



## Selected bibliography: Evaluation in Foundations

Last update: December 2007

**“On the frontlines : failing well : foundations need to take more of the right kinds of mistakes”**  
/ Judith M. Gueron In: *Stanford Social Innovation Review*. - (Winter, 2008). - Stanford : Stanford Graduate School of Business. – 2 p.

*The author identifies three types of mistakes, type one being naive failure and type two missed-opportunity failure. Type three is the 'useful' failure which should be embraced as a critical building block to progress. The grantmaking process should be understood as a learning process which offers very valuable insights for future projects.*

[http://www.ssireview.org/images/articles/2008WI\\_frontlines\\_gueron.pdf](http://www.ssireview.org/images/articles/2008WI_frontlines_gueron.pdf)

For information: [http://www.ssireview.org/articles/entry/failing\\_well/](http://www.ssireview.org/articles/entry/failing_well/)

**From insight to action : new directions in foundation evaluation** / Mark Kramer, Rebecca Graves, Jason Hirschhorn. - Boston : FSG Social Impact Advisors, 2007. - 52 p.

*This report aims to highlight emerging approaches to evaluation in the field of philanthropy that increase the effectiveness of both foundations and their grantees. Case studies from more than two dozen foundations of all sizes are included. This report was funded by The William and Flora Hewlett Foundation and conducted in collaboration with the Forum of Regional Associations of Grantmakers.*

[http://www.fsg-impact.org/images/upload/From%20Insight%20to%20Action\(3\).pdf](http://www.fsg-impact.org/images/upload/From%20Insight%20to%20Action(3).pdf)

For information: <http://www.fsg-impact.org/app/content/actions/item/177>

For information: <http://www.fsg-impact.org/app/content/home/>

**Pioneers in the field : four foundations on advocacy evaluation** / Harvard Family Research Project. - Harvard : Harvard Graduate School of Education, 2007. - 12-18 p.

*This article features interviews with staff at four foundations - The California Endowment, The Atlantic Philanthropies, the Annie E. Casey Foundation, and the W. K. Kellogg Foundation - that are helping to build the advocacy evaluation field. The representatives from the four foundations discussed the role advocacy plays in their grantmaking; what they want to know from evaluation about their advocacy investments; how they support grantees with advocacy evaluation; and how they are helping to build the larger advocacy evaluation field.*

<http://www.gse.harvard.edu/hfrp/content/eval/issue34/spring2007.pdf>

For information: <http://www.gse.harvard.edu/hfrp/eval/issue34/index.html>

**Space for philanthropy in research.** - Brussels : European Foundation Centre, 2007. - 13-27 p.

*Europe has set its sights on becoming a leader in innovation and research, and boasting the most dynamic, knowledge-based economy in the world by 2010. What challenges does this entail? Where are foundations in this picture and how are they supporting and fostering research and innovation? With the launch of the European Forum on Philanthropy and Research Funding in December 2007, this issue takes a look at what foundations are already doing to support and cultivate research, and what the future holds for them.*

<http://www.efc.be/ftp/public/Communications/EFFECT/Autumn2007/EFFECTautumn2007.pdf>

For information: <http://www.efc.be/publications/effect.htm>

**Rethinking philanthropic effectiveness : lessons from an international network of foundation experts** / Dirk Eilinghoff (Ed.). - Gütersloh : Verlag Bertelsmann Stiftung, 2005. - 181 p. ISBN: 3892047820

*To date, there is no fully satisfactory "framework" or methodology for the analysis of philanthropy. While this absence provides foundation leadership with considerable latitude in which to shape organisational structure and strategy, it also poses questions that every foundation must answer, or at least consider. What are the major challenges facing philanthropy today? How do foundations perceive, assess and solve problems? How do they define best practices for management and evaluation? How can foundations increase their efficiency and effectiveness? These are only some of the topics raised in the book.*

For information: <http://www.bertelsmann-stiftung.de/verlag>

**Making a difference together : impact assessment : the Lloyds TSB Foundation for England and Wales' collaborative grant-making programme** / Colin Rochester, Zoë Woods. - London : Lloyds TSB Foundation for England and Wales, 2005. - 34 p.

*This report's subject is the Lloyds TSB Foundation's Collaborative Programme which encourages co-operation between voluntary organisations to improve their work in helping disabled people. The report sets out the results of the foundation's work during 2004 in exploring programme evaluation and impact assessment.*

[http://www.lloydstsbfoundations.org.uk/downloads/ImpactAssessmentReport\\_March2005.pdf](http://www.lloydstsbfoundations.org.uk/downloads/ImpactAssessmentReport_March2005.pdf)

For information: [http://www.lloydstsbfoundations.org.uk/impact\\_assessment.html](http://www.lloydstsbfoundations.org.uk/impact_assessment.html)

For information: <http://www.lloydstsbfoundations.org.uk/>

**Higher impact : improving foundation performance : insights from a gathering of foundation CEOs, trustees and senior executives.** - Boston : The Center for Effective Philanthropy, 2005. - 24 p.

*In March 2005, more than 200 foundation leaders gathered to consider the challenges of achieving higher impact through their work. Speakers whose remarks are described in the CEP report include Independent Sector's Diana Aviv, The David and Lucile Packard Foundation's Carol Larson, California HealthCare Foundation's Mark Smith, The Greater Cincinnati Foundation's Kathy Merchant, The Bridgespan Group's Jeff Bradach, Global Business Network's Katherine Fulton, and Boston Globe's investigative reporter Michael Rezendes. This report includes viewpoints of these practitioners and distills lessons learned.*

[http://www.effectivephilanthropy.org/images/pdfs/CEP\\_Higher\\_Impact\\_2005.pdf](http://www.effectivephilanthropy.org/images/pdfs/CEP_Higher_Impact_2005.pdf)

For information: <http://www.effectivephilanthropy.org>

**The role of evaluation in the 21st century foundation** / Edward Pauly. - Gütersloh : Bertelsmann Foundation, 2005. - 33 p.

*This document aims to present the effective use of evaluation by foundations that seek to increase their focus on results, and the benefits and challenges of using evaluation effectively. Bibliographical resources are included.*

[http://www.wingsweb.org/download/06\\_The\\_Role\\_of\\_Evaluation\\_Full\\_Version.pdf](http://www.wingsweb.org/download/06_The_Role_of_Evaluation_Full_Version.pdf)

For information: <http://www.bertelsmann-stiftung.de>

**Assessing performance at the Robert Wood Johnson Foundation : a case study** / Phil Guidice, Kevin Bolduc. - Cambridge : The Center for Effective Philanthropy, 2004. - 15 p.

*This case study describes the efforts of one foundation to establish a foundation-wide performance assessment system to evaluate how effectively the organisation was performing and to identify ways in which to improve the way it functions.*

<http://www.openminds.com/indres/rwjfcasestudy.pdf>

For information: <http://www.effectivephilanthropy.com>

For information: <http://www.effectivephilanthropy.org>

**Foundations and evaluation : contexts and practices for effective philanthropy** / edited by Marc T. Braverman, Norman A. Constantine, Jana Kay Slater. - San Francisco : Jossey-Bass, 2004. — 315 p. ISBN: 0787970778

*Based on research funded by the Packard Foundation, this book provides a guide to the practice of evaluation in the foundation world. It has contributions from many of the leading figures in the field of evaluation and promotes the use of evaluation within the foundation framework.*

For information: <http://www.josseybass.com/WileyCDA/>

**Foundation effectiveness : definitions and challenges** / Francie Ostrower. - Washington, DC : The Urban Institute, 2004. — 10 p.

*Drawing on interviews with 61 foundation leaders, this analysis discusses their understanding of effectiveness, methods they use to evaluate it, and how they say their foundations have changed (or need to change) to become more effective. A sobering conclusion from this survey reveals that all too often, foundations are not engaging in practices that, according to their own standards, are important for effectiveness.*

[http://www.urban.org/UploadedPDF/411118\\_foundation\\_effectiveness.pdf](http://www.urban.org/UploadedPDF/411118_foundation_effectiveness.pdf)

For information: <http://www.urban.org>

**Improving and strengthening grant-making organizations** / Joanne B. Scanlan, Eugene R. Wilson (eds.). - San Francisco : Jossey Bass, 2004. - 96 p. - (New Directions for Philanthropic fundraising, ISSN : 1072172x). ISBN: 0787978418

*This book aims to share experiences and critical issues on grantmaking and to suggest solutions to improve and strengthen grantmaking organisations. It includes an historic overview of grantmaking and grantseeking, views of governance, and how mission can be attained through talented grantmaking, as well as an examination of the principles and practices for effective grantmaking from the Council on Foundations membership.*

For information: <http://www.josseybass.com/WileyCDA/WileyTitle/productCd-0787978418.html>

For information: <http://www.josseybass.com/WileyCDA/>

**Guidelines for evaluating nonprofit communications efforts** / Communications Consortium Media Center (CCMC). - Washington : Communications Consortium Media Center, 2004. - 19 p.

*This final working paper summarises the main findings of the first four working papers in the series written by experts from the Berkeley Media Studies Group, Harvard Family Research Project and Michigan State University. It offers a set of guidelines that foundations and non-profit organisations can use when designing evaluations to learn about both their investments in communications strategies and the impacts of those investments. Appendix A describes the vital elements of a communications strategy and appendix B contains communication-related theories and concepts.*

<http://www.mediaevaluationproject.org/Paper5.pdf>

For information: <http://www.mediaevaluationproject.org/research.htm>

For information: <http://www.ccmc.org/>

**A measured approach : impact assessment report : Executive Summary.** - London : Lloyds TSB Foundation for England and Wales, 2003. - 6 p.

*This executive summary of an impact assessment report describes the foundation's plan to undertake a 3 year pilot study to assess the impact they have on the community in which they operate. This particular volume focuses on the 2002 evaluation exercise.*

<http://www.lloydstsbfoundations.org.uk/Publications/Documents/execsummarystandalonefinal.doc>

For information: <http://www.lloydstsbfoundations.org.uk/Publications/Pages/AMeasuredApproach.aspx>

For information: <http://www.lloydstsbfoundations.org.uk>

**Principles for Community Leadership- a guide for Community Foundations /** Community Foundations of Canada. - Community Foundations of Canada, [2003?]. - 28 p.

*Designed as a guide to help and explore new ideas and directions. Nine principles are clearly and concisely laid out, they include: Building Community Capacity, Understanding the Changing Nature of Our Communities, Creating Opportunities for Dialogue, Developing Partnerships, Reflecting Diversity, Establishing an Effective and Imaginative Grants Program, Evaluating and Sharing Results, Implementing Responsive and Accountable Processes and Balancing our resources.*

For information: <http://www.cfc-fcc.ca/index.cfm>

**Organizing foundations for maximum impact : a guide to effective philanthropy /** Denis Prager. - Washington, DC : Aspen Institute, 2003.

*This publication describes strategies for organising foundations so that they maximise their operational effectiveness and efficiency, as well as their programmatic effectiveness. It begins with a description of how foundations function in society and then describes management strategies from setting and evaluating goals and accomplishments, to organising board members, executive management, and staff.*

For information:

<http://www.aspeninstitute.org/site/apps/ka/ec/product.asp?c=huLWJeMRKpH&b=667387&en=dkKQJ1MMJoITL0OSLpIRI0NMJil2JcOJJclXKiOUInK7JpL&ProductID=180735>

For information: <http://www.aspeninstitute.org/books>

**A measured approach : impact assessment report.** - London : Lloyds TSB Foundation for England and Wales, 2003. - 59 p.

*This report describes the foundation's plan to undertake a 3 year pilot study to assess the impact they have on the community in which they operate. This particular volume focuses on the 2002 evaluation exercise.*

[http://www.lloydstsbfoundations.org.uk/Publications/Documents/ImpactAssessmentReport\\_March2005.pdf](http://www.lloydstsbfoundations.org.uk/Publications/Documents/ImpactAssessmentReport_March2005.pdf)

For information: <http://www.lloydstsbfoundations.org.uk/Publications/Pages/ThirdImpactAssessmentReport1.aspx>

For information: <http://www.lloydstsbfoundations.org.uk/>

**Ten key questions for the governance of foundations** / Pierre Calame. - Berlin : Maecenata Institut, 2003. - 40-44 p.

*This article aims to answer to ten key-questions on the governance of foundations. It deals with evaluation, management of project and programs, the relations between the board of trustees and the staff, the assessment of foundation impact as well as other related topics.*

For information: [http://www.maecenata.de/1500\\_publicationen/1510\\_maecenataactuell.html](http://www.maecenata.de/1500_publicationen/1510_maecenataactuell.html)

For information: <http://www.maecenata.de>

**Toward a common language : listening to foundation CEO's and other experts talk about performance measurement in philanthropy.** - Boston : The Center for Effective Philanthropy, 2002. - 15 p.

*This study includes interviews and summaries centered around 18 CEOs struggling with the dilemmas of measuring foundation performance. Focusing on achieving impact, setting the agenda and managing operations.*

For information: <http://effectivephilanthropy.com/images/pdfs/towardacommonlanguage.pdf>

**A quality framework.** - London : Association of Charitable Foundations (ACF), 2002. - 63 p. - (Good Grant-Making Practice). ISBN: 1897916302

*The Association of Charitable Foundations (ACF) has produced this framework for trusts so that funders can improve the quality of their grantmaking. It includes three levels of assessment for foundations and sections on managing governance, strategy, communications, personnel, finance, and evaluation.*

For information: <http://www.acf.org.uk/>

**Indicators of effectiveness : understanding and improving foundation performance.** - Boston : The Center for Effective Philanthropy, 2002. - 42 p.

*This publication describes ways in which foundations can assess and improve their performance and social impact. Descriptions of current practice are based on interviews with foundation executives as well as surveys taken from 3,500 foundations, based in the United States and active in 23 countries, as to how they conduct performance assessment.*

<http://www.lawrenceassociates.com/Files/TCEPIndicatorsofEffectiveness.pdf>

For information: <http://www.effectivephilanthropy.org>

**When and how to use external evaluators** / Tracey A. Rutnick, Marty Campbell. - Baltimore : Association of Baltimore Area Grantmakers, 2002. - 12 p.

*This report describes how external evaluators can be used to help foundation set programme goals, identify lessons, make midcourse adjustments, and measure programme effectiveness. It also gives tips on how to frame the consulting engagement to produce the maximum benefit. A short glossary of evaluation terms is included.*

[http://www.nyrag.org/usr\\_doc/UsingEvalConsultants.pdf](http://www.nyrag.org/usr_doc/UsingEvalConsultants.pdf)

For information: <http://www.abagmd.org/>

**Striving for philanthropic success : effectiveness and evaluation in foundations.** - Gütersloh : Bertelsmann Foundation, 2001. - 176 p. ISBN: 3892045828

*The volume includes the presentations and opening statements made at the 2000 International Foundation Symposium sponsored by the Bertelsmann Foundation. The core questions dealt with*

are: the relationship of output, outcome and impact of foundation work, transparency and accountability of foundations, and the establishment of efficient management structures within the sector.

For information: <http://www.bertelsmann-stiftung.de/de/index.jsp>

**Foundations and social capital : a final report to the Network of European Foundations for Innovative Cooperation (NEF).** - updated version 2002. - Birmingham : ECOTEC Research and Consulting, 2001. - 44 p.

*This report on how foundations can support social identity, work and achievements was commissioned by the Network of European Foundations for Innovative Cooperation (NEF). The four sections of this report define social capital and how foundations support it; describe the research carried out; analyse the results of the study and make suggestions for future action by independent funders.*

<http://www.nef-web.org/pdf/Social%20Capital.pdf>

**Community Foundations of Canada. Explorations : principles for community foundations.** - 2nd ed. - Ottawa : Community Foundations of Canada, 2001. - 32 p.

*This document outlines ten principles to guide the work of community foundations. Along with many familiar practices, it describes ideas that aim to encourage community foundations across Canada to explore the roles they can play in facilitating philanthropy, engaging their communities and building community capacity.*

[http://www.community-fdn.ca/doc/explorations\\_eng.pdf](http://www.community-fdn.ca/doc/explorations_eng.pdf)

For information: <http://www.community-fdn.ca>

**Planning and evaluation at The Pew Charitable Trusts : returning results.** - Philadelphia : The Pew Charitable Trusts, 2001. - 24 p.

*This document describes the system of determining and evaluating philanthropic investments at The Pew Charitable Trusts. Its purpose is to share the approach that the Trusts have developed to guide decisions about this vital aspect of the foundation's work. The core description, dealing with the internal strategy cycle, is preceded by a historical perspective and followed by a section defined as institutional learning.*

For information: <http://www.pewtrusts.com>

**Raising the value of philanthropy : a synthesis of informal interviews with foundation executives and observers of philanthropy** / Denis Prager. - 2nd edition. - Washington : Grantmakers in Health, 2001. - 27 p.

*The purpose of this report is to identify the characteristics of foundation programs and assessment strategies that appear to be the most effective. This report is based on a series of interviews with foundation leaders and perceptive outside observers of philanthropy. The main topics are grantmaking, communication and staffing as well as evaluation. The appendix included the list of the interviewees.*

[http://www.gih.org/usr\\_doc/54151.pdf](http://www.gih.org/usr_doc/54151.pdf)

For information: [http://www.gih.org/info-url2678/info-url\\_show.htm?doc\\_id=54151](http://www.gih.org/info-url2678/info-url_show.htm?doc_id=54151)

For information: <http://www.gih.org/>

**The Drucker Foundation self-assessment tool : process guide** / Gary J. Stern. - revised ed. - San Francisco : Jossey-Bass Publishers, 1999. - 157 p. ISBN: 078794436x

*A self-assessment tool for non-profit organisations which describes methods of long-range planning, strategic marketing and leadership and improving effectiveness. The edition provides expanded methods of evaluation and planning, and places special emphasis on implementing the decisions made by organisation leaders.*

For information: <http://www.amazon.com/Drucker-Foundation-Self-Assessment-Tool-Process/dp/078794436X>

**How to evaluate foundation programs** / Stacy Hueftle Stockdill, Marlene Stoehr. - Saint Paul (MN) : The Saint Paul Foundation, 1998. - 70 p.

*A practical guide for those who need basic skills in order to conduct valid evaluation as a response to foundation requests. Contains chapters on the nature of evaluation and methods of planning for this, questionnaire development, observation techniques, the use of focus groups and the best ways to use evaluative information. A guide to additional readings is included along with a list of content.*

For information: [www.saintpaulfoundation.org](http://www.saintpaulfoundation.org)

**Grantmaking basics : a field guide for funders** / Barbara D. Kibbe, Fred Setterberg, Colburn S. Wilbur. - Washington, DC : Council On Foundations, 1998. - 121 p.

*This guide and workbook is meant for both corporate and foundation grantmakers. It is a compilation of background articles, guidelines, checklists and supplementary information on various aspects of grantmaking management. Topics covered include pre-grant assessment, eligibility requirements, application procedures, proposal evaluation and financial analysis.*

For information: <http://www.grantmakingbasicsonline.org/>

**What Foundations can Learn from Venture Capitalists** / Chistine W. Letts. - Maecenata Verlag Albrechtstraße 22, D-10117 Berlin-Mitte, Germany, 1998. - 23p.

*It analyses the success of programmes funded by non-profit organisations through six major elements: performance indicators, exit strategy, pace, degree of funding, duration of the relationship and terms of engagement.*

For information: <http://www.maecenata.de>

**Evaluation in foundations : the unrealized potential** / Patricia Patrizi, Bernard McMullan. - Battle Creek : W. K. Kellogg Foundation, 1998. - 26p.

*The purpose of this paper is to examine the uses of evaluation in foundations. It summarises the results of a study carried out by surveys and interviews to representative of 21 American foundations.*

<http://www.wkkf.org/Pubs/Tools/Evaluation/Pub773.pdf>

For information: <http://www.wkkf.org/default.aspx?tabid=75&CID=281&NID=61&LanguageID=0>

**Evaluation for Foundations: Concepts, Cases, Guidelines & Resources** / Council on Foundations. - Jossey-Bass Publisher 350 Sansome Street, San Francisco, California 94104, USA, 1993. - 320 p.

*A comprehensive book to orient grantmakers, and perhaps grantees, to different kinds of grant evaluation work. It provides a framework for thinking about the practicality of evaluation and supplies real examples of ways in which evaluations have been conceived and carried out.*

For information: [www.cof.org](http://www.cof.org)

**Self-study guide for non-family foundation boards.** - Washington, DC : Council on Foundations, 1986. - 16 p.

*This self-study guide is meant to enhance the ability of trustees to govern non-family foundations and to properly address public inquiries on how decisions within foundations are made (regarding grantmaking, board composition, and programme priorities).*

For information: <http://www.cof.org/>

**Foundations and public information : sunshine or shadow.** - Washington, DC : National Committee for Responsive Philanthropy (NRCP), 1980.

*This study was one of the first analyses of public information on the largest foundations in the United States. As well as describing statistics on accountability and public information, it makes recommendations for change. Since it was released it has led to major changes in the information the US Internal Revenue Service requires including making annual reports. Identifies 22 key items of information that all foundations should disclose.*

For information: <http://www.ncrp.org>