.0%	--	100.0%	0.0%	50%	7
	National Sample of Grantmaking Nonprofits	3.6 (183)	4.3 (184)	0.7	57	35.8%	--	24.7%	69.9%	12.2%	112
	SIF 2014	2.3 (6)	3.7 (6)	1.3	3	66.7%	--	66.7%	100.0%	0.0%	3
	Non-selected SIF Applicants 2014	4.0 (9)	4.8 (9)	0.8	5	40.0%	--	40.0%	60.0%	40.0%	4

| | | To what extent did your organization do this …? | | | | Major factors that contributed to the change (check all that apply) | | | | | |
| | | 7 point Likert Scale: 1-Not at all to 7- Always | | | | | | | | | |
	Group	2009	2014	Change	Respondents with change (n)	Trends in the larger grantmaking world	Your organization's participation in SIF	Specific requirements attached to the funding your organization receives	Your organization's board/leadership directed organization to implement change	Other	Respondents with no change
C. Used evaluation findings to demonstrate and communicate effectiveness of programs funded by your organization	SIF 2010-2012	3.7 (20)	4.9 (20)	1.2 [b+]	12	41.7%	66.7%	16.7%	41.7%	16.7%	8
	Non-selected SIF Applicants 2010-2012	4.9 (9)	5.7 (9)	0.8	3	100.0%	--	66.7%	33.3%	33.3%	6
	National Sample of Grantmaking Nonprofits	3.8 (181)	4.6 (182)	0.8	63	52.2%	--	20.9%	52.2%	15.5%	104
	SIF 2014	3.0 (6)	4.3 (6)	1.3	3	66.7%	--	66.7%	100.0%	0.0%	3
	Non-selected SIF Applicants 2014	3.3 (9)	4.4 (9)	1.1	6	33.3%	--	16.7%	50.0%	50.0%	3

Main takeaways:

- Compared to Non-selected SIF Applicants 2010-2012 and the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization conducted rigorous evaluations of programs it had funded. Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced significantly greater changes between 2009 and 2014 in the extent to which the organization used evaluation findings to demonstrate and communicate the effectiveness of programs it had funded.

- For those reporting changes in evaluation, the majority of SIF 2010-2012 grantees attributed the changes to the organization's participation in SIF, whereas a majority of the National Sample of Grantmaking Nonprofits attributed changes to direction from the organization's board/leadership.

Did/does your organization have the following?	Group	2009		2014		
		n	% (yes)	n	% (yes)	Change
Staff position(s) or group within your organization dedicated to evaluation	SIF 2010-2012	20	50.0% [b+]	20	70.0%	20.0% [b+]
	Non-selected SIF Applicants 2010-2012	8	50.0%	8	75.0%	25.0%
	National Sample of Grantmaking Nonprofits	187	30.0%	189	38.9%	7.7%
	SIF 2014	6	0.0%	6	33.3%	33.3%
	Non-selected SIF Applicants 2014	9	55.6%	9	44.4%	-11.2%
External evaluation partner(s) -- consultant(s) or organization(s) that provide your organization with evaluation services	SIF 2010-2012	20	70.0% [b+]	20	95.0%	25.0% [b+]
	Non-selected SIF Applicants 2010-2012	8	62.5%	8	87.5%	25.0%
	National Sample of Grantmaking Nonprofits	186	34.9%	189	45.4%	9.6%
	SIF 2014	6	16.7%	6	100.0%	83.3% [a]
	Non-selected SIF Applicants 2014	9	66.7%	9	77.8%	11.1%
Part of the organization's budget dedicated to evaluation	SIF 2010-202	20	75.0% [b+]	20	95.0%	20.0% [b+]
	Non-selected SIF Applicants 2010-2012	8	62.5%	8	87.5%	25.0%
	National Sample of Grantmaking Nonprofits	187	35.5%	189	47.2%	11.7%
	SIF 2014	6	0.0% [a-]	6	50.0%	50.0%
	Non-selected SIF Applicants 2014	9	66.7%	9	66.7%	0.0%

Main takeaways:

- Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees and Non-selected SIF Applicants 2010-2012 were more likely to have 1) staff position(s) or groups within the organization dedicated to evaluation; 2) external evaluation partner(s) or organization(s) that provide evaluation services; and 3) dedicated part of the organization's budget to evaluation.

Was your 2014 evaluation budget... than the evaluation budget in 2009?	Group	n	Substantially higher	Somewhat higher	About the same	Somewhat lower	Substantially lower
Total evaluation budget in dollars	SIF 2010-2012 [b+]	20	50.0%	20.0%	30.0%	0.0%	0.0%
	Non-selected SIF Applicants 2010-2012	6	33.3%	50.0%	16.7%	0.0%	0.0%
	National Sample of Grantmaking Nonprofits	160	16.7%	24.6%	57.5%	0.4%	0.8%
	SIF 2014	6	50.0%	0.0%	50.0%	0.0%	0.0%
	Non-selected SIF Applicants 2014	9	44.4%	0.0%	22.2%	11.1%	22.2%
Evaluation budget as percentage of organization's total budget for year	SIF 2010-2012 [b+]	20	30.0%	25.0%	35.0%	5.0%	5.0%
	Non-selected SIF Applicants 2010-2012	6	16.7%	33.3%	50.0%	0.0%	0.0%
	National Sample of Grantmaking Nonprofits	156	12.9%	16.2%	62.5%	6.8%	1.6%
	SIF 2014	6	50.0%	0.0%	50.0%	0.0%	0.0%
	Non-selected SIF Applicants 2014	9	11.1%	33.3%	22.2%	11.1%	22.2%

Main takeaways:

- Compared to the National Sample of Grantmaking Nonprofits, 2014 evaluation budgets for SIF 2010-2012 grantees were more likely to be higher than in 2009; and the evaluation budget as a percentage of the organization's total annual budget was also likely to be significantly higher.

Did/does your organization have the following?	Group	2009					2014					Change (mean)
		n	Mean	Median	Min.	Max	n	Mean	Median	Min.	Max	
Total annual evaluation budget (in $) – for in-house evaluators or external partners	SIF 2010-2012	10	$860,590	$170,450	$0	$6,300,000	10	$1,789,800	$425,000	$0	$10,100,000	$939,344
	Non-selected SIF Applicants 2010-2012	1	$150,000	$150,000	$150,000	$150,000	1	$200,000	$200,000	$200,000	$200,000	$50,000
	National Sample of Grantmaking Nonprofits	66	$568,817	$0	$0	$60,000,000	58	$1,115,810	$0	$0	$63,000,000	$43,195
	SIF 2014	4	$12,500	$0	$0	$50,000	4	$1,000,000	$1,000,000	$0	$2,000,000	$987,500
	Non-selected SIF Applicants 2014	2	$50,000	$50,000	$0	$100,000	1	$0	$0	$0	$0	$-50,000
Annual evaluation budget as % of the total organization budget	SIF 2010-2012	13	4.1% b+	1.5%	0.0%	10.0%	13	5.8%	4.0%	0.0%	14.0%	1.7% b+
	Non-selected SIF Applicants 2010-2012	0	--	--	--	--	0	--	--	--	--	--
	National Sample of Grantmaking Nonprofits	76	1.2%	0.0%	0.0%	70.0%	80	2.9%	1%	0%	65.0%	0.8%
	SIF 2014	4	0.01%	0%	0.0%	0.02%	3	0.5%	0.5%	0.0%	1.0%	0.5%
	Non-selected SIF Applicants 2014	2	2.0%	2.0%	0.0%	4%	2	3.0%	3.0%	0.0%	6.0%	1.0%
Number of full time equivalent (FTE) staff with primary responsibility for evaluation	SIF 2010-2012	17	1.0	0.5	0	3	17	1.7	1	0	7	0.7
	Non-selected SIF Applicants 2010-2012	3	0.5	0.5	0	1	3	1.3	1	1	2	0.8
	National Sample of Grantmaking Nonprofits	101	1.8	0	0	150	104	3.1	.40	0	200	0.9
	SIF 2014	5	0	0	0	0	5	0.7	0	0	4	0.7
	Non-selected SIF Applicants 2014	5	0.3	0	0	1	5	0.8	1	0	2	0.5

Main takeaways:

- Compared to Non-selected SIF Applicants 2010-2012 and the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees reported greater changes in total annual evaluation budgets from 2009 to 2014.

- Compared to the National Sample of Grantmaking Nonprofits, the changes in annual evaluation budgets, as a percentage of the total organization budget, did not differ from SIF 2010-2012 grantees, although the latter had a higher percentage in 2009 (e.g., higher initial status).

- No differences were observed in the number of FTE staff with primary responsibility for evaluation among three groups.

IV. Scaling Up Evidence-Based Programs: Increasing the Impact of Programs within the Community or in other Communities

		To what extent did your organization do this …? 7 point Likert Scale: 1- Not at all to 7- Always			Major factors that contributed to the change (check all that apply)						
	Group	2009	2014	Change	Respondents with change (n)	Trends in the larger grant-making world	Your organization's participation in SIF	Specific requirements attached to the funding your organization receives	Your organization's board/leadership directed organization to implement change	Other	Respondents with no change
A. Undertook efforts to scale up existing program(s) – i.e., to expand the program(s) within the community or to other communities or populations	SIF 2010-2012	4.2 (19)b+	5.1 (19)	0.9	9	22.2%	66.7%	22.2%	77.8%	22.2%	10
	Non-selected SIF Applicants 2010-2012	4.5 (8)	5.0 (8)	0.5	3	33.3%	--	66.7%	66.7%	0.0%	5
	National Sample of Grantmaking Nonprofits	3.1 (173)	3.9 (174)	0.8	79	16.0%	--	27.4%	66.5%	16.4%	81
	SIF 2014	3.5 (6)	4.7 (6)	1.2	3	66.7%	--	0.0%	66.7%	33.3%	2
	Non-selected SIF Applicants 2014	2.9 (9)	4.4 (9)	1.6	7	42.9%	--	14.3%	28.6%	42.9%	2
B. Selected programs for scale-up based on rigorous evaluation that showed them to be effective	SIF 2010-2012	3.5 (19) b+	4.6 (19)	1.1 b+	9	33.3%	77.8%	11.1%	22.2%	11.1%	10
	Non-selected SIF Applicants 2010-2012	3.4 (8)	4.0 (8)	0.6	2	0.0%	--	50.0%	50.0%	0.0%	6
	National Sample of Grantmaking Nonprofits	2.5 (170)	3.2 (172)	0.8	53	18.0%	--	32.9%	72.0%	15.7%	104
	SIF 2014	2.0 (6)	3.3 (6)	1.3	2	50.0%	--	0.0%	100.0%	0.0%	3
	Non-selected SIF Applicants 2014	2.3 (9)	3.3 (9)	1.0	5	40.0%	--	20.0%	40.0%	20.0%	4

Main takeaways:

- Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees experienced more growth in selecting programs for scale-up based on rigorous evaluation from 2009 to 2014.

- Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees in 2009 were more likely to 1) undertake efforts to scale up existing programs; and 2) select programs for scale-up based on rigorous evaluation that showed them to be effective.

- For those reporting changes in scaling up programs, a majority of SIF 2010-2012 grantees attributed the changes to the organization's participation in SIF, whereas a majority of the National Sample of Grantmaking Nonprofits attributed the changes to direction from the organization's board/leadership. For understanding efforts to scale up existing programs, most SIF 2010-2012 grantees also cited direction from the organization's board/leadership as a major factor.

V. Collaboration to Address Community Needs

	Group	To what extent did your organization do this …? 7 point Likert Scale: 1-Not at all to 7- Always			Major factors that contributed to the change						
		2009	2014	Change	Respondents with change (n)	Trends in the larger grantmaking world	Your organization's participation in SIF	Specific requirements attached to the funding your organization receives	Your organization's board/leadership directed organization to implement change	Other	Respondents with no change
A. Participated in funding alliance(s) with other nonprofit sector organizations. (For example, co-funding programs through joint funding; providing or receiving matching funds; or other collaboration)	SIF 2010-2012	3.6 (20) b+	4.3 (20)	0.8	9	33.3%	55.6%	11.1%	33.3% b-	11.1%	11
	Non-selected SIF Applicants 2010-2012	3.9 (8)	4.5 (8)	0.6	2	100.0%	--	100.0%	100.0%	0.0%	6
	National Sample of Grantmaking Nonprofits	3.1 (172)	3.7 (172)	0.7	66	33.1%	--	18.4%	66.7%	15.1%	92
	SIF 2014	2.7 (6)	4.2 (6)	1.5	4	75.0%	--	0.0%	75.0%	25.0%	2
	Non-selected SIF Applicants 2014	2.1 (9)	3.9 (9)	1.8	6	50.0%	--	0.0%	50.0%	0.0%	3
B. Participated in collaborations with other nonprofit organizations to share knowledge	SIF 2010-2012	4.2 (20)	5.2 (20)	1.0	12	66.7%	58.3%	8.3%	16.7%	8.3%	8
	Non-selected SIF Applicants 2010-2012	5.3 (8)	5.9 (8)	0.6	2	50.0%	--	50.0%	50.0%	0.0%	6
	National Sample of Grantmaking Nonprofits	4.1 (172)	4.9 (172)	0.8	68	39.9%	--	18.8%	51.1%	19.5%	93
	SIF 2014	3.5 (6)	4.8 (6)	1.3	5	80.0%	--	0.0%	40.0%	20.0%	1
	Non-selected SIF Applicants 2014	4.0 (9)	5.2 (9)	1.2	5	60.0%	--	0.0%	20.0%	20.0%	4

	Group	To what extent did your organization do this …? 7 point Likert Scale: 1-Not at all to 7- Always			Respondents with change (n)	Major factors that contributed to the change					Respondents with no change
		2009	2014	Change		Trends in the larger grantmaking world	Your organization's participation in SIF	Specific requirements attached to the funding your organization receives	Your organization's board/leadership directed organization to implement change	Other	
C. Collaborated with other organizations for purposes of advocacy – to advocate for or develop public support for programs or approaches to addressing social problems	SIF 2010-2012	3.5 (20)	4.1 (20)	0.6	8	50.0%	25.0%	12.5%	62.5%	25.0%	12
	Non-selected SIF Applicants 2010-2012	4.0 (8)	4.8 (8)	0.8	3	0.0%	--	0.0%	66.7%	0.0%	5
	National Sample of Grantmaking Nonprofits	3.3 (169)	3.9 (170)	0.7	56	37.6%	--	14.4%	68.7%	17.5%	99
	SIF 2014	2.3 (6)	4.8 (6)	2.5	4	25.0%	--	0.0%	75.0%	25.0%	2
	Non-selected SIF Applicants 2014	3.9 (9)	5.0 (9)	1.1	5	40.0%	--	0.0%	40.0%	0.0%	4

Main takeaways:

- No significant differences were observed in terms of changes in collaboration practices among the three groups.

- Compared to the National Sample of Grantmaking Nonprofits, SIF 2010-2012 grantees in 2009 were more likely to (e.g., had a higher initial status) 1) participate in funding alliances with other nonprofit sector organizations, and 2) collaborate with other organizations for purposes of advocacy.

- For those reporting changes in collaboration for funding alliances and knowledge sharing, a majority of SIF 2010-2012 grantees attributed the changes to the organization's participation in SIF, whereas a majority of the National Sample of Grantmaking Nonprofits attributed the changes to direction from the organization's board/leadership. For most SIF grantees, trends in the broader grantmaking world and direction from the organization's board/leadership were also cited as major factors.

VI. Support Received by SIF Intermediaries

Open-ended questions only

VII. Development of Capacity among Your Organization's SIF Subgrantees

	Group	To what extent did your subgrantees do this …? 7 point Likert Scale: 1- Not at all to 7- Always At the start of SIF funding	2014	Change	n	How much of the change in your subgrantees' capacity has been a result of their participation in SIF? A substantial amount	Some	A little	None	Respondents with no change
A. Implement the interventions they are carrying out in their communities	SIF 2010-2012	3.5 (19)	4.4 (19)	0.8	13	61.5%	30.8%	0.0%	7.7%	6
B. Design and conduct rigorous evaluations of their interventions	SIF 2010-2012	2.3 (19)	3.6 (19)	1.3	17	82.4%	11.8%	5.9%	0.0%	2
C. Make use of evaluation findings for program improvement	SIF 2010-2012	2.6 (19)	3.7 (19)	1.1	14	78.6%	14.3%	7.1%	0.0%	5
D. Raise matching funds for the intervention	SIF 2010-2012	3.2 (19)	3.8 (19)	0.7	11	54.5%	18.2%	18.2%	9.1%	8
E. Meet federal compliance requirements	SIF 2010-2012	2.7 (19)	4.2 (19)	1.4	16	81.3%	18.8%	0.0%	0.0%	3
F. Scale up the intervention (i.e., increase impact within community, or expand to other communities)	SIF 2010-2012	2.9 (19)	3.8 (19)	0.9	13	38.5%	38.5%	15.4%	7.7%	6
G. Share knowledge and best practices	SIF 2010-2012	3.1 (19)	3.9 (19)	0.8	11	63.6%	9.1%	27.3%	0.0%	8

Main takeaways:

- SIF 2010-2012 subgrantees experienced positive growth 1) implementing the interventions they are carrying out in their communities; 2) designing and conducting rigorous evaluations of their interventions; 3) making use of evaluation findings for program improvement; 4) raising matching funds for the intervention; 5) scaling up the intervention; and 6) sharing knowledge and best practices.

- In almost all these areas, SIF 2010-2012 grantees attributed the changes largely to participation in the SIF.

VIII. Federal Funding

<table>
<tr><td rowspan="2"></td><td rowspan="2">Group</td><td colspan="2">2009</td><td colspan="2">2014</td><td rowspan="2">Change</td></tr>
<tr><td>n</td><td>% (yes)</td><td>n</td><td>% (yes)</td></tr>
<tr><td rowspan="5">Received federal government funding (other than SIF)</td><td>SIF 2010-2012</td><td>19</td><td>36.8%</td><td>20</td><td>45.0%</td><td>5.3%</td></tr>
<tr><td>Non-selected SIF Applicants 2010-2012</td><td>8</td><td>62.5%</td><td>8</td><td>62.5%</td><td>0.0%</td></tr>
<tr><td>National Sample of Grantmaking Nonprofits</td><td>181</td><td>38.4%</td><td>180</td><td>41.6%</td><td>3.5%</td></tr>
<tr><td>SIF 2014</td><td>6</td><td>50.0%</td><td>6</td><td>66.7%</td><td>16.7%</td></tr>
<tr><td>Non-selected SIF Applicants 2014</td><td>9</td><td>33.3%</td><td>9</td><td>55.6%</td><td>22.3%</td></tr>
</table>

<table>
<tr><td rowspan="3">Was your SIF funding the first federal government funding your organization ever received?</td><td>Group</td><td>n</td><td>% (yes)</td></tr>
<tr><td>SIF 2010-2012</td><td>20</td><td>50.0%</td></tr>
<tr><td>SIF 2014</td><td>6</td><td>16.7%</td></tr>
</table>

<table>
<tr><td rowspan="2">How effective do you think tiered-evidence initiatives are in achieving such outcomes as building evidence in an area?</td><td>Group</td><td>n</td><td>Very Effective</td><td>Somewhat Effective</td><td>Not Effective</td></tr>
<tr><td>SIF 2010-2012</td><td>19</td><td>36.8%</td><td>63.2%</td><td>0.0%</td></tr>
</table>

Main takeaways:

- Only one-third of the SIF 2010-2012 grantees and the National Sample of Grantmaking Nonprofits received federal government funding in 2009. In contrast, two-thirds of Non-selected SIF Applicants had received federal funding. In 2014, 8% more SIF grantees received federal funding in addition to SIF, whereas the percentage for Non-selected SIF Applicants remained the same and the percentage for the National Sample of Grantmaking Nonprofits increased by 4%.

- For half of the SIF grantees, the SIF funding was the first federal government funding the organization had ever received.

- One-third of the SIF 2010-2012 grantees thought that tiered-evidence initiatives are very effective in building evidence in an area, whereas two-thirds reported that they are somewhat effective.

IX. Reflections on SIF experience

	Group	n	% (yes)	% (no)	% (N/A – do not have any other programs in which organization funds grantees to carry out programs in communities)
Has your SIF experience affected how you conduct those other programs?	SIF 2010-2012	19	68.4%	21.1%	10.5%

	Group	n	% (yes)	% (no)
Did your organization's experience in applying for SIF funding have an effect on your organization?	Non-selected SIF Applicants 2010-2012	6	50.0%	50.0%
	SIF 2014	6	100.0%	0.0%
	Non-selected SIF Applicants 2014	9	88.9%	11.1%

X. Background

	Group	n	% (yes)	% (no)
Does your organization make grants to any U.S. nonprofit organizations?	Non-selected SIF Applicants 2010-2012	9	100.0%	0.0%
	Non-selected SIF Applicants 2014	9	100.0%	0.0%
	National Sample of Grantmaking Nonprofits	387	56.6%	43.4%

Grantmaking area	Non-selected SIF Applicants 2010-2012 (n=9)	Non-selected SIF Applicants 2014 (n=9)	National Sample of Grantmaking Nonprofits (n=213)
Community health or healthy futures – Promoting healthy lifestyles and reducing the risk factors that can lead to illness (for example, disease prevention, low-income healthcare/outreach)	66.7%	88.9%	67.6%
Youth development (includes early childhood development) – Preparing America's youth for success in school, active citizenship, productive work, and healthy and safe lives (for example, summer or after-school programming, delinquency prevention, youth mentoring/tutoring/volunteers)	100.0%	100.0%	73.7%
Economic opportunity – Increasing economic opportunities for economically disadvantaged individuals (for example, job or career training or career readiness for adults)	77.8%	66.7%	55.9%
Funds U.S. nonprofit organizations to carry out programs or interventions, but not in any of the areas listed	33.3%	11.1%	33.8%
Funds U.S. nonprofit organizations, but not to carry out programs or interventions	0.0%	11.1%	7.0%

Grantmaking location	Non-selected SIF Applicants 2010-2012 (n=9)	Non-selected SIF Applicants 2014 (n=9)	National Sample of Grantmaking Nonprofits (n=217)
Geographically-based (fund organizations within a community, state, or other specified geographic region)	88.9%	77.8%	80.2%
Issue-based (fund organizations whose programs focus on specific issue areas, but may be located in a wide variety of geographic locations around the U.S.)	55.6%	77.8%	41.9%
Other	0.0%	22.2%	16.1%

Level of knowledge about CNCS	Grantmaking Nonprofits (n=218)	Non-grantmaking Nonprofits (n=166)
None – not aware of CNCS Social Innovation Fund	44.5%	70.5%
Some knowledge – have heard of it and know something about it	41.7%	23.5%
Know quite a lot about the CNCS Social Innovation Fund	10.1%	4.2%
Know a great deal about it – very familiar with the program	3.7%	1.8%

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