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GPCI Competency 02: Knowledge of organizational development as it pertains to grant seeking

GPCI Competency 04: Knowledge of how to craft, construct, and submit an effective grant application

Abstract

Sustainability for nonprofit professionals is a vaguely defined and misunderstood concept, often described by proposal authors as securing sufficient funding to maintain programmatic or organizational operations. Recent attempts to define and identify key features of sustainability have contributed to a richer understanding of the complexity of sustainability and the factors that influence longevity and potential for impact. This article offers the perspective that financial stability is a necessary but insufficient condition for organizational sustainability: other factors are essential for longterm stability and impact. Well-regarded models of sustainability go beyond effective management and engaged boards to include dimensions such as adaptive capacity, innovation, and other practices. In short, sustainability is the result of a complex interplay of many interdependent practices, behaviors, and decisions. This article synthesizes the dominant characterizations and features of sustainability and presents several common dimensions. Grant professionals, nonprofit leaders, and stakeholders can examine these key dimensions of sustainability, use the provided rating scales to assess their own organizational status, and plan for future internal capacity building.

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Introduction

Sustainability, a construct historically defined in an ecological or environmental context, reflects the belief that some things should be protected and preserved-not necessarily because of the inherent value in the object's being protected, but because it is essential to other important commercial, environmental, cultural, or societal goals (National Research Council, 2011). For example, sustainable energy resources are renewable (i.e. replaceable once used), leave a small footprint on Earth's atmospheric protective layers, and are cost-effective to produce and distribute to consumers. Sustainable energy resources (e.g., solar, wind, hydroelectric, geothermal, and biomass) are "good" precisely because they contribute to the long-term longevity and viability of the planet, its inhabitants, and the important dimensions of life.

The idea that an item should be sustained is deeply embedded in the perspective of what is good, valuable, and necessary to survival. This cultural and value-laden context contributes to a diversity of understanding of what sustainability means and what is worth sustaining. An examination of the published literature about nonprofit sustainability suggests that the construct has to do \Vith longevity, resiliency, mission fulfillment, relevance, resources, adaptation, and leadership (Barr, 2012). Adding to the complexity of conceptualizing sustainability is the interaction between sustainability and success or impact. While a sustainable organization is more likely to be one that exhibits a history of success (i.e. fulfilling its mission, having a strong impact), many organizations that experience early success are not able to sustain that success over time.

Conceptions of Nonprofit Sustainability

The National Council on Nonprofits *(Nonprofit Sustainability,* n.d.) notes that the term sustainability commonly describes a nonprofit organization able to sustain itself over the long term, perpetuating its ability to fulfill its mission. In this context, sustainability is largely focused on finances, but the National Council on Nonprofits acknowledges the importance of leadership succession planning, organizational adaptability, and strategic planning to an organization's longevity.

Zimmerman and Bell (2015) define sustainability as both financial (the ability to generate resources to meet the needs of the present without compromising the future) and programmatic (the ability to develop, mature, and cycle out programs to be responsive to constituencies over time). They note that the two are not independent of each other; rather, they intersect and contribute to overall organizational sustainability. The autl10rs believe that truly resilient organizations recognize and adjust to environmenta1 changes that may affect thetr future.

The TCC Group (York, 2010), in its study of over 700 nonprofits participating in an assessment of their organizational capacity, found

that sustainability is a function of three capacities: 1) leadership-the ability to create and sustain a vision, to inspire, model, prioritize and make decisions, and to provide direction and innovate; 2) adaptability-financial and program adaptability; and 3) program capacity-adequate resources (staff and facilities) to run and deliver programs and services. York's work suggests that effective senior leadership situated in a learning culture is a significant contributor to organizational sustainability.

The Public Interest Management Group (PIMG) (Schaffer, 2015) developed a multidimensional conceptualization of highly successful nonprofits reflecting the practices associated with sustainability and success. Schaffer defines organizational success as "performing its mission-related work effectively... achieving positive outcomes through its efforts. It is also operationally stable and well positioned for longevity" (Schaffer, 2015, pp. 5, 8). Schaffer proposes five dimensions:

- 1. *Strategy:* a systematic approach describing an organization's future business activity;
- 2. *Culture:* the values, beliefs, and shared assumptions as well as practices by members of the organization;
- 3. *Operations:* the structure and actions to administer and deliver services;
- 4. People: the policies and practices to engage staff and volunteers; and
- 5. *Business Model:* the economics of services and revenue. PIMG's *Success Factor Analysis* model has a strong orientation toward efficiency, performance accountability, and diversity of revenue sources (Schaffer, 2015).

In their book *Forces for Good*, Crutchfield and Grant (2008) reported finding patterns of behavior and practice among high-impact social sector organizations. The authors note that of the six practices or patterns of behavior, four are external or outwardly facing and reflect the belief that great organizations expand their influence and share their lessons broadly. According to the authors, great social sector organizations reflect the following six practices (Crutchfield & Grant, 2008, pp. 21-22):

- 1. *Advocate and serve:* influence and shape policy as well as provide high quality services, realizing that serving more and more people never changes the underlying social problems;
- 2. *Make markets work:* operate to create greater leverage of market forces to generate earned income revenue, create public-private partnerships, and influence business practices;

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- 3 *Inspire volunteers and donors:* inspire volunteers and donors to become evangelists to engage more deeply around the organization's mission and core values and to expand the network of individuals and organizations who passionately work to create solutions;
- 4. *Nurture nonprofit networks:* high impact social sector organizations play a leadership role in the sector, building relationships, connecting individuals and organizations, and collaborating with and helping other organizations be successful;
- 5 *Master the art of adaptation:* highly successful organizations adapt to the changing priorities, needs, and conditions in their community; and
- 6. *Share leadership:* distribute leadership throughout their organization and neh-vork, empowering others to lead.

The REACH Healthcare Foundation (RHF) (Moore, 2016), a health conversion foundation mandated to exist into perpetuity, defines sustainability as an organization's viability and relevance and its likelihood of successfully achieving its mission. Sustainability requires the consistent execution of organizational behaviors and practices that cross many dimensions-some that necessarily occur before others can be implemented. It can be thought of as a collection of related practices, behaviors, or features of an organization; the resultant outcome of this collection is the extent to which mission fulfillment, success, and impact occur. RHF's sustainability approach poses a set of "essential questions" about the presence of practices and behaviors within an organization and uses those questions as an entry point to gaining clarity and understanding of how an organization is positioned for long-term viability and strategic impact (Moore, 2016).

WolfBrown, a consulting organization working with nonprofits, foundations, and government agencies, argues that nonprofit arts organizations are much better positioned to achieve long-term sustainability when they effectively balance three interdependent but sometimes competing priorities: 1) community relevance; 2) artistic vibrancy; and 3) capitalization. Brown *et al.* (2011) observe that community relevance is the primary element of sustainability, but the extent to which an organization is able to focus simultaneously on all three elements largely determines the level of success (p. 2). Artistic vibrancy "is the fuel that drives sustainability... and the lifeblood of any arts organization" (p. 3). Capitalization and sound fiscal policy are important elements of sustainability but, the authors note, financial distress is a symptom of, not a reason for, its lack.

Common Dimensions of Nonprofit Sustainability

With this background on the conceptions of sustainability, this article now examines seven of the most frequently mentioned models of sustainability, proposes a process for organizations to better understand and improve the likelihood of sustainability, and provides readers ,vith rating scales to assess their organizational journey towards a sustainable future. The selected models are not exhaustive but do represent a diversity of opinions and perspectives. For example, one model, PIMG *(Success Factor Analysis, Schaffer, 2015), provides an extensive list of* factors that have been associated with successful nonprofits. Another model *(Sustainability Mindset, Zimmerman & Bell, 2015)* explores the interdependency between two factors related to strategic and programmatic decision making.

The authors of these seven models raise several general observations in their writings about the nature of this complex construct (Schaffer, 2015; Brown *et al.*, 2011; Moore, 2016; National Council on Nonprofits, n.d.; York, 2010; Zimmerman & Bell, 2015). First, there appears to be awareness of the interdependency among dimensions of sustainability. Most of these authors point to the need to balance dimensions that are necessary but can work in opposition to each other. Second, each model includes financial stability and effective fund development, indicating that these components are and remain important features of sustainability models. Third, organizational adaptability is central to many definitions and descriptions of nonprofit sustainability, impact, and success.

Table 1 (on the next page) includes common dimensions found in the models of sustainability of these frequently-referenced authors. In order to synthesize the models, some assumptions were made to determine whether a model feature implied a core dimension. For example, Brown *et al.* (2015) argue that capitalization is a key feature of sustainability; this implies sound fiscal policy, seeking new forms of revenue, and being financially adaptable.

A synthesis of these seven models revealed 49 specific practices and behaviors of nonprofits that authors propose are related to nonprofit sustainability (see Tables 1 and 2). The 49 practices are grouped into eight dimensions:

1. *Relevance and Connection to Community:* The extent to which an organization's mission and services are relevant to community needs, responsive to the cultural and linguistic needs of potential consumers, and leveraged to maximize impact in the community through partnerships and collaborations. Connection to the client or consumer of an organization's services, supports, or programs is a centrally important practice that not only informs the most

	Table 1 Eight Dimensions of Nonprofit Sustainability Reflected in Different Models							
		REACH Foundation	TCC Group	Wolf Brown	PIMG	Bell & Zimmerman	Crutchfield & Grant	Weingart Foundation
Dimension	Practices	Essential Questions	Sustainability Formula	More Than the Sum of its Parts	Success Factor Analysis	Sustainability Mindset/ Matrix Map	Forces for Good	Nine Areas
Relevance/ Connection to Community	5	•••	•	••••	•		•	••
Organizational Adaptability	3		•	•	•		•	٠
Strategic Orientation	7	••••		•	••••	•	•••	٠
Leadership	9	•	•••••		••••		•	٠
Operations	7	•			•••••			
Board Governance	4	••••			٠			•
Culture	5	•				·		·
Financial and Funding	9	••••	•••••	•••	•••••	•	•	••

 Table 1. Eight Dimensions of Nonprofit Sustainability Reflected in Different Models

Note: • = one practice or behavior; empty cells indicate that the model does not explicitly address the dimension.

Essential Features of Nonprofit Sustainability: Towards Clarity for Grants Professionals appropriate service mix but also adds the voice of the consumer to strategic planning, program design, and service delivery.

- 2. Organizational Adaptability: The organization's responsiveness and resiliency, both programmatically and financially, to changing community needs and factors influencing supply and demand of services. Each model endorses the dimension of adaptability in the form of flexibility, resiliency, evolution, and innovation. Central to an organization's adaptability is the tolerance of the organization's personnel to adjust. Constant change in a chaotic environment can erode tolerance to make adaptations. Organizations need to allow for time to make needed adjustments in the face of a rapidly changing policy and resource environment.
- 3. *Strategic Orientation:* The organization's orientation toward strategy and community impact as reflected in the adoption of board-approved strategic plans. Organizations use tools such as theory of change to communicate organizational focus and intent, engage in strategic and operational collaborations and partnerships to expand potential impact, and recognize that policy and grassroots advocacy is central to mission success.
- 4. *Leadership:* The organization's leadership embodies the mission and core values of the organization, regularly motivates and inspires others, manages staff turnover, and is keenly aware of the accountability to be cost-effective and successful. Leaders strike an effective balance of inclusive decision-making and decisive action when facing challenges.
- 5 *Operations:* The organization's leaders create clear operational plans for service delivery with established systems of support for staff, clear job definitions, and accountabilities for each role. Leaders are effective at recruiting staff and volunteers to meet organizational needs, have well-defined internal controls and processes for operations, and have a passion for developing emerging leaders.
- 6. *Board Governance:* The organization's board of directors sets the strategic direction of the organization, supports leadership, and creates plans for retaining leaders as well as succession plans. Interestingly, several model authors noted this dimension but did not include them per se in their sustainability models. Regardless, as most successful CEOs acknowledge, the strategic partnership between the CEO and board chair and key leaders on the board is important in advancing a vision and strategic direction for an organization. Taking advantage of the board's expertise and community connections can significantly improve the chances of strategic success.

- 7. *Financial and Funding:* The organization's financial decision making and fund development are evident in all of the models (see Table 1). Reflecting the importance of revenue generation and sound financial management, most models note financial stability and the need to keep capital flowing to support the mission. Effective fund diversification and the use of sophisticated financial management practices that inform both operational and program decisions are essential features of successful nonprnfits. (York, p.11).
- 8. *Learning Culture:* The organization's cultural expression to keep learning at the center of strategy and operations is reflected in six of the eight models. The two models that do not explicitly reference a learning culture instead focus on organizational features that highlight adaptability, programmatic vibrancy and innovation, and authenticity of personnel and their interactions in the community. In one of those models, culture includes integration of business practices that ensure efficiency, performance accountability, and effective operations. Finally, organizational culture centered on learning and data generation creates a dynamic, innovative, and authentic workplace where ideas are tested and questions posed about the quality and value of the work.

Assessing the Dimensions of Sustainability

Organizations can assess the presence and execution of dimensions of sustainability through an inclusive, dialogue-driven process in three phases: 1) awareness and knowledge-building; 2) questioning and clarifying; and 3) assessment and target setting.

In each phase of the process, the organization benefits from the inclusion of many voices and perspectives. Nonprofits must engage a diverse set of stakeholders to learn about, assess, and set targets for improving the likelihood of organizational sustainability. The following stakeholder groups should be included in the process: board chair and members, community advisors or advisory board, chief executive, chief financial officer and leadership team, program and operations staff, consumers or clients receiving services, key community partners, collaborators, representatives from the organization's networks, and representatives from key funding partners and investors.

Phase I: Awareness and Knowledge Building

The purpose of this phase is to invite stakeholders to participate, to provide direction on the intent and scope of the sustainability planning process, and to build their understanding of sustainability. This phase should provide ample opportunity for stakeholder groups to share perspectives and experiences and to engage around their questions about their role in the process and why their voices are important.

Phase II: Questioning and Clarifying

This phase provides stakeholders, especially board members and staff, with a set of questions (see Table 2) that can be used to explore organizational strengths as well as areas that can be improved. This process contributes to a better understanding of why the organization structure and operations may or may not lead to long-term sustainability and impact.

The REACH Foundation refers to these questions as the *Essential Questions of Nonprofit Sustainability.* Each question is a point of entry into one of the Eight Dimensions of Sustainability. The *Essential Questions* provide organizational leaders with a tool for a deeper discussion of what it means to be a sustainable organization. Stakeholders should expect an authentic and transparent dialogue about the key dimensions of sustainability and come away from the experience more knowledgeable about areas for development and strength.

Sustainability Dimension	Practices and Behaviors	Essential Questions		
Relevance and Connection to Community	1.Community engagement to seek input; ensure client- centered focus	•Do we have partnerships with other nonprofits and corporations?		
	2.Services/programs are high quality and responsive to cultural and linguistic needs of the community	 Are our partnerships only transactional or are they focused on strategy and shared goals? 		
	3.Engage internal and external stakeholders in strategic planning			
	 Build corporate and public- private partnerships 			
	5.Community relevance/ broadly shared aspirations•Do we have a regular, participatory planning process to engage partners, stakeholders and consumers of our services?			
Organization Adaptability	1.Financial and programmatic adaptability	•How adaptive have we been in the past?		
	2.0rganizational resiliency 3.Change tolerance	 How have we responded to changing conditions and needs of our clients? 		
		•What tolerance do we have as a staff to make significant changes or innovations to better serve our clients?		

Table 2. The Essential Questions of Nonprofit Sustainability

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continued

Sustainability Dimension	Practices and Behaviors	Essential Questions		
Relevance and Connection to Community	1.Community engagement to seek input; ensure client- centered focus	•Do we have partnerships with other nonprofits and corporations?		
	2.Services/programs are high quality and responsive to cultural and linguistic needs of the community	 Are our partnerships only transactional or are they focused on strategy and shared goals? 		
	3.Engage internal and external stakeholders in strategic planning			
	4.Build corporate and public- private partnerships			
	5.Community relevance/ broadly shared aspirations•Do we have a regular, participatory planning process to engage partners, stakeholders and consumers of our services?			
Organization Adaptability	1.Financial and programmatic adaptability	 How adaptive have we been in the past? 		
	2.0rganizational resiliency 3.Change tolerance	 How have we responded to changing conditions and needs of our clients? 		
		•What tolerance do we have as a staff to make significant changes or innovations to better serve our clients?		
Strategic Orientation	1.Impact or desired results are identified and shared widely	•Have we identified and publicly communicated the		
	2.Deeply held commitment to positive impact	impact we want to have with our clients?		
	3.0rganizational strategy (e.g., theory of change) creating	•Do we have a recent strategic plan?		
	organizational cohesion and focus	 Would a theory of change help us communicate our focus and intent better to 		
	4.Adoption of board-approved multi-year strategic plan	stakeholders?		
	O.CollaDorntiom, and partnerships; support and nurture nonprofit networks	•Are we engaged in issue advocacy and, if not, what would it take to be engaged?		

Table 2. The Essential Questions of Nonprofit Sustainability (continued)

continued

Sustainability Dimension	Practices and Behaviors	Essential Questions		
Strategic Orientation (continued)	6.Engagement in both advocacy to change systems and service delivery	•Do we have important strategic partnerships or collaborations?		
	7.Key issue urgency/priority in community	 Have we created any new public-private partnerships 		
		 Are we part of a network o nonprofits working to bring about systemic change? 		
Leadership	1.Effective and consistent leadership	 Do our leaders embody ou mission and core values? 		
	2.CEO as a distinguished exter-	•What are our core values?		
	nal brand 3.Inclusive decision making	 Do we have a turnover problem with leadership or 		
	4.Decisive action when needed	key staff positions?		
	5.Leadership embodies mission and core values	•To what extent are we examining our cost effec-		
	6.Motivate/inspire others toward mission and vision	tiveness and how does the affect service and program matic decisions?		
	7. Management of staff turnover/ succession plans	•Are our leaders engaging staff and key advisors and		
	8.Decisions and accountability informed by cost effective-	board when considering important changes?		
	ness 9.Accountability for strategic success evidenced in pro-	 In crisis or urgent situation are our leaders decisive 		
Onerationa	gram success			
Operations	1.Engagement of volunteers in appropriate roles	•Do we have a clear operational plan (programming and services)?		
	2.Systems of support for staff			
	3.Developing emerging leaders/ professional development	•How effective are our support systems for staff?		
	4.Clarity of roles and job definitions	•Are job definitions and role accountabilities clear and		
	5.Effective recruitment	well understood?		
	6.Application of consistent performance accountability standards across positions	•Do we have one or more positions for which we hav trouble recruiting?		
	?.Operational plans for program and service delivery	•Does staff have an opportunity to be supported mentored to become leaders in the organization		

Table 2. The Essential Questions of Nonprofit Sustainability (continued)

continued

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Table 2. The Essential Questions of Nonprofit Sustainability (continued)

Sustainability Dimension	Practices and Behaviors	Essential Questions		
Board Governance	1.Governance best practices (see <i>Board Source,</i> 2005) 2.Leadership succession plan	 How engaged is our board in setting the strategic direction of the organization? Has the board executed a strategic planning process in the last 4-5 years? 		
	in place 3.Plans developed to retain key leaders/staff			
	4.Appropriate board involvement in strategic and	•Has the board created plans for key position succession and for retaining leaders?		
	management decisions	•Does the board implement governance best practices (see <i>Board Source</i> , 2005)?		
Financial and Funding	1.Sound fiscal policy and capitalization	•Have we been able to diversify our funding?		
	2.Investment in revenue generation infrastructure	•Are we investing in infrastructure and staff to		
	3.Emphasis on new revenue sources (diversification) strategies?			
	4.Cost-efficient operations and service delivery	•Do we have a fund development plan?		
	5.Financial analysis used in decisions regarding service mix and programs	•Are there any concerns with current financials or audit results?		
	6.Leverage market forces to achieve large-scale social good	•How many months of reserve funds are available?		
	?.Collaboration and long-term relationships central to the business model	•Are we using financial analysis and management processes to identify cost effectiveness and leverage		
	8.Engagement of board and other community leaders in fund development	financial opportunities? •Do we make decisions about programs and services based in part on the cost effectiveness and expected impact on consumers?		
	9.Data collection around national, regional, and local funding trends			
Learning Culture	1.Learning culture includes data use, monitoring, and evaluation	•Do we operate with learning as a shared goal of our work?		
	2.Vibrancy/innovation 3.5uorIIfslarr renecl IIIe diversity of people and interests in community	•Do we use our learnings to ,:,,d,,,pt, r,,;fin,;,, imovాto, ,,,nd improve?		

continued

Sustainability Dimension	Practices and Behaviors	Essential Questions	
Learning Culture <i>(continued)</i>	 4. Institutional/individual authenticity 5.Cultural integration of established business 	•Do we over-promise or over- represent the benefits of our services and programs to consumers?	
	practices throughout organization	•Does our culture include the integration of established business practices to ensure effective operations?	
		•How data-informed are we?	
		•How can we do a better job of using data to make decisions about our services?	
		•Do we intentionally and regularly set aside time to be reflective, share our learnings, and discuss ways to improve our quality?	

Table 2. The Essential Questions of Nonprofit Sustainability (continued)

Phase III: Assessment and Target Setting

In the third phase, all stakeholders assess the organization's current state on the eight dimensions of sustainability and set priorities for where the organization should focus capacity building efforts over the next 12 months. The REACH Foundation found that among its grantees, focusing on one or two capacity areas per year is substantial work for most organizations.

To aid in guiding assessment and target setting, the author provides rating scales to be used with the 49 distinct practices/behaviors of sustainability in the eight din1ensions. Stakeholders rate each practice within the dimension based on the learning gained from the *Essential Questions* in Phase II. Then, stakeholders collaboratively set improvement targets and prioritize the sustainability dimensions for the organization's focus on over the next 12 months. The follovving rating scales assist stakeholders to assess the current state, targets for improvement, and prioritization for improvement:

• *Current State:* Use the following scale to rate the extent to which a practice or behavior is fully executed with quality: 1 = Not executed at all; 2 = Internal discussion of this practice but not executed; 3 = Internal and external discussion of the practice and with no or only isolated execution; 4 = Executed in a limited way or in larger scale but with minimal attention to quality; 5 = Fully executed with attention to high quality.

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- *Target Setting:* In setting targets for improvement or capacity building, consider the current state and what increment would represent a meaningful improvement in execution and quality after 12 months of attention and focused capacity building. For example, a current state rating of 1 (no execution) might warrant an improvement target of 2 (initiation of internal discussions and planning).
- *Prioritization:* Prioritize the target improvements to be undertaken from 1 to N (with 1 being the highest priority action) for each practice or behavior within each sustainability dimension. Organizational leaders and board members, informed by staff and stakeholder experience and knowledge of the community and those receiving services, prioritize the capacity building actions of the organization during the next 12 months.

Conclusion

The complex nature of nonprofit sustainability creates significant variations in how grant makers frame their need for information about the sustainability of nonprofit organizations. In addition, grant proposal riters struggle to describe organizational sustainability effectively due to lack of clarity and shared understanding of the dimensions of sustainability. This article's review of different sustainability models provides a synthesized set of dimensions across various models that provide clarity that grant professionals need. This paper identifies and discusses eight distinct dimensions that organizations and their grant professional and fund development staff can use to conceptualize sustainability and focus internal capacity building. Both funders and grant seekers can refer to and utilize the various models in this article. Organizational leadership and board members can use the Essential Questions and the process described to increase understanding and to focus internal learning and capacity building, creating a sustainability orientation for long-term viability and impact.

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