

# Grantmaking in New Zealand Giving That Works

National Survey of New Zealand  
Grantmaking Practice – 2013



Dr Richard Greatbanks  
University of Otago

in collaboration with

**Philanthropy New Zealand**



## **Grantmaking in New Zealand: Giving That Works National Survey of New Zealand Grantmaking Practice – 2013**

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This project has been a truly collaborative work.

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As with all works of this nature, I alone take responsibility for any omissions, inaccuracies or errors. In such cases I can be contacted at the below email address.

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## Foreword

*Grantmaking in New Zealand: Giving That Works* is the first survey of its kind in New Zealand. The research is based upon the methodology and research originally published by Grantmakers for Effective Organisations (GEO), titled *Patterns and Trends in Grantmaking*, which was published in the United States of America in 2011, building on GEO's previous research completed in 2003 and 2008.

The goal of that research was to strengthen the philanthropic sector by examining trends in the key funding practices that allow grantmakers to achieve better results. Philanthropy New Zealand is grateful to GEO for allowing us to undertake similar research in New Zealand, which we hope will provide useful insights into the philanthropic sector, emerging practices and opportunities to enhance positive impact across the sector.

This research brings some useful insights into the New Zealand philanthropic sector. The survey's 40 respondents reported that the value of their philanthropic assets in New Zealand is \$5 billion, which indicates that the entire philanthropic sector plays a significant role in New Zealand. The philanthropic sector is diverse in size, with six respondents accounting for 75% of the \$5 billion asset base, consisting of four community trusts, one iwi fund and one family foundation. Clearly, those six organisations have considerable influence across the philanthropic sector.

Encouragingly, there is increasing collaboration between philanthropic funders to co-fund projects, as well as an increasing trend to fund the NGO sector for multiple years from a high trust, high engagement perspective. Philanthropy New Zealand welcomes this increased collaboration and cohesion across the sector, and anticipates that this will leverage greater impact to benefit New Zealand communities. Clearly, Philanthropy New Zealand has a role to play in enabling this collaboration even further within the philanthropic sector and with other key stakeholders including business, community organisations and Government.

This research was conducted by Dr Richard Greatbanks of the Otago Business School at the University of Otago. We are tremendously grateful to Dr Greatbanks for his diligence, patience and commitment, without which this research would not have been possible.

Many thanks to our colleagues across the philanthropic sector who generously contributed their wisdom and insights to this research. We hope the data will enhance and inform your work to achieve even more positive benefits for New Zealand communities.

Liz Gibbs  
Chief Executive  
Philanthropy New Zealand



Philanthropy New Zealand  
Topūtanga Tuku Aroha o Aotearoa

## Executive Summary

### Introduction

Philanthropy in New Zealand has a long and proud history, and continues to play an important role in creating opportunities within our society which would not exist but for the on-going generosity of organisations, trusts, foundations, families and individuals.

Yet while we have this long tradition, this is the first national survey specifically designed to shed light on current New Zealand grantmaking practice. The New Zealand Grantmaker Practices Survey was undertaken in August and September of 2013, and asked respondents to consider in detail their grantmaking practices over the three years, 2011-2013. The data generated by respondents of this survey provides an important datum line regarding the New Zealand philanthropic grantmaking sector, and while interesting and useful in its own right, will be seen as even more valuable in future years when we will have the ability to compare the 2013 data to subsequent surveys.

As such, this is the first of what is hoped to be a long succession of New Zealand national grantmaking practice surveys, which will help all with an interest in philanthropy better understand the challenges, opportunities and future potential of this essential aspect of our society and national culture.

### About the survey and this report

This is the first national survey specifically designed to shed light on current New Zealand grantmaking practice, and was sent to all 105 Philanthropy New Zealand (PNZ) members in early August 2013. A total of 36 useable responses were received from PNZ members, plus four from non-PNZ members, providing a final response rate of 34.3 percent (the 2011 US study conducted by Grantmakers for Effective Organisations (GEO), on which the New Zealand survey is based, reported a response rate of 16 percent). This report, and all the analysis behind it, is based entirely on the 2013 survey response data.

### New Zealand philanthropic sector overview

Responses to the survey indicate the total reported financial value of philanthropic assets in New Zealand is just over \$5 billion<sup>1</sup> for the survey respondents, however, the disproportionate distribution of these assets means this sector effectively functions as a duopoly; the largest six organisations, comprising one iwi fund, four community trusts, and one family foundation, account for some 75 percent, of this sector's asset wealth and the smallest 28 organisations account for approximately 6.5 percent of the total asset wealth. Considering the largest six organisations, their influence regarding grantmaking focus will continue to have an important bearing on the rest of the philanthropic sector.

This duopolistic situation will make the development of the sector potentially more difficult as the needs and requirements of the few larger organisations will be significantly different from those of the many smaller grantmaking organisations. As such any future philanthropic sector agenda should include discussion on how to develop and support the many smaller organisations identified within the survey. The implications of this position may also require further research.

This report attempts to distinguish between the larger community and power trust organisations, (including iwi funds) and the more numerous but smaller community foundations and charitable trust grantmakers. Where this survey data allows, and the practice appears significantly different

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<sup>1</sup> Based on responses to this survey

between these two groups, a distinction has been made. Where no real distinction in practice is apparent these groups have been commonly referred to as community grantmaking organisations.

Overall the Auckland-Waikato region accounts for over 37 percent of all New Zealand's philanthropic assets, with Canterbury coming second with over 17 percent and Wellington third with just over 12 percent. From a strategic perspective, the Auckland-Waikato corridor is likely to become even more pronounced as the philanthropic centre of New Zealand with the potential north-south expansion of Auckland in the future.

## **The effects of the 2008 Global Financial Crisis (GFC)**

As a whole, the New Zealand philanthropic sector appears to have coped reasonably well with the effects of the GFC. Just under half of respondents reported 'no change' in the percentage of capital funding used for grantmaking, and over half of all independent foundations, and nearly one-third of community foundations reported a slight increase in dollars awarded. The survey data provides evidence that the GFC has not dramatically affected the ability of New Zealand grantmakers to continue to maintain their grant award levels.

However, as longer term capital investments reach maturity at previously higher rates of return than are available now, many foundations may yet see reductions in the real funds available for grantmaking purposes. We may not yet have seen the full long terms effects of the GFC. There are however increasing signals by the Treasury that interest rates will start to increase in the next half-year, bringing with them a more buoyant economic climate which may well offset or negate any long-term GFC consequences.

## **Types of grantmaking**

Multi-year awards, both in terms of numbers and value, are slowly becoming more dominant as a funding approach, particularly with independent foundations. However, regarding General Operating Support (GOS) and capacity-building awards the survey data indicates a much lower level of change over the previous three years. Both the value and the number of GOS grants appear to have remained relatively stable over the last three years. Furthermore, nearly 60 percent of all respondents indicated 'no change' in the total dollars awarded for capacity building. We also note that independents differ from community foundations regarding their support of capacity-building initiatives. Finally, and as one might expect, there is clear evidence that all grantmaking organisations have seen an increase in their overhead costs over the past three years.

## **Strategic collaboration and use of technology**

Strategic collaboration is increasing as an alternative to acting as an autonomous grantmaker. This practice is more likely to be undertaken by independent foundations, with nearly 85 percent of independent foundations reporting they have developed strategic relationships in the last three years. By far the most preferred strategic partners were not-for-profit organisations.

The use of email or web-based processes to accept grant applications is clearly increasing, but the use of such technology appears to be more pronounced for independent foundations and less so for community foundations.

## More focus on the grantee

Very few foundations reported collecting any information on the time it takes their grantees to meet their foundation's administrative requirements. It is disappointing that such a small proportion of grantmakers fully understand the implications of their policies and requirements on their grantees. The survey indicated that development of effective and appropriate grantee evaluation is still a major challenge for the New Zealand grantmaking sector. While some good practices exist, there appear to be many more opportunities to use and benefit from the data requested of and generated by grantees.

## Conclusion

In drawing the conclusions for this report it is important to re-emphasise that all analysis undertaken has been based on the 40 fully completed survey responses received. There are a number of active philanthropic grantmaking organisations which did not, for whatever reason, complete the survey and therefore have not contributed to this data, and who are not represented within this analysis. These facts notwithstanding, we believe this data is valid and allows us to draw a useful and accurate picture of New Zealand philanthropy in 2013.

In terms of the philanthropic sector itself, the first major observation is its duopolistic nature. This will make it more difficult to develop philanthropic organisations within it. With so few organisations accounting for the vast majority of assets, this must affect the influence and thinking within the whole grantmaking sector. While we do not believe this position is necessarily detrimental to the sector, it does require careful thought as to how organisations within it, and particularly the many smaller grantmakers, can be developed and supported to achieve more.

The second major observation is that despite increasing levels of collaboration between grantmakers, the majority of organisations still appear to function in a largely autonomous manner, replicating similar processes, to similar people, and with similar aims and objectives.

The third major observation follows from the previous point. Organisations within this sector need to develop higher levels of collaboration, not just with foundations in the same location and/or size, but with all sizes of philanthropic organisations up and down the country and across the spectrum of philanthropic need.

The fourth observation is regarding the influence of the three year political cycle on philanthropic activity. While some organisations felt this was not an issue for them, and took actions to ensure an apolitical position, others saw this as a major, and usually unwelcome, issue for a coherent implementation to the philanthropic agenda.

To conclude these points it is clear that New Zealand philanthropy has some important and wide-ranging issues to consider regarding its long-term future. It could continue with little change and provide the current levels of social funding and support for which it is rightly proud of, or it could decide that there are many more opportunities and higher potential impacts to be made by acting in a more unified manner, through greater degrees of collaboration and teamwork. An inclusive discussion, at a national level, of such potential approaches is encouraged as a starting point for this journey.



## Recommendations

The following are a series of short concise recommendations, the justification and detail for which are presented within this report. It is hoped this list will serve as a potential agenda for discussion and debate, and as such will prove thought provoking and stimulating for the leaders of philanthropy in New Zealand.

### At the national philanthropic sector level

- Develop a national philanthropy strategy document which discusses and develops the needs and challenges of this sector as a whole over the next decade.
- Develop an agenda for greater levels of inclusive collaboration through New Zealand philanthropic grantmaking.
- Develop further discussion on if, and how, New Zealand philanthropy can separate itself from the political cycle and cadence, while still maintaining an effective voice in the government sector.
- Establish an agreed understanding of best practice in terms of evidence-based evaluation and assessment and develop a plan to disseminate this through the philanthropic sector

### At the grantmaking and process level

- Develop a deeper understanding of the needs and requirements of the small philanthropic organisation, in terms of organisation, process and staff development.
- Establish a national working group to consider and develop best-practice grantmaking processes, particularly regarding evaluation of grantee projects.
- Use more of the evaluation data produced by the grantee for external facing development rather than internal reporting to foundation governance boards.

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## Introduction

Philanthropy in New Zealand has a long and proud history, and continues to play an important role in creating opportunities within our society which would not exist but for the on-going generosity of organisations, trusts, foundations, families and individuals.

Yet while we have this long tradition, this is the first national survey specifically designed to shed light on current New Zealand grantmaking practice. The New Zealand Grantmaker Practices Survey was undertaken in August and September of 2013 and asked respondents to consider in detail their grantmaking practices over the three years, 2011–2013. The data generated by this survey provides an important datum line regarding the New Zealand philanthropic grantmaking sector, and while interesting and useful in its own right, will be seen as even more valuable in future years when we will have the ability to compare the 2013 data to subsequent surveys.

As such, this is the first of what is hoped to be a long succession of New Zealand national grantmaking practice surveys, which will help all with an interest in philanthropy better understand the challenges, opportunities and future potential of this essential aspect of our society and national culture.

## About the 2013 New Zealand survey

Both the survey and the subsequent report are the result of a collaborative project between individuals of Philanthropy New Zealand (PNZ), and the University of Otago Business School. In April 2013 the Centre for Organisational Performance Measurement and Management (COPMM), a research centre at the Otago Business School, held a research symposium entitled 'Improving the Performance of New Zealand Social Enterprises'. The Chair of Philanthropy New Zealand was one of the invited speakers, and the author of this report was the symposium organiser. From this event came the initial idea and a realisation of the potential value of a national grantmaking practice survey.

The survey itself was adapted with permission, from a survey used in 2011 by Grantmakers for Effective Organisations (GEO), a US-based philanthropic peak organisation. The GEO 2011 survey was replicated, with amendments to suit a New Zealand grantmaking audience, using the online survey package Qualtrics (<http://qualtrics.com/>). Adapting an existing survey not only shortened the development and validation process, but provided the future opportunity to compare New Zealand grantmaking practice with the 2011 US data.<sup>1</sup> This report focuses primarily on the analysis and commentary of the New Zealand data.

After testing and revising the online survey, this was made available to the membership of Philanthropy New Zealand (PNZ) in mid-August 2013 through an email request for participation. A request for participation was also made to non-PNZ members.

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<sup>1</sup> It should be noted that the GEO 2011 survey considered two fiscal years (2009/10 and 2010/11). In an attempt to cover a similar timeframe the New Zealand Survey asked respondents to comment on the past three fiscal years (2010/11, 2011/12 and 2012/13).

## How to use this report

This report presents data from the 2013 national survey of New Zealand grantmaking practice. The entire coded data are provided, by organisation type in appendix A, and by asset size in appendix B. Appendix C provides a blank copy of the 2013 survey instrument. While every attempt has been made to present a full picture in this report, the depth and breadth of collected data is such that, for a full understanding, readers are encouraged to use the appendix data as a supplement to the report discussion and conclusions. In this way the detailed information regarding all the survey questions can be considered.

## Report aims and objectives

This report has one overriding primary aim; to record and analyse the nature, size and shape of New Zealand philanthropic grantmaking practice across the respondent sample, as of the three years prior to September 2013. The 2013 survey, and this subsequent report, represents the first time a holistic view has been taken of the New Zealand grantmaking sector, and thus the survey data provides a unique insight into the nature of New Zealand philanthropic activity.

The report concentrates on establishing this important reference point by analysing current grantmaking practice from several perspectives. This report also has two secondary objectives; first to identify the effects of what is now generally referred to as the 2008 Global Financial Crisis, (GFC) on New Zealand grantmaking practice, and second, to identify the major challenges and opportunities for the New Zealand philanthropic sector over the next five years to 2018. In order to look more closely at these secondary objectives, a series of face-to-face and telephone interviews were undertaken with a sample of the larger grantmaking organisations. These interviews provided the opportunity to delve deeper into some aspects of philanthropic practice, and pose a number of questions directly to interview participants. Much of the discussion within the conclusions section of this report is drawn from this interview data.

## Response to survey

An email request to participate in the survey was sent to all 105 PNZ members in early August 2013, with the final closure of the survey at the end of September. During this time three email reminders were sent to all PNZ members. In total 36 useable responses were received from PNZ members providing a final response rate of 34.3 percent.<sup>2</sup> As a reference, the US 2011 study conducted by GEO reported a response rate of 16 percent.<sup>3</sup>

An attempt to contact non-PNZ members was made through the Funding Information Service, Wellington. A further four useable responses were received through this channel resulting in a total of 40 responses to this survey.<sup>4</sup> While this survey was not limited to PNZ members, the nature of

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<sup>2</sup> Survey response rates are influenced by various factors including survey length, respondent contacts (pre-notifications, and follow up contacts) survey design, and research affiliation.

<sup>3</sup> In the light of the GEO response, a response rate in excess of 34 percent can be considered good.

<sup>4</sup> Due to missing responses the total of some questions will differ from this figure. Conversely, some questions ask the responder to 'check all that apply' in which case the N value may well be in excess of the number of organisations responding.

PNZ branding and support for this initiative almost certainly influenced the non-PNZ member response rate as described above. As such this survey almost exclusively focuses on membership organisations of Philanthropy New Zealand.

## Presentation of survey results

As in the 2011 GEO report, we have attempted to distinguish between the types of grantmaking organisations. Within appendix A, responses to questions are grouped into three categories; Independent, Corporate and Community, plus a total response group, as reported in question 37 of the survey. For convenience of reporting and ease of analysis all respondent organisations have been grouped. The definition of these groups was agreed with PNZ as follows:

- **Independent private and family foundations** including:
  - Private foundations, family foundations, and venture philanthropists
- **Corporate foundations** including:
  - Corporate foundations, corporate giving programmes, other workplace giving
- **Community trusts and other regional community grantmakers** including:
  - Community trusts, community foundations, charitable trusts, religious grantmaking organisations, healthcare trusts or foundations, iwi grantmakers and other regional grantmakers

This report attempts to distinguish between the larger community and power trust organisations, (including iwi funds) and the more numerous but smaller community foundations and charitable trust grantmakers. Where this survey data allows, and the practice appears significantly different between these two groups, a distinction has been made. Where no real distinction in practice is apparent these groups have been commonly referred to as community grantmaking organisations.

The actual process of conducting this research has taught us a lot! Among these learning points are the differences used in the American and New Zealand philanthropic sector terminology. This has led us to rework some of the data to enable us to make apt comparisons, both within our own nation and, in future, with others to make it relevant for the New Zealand context. While the number of responses to each question (N) varies depending on how many responses were missing for that particular question, typically this generally breaks down to:

- Independent private and family foundations, N = 13
- Corporate foundations, N = 2
- Community trusts and other regional community grantmakers, N = 25

While we have looked to highlight differences of grantmaker practice between these three types of organisation, the low corporate response makes such comparisons unreliable. Generally therefore, we have only compared the grantmaking practice of independent private and family foundations, the larger community and power trusts, and the smaller community foundations and charitable trusts.

Similarly, we have tried to analyse by size of organisation. Appendix B shows responses to questions in terms of the market value of organisation asset size, reported in question 38. The categories used and associated survey responses are;

- Less than \$9.9 million, N = 18
- \$10 to \$49 million, N = 10
- \$50 to \$99 million, N = 2
- \$100 to \$399 million, N = 6
- Greater than \$400 million, N = 4

Clearly, the majority of the survey population (28 of the 40 respondents, or 70 percent) fall into the first two categories. In the next section therefore, we have attempted to distinguish between the full survey sample of 40 respondents and a more specific focus on grantmaking organisations with assets of less than \$50 million. In this way we hope to make the analysis relevant and useful to all grantmaking organisations, large or small.

Finally, the 2011 GEO report also distinguished between GEO members and non-members in terms of grantmaking practice. However in this survey, with the majority of responses made by PNZ members, this analysis could not be undertaken. This is perhaps a goal for future surveys, if enough non-members' responses can be received to make such analysis viable.



## New Zealand philanthropic practice: Sector overview

This survey provides the first opportunity to view the New Zealand grantmaking sector as a whole, and is derived from the 40 full responses to the survey as discussed in the previous section. So, what does the sector look like?

Respondent organisations were asked to provide the year they were established. This data clearly shows the growth in philanthropic organisations over the last 73 years. The sharp increase observed in the 1980–89 period reflects the creation of the community trusts, but notwithstanding this increase, there is a clear trend of increasing numbers of grantmaking organisations in New Zealand (see Figure 1).

### Philanthropic asset size

Viewing the philanthropic grantmaking sector from a financial value perspective might at first seem at odds with the altruistic nature of this sector, however it does serve a useful purpose in establishing not only the financial value of the philanthropic sector, but also the permanency and resilience of this sector enabling them to continue to do good in our society.

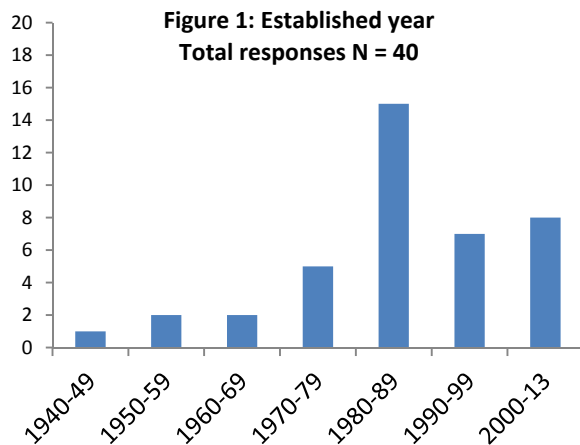
The survey reported that 38 percent of independent private and family foundations have assets of less than \$10 million, and 46 percent have assets between \$10 million and \$50 million. The majority (84 percent) of independent private and family foundations fall into these two asset classifications. When this is compared to community grantmaking organisations we see a more even distribution, with 46 percent of community grantmakers with assets of less than \$10 million, and 19 percent between \$10 million and \$50 million. Within this survey these groups are generally referred to as ‘community foundations and charitable trusts’. Finally, some 30 percent of community organisations (comprising 10 community trusts) are found in the large asset groups (15 percent \$100 million to \$400 million and 15 percent greater than \$400 million – see Figure 2).

Considering the survey responses, the philanthropic sector is divided between a large group of relatively small (by asset size) organisations, and a small group of much larger organisations. The survey indicates there are some 14 grantmaking organisations with reported assets less than \$4.9 million and 28 (including the previous 14) with reported assets under \$49 million. There are a further 10 organisations with reported assets between \$50 million and \$999 million, and two with over \$1 billion reported assets (see Figures 2 and 3). Based on this survey, responses indicated a total reported financial value of philanthropic assets in New Zealand of just over \$5 billion from the respondents surveyed<sup>5</sup>.

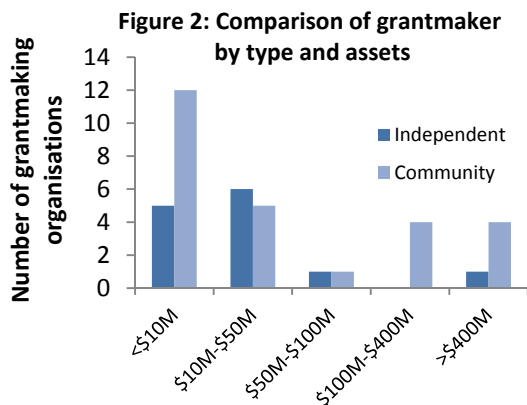
While holistically this figure indicates a significant strength, the disproportionate distribution of these assets means this sector effectively functions as a duopoly; the largest six organisations (comprising one iwi fund, four community trusts, and one family foundation) account for some 75 percent, and the smallest 28 organisations account for approximately 6.5 percent of the total asset wealth of this sector surveyed.

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<sup>5</sup> This total valuation is based on the survey responses only.



*Figure 1: Despite the anomaly of the formation of community trusts in 1988, the survey provides clear evidence of a trend in the establishment of more philanthropic organisations in New Zealand.*



*Figure 2: Compares the survey distribution of independent and community grantmakers by asset size category. The survey results indicate independent private and family foundations tend to be generally smaller in asset size. Community-based grantmakers are more evenly distributed across the asset categories. Community trusts and iwi funds account for the larger community grantmaking organisations. At the lower assets size there are many community foundations and charitable trusts.*

This duopolistic situation will make the development of the sector potentially more difficult as the needs and requirements of the few larger grantmakers, such as the iwi funds, large family foundations and the community and power trusts, will be significantly different from those of the many smaller independent private and family foundations and community foundation and charitable trust organisations. As it is difficult to see economic circumstances which might redistribute this wealth more evenly, or indeed whether such redistribution would actually be desirable or beneficial, any future philanthropic sector agenda should include discussion on how to develop and support the many smaller grantmaking organisations identified within the survey.

Another consideration of the philanthropic wealth distribution was the focus of the larger grantmaking organisations. The six largest organisations, as previously discussed, account for over 75 percent of philanthropic assets reported in this survey, and represent the majority of grantmaking activity within New Zealand. As such their breadth of grantmaking focus will have an important bearing on the rest of the philanthropic sector. The implications of this position require further research, but could form the basis for the development of a future strategic plan around New Zealand philanthropy.

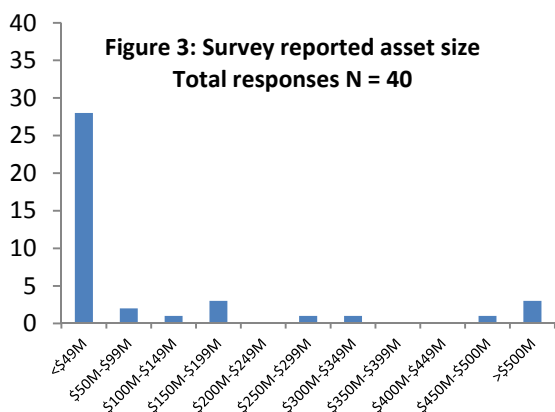


Figure 3: The survey indicates the duopolistic nature of the New Zealand philanthropic sector, which has a large number of relatively small organisations – 28 organisations with assets under \$50 million, (representing over 70% of the survey respondents). Six organisations account for 75% of the entire asset wealth of this sector surveyed.

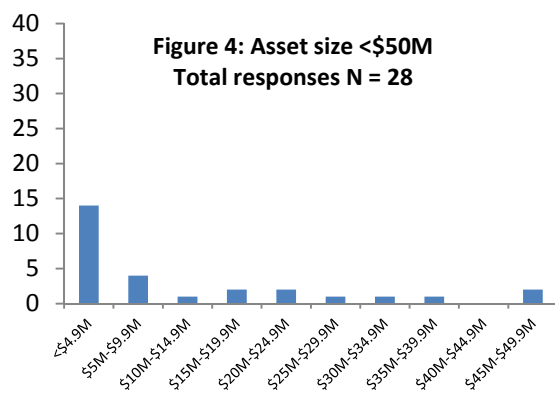


Figure 4: Breaking down the category of organisations with assets under \$50 million still produces a skewed picture, with 14 with of the 28 organisations reporting assets under \$4.9 million. The ‘micro’ nature of these organisations means they will have different development needs from medium and large philanthropic organisations.

### Comparison of grant size and asset size

When we compared the organisations’ assets with the median grant size awarded over the last three years we found little correlation between the two values. When considering all respondents there was a slight trend indicating organisations with larger assets award marginally larger grants, but this relationship was not considered strong (see Figure 5). In an attempt to look at the smaller grantmakers and their practices figure 6 limited the asset size to less than \$50M (and the grant size limited to less than \$50K). The survey data indicated virtually no correlation between these factors (see figure 6).

There also appears little evidence from the survey data that larger organisations, with greater assets, award larger grants. Respondents were asked to provide an estimate of the median (50<sup>th</sup> percentile) grant size for the last fiscal year. The larger community trusts reported a mean grant value of \$23.3K, and community foundations and charitable trusts reported this figure as \$18.1K. Independent private and family foundations reported a median grant annual value of \$55.6K, however this figure was influenced by a significant outlying value. When the outlier was removed a grant value of \$38.9K

was calculated. This value seems more representative of the independent private and family foundation grant values reported.

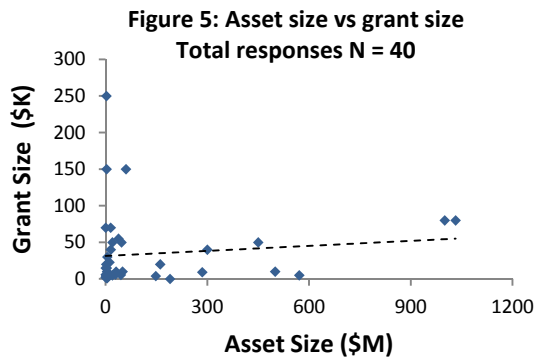


Figure 5: Comparing the asset size with median grant size awarded in the last three years. Using the full survey data there is a weak positive correlation (as assets size increases so does grant size) between increasing asset size and increasing grant size awarded.

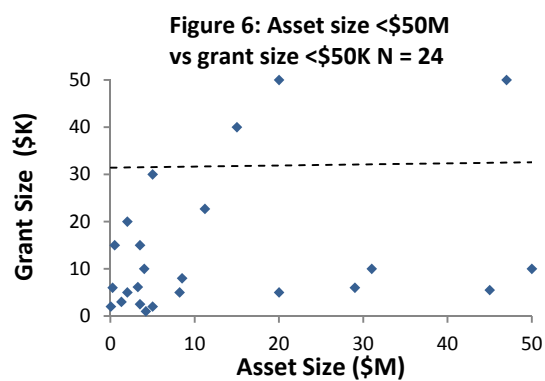


Figure 6: Using the same data as above but focusing on the smaller organisation practice by limiting asset value to <\$50M (and grant award to <\$50K).

Region	No	Total \$ Assets \$M
Auckland	9	1565
Waikato	6	894
Bay of Plenty	4	173
Taranaki	1	Not Reported
Hawkes Bay	2	152
Manawatu/Whanganui	1	Not Reported
Wellington/Kapiti	5	146
Nelson/Tasman	1	Not Reported
Canterbury	7	1601
Otago	3	324
Southland	1	Not Reported

Table 1: Provides a comparison of reported headquarters location and regional asset value. The survey indicates the total asset value is split approximately 60% North Island and 40% South Island. This data however does not speak to the location of the grant recipient.

(Single entity not reported to retain confidentiality)

Table 1: Survey-reported headquarters location and combined regional assets

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### **Geographic distribution of New Zealand's philanthropic assets**

Geographically the largest grouping of philanthropic organisations surveyed was Auckland with nine grantmakers based there; Canterbury followed with seven, Waikato with six and Wellington with five. This distribution was largely predictable and generally follows the regional population in these centres (see Table 1).

Analysing the survey data from a grantmaker-size perspective, we found 55 percent of small organisations (assets less than \$10 million) were located in Auckland, Waikato and Bay of Plenty, with the only other sizable concentration in Canterbury, with a further 16 percent. Of the larger organisations (between \$10 million and \$50 million), again we saw a concentration in Auckland and Waikato of 40 percent, with further sizable groupings of 20 percent in both Wellington and Canterbury. Overall the Auckland-Waikato region accounted for over 37 percent of New Zealand's philanthropic assets, with Canterbury coming second with over 17 percent, and Wellington third with just over 12 percent. Based on this survey, and from a strategic perspective, the Auckland-Waikato corridor is likely to become even more pronounced as New Zealand's philanthropic centre with the potential north-south expansion of Auckland in the future.

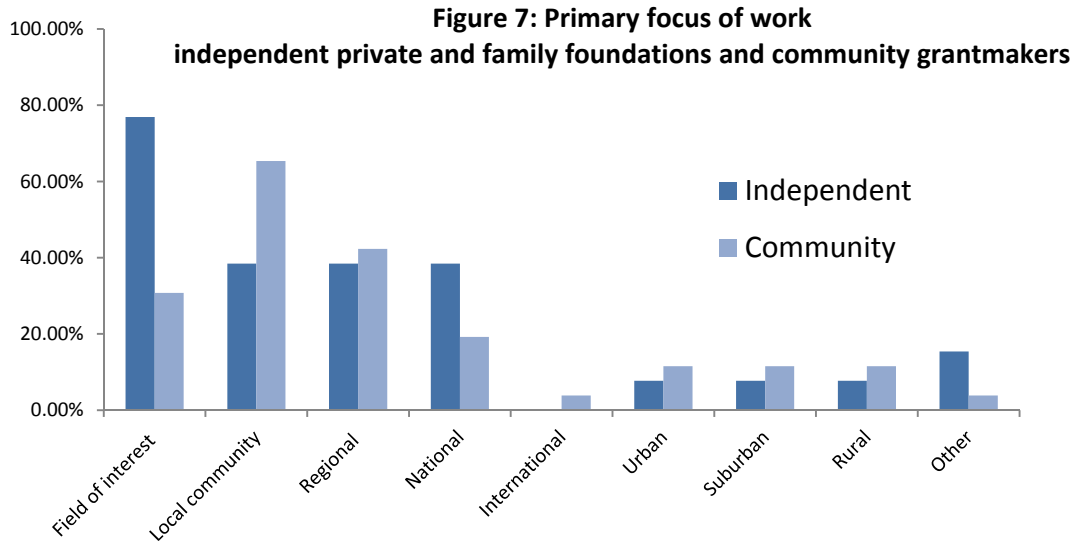
### **Primary focus of grantmaking organisations' work**

The survey highlighted the different areas of focus, particularly between independent private and family foundations, the larger community trusts, and the smaller community foundations and charitable trusts. Over 75 percent of independent private and family foundations tended to focus more specifically on their chosen philanthropic area, such as the performing arts, child education, sport, or some other specific niche. Independent private and family foundations were also most likely to fund projects with a national focus (38 percent of independent responses).

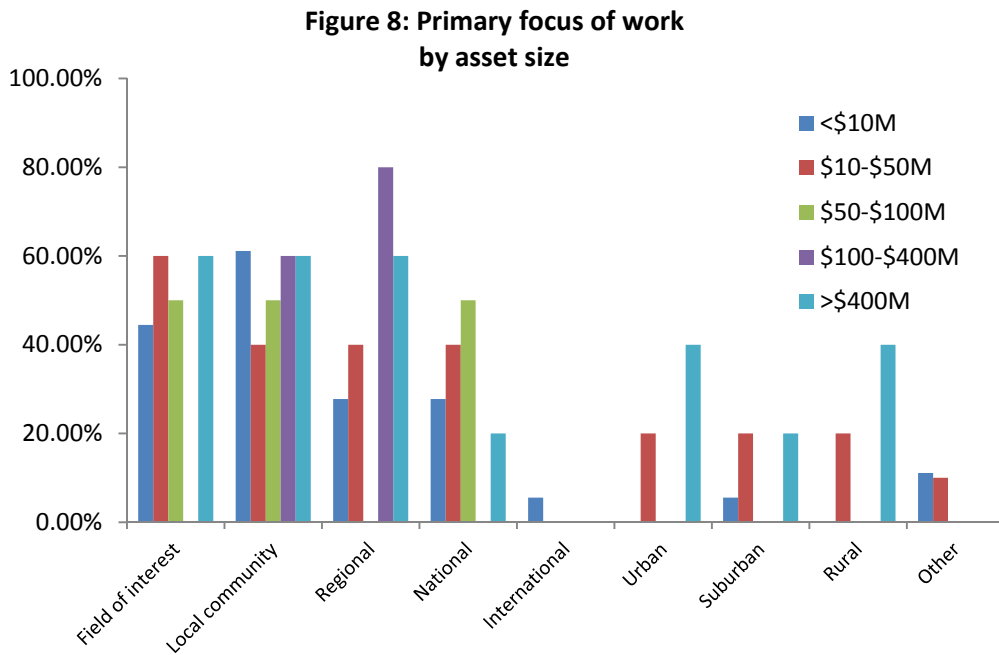
The larger community trusts, on the other hand, focused on their local community issues (67 percent of all large community trust responses), and their specific region (again 67 percent). The smaller community foundations and charitable trusts reported focusing specifically on local community (64 percent) and in specific areas of interest (43 percent). Another important distinction between these three groups of grantmaking organisations was their national focus. The survey data indicated independent private and family foundations had a greater likelihood to fund, and interest in, national projects and initiatives (see Figure 7).

When this data was considered from the organisations' asset-size perspective (as in figure 8) we saw evidence that the smaller grantmakers clearly favoured more field-specific and local community projects and initiatives, and had less of a presence at the regional and national levels. Organisations with asset sizes of higher than \$10 million displayed a strong presence across all fields of interest. The one exception to this is the international focus, which was only of interest to one of the survey's respondents. As a way of explanation, one might argue that in a country such as New Zealand, international philanthropy is best left to the national government and specific international NGOs, who are better suited to this size of task.





*Figure 7: Compares the selected focus of the organisations work across independent private and family foundations and community trusts and other regional community grantmakers’ respondents. This data highlights the different focus of organisations specific to their area of grantmaking interest, such as the arts or education. Conversely community trusts and other regional community grantmakers are clearly more focused on their local community issues. In figure 7, ‘field of interest’ refers to a specific focus of grantmaking, such as ‘the performing arts’ or a specific ‘sport’ focus.<sup>6</sup>*



*Figure 8: Compares the selected focus of the organisations work by asset size. The small trusts or foundations (<\$10 million assets) have a clear interest in community issues, and less of a regional or national presence. Community trusts are focused on local community and regional development.*

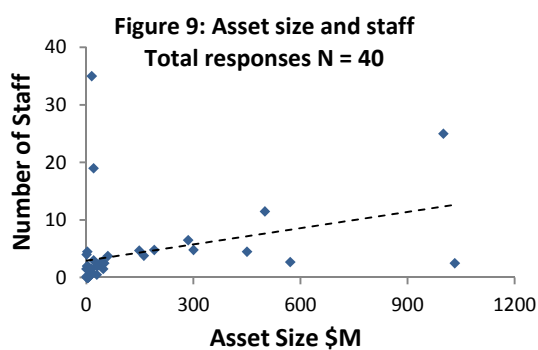
<sup>6</sup> The specific ‘field of interest’ was not recorded as part of this survey.

## People: Staff numbers and board members

While there is a correlation between the size of the organisation and the number of staff (see Figure 9) 88 percent of the survey reported a staff size of five or less. When focusing on the smaller grantmakers with assets of less than \$50 million, virtually all reported a staff number of two or three people (see Figure 9). Community foundations and charitable trusts reported a mean staff number of 2.26 employees (median 0.85 employees), while the larger community trusts reported a mean staff number of 6 employees (median 4.25 employees). This compares with independent private and family foundation mean staff numbers of 6.32 employees (median 2 employees). This figure was influenced by a significant outlying value. When the outlier was removed the values of 2.82 employees (median 2 employees) were computed. These seem more representative of the independent private and family foundation staff numbers.

Over 35 percent of the survey reported not-for-profit (NFP) experience in over three-quarters of their staff. Nearly 65 percent reported having one or two staff and a further 27 percent reported having up to five staff with working experience of not-for-profit organisations. Six percent of the survey reported more than 10 members of staff with not-for-profit experience. Such levels of experience in not-for-profits can only be interpreted as a positive for grantmaking organisations.

Board membership for larger foundations, particularly community trusts, is regulated but there does appear to be a positive correlation, i.e. the smaller the asset size the lower number of board members or trustees appointed. When focusing on the smaller organisations, board membership as low as three or four people was not uncommon (see Figures 11 and 12).



*Figure 9: The survey indicates a positive correlation between organisation size and the number of staff, i.e. as the asset size of the organisation increases the greater the number of staff employed.*

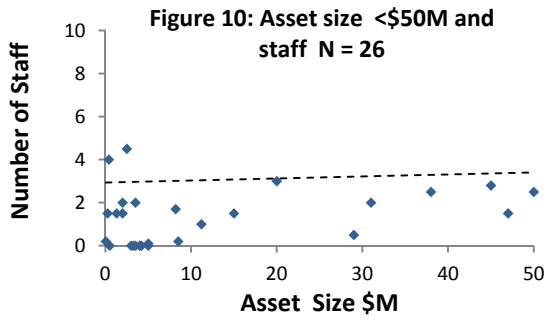


Figure 10: Smaller charitable trusts or community foundations (up to assets of \$50M) reported staff numbers do not generally exceed four people. Zero reported staff, was taken to indicate no staff other than the founder.

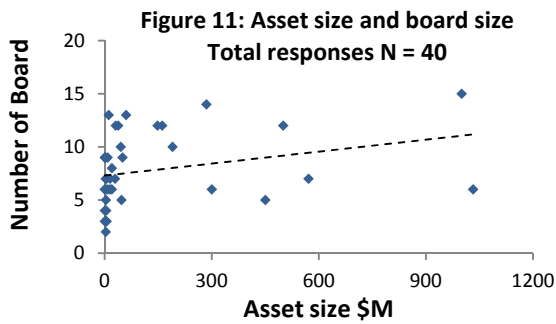


Figure 11: Board membership for larger community trusts can be as high as 15 people, although this is often a regulated legal requirement. The survey reported a mean value of 10 directors for the larger community trust organisations.

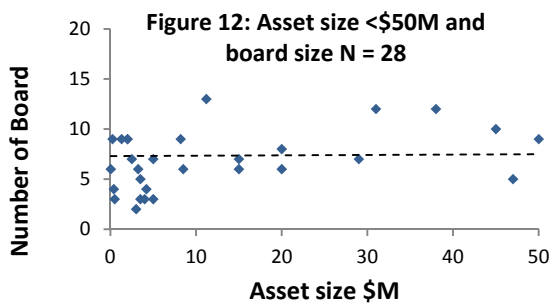


Figure 12: Board membership for smaller charitable trusts or community foundations reported a mean value of 6.14 board directors or trustees. The survey reported as high as nine people, although some reported three board positions.

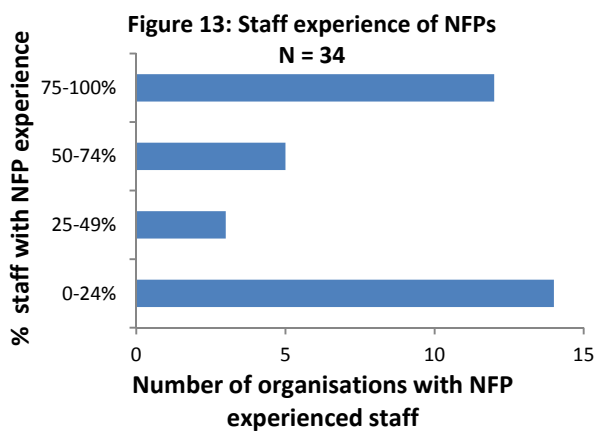


Figure 13: The survey reported high levels of not-for-profit (NFP) experience within the grantmaking sector. Twelve organisations reported 75% to 100% of their staff had NFP experience. Five organisations reported NFP experience in 50% to 74% of their staff.

## Changes to grantmaking practice over the last three years

The following sections refer specifically to changes in the grantmaking practice of respondents over the three fiscal years 2010/11, 2011/12 and 2012/13. Over this time period the effects of the 2008 Global Financial Crisis (GFC) continued to be felt in most aspects of the New Zealand economy and society; philanthropic grantmaking practice was not an exception to this. It is therefore interesting to examine the respondent views of their grantmaking practice over this period.

### The use of capital funds and dollars awarded

As a whole, the New Zealand philanthropic sector appears to have coped reasonably well with the effects of the GFC, with just under half of respondents reporting no change in the percentage of capital funding used for grantmaking. The remaining respondents reported both reductions (28 percent) and increases (26 percent), indicating a remarkably balanced picture. This stability and balance is similarly reflected across each of the organisations types; independent private and family foundations, and the larger community trusts and the smaller community foundations and charitable trusts. However, when asked about total dollars awarded, a more distinct picture emerged. Nearly one quarter of total respondents reported no change in the total dollars awarded, but nearly half (46.2 percent) reported an increase in this figure (see figure 14).

Table 2 presents survey data on a scale of 1 to 5, where 1 = reduced a lot, 2 = reduced slightly, 3 = no change, 4 = increased slightly and 5 = increased a lot. In this table the higher a figure is reported, the more positive the indication. For example, the total dollars awarded per grant\* reports three figures respectively - 2.64, 3.00 and 3.15. This indicates independent private and family trusts report a slightly higher increase in the total dollars per grant than the other two categories. In this example community and power trusts report a slight decrease in the total dollars awarded per grant over the three year time period.

During the last three years in what ways did your grantmaking practices change?	Larger community and power trusts	Smaller community foundations and charitable trusts	Independent private and family foundations
Percentage of endowment paid out	2.55	3.29	2.85
Total dollars awarded	2.73	3.57	3.00
*Total dollars awarded per grant	2.64	3.00	3.15
Total dollars for multi-year awards	3.30	2.86	3.36
Total number of multi-year awards	2.67	3.09	3.20
Total dollars for general operating support	3.36	3.43	2.83
Total number of general operating support awards	2.82	3.25	2.75
Total dollars for grantee capacity building	2.64	3.00	2.83
Total dollars for grantee evaluation activities	3.27	3.00	3.08
Grantee application, reporting requirements	3.18	3.25	3.18
Grant cycles and turnaround time	3.17	2.92	3.00
Financial strategies to improve grantee cash flow	3.55	3.00	3.20
Foundation overhead costs	3.36	3.33	3.73

**Table 2: Comparison of changes in grantmaking practice over the last three years.**

Table 2 provides a detailed view of the different grantmaking changes across the three groups of grantmakers; the larger community trust organisations, the smaller community foundations and charitable trusts, and the independent private and family foundations.

A number of points are worth noting. Total dollars awarded appears to have decreased from the perspective of the larger community trusts, but the smaller community foundations and charitable trust reported a clear increase in dimension. Both the larger and smaller community grantmakers appear more open than independent grantmakers to increasing the total dollars for general operating support grants. Total dollars for grantee capacity building is reported as decreasing by the larger community organisations and independent foundations, while no change is reported by the smaller community and charitable trusts. Finally all three groups report an increase in foundation overhead cost, with private and family trusts indicating the most pronounced increase.

In terms of total dollars awarded per grant, all organisation types indicated that this has remained static over the last three years. Over 38 percent of private and family foundations, 50 percent of corporate, and nearly 49 percent of community trusts and other regional community grantmakers reported no change in this grantmaking dimension. Taken as a whole, 20 percent of respondents reported a slight decrease, while 23 percent reported a slight increase in dollars per grant (see figure 15).

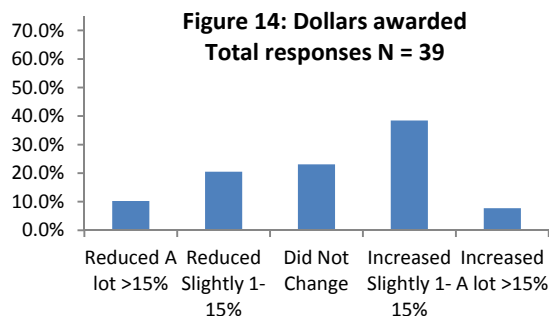


Figure 14: Respondents were asked if the total dollars awarded had changed in the last three years. Survey data indicates 38.5% saw a slight increase (between 1-15%), and 7.7% claim an increase of greater than 15% over the last three years.

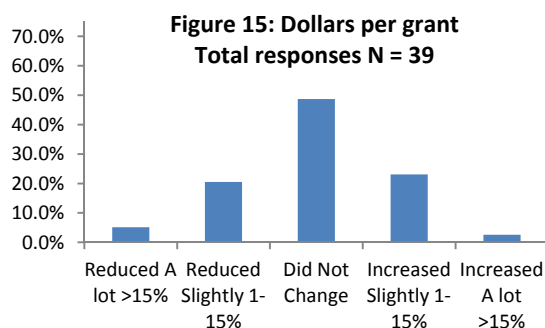


Figure 15: Have the total dollars awarded per grant changed in the last three years? Survey data indicates a balanced picture with nearly half of respondents indicating no change in dollars awarded per grant.



## Multi-year, general operating support and capacity-building awards

There was evidence of an increase in the dollars awarded for multi-year grants particularly from the larger community trust grantmakers, where 50 percent of this group reported a slight increase in the dollar value of multi-year awards. This compares with only just over 11 percent of organisations reporting a reduction. The total number of multi-year awards has also generally increased with over 30 percent of respondents indicating increased numbers of multi-year grants awarded.

While six of the large community trusts indicated a willingness to offer two year plus multi-year awards, most (over 75 percent) of the smaller community foundations and charitable trusts indicated they 'never' or 'rarely' offer such grants. Multi-year grants were also reported to be popular with independent private and family foundations which over 30 percent of this group reported they 'often', or 'almost always' award multi-year grants.

Only 8 percent of the larger community trusts, and nearly 7 percent of the smaller community foundations and charitable trusts indicated multi-year grants of two years or longer were awarded 'often' or 'almost always'. This compares to over 30 percent of independent private and family trusts reporting they 'often' or 'almost always' make multi-year awards. This clearly signifies that independent private and family foundations have a greater willingness to offer multi-year grants in excess of two years, and perhaps indicates the 'independent' nature of these foundations, which can focus their grantmaking more specifically than a community trust or foundation. It may also indicate a greater willingness by independent private and family foundations to take larger risks by awarding more specifically focused, longer-term grants, than community grantmakers.

In terms of a reluctance to offer multi-year grants, the most common reason for indicating 'never' or 'rarely', was due to limited funds (32 percent of responses), followed by a desire to remain flexible (25 percent of respondents).

Of those responding as 'sometimes', 'often' or 'almost always', the most common reason (chosen by 54 percent of independents, and 23 percent of community grantmakers) was to support the on-going implementation of a successful project. The second most popular reason (chosen by 46 percent of independent private and family foundations, and 15 percent of community grantmakers) was to support the launch of a new project, such as seed funding.<sup>7</sup>

Respondents were asked what proportion of their annual grantmaking budget was devoted to general operating support (GOS). Independent private and family foundations reported a mean value of 23.9 percent (median value 25 percent), compared to the larger community trusts which reported 33.5 percent (median 30 percent), and the smaller community foundations and charitable trusts reporting 30 percent (median 20 percent) of their annual grant making budget. The clear implication is that both the larger and smaller community grantmaking organisations are more willing to award GOS grants than the independent private and family organisations, and devote approximately 7 to 10 percent more of their funding dollars in doing so.

Where respondents indicated they 'never' or 'rarely' fund GOS, 25 percent indicated this was due to their foundation or trust policy, and 25 percent indicated they prefer specific accountability or

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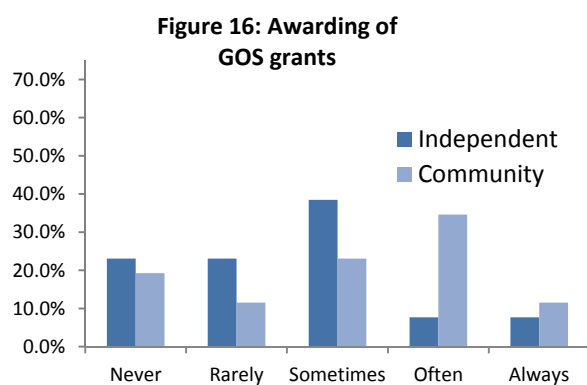
<sup>7</sup> This question asks for respondents to 'check all that apply', so the percentages total in excess of 100 percent

deliverables. Finally, 22 percent reported they did not want the grantee to become overly reliant on their foundation.

Regarding the decision to ‘sometimes’, ‘often’ or ‘always’ fund GOS grants the main reported reason was to invest in or support ‘the overall grantee mission’ (20 percent of the total response). This was followed by ‘recognition that the grantee has a track record of proven results’.

So to summarise, the value and number of multi-year grants is increasing but cannot yet be considered a dominant grantmaking practice. The data also suggests this is much more popular with the larger community trusts and the independent private and family foundations, and less so with the small community foundation grantmakers.

Both the value and the number of GOS grants appear to have remained relatively stable over the last three years. Half of community grantmakers and 42 percent of independent private and family foundations indicated no change to the number of GOS grants awarded. In figure 16 the larger community trusts, and smaller community foundations and charitable trusts were clearly more supportive of general operating support grants. The total dollars for multi-year grants also appears reasonably stable, with over 42 percent of the total survey reporting no change in this dollar value.



*Figure 16: Respondents were asked how often they funded general operating support grants? The larger community trusts appeared more likely to support GOS grants, with 50% reporting ‘often’ or ‘always’, compared to 43 percent of the smaller community foundations and charitable trusts, and 15% of independent private and family foundations.*

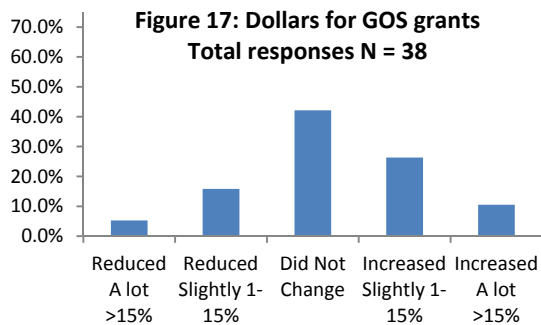


Figure 17: Have the total dollars awarded for general operating support (GOS) grants changed in the last three years? The survey data indicated a reasonably balanced picture with 26% indicating a slightly increased number of GOS dollars awarded.

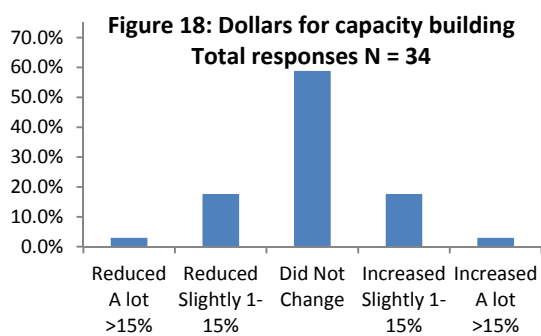


Figure 18: Respondents were asked if the total dollars awarded for capacity-building grants had changed in the last three years. Again we saw a very balanced response with nearly 60% of the survey indicating no change. This was reflected in the larger community trusts, and the independent and family foundations, but in the smaller charitable trusts group 57 percent reported a slight increase in this aspect of grantmaking.

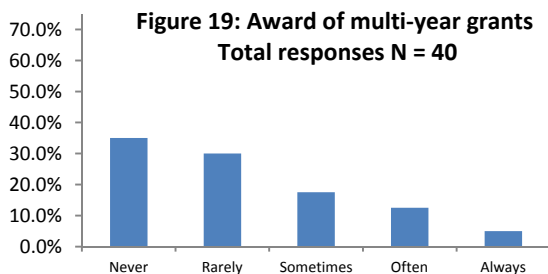


Figure 19: How often do respondents award multi-year grants of two years or longer? The survey data indicated that multi-year grants of two years or longer were still generally not used, with 65% indicating 'never' or 'rarely'. This compared to 12% indicating they 'often' and 5% indicating 'almost always'.

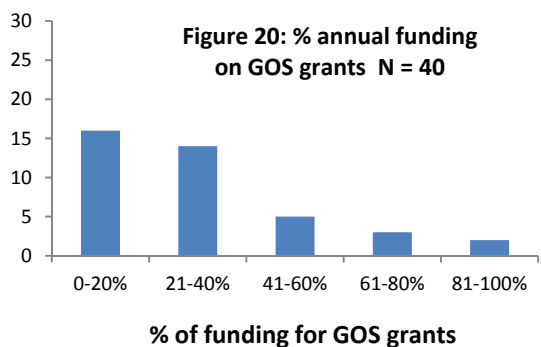


Figure 20: Three quarters of survey respondents indicated they spend up to 40% of their annual grantmaking budget on general operating support (GOS) grants. The larger community trusts reported devoting 33.5% of their annual budget. Charitable trusts reported 30%, and independent foundations reported nearly 24% devoted to GOS grants.

## Capacity-building grantmaking practice

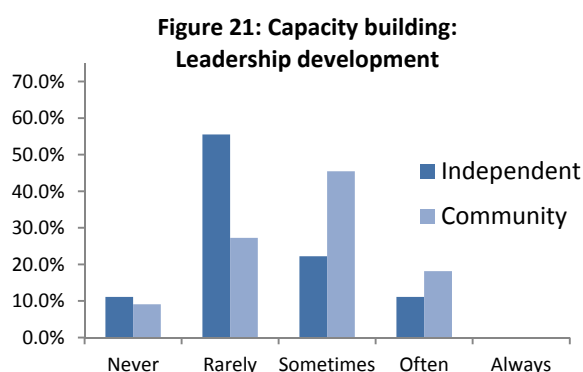
A similarly balanced picture emerges when considering capacity-building grants. Nearly 60 percent of all respondents indicated no change in the total dollars awarded for capacity building.

Support of grantee capacity-building initiatives, including leadership and organisational development programmes, appears to be a well embedded grantmaking practice, with nearly 70 percent of independent private and family foundations, and 67 percent of larger community trust organisations reporting support for such practice. However, only 29 percent of the smaller charitable trusts and community foundations indicated they supported capacity-building initiatives. Overall 53 percent of survey respondents indicated their organisation supports capacity-building initiatives in their grantees.

However, of those organisations that indicated they supported capacity building, there were some important differences expressed by private and family foundations and community-focused grantmakers. The survey presented 11 different capacity-building areas and asked respondents to indicate the likelihood of their organisation funding such areas.

For instance, community trusts and other regional community grantmakers were more likely to fund leadership development initiatives with nearly 64 percent indicating they would fund 'sometimes' or 'often', compared to only 33 percent of independent private and family foundations. Community grantmakers, particularly the larger community trust organisations, were also more open to funding evaluation capacity, volunteer management and strategies for management of growth (see Figures 21, 22 and 23).

Conversely, independent private and family foundations indicated they were more supportive (funding 'sometimes' or 'often') communications and media relations, information technology and systems development, and advocacy capacity initiatives (see Figures 24 and 25). Regarding budget and financial management development, both types of organisations were supportive to a similar extent, with independent private and family foundations (44 percent) and community grantmaking focussed organisations (40 percent) funding these initiatives 'sometimes' or 'often'. It should be noted that none of the respondents indicated they fund any of these 11 capacity-building areas 'almost always' or 'always'.



*Figure 21: Community trust organisations appear more open to funding leadership development initiatives with over 64% funding 'sometimes' or 'often'.*

**Figure 22: Capacity building:  
Evaluation capacity**

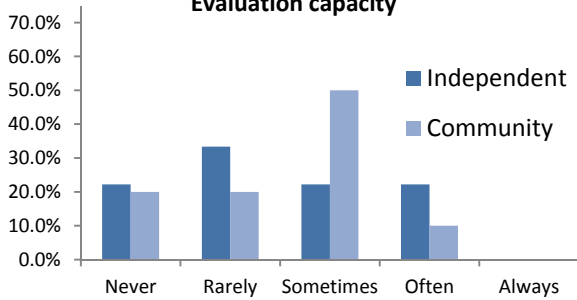


Figure 22: The survey data indicated the larger community trusts were particularly supportive of funding evaluation capacity-building initiatives. This reflects the increasing practice to provide third party evaluation of high engagement funding initiatives.

**Figure 23: Capacity building:  
Strategies for growth**

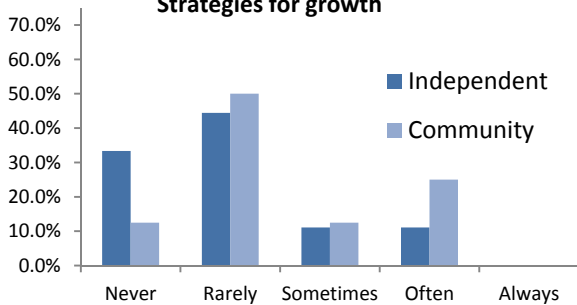


Figure 23: Over 37% of the larger community trust organisations reported funding strategies for growth ‘sometimes’ or ‘often’, compared to 22% of independent private and family foundations.

**Figure 24: Capacity building:  
Media relations**

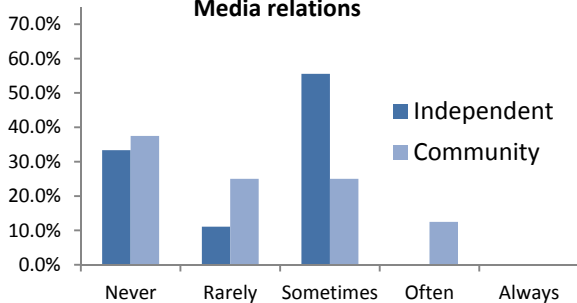


Figure 24: Over 55% of independent private and family foundations reported funding communications and media initiatives ‘sometimes’, although 12% of community grantmaking organisations indicated funding this area ‘often’.

**Figure 25: Capacity building:  
IT systems development**

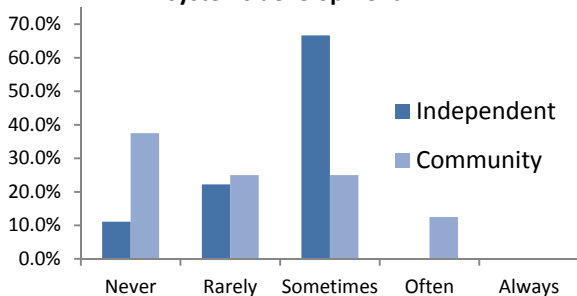


Figure 25: Independent private and family foundations clearly appeared supportive of IT and systems initiative, with over 65% funding ‘sometimes’, but again 12% of community focussed organisations indicated funding this area ‘often’.

### **Grantee applications and strategies to improve grantee cash flow**

The survey data indicated a small upward trend in the number of grantee applications. Nearly 23 percent of all survey respondents indicated a slight increase in grantee applications, however 60 percent of the total survey (independent private and family foundations 45 percent and community trusts and other regional community grantmakers 65 percent) reported no change in applications (see Figure 26).

Again, the survey reported a small increase in this trend indicating strategies such as loans, and improving access to credit, were becoming a more common practice. Over 70 percent of respondents indicated 'no change' in this practice, while a slight increase was reported in 21 percent of survey responses (see Figure 27).

### **Grant evaluation and turnaround time**

The survey data indicated a slight increase in the dollars associated with grantee evaluation, particularly with larger community trusts and independent private and family foundations, where 25 percent indicated a small increase in the dollars associated with this funding. The large majority (82 percent) of community grantmaking organisations however, indicated no change in the use of evaluation. The use of additional or ring-fenced funding to support grantee evaluation activities is therefore becoming more popular with both the larger community trusts, and the larger independent private and family foundations.

This would appear to support the view obtained during the large grantmaker interviews, which indicated ring fenced evaluation components of grants were becoming more commonplace with the larger grantmakers, particularly where a larger high engagement grant was awarded.

This also supports and fits with the earlier GOS findings that longer period grants are more popular with private and family foundations. In terms of grant turnaround time, the data indicates little change in this feature of grantmaking practice. Nearly 60 percent of private and family and 80 percent of community focussed organisations reported no change in this dimension. However, there were indications that some grantmakers were increasing the time taken to turn around grant applications, (25 percent of private and family foundations, and 14 percent of community focussed organisations' responses).

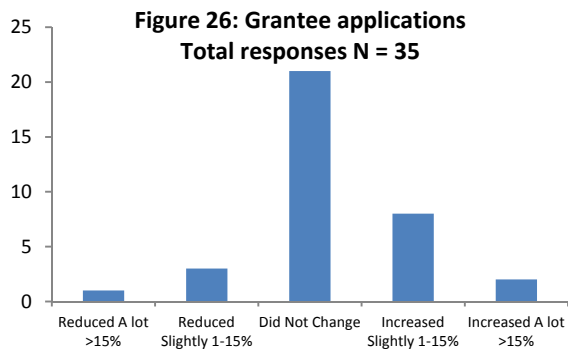


Figure 26: Number of grantee applications indicates a slight increasing trend, (particularly for independent private and family foundations). All survey responses indicate 23% reporting a slight increase, and 6% reporting a significant increase in applications.

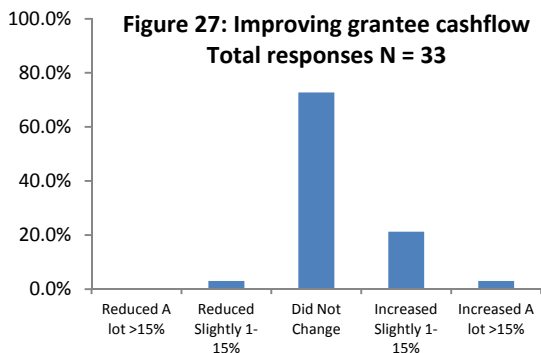


Figure 27: The use of different strategies to improve grantee cash flow is clearly becoming more popular. Over 21% of total respondents reported an increase in this grantmaking behaviour.

(Note change in Y axis scale.)

## Grantmakers' overhead costs

As one would expect there is clear evidence that all grantmaking organisations have seen an increase in their overhead costs over the past three years. This appears most evident for independent private and family organisations, with 45 percent indicating a slight increase, and 18 percent indicating costs have increased a lot (over 15 percent increase in overheads, see Figure 28).

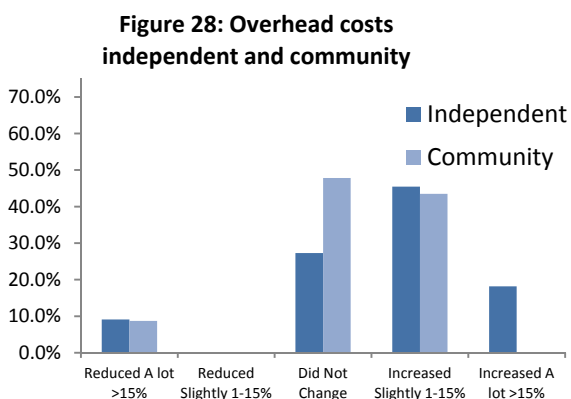


Figure 28: The survey data clearly indicates a rising trend in overhead costs over the last three years. Over 48% of the total survey indicated a 'slight increase' or 'a larger increase' in overheads. Independent private and family foundations appear to have felt this increase more with 18% reporting a significant increase.

## Summary of changes in grantmaking practice in the last three years

When considering changes over the last three fiscal years, most respondents report a remarkably balanced and generally static picture.

The survey indicates there are organisations that have seen reductions, to varying degrees, in their awarded grant dollars, but this is balanced by a similar number of foundations which have seen increases in this aspect of their grantmaking. In each of the key dimensions however, there are a large proportion of survey respondents that report 'no change'; overall this is the dominant view of respondents. The survey indicated one important exception to this view; which is, that there has been an increase in overhead costs. This increase was reported mostly by independent private and family foundations, of whom 18 percent reported overhead costs have increased more than 15 percent over the last three fiscal years. However, this holistically balanced picture belies the many different experiences of grantmakers over the last three years.

The survey data provided evidence that the GFC has not dramatically affected the ability of New Zealand grantmakers to continue to maintain their grant award levels. However, the response to the GFC questions within the large grantmaker interview phase of this study provided an interesting distribution of opinions. In terms of the effect of the GFC on these grantmakers, the response ranged from "crippling" and "devastating" on one hand, to "no effect" or "minimal" on the other. One interviewee stated that their organisation actually increased grantmaking funds because they felt this was the appropriate response to the tightening economy.

Multi-year awards, both in terms of numbers and value, are slowly becoming more dominant as a funding approach, particularly with independent private and family foundations, but also with several of the larger community trust. However, regarding GOS and capacity-building awards the survey data indicated a much lower level of change over the previous three years. We also noted independent private and family foundations differ markedly from community trusts and other regional community grantmakers regarding their support of specific types of capacity-building initiatives.



## Foundation processes, administrative and reporting procedures

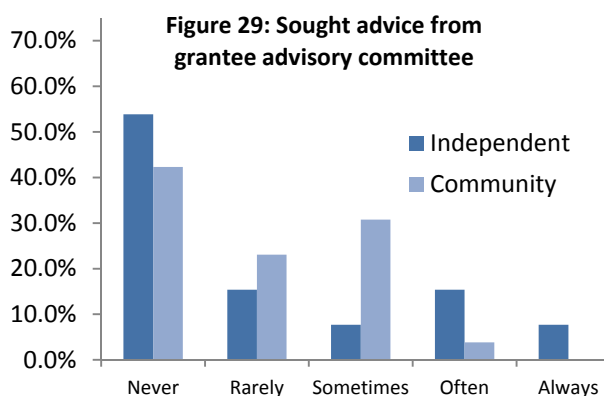
In any organisation, the functioning of key processes is vital to ensure the correct and timely delivery of the service to clients, customers and stakeholders. Philanthropic grantmaking organisations are no different from other more commercially orientated organisations in this regard, and so part of the survey focused on asking respondents about their trusts' and foundations' performance in key grantmaking processes.

## External engagement, communication and openness to dialogue

Communicating with grantees, and where necessary seeking grantee advice, is an important part of developing an understanding of grantee requirements, leading to effective grantmaking. Other interactions with grantees are also vital, such as grantee access to grantmaker board members. The survey asked questions around such practices to understand the levels of grantee interaction with the grantmakers.

In seeking advice from a grantee advisory committee about policies, practices and programmes, nearly 70 percent of independent private and family foundations, and 65 percent of community trust and other regional community grantmakers reported they 'never' or 'rarely' interacted in this way (see Figure 29). Independent private and family foundations were more open to grantee-board discussion with over 45 percent indicating they 'sometimes' or 'often' invite grantee to address board members. While very few of the smaller community foundations and charitable trusts reported seeking input from representatives from recipient communities regarding their strategy this was more popular with the larger community trusts. Nearly 70 percent of independent private and family foundations and over 55 percent of community grantmaking organisations 'never' or 'rarely' undertook this practice.

Delegating funding decision-making power to recipient communities produced an interesting distinction between independent private and family foundations and community grantmaking organisations. Over 96 percent of community-focused organisations reported they 'never' or 'rarely' delegate funding. However, independent private and family foundations reported less reluctance with just over 61 percent reporting 'never', 23 percent reporting 'sometimes' and over 15 percent reporting 'often'. Clearly this is a grantmaking practice which aligns better with private and family foundation values.



*Figure 29: When asked if respondents sought advice from a grantee advisory committee about policies, practices, or programmes 65% of the total survey responded 'never' or 'rarely'. This figure compares independent private and family foundations with community-focused organisation responses to this question.*

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Very few organisations appeared open to funding a replication project in a new location. Over 76 percent of independent private and family foundations and 65 percent of community trusts and other regional community grantmakers report they ‘never’ or ‘rarely’ funded such projects. There was also a reluctance to fund projects intended to disseminate a new idea or innovation through communications and marketing. Nearly 70 percent of both independent private and family foundations and community grantmaking organisations reported they ‘never’ or ‘rarely’ funded dissemination type projects. However, on a more positive note, the use of leveraged relationships with other grantmakers was a more popular approach, with both independent private and family foundations (over 60 percent) and community grantmaking organisations (50 percent), reporting they ‘sometimes’ or ‘often’ fund projects that enabled grantees to expand their impact.

### Understanding reasons for unsuccessful grants

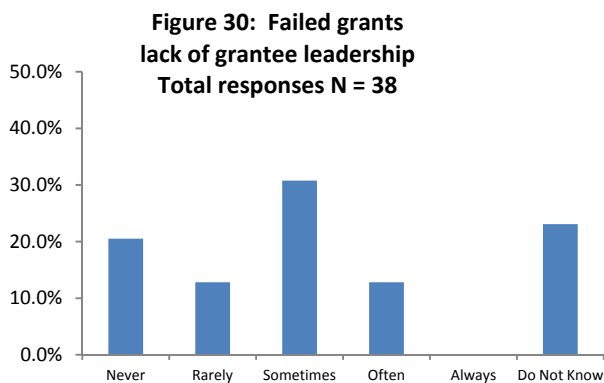
Understanding the reasons why a grant did not deliver the expected benefits is also an important part of good grantmaking practice, and can be used as a learning opportunity leading to better grantmaking decisions. The survey asked respondents how often a grant failed (considered less-than-successful) due to specific reasons.

Grant failure due to a design flaw in the grantmaker’s strategy, i.e. the grantmaker’s programme did not deliver the desired results or outcomes, was reported as ‘sometimes’ or ‘often’ by nearly 24 percent of all survey respondents. However, nearly one-third of all survey respondents reported they ‘did not know’ if grant failure was due to design flaws within the grantmaker’s programme.

Regarding the lack of stakeholder engagement, nearly 27 percent reported this as ‘sometimes’ or ‘often’ the reason for grant failure, but again, nearly 30 percent of all respondents ‘did not know’ if this was the failure cause. Some 31 percent reported a lack of due diligence as ‘sometimes’ or ‘often’ the reason for a failed grant. However, by far the highest proportion of the sample (nearly 44 percent) felt a lack of grantee leadership capacity was ‘sometimes’ or ‘often’ the cause of failed grants.

When asked about a willingness to engage in open dialogue with grantees, the most frequently chosen topic was ‘programme expansions’ with over 72 percent of all survey respondents indicating a willingness to discuss this topic. Second to this was ‘facility needs’ at 57 percent, and third was ‘working-capital’ needs with 30 percent of the survey will to discuss such topics. However, over 15 percent of the community grantmaking organisations indicated they would not be willing to engage in open dialogue regarding any of these topics.

Overall there appeared to be little consensus on the causes of a failed grant. None of the ‘sometimes’ or ‘often’ responses were particularly high, and thus did not support the view that respondents collectively felt strongly about a single reason. It is not surprising therefore that none of the survey respondents reported any of these aspects as ‘almost always/always’ the cause of a failed grant. What is interesting however, are the number of respondents who felt they ‘did not know’ if a specific reason caused a grant to fail to deliver the expected benefits. This lack of clarity potentially speaks to deficiencies in the methods of evaluating the impact of a grant.



*Figure 30: When a grant proved unsuccessful how often was the failure a result of a lack of grantee leadership capacity? This was the most explicit response of the failed grant questions, with over 43% of all respondents indicating this was the cause ‘sometimes’ or ‘often’.*

## Development of strategic relationships

The development of strategic relationships with other grantmakers is an important indicator that New Zealand’s philanthropic grantmaking sector is developing and maturing. However, the survey indicates that strategic relationships are more likely to be developed by independent private and family foundations, rather than the smaller community-based organisations. Nearly 85 percent of independent private and family foundations, compared to only 54 percent of community grantmaking organisations, reported they have developed strategic relationships in the last three years. Some of the larger community trusts did report the development of strategic collaborative relationships, but these tended to be specific project-based initiatives with independent private and family foundations rather than other community trusts or smaller local community foundations.

The survey data indicated the primary motivation for developing strategic relationships was ‘to achieve a greater impact’. This was reported as ‘often’ or ‘always’ the reason by 100 percent of all private and family foundations, and over 78 percent of community trusts and other regional community grantmakers. Other motivating factors included tapping into the expertise of other grantmakers, which was reported as the reason ‘often’ or ‘always’ by nearly 82 percent of independent private and family foundations.

When considering which types of organisations were most likely to be chosen as a strategic partner, government entities were seen as the least preferred, however 36 percent of independent private and family foundations reported government entities were ‘sometimes’ selected as strategic partners. The larger community trusts indicated they were more open to working with government, with over 71 percent indicating they ‘sometimes’ worked with government entities.

Independent private and family foundations reported a higher degree of openness for working with other foundations, with over 72 percent reporting having worked with other private, business or corporate philanthropic foundations as strategic partners. However, by far the most preferred strategic partners were ‘not-for-profit’ organisations. Over 63 percent of independent private and family foundations and nearly 43 percent of community trusts and other regional community

grantmakers reported working with not-for-profit organisations ‘often’ or ‘always’ as strategic partners.



*Figure 31: Not-for-profit (NFP) organisations were clearly the most preferred strategic partners. Over 50% of the total respondents indicated they ‘often’ or ‘always’ work with NFPs as strategic partners.*

## Grantmaking processes and evaluation performance

At the heart of any philanthropic grantmaking organisation is the process of giving. This is closely followed by the commitment to make a difference, and to understand this difference has ultimately been achieved. These processes are central to effective philanthropy, and so the survey asked respondents about their grantmaking processes, and how they were currently performing.

### Grantee acknowledgement, approval and first payment

From a grantee’s perspective there are three key milestones after submission of a grant application. The first and probably the least important is the time taken to acknowledge receipt of the submitted application. The second milestone is the time taken to review all applications and make approvals. This is probably the most important from the grantees’ perspective, as their entire effort often hinges on this decision. When a positive outcome has been communicated, the last milestone is the time to receive the first payment of the grant. This is important as without this first payment, the project cannot begin. The performance in each of these key milestones is therefore important from both the grantmakers’, and the grantee’s perspectives. The survey asked how long the grantmakers took (in days to complete)<sup>8</sup> to accomplish these three activities.

Regarding the time to acknowledge receipt of a submitted application, the larger community trusts grantmakers reported a mean of 8.6 days (median 6 days) to acknowledge receipt. The smaller community foundations and charitable trusts reported a mean of 8.4 (median 5 days). This compares

<sup>8</sup> This report provides this data as both mean and median ‘days to complete’. The mean ‘days to complete’ is the average value, calculated by summing all the individual responses and dividing by the total number of responses. The median ‘days to complete’ is the middle value when all the values are placed in ascending order. Where the data contain a few very large (or small) values, the median is considered a more representative value than the mean.

favourably with the same process for independent private and family foundations which reported a mean of 18.8 days (median 17 days). This data indicates that on average across the whole sample, independent private and family foundations took approximately 90–95 percent longer to provide an acknowledgement to the grantee.

For time to complete a grant approval, the independent private and family foundations appear to do better. They report a mean of 50.6 days (median 50 days) to approve a grant. The larger community trusts reported a mean of 66 days (median 60 days). The smaller community foundations and charitable trusts reported a mean of 39.6 days (median 35 days) to grant approval.<sup>9</sup>

The final part of the grantmaking process is making the initial payment once a grant has been approved. Independent private and family foundations reported a mean time to payment of 26.2 days (median 14 days). The larger community trusts reported a mean of 13.2 days (median 10 days) for the time to provide the first grant payment. Finally the smaller community foundations and charitable trusts reported a mean time of 26.2 days (median 15 days) to provide the first payment. As a point to note these performances are not dissimilar to those reported in the 2011 GEO survey.<sup>10</sup>

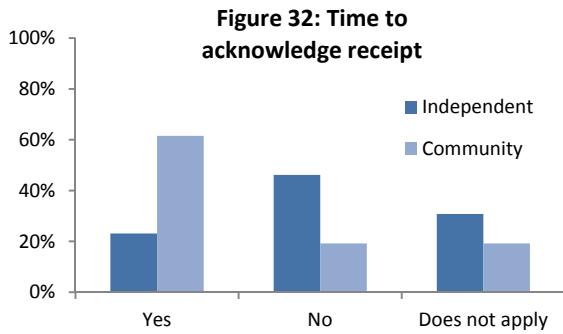
The survey also asked respondents if their foundation/trust tracked this performance information. For acknowledging receipt of funding requests, 23 percent of independent private and family foundations, and 62 percent of community grantmaking organisations indicated ‘yes’ – this information was tracked. For the time taken to approve a grant application, 31 percent of independent private and family foundations, and 77 percent of community grantmaking organisations indicated ‘yes’ – this information was tracked. For an initial payment to be made, 31 percent of independent private and family foundations and 62 percent of community-focused organisations indicated ‘yes’ – this information was tracked.

In each of the three key processes presented, a significantly higher percentage of both the larger community trusts, and the smaller community foundations and charitable trusts respondents answered in the positive (see Figures 32, 33 and 34). While this difference might be due to the increased regulatory pressures on these organisations, it does indicate a more comprehensive understanding of key stakeholder processes, and possibly the adoption of more formal performance measurement systems. Further work is clearly required to understand the apparent disparity in the organisational performance here.

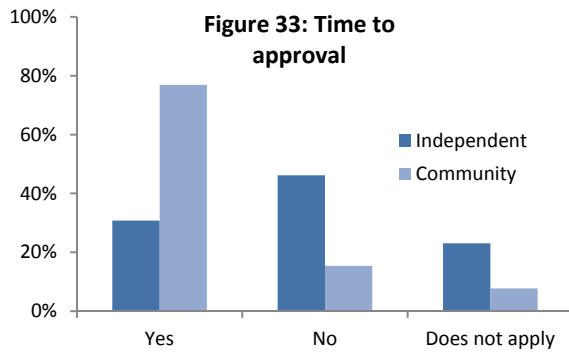
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<sup>9</sup> Care should be taken when interpreting this data. The survey did not collect information on the length of application form, nor the details needed for different levels of funding. Further work will be required to fully distinguish between these apparent differing levels of organisational performance.

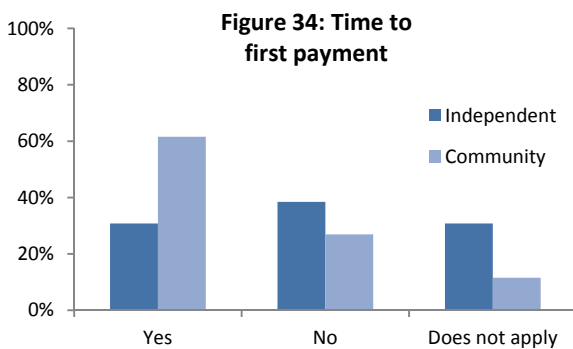
<sup>10</sup> Comparison with the US GEO data will be made in a future publication.



*Figure 32: Responses for tracking the time taken to acknowledge receipt. Over 67% of community trusts and 57% of charitable trusts tracked their 'acknowledge receipt' performance, compared with only 23% of independent private and family foundations.*



*Figure 33: Responses for tracking the time taken to approve a grant. Over 75% of community trusts and 79% of charitable trusts tracked their 'time to approve a grant', compared with only 31% of independent private and family foundations.*



*Figure 34: Responses for tracking the time taken to make the first payment. Over 58% of community trusts and 64% of charitable trusts tracked their 'time to first payment' performance, compared with only 31% of independent private and family foundations.*

## Meeting the application expectations of the grantmaker

Understanding how a potential grantee views the grantmaker's application expectation is critical to ensuring appropriate and well-designed applications and approval processes. Matching the level of application details with funding levels is therefore an important way of minimising the time and effort required of the grantee, while ensuring the grantmaker has the detail and information to make a funding decision. The survey asked respondents to consider their processes from this perspective.

When considering application requirements, 84 percent of independent private and family foundations and 54 percent of community grantmaking organisations reported their application requirements were appropriate to the size of the grant 'sometimes' or 'often'. Eight percent of private and family foundations and 19 percent of community grantmaking organisations reported their requirements were 'always' proportionate to the size and type of grant. In terms of renewal

grant requirements being less than the original requirements these appeared to be less aligned, with 60 percent of the total respondents indicating these were 'never' or 'rarely' less than the original grant requirements.

The use of email or web-based processes to accept grant applications is clearly increasing. Over 55 percent of total respondents indicated email or web could be used 'often' or 'always', but the use of such technology appears to be more pronounced for independent private and family foundations (69 percent 'often' or 'always') than for community grantmaking organisations (50 percent 'often' or 'always'). Both independent private and family foundations (76 percent) and community-focused organisations (66 percent) claimed they 'often' or 'always' assessed the grantee's organisational capacity in terms of financial and staff capability.

Taking the time to explain why an application was rejected appeared to be of a high priority and overall, 69 percent of independent private and family foundations and 50 percent of community-focused organisations, claimed they 'often' or 'always' explained this to the applicant.

### **Grantee time spent on applications**

Only 15 percent of independent private and family foundations and 12 percent of community-focused organisations reported collecting any information on the time it takes their grantees to meet their organisations' administrative requirements. Furthermore, when respondents were asked approximately how many hours a typical grantee spends on meeting the grantmaker's administrative expectations, only a very small proportion of the survey attempted to answer this question, indicating a significant lack of knowledge around this aspect of the process. While the low responses to these questions are not unexpected, it is disappointing that such a small proportion of grantmakers fully understand the implications of their policies and requirements on their grantees. Clearly this is an aspect of grantmaking practice which would benefit from further research to fully understand the issues and barriers before improvements can be made.

### **Use of grantee reports**

Most grantmakers require the grantee to produce some form of post-funding report that explains the use of the proposed funding and where applicable, the results to be achieved. Survey respondents indicated a mixed use of the grantee reports.

When asked if these reports were used to foster learning and exchange between the organisation and their grantee, 17 percent of the responded 'never', 25 percent 'rarely', 22 percent 'sometimes', 22 percent 'often' and 14 percent 'always'. Sixty percent of the total survey indicated that grantee reports were 'sometimes' or 'often' used. Also in this question, 23 percent of independent private and family foundations, and 14 percent of community-focused organisations indicated grantee reports were 'always' proportional to the size and type of grant.

Nearly 45 percent of the survey claimed grantee reports were 'always' acknowledged within four weeks of receipt. And nearly 85 percent of all respondents claimed these reports were 'always' read by at least one person within the organisation.

The final question in this section asked if grantee reports were paid for by including an appropriate overhead to cover the time spent reporting on the grant. Nearly 55 percent of independent private and family foundations, 75 percent of the larger community trusts, and 50 percent of smaller community foundations and charitable trusts indicated this was 'never' the case.

So, the survey indicates grantmakers feel grantee reports are treated appropriately when received by them. However, grantee reports could be used to greater effect by grantmakers to promote more learning and development opportunities. Secondly, more consideration could be given to this material by grantmakers. Complying with grantmaker processes takes grantee time and money; this is important when such costs are not reflected in the grant itself.

### **Evaluation of grantmaker and grantee performance**

Understanding and evaluating your own organisation's performance is an important first step to improving grantmaking practice. Collecting 'voice of the customer' data, by asking how a business transaction or interaction was for your customer or client, is a central cornerstone of quality development, and is well embedded within more commercially oriented organisations. This position should not be different for philanthropic grantmaking organisations.

When asked if respondent foundations solicited anonymous or non-anonymous feedback from grantees using surveys or focus groups, 27 percent of independent private and family foundations and 34 percent of community grantmaking organisations indicated they did collect non-anonymous feedback from grantees. The use of anonymous feedback from grantee surveys, focus groups or interviews appeared very limited. Only 25 percent of the larger community trusts, 14 percent of the smaller community foundations and charitable trusts, and eight percent of independent private and family foundations reported the use of anonymous feedback. However, 69 percent of independent private and family foundations and 71 percent of the smaller community and charitable trusts indicated they did not undertake either of these approaches. The larger community trusts fared slightly better here, 58 percent reporting the use of focus groups, and only 25 percent reporting they did not undertake either of these approaches. This would indicate a lack of capacity to benefit from client feedback, and is a major concern. Only by listening to the grantee's views will grantmakers be able to improve their own internal key processes to ultimately help deliver improved social outcomes.

When asked if their organisation evaluates the work it funds, 63 percent of all respondents (69 percent of independent private and family foundations, 67 percent of the larger community trusts, and 50 percent of the smaller community foundations and charitable trusts) indicated they did undertake evaluation. While this is positive, it still leaves over one-third of respondents who do not undertake an evaluation of funded work.

Of those who do undertake an evaluation of funded work, the most frequently stated reason (84 percent of total respondents) was to 'learn about the outcomes of the work'. Other reasons for evaluation included 'learning if the original objectives had been met' (76 percent of total respondents), and to 'learn about the implementation of funded work' (72 percent of total respondents).

When asked what the organisation's evaluation data has been used for, over half of respondents indicated it was used to report back to their board members or trustees (62 percent of independent



private and family foundations and 58 percent of the larger community trusts). Thirty-three percent of respondents (31 percent of independent private and family foundations, 50 percent of the larger community trusts, and only 21 percent of smaller community foundations and charitable trusts) indicated this data is used to report back to grantees and stakeholders. Other uses included planning and revising foundation strategies (23 percent of independent private and family foundations and 35 percent of community-focused organisations) and planning and revising programmes (23 percent of independent private and family foundations and 31 percent of community-focused organisations).

The survey also asked respondents to consider who leads their organisation's evaluation and learning activities. This survey indicated senior trust and foundation staff, such as the Chief Executive (CE) or senior managers are the most likely to lead evaluation of learning activities. Over 67 percent of independent private and family foundations, 50 percent of the larger community trusts, and 71 percent of the smaller community foundations and charitable trusts indicated senior staff, including the CE, who assumed these responsibilities as a part of their current role. Only 11 independent percent of independent private and family foundations and 13 percent of community grantmaking organisations indicated the programme officer level, had responsibility for leading evaluation and learning activities.

Finally, six potential audiences for the evaluation data were offered in the survey, and respondents were asked to rank them in priority order. The first priority identified by both independent private and family foundations and community grantmaking organisations were their own board of directors or trustees. The second nominated audience were grantees, and the third, were their own staff.

The survey indicates that the development of effective and appropriate evaluation is still a major challenge for the New Zealand grantmaking sector. While some good practices exist, there appear to be many more opportunities to use and benefit from the data requested of and generated by grantees. The primary use of evaluation data generally appears to be for internal communication to board members. While this is not surprising, it does speak to the internal perspective of evaluation, rather than an external view of the grantee and the funded work.

Also notable was that the actual cost of grantee reporting is not fully understood, considered or reflected within grant awards. There does not appear to be a wide-spread practice of asking grantees, as grantmakers' clients, how the interaction was for them. Such 'voice of the customer' feedback would be helpful in developing more effective grantmaking processes that better served the not-for-profit and community organisations seeking funding. These changes to evaluation practice should therefore be considered a priority for grantmaking organisations.

## What are the most important changes organised philanthropy needs to make in the next 10 years?

In the final section of the survey respondents were asked to comment on the above question. Virtually all respondents took the time to thoughtfully provide their views on this important question. While many different views and perspectives were expressed, a simple thematic analysis provided a view of the dominant themes and issues. The following section offers a summary of the main themes. Three dominant themes emerged from this part of the survey, and are expressed as 'needs' reflecting the nature of the majority of comments; these were:

- The need for greater collaboration and communication within New Zealand philanthropy.
- The need for more effective impact evaluation and assessment practice.
- The need for a more strategic approach to grantmaking in New Zealand.

### The need for greater collaboration and communication within New Zealand philanthropy

Nearly half of the survey respondents mentioned the importance of more collaboration and/or better communication in one form or another. Many comments presented the case for greater collaboration between grantmakers working together to fund specific projects, and others mentioned the need to work collaboratively with grantees to improve the delivery of projects and services. Finally, many respondents commented on the need for business, government and philanthropic organisations to work collectively on a strategic national programme of social improvement. The importance of developing more of a partnership model of service and project delivery, rather than just 'dishing out the dough' as one person put it, was reiterated a number of times, and speaks to the third of these themes considered more fully below.

Many comments voiced the perceived benefits of greater collaboration in terms of tackling bigger projects, and reducing or sharing risk amongst project partners. Other comments mentioned increasing the potential of grantee (and project) success by increased levels of collaboration. There were other implications of greater collaboration mentioned, including the current levels of duplication within the New Zealand philanthropic sector. Greater collaboration and communication were cited as a means of reducing such duplication, to the point of establishing regional clearing houses for grant applications and post-funding evaluation. Such potential initiatives are considered under the 'strategic thinking' section below.

More communication with grantees was a recurring theme, particularly to encourage grantees to submit more appropriate grant applications. Other suggestions for improved communication included more dialogue with government and external bodies, such as the Charities Commission and the Department of Internal Affairs (DIA), and greater encouragement of the commercial business sector to engage in philanthropic activities, either directly, or through a third party such as an established corporate foundation. The implications of greater (or less) political engagement are considered in the 'strategic thinking' section below.

Finally, one feature of increased collaboration which came through strongly in the large grantmaker interviews was the aspect of 'trust in', and the 'values of' collaborative partners. From both interview discussions and survey comments, it was clear that not all grantmakers would feel

comfortable working with every other grantmaker. Reasons for establishing a collaborative relationship between grantmakers included the alignment of philanthropic values, and a trust in the people and track record of the selected partner. Where these features were absent, most interviewees felt they would not want to enter into a collaborative arrangement.

### **The need for more effective impact evaluation and assessment practice**

Closely tied to the need for a more collaborative approach was the requirement to be better at grantee and project impact evaluation. Many respondents commented on the lack of oversight the current post-funding impact evaluation approaches provided to them, and of the need to balance such grantmaker requirements with an appreciation of the burden this places on grantees, especially in terms of their time and costs.

Understanding the root causes rather than just the symptoms of New Zealand's social and economic problems was seen as a potential benefit of better evaluation and assessment approaches. There were a number of suggestions for more research in the areas of grant application and post-funding evaluations. Other comments included a greater awareness of best practice evidence-based evaluation, and to promote its implementation within New Zealand philanthropic organisations. From the large grantmaker interviews it was clear that impact evaluation and assessment practice is still seen as under-developed, but that this area is also considered an important potential source of performance improvement within the sector.

### **The need for a more strategic approach to grantmaking in New Zealand**

Under this last theme there were several important topics which deserve to be mentioned here. The level of political engagement or influence in philanthropic matters was an occurring theme. This discussion spanned issues such as the increasing expectation of philanthropic funding of areas and services which were (many considered they still are) the responsibility of government. Other issues included the potential benefits decoupling philanthropy from the political election cycle, to the essential presence of a government voice within any philanthropic strategic debate.

Several respondents expressed concern at the apparent "fragmentation of effort that currently exists" within the philanthropic sector. Other comments mentioned the duplication of identical or similar administrative processes by each grantmaker, and that this problem could be addressed by a more strategic debate and discussion at a national level. The development of regionally based centres to process applications and undertake administrative processes was also mentioned as a potential solution to this duplication.

Finally, the potential for a national philanthropic strategic agenda to be developed was called for. Under this theme, several respondents commented on the need to change philanthropic organisations from being perceived as 'only' providing funding, to a more holistic service development and delivery partnership model, which fits with a national strategic model for social development at the local community, region and national levels. This could also include models for the learning and development of grantmaker and grantee employees and staff.

## Conclusion and recommendations

In drawing the conclusions for this report it is important to re-emphasise that all analysis undertaken has been based on the 40 fully completed survey responses received. There are a number of active philanthropic grantmaking organisations which did not, for whatever reason, complete the survey and therefore have not contributed to this data, and who are not represented within this analysis. These facts notwithstanding, we believe this data is valid and allows us to draw a useful and accurate picture of New Zealand philanthropy in 2013. While many of the conclusions have been drawn from the survey data, some of the 'big-picture thinking' within the sector is the result of undertaking interviews with selected trust and foundation executives and managers. We accept this provides a limited view, particularly since these were mainly conducted with several of the larger philanthropic organisations, but such interviews are helpful in drawing out future issues and challenges which would be difficult to access through the survey alone.

### The New Zealand philanthropic sector

In terms of the philanthropic sector itself, the first major observation is its duopolistic nature. This will make it more difficult to develop philanthropic organisations within it. With so few organisations accounting for the vast majority of assets, this must affect the influence and thinking within the whole grantmaking sector. While we do not believe this position is necessarily detrimental to the sector, it does require careful thought as to how organisations within it, and particularly the many smaller grantmakers, can be developed and supported to achieve more. This thinking can be extended to incorporate the geographical concentration of grantmaking organisations in the Auckland and Waikato region, where over one-third of all survey respondents are located. Again this position needs to be carefully thought through as to the longer-term implications, particularly if Auckland expands along its north-south axis as predicted.

The second major observation is that despite increasing levels of collaboration between grantmakers, the majority of organisations still appear to function in a largely autonomous manner, replicating similar processes, to similar people, and with similar aims and objectives. To describe the sector as fragmented might be an overstatement, but many foundations and trusts appear to operate without a deep understanding or appreciation of other similar grantmaking organisations.

The third major observation follows from the previous point. Organisations within this sector need to develop higher levels of collaboration; not just with foundations in the same location and/or size, but with all sizes of philanthropic organisations up and down the country and across the spectrum of philanthropic need. Only in this way can the smaller organisations be incorporated into a larger national strategy of philanthropic grantmaking. There are many potential barriers to such a strategy, but progress toward such a goal would help unify the whole philanthropic community.

The fourth observation is regarding the influence of the three year political cycle on philanthropic activity. While some organisations felt this was not an issue for them, and took actions to ensure an apolitical position, others saw this as a major and usually unwelcome issue for a coherent implementation to the philanthropic agenda. Some felt that government was effectively withdrawing its social provision to the point where philanthropy was forced to try to make up the resulting gap. And a few saw the political cycle as an inevitable aspect of society and accepted its

presence accordingly. Finding ways in which to decouple philanthropic progress from the political machinery and cadence will not be easy or straightforward, particularly since government will always have an important social role. This will most likely be one of the big challenges facing New Zealand philanthropy over the next decade.

To conclude these points it is clear that New Zealand philanthropy has some important and wide-ranging issues to consider regarding its long-term future. It could continue with little change and provide the current levels of social funding and support for which it is rightly proud of, or it could decide that there are many more opportunities and higher potential impacts to be made by acting in a more unified manner, through greater degrees of collaboration and teamwork. An inclusive discussion, at a national level, of such potential approaches is encouraged as a starting point for this journey.

### **Grantmaking practice**

Considering the actual grantmaking practices the survey illuminates some interesting and useful information. First, the New Zealand philanthropic sector appears to have withstood the worst effects of the 2008 Global Financial Crisis, at least for now. Survey data from the last three years provides a remarkably balanced picture of grantmaking, and while some foundations and trusts have seen grantmaking funding reduce, others have seen a comparable increase in available funding. The use of multi-year funding appears to be slowly gaining popularity, as does the award of general operating support and capacity-building grants. The survey also reports subtle differences between independent private and family foundations and community trusts and other regional community grantmakers regarding their support for, or reluctance to fund, different forms of capacity-building initiatives.

Grantmaking processes were also considered within the survey, and indicate that while many aspects of grantmaking practice are appropriate and work well for both the grantmaker and the grantee, there are other aspects, such as the evaluation processes and practices, which give cause for concern. Greater thought for the expense, energy and time required by the grantee to meet grantmaker administrative requirements would help in developing more effective practices. Communication to and with the grantee is also an area which offers potential for improvement, and if undertaken, would result in better grantmaking practice, and in turn improved grantee outcomes. Considering the grantee more as a grantmaker client within the philanthropic process would also lead to better grantee outcomes. The greater use of grantee reports for internal process development is just one improvement opportunity. The further development of such grantmaker processes would ensure that the full potential of philanthropic funds are maximised where they count – with the grantee and within our society.

## Report recommendations

The following are a series of short concise recommendations, the justification and detail for which have already been made and presented within this report. It is hoped this list will serve as a potential agenda for discussion and debate, and as such will prove thought provoking and stimulating for the leaders of philanthropy in New Zealand.

### At the national philanthropic sector level

- Develop a national philanthropy strategy document which discusses and develops the needs and challenges of this sector as a whole over the next decade.
- Develop an agenda for greater levels of inclusive collaboration through New Zealand philanthropic grantmaking.
- Develop further discussion on if, and how, New Zealand philanthropy can separate itself from the political cycle and cadence, while still maintaining an effective voice in the government sector.
- Establish an agreed understanding of best practice in terms of evidence based evaluation and assessment and develop a plan to disseminate this thought the philanthropic sector

### At the grantmaking and process level

- Develop a deeper understanding of the needs and requirements of the small philanthropic organisation, in terms of organisation, process and staff development.
- Establish a national working group to consider and develop best-practice grantmaking processes, particularly regarding evaluation of grantee projects.
- Use more of the evaluation data produced by the grantee for external facing development rather than internal reporting to foundation governance boards.

## Appendix A - Grantmaking Practices by Foundation Type

### Key to table headings:

**Independent:** Includes private foundations, family foundations, and venture philanthropists

**Corporate:** Includes corporate foundations, corporate giving programmes, and other workplace giving

**Community:** Includes community trusts, community foundations, religious grantmaking organisations, healthcare trusts or foundations, Iwi grantmakers and other regional grantmakers.

### Changes in Grantmaking in Response to the Economy

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>6. During the past three fiscal years, in what ways (if any) did your grantmaking practices change?</b>								
<b>During the last three fiscal years, our foundation...</b>								
<b>Percentage of endowment paid out</b>								
Reduced A lot >15%	1	7.7%	0	0.0%	1	4.0%	2	5.1%
Reduced Slightly 1-15%	3	23.1%	0	0.0%	6	24.0%	9	23.1%
Did Not Change	6	46.2%	1	100.0%	11	44.0%	18	46.2%
Increased Slightly 1-15%	3	23.1%	0	0.0%	7	28.0%	10	25.6%
Increased A lot >15%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Total dollars awarded</b>								
Reduced A lot >15%	2	15.4%	0	0.0%	2	8.0%	4	10.3%
Reduced Slightly 1-15%	3	23.1%	0	0.0%	5	20.0%	8	20.5%
Did Not Change	1	7.7%	1	100.0%	7	28.0%	9	23.1%
Increased Slightly 1-15%	7	53.8%	0	0.0%	8	32.0%	15	38.5%
Increased A lot >15%	0	0.0%	0	0.0%	3	12.0%	3	7.7%
<b>Total dollars awarded per grant</b>								
Reduced A lot >15%	1	7.7%	0	0.0%	1	4.2%	2	5.1%
Reduced Slightly 1-15%	2	15.4%	0	0.0%	6	25.0%	8	20.5%
Did Not Change	5	38.5%	1	50.0%	13	54.2%	19	48.7%
Increased Slightly 1-15%	4	30.8%	1	50.0%	4	16.7%	9	23.1%
Increased A lot >15%	1	7.7%	0	0.0%	0	0.0%	1	2.6%
<b>Total dollars for multi-year awards</b>								
Reduced A lot >15%	1	9.1%	1	50.0%	1	4.3%	3	8.3%
Reduced Slightly 1-15%	0	0.0%	0	0.0%	1	4.3%	1	2.8%
Did Not Change	5	45.5%	1	50.0%	14	60.9%	20	55.6%
Increased Slightly 1-15%	4	36.4%	0	0.0%	7	30.4%	11	30.6%
Increased A lot >15%	1	9.1%	0	0.0%	0	0.0%	1	2.8%
<b>Total number of multi-year awards</b>								
Reduced A lot >15%	1	10.0%	0	0.0%	1	4.8%	2	6.3%
Reduced Slightly 1-15%	2	20.0%	0	0.0%	1	4.8%	3	9.4%
Did Not Change	3	30.0%	1	100.0%	13	61.9%	17	53.1%
Increased Slightly 1-15%	2	20.0%	0	0.0%	6	28.6%	8	25.0%
Increased A lot >15%	2	20.0%	0	0.0%	0	0.0%	2	6.3%
<b>Total dollars for general operating support grants</b>								
Reduced A lot >15%	1	8.3%	0	0.0%	1	4.0%	2	5.3%
Reduced Slightly 1-15%	4	33.3%	0	0.0%	2	8.0%	6	15.8%
Did Not Change	4	33.3%	1	100.0%	11	44.0%	16	42.1%
Increased Slightly 1-15%	2	16.7%	0	0.0%	8	32.0%	10	26.3%
Increased A lot >15%	1	8.3%	0	0.0%	3	12.0%	4	10.5%

<b>Total number of general operating support grants</b>								
Reduced A lot >15%	2	16.7%	0	0.0%	1	4.5%	3	8.6%
Reduced Slightly 1-15%	2	16.7%	0	0.0%	3	13.6%	5	14.3%
Did Not Change	5	41.7%	1	100.0%	11	50.0%	17	48.6%
Increased Slightly 1-15%	3	25.0%	0	0.0%	5	22.7%	8	22.9%
Increased A lot >15%	0	0.0%	0	0.0%	2	9.1%	2	5.7%
<b>Total dollars for grantee capacity building</b>								
Reduced A lot >15%	1	8.3%	0	0.0%	0	0.0%	1	2.9%
Reduced Slightly 1-15%	2	16.7%	0	0.0%	4	19.0%	6	17.6%
Did Not Change	7	58.3%	1	100.0%	12	57.1%	20	58.8%
Increased Slightly 1-15%	2	16.7%	0	0.0%	4	19.0%	6	17.6%
Increased A lot >15%	0	0.0%	0	0.0%	1	4.8%	1	2.9%
<b>Total dollars for grantee evaluation activities</b>								
Reduced A lot >15%	2	16.7%	0	0.0%	0	0.0%	2	5.7%
Reduced Slightly 1-15%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Did Not Change	6	50.0%	1	100.0%	18	81.8%	25	71.4%
Increased Slightly 1-15%	3	25.0%	0	0.0%	2	9.1%	5	14.3%
Increased A lot >15%	1	8.3%	0	0.0%	2	9.1%	3	8.6%
<b>Grantee application and/or reporting</b>								
Reduced A lot >15%	1	9.1%	0	0.0%	0	0.0%	1	2.9%
Reduced Slightly 1-15%	1	9.1%	0	0.0%	2	8.7%	3	8.6%
Did Not Change	5	45.5%	1	100.0%	15	65.2%	21	60.0%
Increased Slightly 1-15%	3	27.3%	0	0.0%	5	21.7%	8	22.9%
Increased A lot >15%	1	9.1%	0	0.0%	1	4.3%	2	5.7%
<b>Grant cycles and turnaround time</b>								
Reduced A lot >15%	1	8.3%	0	0.0%	1	4.2%	2	5.4%
Reduced Slightly 1-15%	1	8.3%	0	0.0%	1	4.2%	2	5.4%
Did Not Change	7	58.3%	1	100.0%	19	79.2%	27	73.0%
Increased Slightly 1-15%	3	25.0%	0	0.0%	2	8.3%	5	13.5%
Increased A lot >15%	0	0.0%	0	0.0%	1	4.2%	1	2.7%
<b>Strategies to improve grantee cash flow (e.g. loans, access to lines of credit, stop-gap funding)</b>								
Reduced A lot >15%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Reduced Slightly 1-15%	0	0.0%	0	0.0%	1	4.5%	1	3.0%
Did Not Change	8	80.0%	1	100.0%	15	68.2%	24	72.7%
Increased Slightly 1-15%	2	20.0%	0	0.0%	5	22.7%	7	21.2%
Increased A lot >15%	0	0.0%	0	0.0%	1	4.5%	1	3.0%
<b>Foundation overhead costs (e.g. staffing, occupancy, travel)</b>								
Reduced A lot >15%	1	9.1%	1	100.0%	2	8.7%	4	11.4%
Reduced Slightly 1-15%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Did Not Change	3	27.3%	0	0.0%	11	47.8%	14	40.0%
Increased Slightly 1-15%	5	45.5%	0	0.0%	10	43.5%	15	42.9%
Increased A lot >15%	2	18.2%	0	0.0%	0	0.0%	2	5.7%



Appendix: Grantmaking Practices by Foundation Type

	Independent				Corporate				Community			
	Reduced		Increased		Reduced		Increased		Reduced		Increased	
	N	%	N	%	N	%	N	%	N	%	N	%
<b>7. If changed, is the change...</b>												
<b>Percentage of endowment paid out</b>												
Temporary, due to the economy	3	100.0%	0	0.0%	0	0.0%	0	0.0%	4	80.0%	1	20.0%
Permanent, due to the economy	0	0.0%	2	66.7%	0	0.0%	0	0.0%	1	20.0%	0	0.0%
Unrelated to the economy	0	0.0%	1	33.3%	0	0.0%	0	0.0%	0	0.0%	4	80.0%
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Total dollars awarded</b>												
Temporary, due to the economy	3	100.0%	0	0.0%	0	0.0%	0	0	4	100.0%	1	11.1%
Permanent, due to the economy	0	0.0%	2	28.6%	0	0.0%	0	0	0	0.0%	0	0.0%
Unrelated to the economy	0	0.0%	5	71.4%	0	0.0%	0	0	0	0.0%	7	77.8%
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0	0	0.0%	1	11.1%
<b>Total dollars awarded per grant</b>												
Temporary, due to the economy	2	100.0%	0	0.0%	0	0	0	0.0%	3	75.0%	1	33.3%
Permanent, due to the economy	0	0.0%	1	20.0%	0	0	0	0.0%	0	0.0%	0	0.0%
Unrelated to the economy	0	0.0%	4	80.0%	0	0	0	0.0%	1	25.0%	2	66.7%
Not at all	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%	0	0.0%
<b>Total dollars for multi-year awards</b>												
Temporary, due to the economy	1	100.0%	0	0.0%	0	0	0	0.0%	1	100.0%	0	0.0%
Permanent, due to the economy	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%	0	0.0%
Unrelated to the economy	0	0.0%	5	100.0%	0	0	0	0.0%	0	0.0%	5	100.0%
Not at all	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%	0	0.0%
<b>Total number of multi-year awards</b>												
Temporary, due to the economy	2	100.0%	0	0.0%	0	0	0	0.0%	0	0.0%	0	0.0%
Permanent, due to the economy	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%	0	0.0%
Unrelated to the economy	0	0.0%	4	100.0%	0	0	0	0.0%	0	0.0%	4	80.0%
Not at all	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%	1	20.0%

	Independent				Corporate				Community			
	Reduced		Increased		Reduced		Increased		Reduced		Increased	
	N	%	N	%	N	%	N	%	N	%	N	%
<b>Total dollars for general operating support grants</b>												
Temporary, due to the economy	3	75.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	11.1%
Permanent, due to the economy	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	100.0%	1	11.1%
Unrelated to the economy	1	25.0%	3	100.0%	0	0.0%	0	0.0%	0	0.0%	6	66.7%
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	11.1%
<b>Total number of general operating support grants</b>												
Temporary, due to the economy	2	66.7%	0	0.0%	0	0.0%	0	0.0%	2	100.0%	1	16.7%
Permanent, due to the economy	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	16.7%
Unrelated to the economy	1	33.3%	2	100.0%	0	0.0%	0	0.0%	0	0.0%	2	33.3%
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	33.3%
<b>Total dollars for grantee capacity building</b>												
Temporary, due to the economy	2	100.0%	0	0.0%	0	0.0%	0	0	1	100.0%	0	0.0%
Permanent, due to the economy	0	0.0%	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%
Unrelated to the economy	0	0.0%	2	100.0%	0	0.0%	0	0	0	0.0%	5	100.0%
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%
<b>Total dollars for grantee evaluation activities</b>												
Temporary, due to the economy	1	100.0%	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%
Permanent, due to the economy	0	0.0%	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%
Unrelated to the economy	0	0.0%	3	100.0%	0	0.0%	0	0	0	0.0%	3	100.0%
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%
<b>Grantee application and/or reporting</b>												
Temporary, due to the economy	1	100.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	20.0%
Permanent, due to the economy	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Unrelated to the economy	0	0.0%	3	100.0%	0	0.0%	0	0.0%	1	100.0%	3	60.0%
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	20.0%

Appendix: Grantmaking Practices by Foundation Type

	Independent				Corporate				Community			
	Reduced		Increased		Reduced		Increased		Reduced		Increased	
	N	%	N	%	N	%	N	%	N	%	N	%
<b>Grant cycles and turnaround time</b>												
Temporary, due to the economy	1	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Permanent, due to the economy	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	33.3%
Unrelated to the economy	1	50.0%	2	100.0%	0	0.0%	0	0.0%	1	50.0%	1	33.3%
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	50.0%	1	33.3%
<b>Strategies to improve grantee cash flow (e.g. loans, access to lines of credit, stop-gap funding)</b>												
Temporary, due to the economy	0	0.0%	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%
Permanent, due to the economy	0	0.0%	0	0.0%	0	0.0%	0	0	0	0.0%	0	0.0%
Unrelated to the economy	0	0.0%	2	100.0%	0	0.0%	0	0	1	100.0%	3	75.0%
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0	0	0.0%	1	25.0%
<b>Foundation overhead costs (e.g. staffing, occupancy, travel)</b>												
Temporary, due to the economy	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Permanent, due to the economy	0	0.0%	0	0.0%	1	100.0%	0	0.0%	0	0.0%	2	28.6%
Unrelated to the economy	0	0.0%	5	100.0%	0	0.0%	0	0.0%	1	100.0%	4	57.1%
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	14.3%

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>The remainder of the survey asks you to comment on your grantmaking practices, in general, during the past three fiscal years</b>								
<b>8. During the past three fiscal years, how often did your organisation make multi-year grants of two years or longer?</b> (Please note: For the purposes of this survey, a multiyear grantee would not be expected to reapply for funding each year of the grant period.) Rough estimates are fine.								
Never	3	23.1%	0	0.0%	11	42.3%	14	35.0%
Rarely	3	23.1%	0	0.0%	9	34.6%	12	30.0%
Sometimes	3	23.1%	0	0.0%	4	15.4%	7	17.5%
Often	3	23.1%	1	100.0%	1	3.8%	5	12.5%
Almost always/Always	1	7.7%	0	0.0%	1	3.8%	2	5.0%
<b>9. In determining your foundation's strategy for multi-year grants, which of the following influenced your decision to NEVER or RARELY fund multi-year grants? (Please check all that apply).</b>								
Desire to decrease grantee dependency on the foundation	1	7.7%	0	0.0%	3	11.5%	4	10.0%
Limited funds	3	23.1%	0	0.0%	10	38.5%	13	32.5%
Desire to remain flexible	2	15.4%	0	0.0%	8	30.8%	10	25.0%
Other	1	7.7%	0	0.0%	4	15.4%	5	12.5%

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>10. In determining your foundation's strategy for multi-year grants, which of the following influenced your decision to SOMETIMES, OFTEN, or ALMOST ALWAYS/ALWAYS fund multi-year grants? (Please check all that apply).</b>								
In support of the ongoing implementation of a successful project	7	53.8%	1	100.0%	6	23.1%	14	35.0%
In support of a launch of a new project (e.g., seed funding)	6	46.2%	0	0.0%	4	15.4%	10	25.0%
In support of a grantee in tough times, reliable funding	2	15.4%	0	0.0%	1	3.8%	3	7.5%
To reduce grantee fundraising costs	2	15.4%	0	0.0%	1	3.8%	3	7.5%
Other	1	7.7%	0	0.0%	1	3.8%	2	5.0%
<b>11. During the past three fiscal years, approximately what proportion of your organisation's annual grantmaking budget was devoted to general operating support grants (also known as unrestricted grants, core operating grants or general purpose grants)? Rough estimates are fine.</b>								
<b>Note:</b> For the purposes of this survey, exclude grants that build overhead costs into a project, are designated solely for capacity building or are designated solely for capital expenses (e.g. facilities and equipment).								
Mean/Median	23.92	25.00	40.00		32.62	30.00	29.97	28.50
<b>12. During the past three fiscal years, how often did your organisation invest in GENERAL OPERATING SUPPORT GRANTS? (Rough estimates are fine).</b>								
Never	3	23.1%	1	100.0%	5	19.2%	9	22.5%
Rarely	3	23.1%	0	0.0%	3	11.5%	6	15.0%
Sometimes	5	38.5%	0	0.0%	6	23.1%	11	27.5%
Often	1	7.7%	0	0.0%	9	34.6%	10	25.0%
Almost always/Always	1	7.7%	0	0.0%	3	11.5%	4	10.0%
<b>13. In determining your foundation's strategy related to general operating support, which of the following influenced your decision to NEVER or RARELY fund general operating support? (Please check all that apply).</b>								
Prefer specific accountability/deliverables by grantees	3	23.1%	1	100.0%	6	23.1%	10	25.0%
Too hard to assess impact of grant	1	7.7%	0	0.0%	3	11.5%	4	10.0%
Lack of familiarity with grantees	2	15.4%	0	0.0%	2	7.7%	4	10.0%
Trust or foundation policy	2	15.4%	1	100.0%	7	26.9%	10	25.0%
Do not want to make grantees overly reliant on the foundation	1	7.7%	0	0.0%	8	30.8%	9	22.5%
Very few requests/needs by grantees	3	23.1%	0	0.0%	2	7.7%	5	12.5%
Other	4	30.8%	0	0.0%	5	19.2%	9	22.5%

Appendix: Grantmaking Practices by Foundation Type

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>14. In determining your foundation's strategy related to general operating support, which of the following influenced your decision to SOMETIMES, OFTEN, or ALMOST ALWAYS/ALWAYS fund general operating support grants? (Please check all that apply).</b>								
Provide flexibility, stability/capacity to the grantee organisation in tough times	2	15.4%	0	0%	4	15.4%	6	15.0%
Grantee has proven results, enhance impact	2	15.4%	0	0%	5	19.2%	7	17.5%
Invest in or support the overall grantee mission	2	15.4%	0	0%	6	23.1%	8	20.0%
Reduce grantmaking costs	0	0.0%	0	0%	0	0.0%	0	0.0%
Seed new organisation or innovation, foster risk-taking	1	7.7%	0	0%	3	11.5%	4	10.0%
Allow for advocacy programming	0	0.0%	0	0%	0	0.0%	0	0.0%
Other	1	7.7%	0	0%	0	0.0%	1	2.5%

**15. During the past three fiscal years, did your organisation support capacity-building (including leadership development) activities among your grantees?**

**Note:** For the purposes of this survey capacity building and leadership development activities are defined as the process of strengthening an organisation in order to improve its performance and impact. Please only include general operating support grants if they included a specific capacity-building objective.

Yes	9	69.2%	2	50.0%	12	46.2%	23	53.5%
No	4	30.8%	2	50.0%	14	53.8%	20	46.5%

**16. When your organisation supports capacity-building (including leadership development) activities among your grantees, how often do you fund the following?**

**Leadership and/or management skills for grantee staff**

Never	1	11.1%	0	0.0%	1	9.1%	2	9.5%
Rarely	5	55.6%	0	0.0%	3	27.3%	8	38.1%
Sometimes	2	22.2%	0	0.0%	5	45.5%	7	33.3%
Often	1	11.1%	1	100.0%	2	18.2%	4	19.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%

**Succession planning/leadership transitions**

Never	5	55.6%	1	100.0%	3	33.3%	9	47.4%
Rarely	3	33.3%	0	0.0%	3	33.3%	6	31.6%
Sometimes	0	0.0%	0	0.0%	2	22.2%	2	10.5%
Often	1	11.1%	0	0.0%	1	11.1%	2	10.5%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%

**Budgeting and financial management**

Never	2	22.2%	1	100.0%	2	20.0%	5	25.0%
Rarely	3	33.3%	0	0.0%	4	40.0%	7	35.0%
Sometimes	3	33.3%	0	0.0%	3	30.0%	6	30.0%
Often	1	11.1%	0	0.0%	1	10.0%	2	10.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>Fund development, strategic fundraising</b>								
Never	1	11.1%	1	100.0%	3	37.5%	5	27.8%
Rarely	3	33.3%	0	0.0%	3	37.5%	6	33.3%
Sometimes	5	55.6%	0	0.0%	1	12.5%	6	33.3%
Often	0	0.0%	0	0.0%	1	12.5%	1	5.6%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Evaluation capacity</b>								
Never	2	22.2%	1	100.0%	2	20.0%	5	25.0%
Rarely	3	33.3%	0	0.0%	2	20.0%	5	25.0%
Sometimes	2	22.2%	0	0.0%	5	50.0%	7	35.0%
Often	2	22.2%	0	0.0%	1	10.0%	3	15.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Volunteer management</b>								
Never	1	11.1%	1	100.0%	2	22.2%	4	21.1%
Rarely	4	44.4%	0	0.0%	1	11.1%	5	26.3%
Sometimes	2	22.2%	0	0.0%	3	33.3%	5	26.3%
Often	2	22.2%	0	0.0%	3	33.3%	5	26.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Communications and media relations</b>								
Never	3	33.3%	1	100.0%	3	37.5%	7	38.9%
Rarely	1	11.1%	0	0.0%	2	25.0%	3	16.7%
Sometimes	5	55.6%	0	0.0%	2	25.0%	7	38.9%
Often	0	0.0%	0	0.0%	1	12.5%	1	5.6%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Strategies for management of growth</b>								
Never	3	33.3%	0	0.0%	1	12.5%	4	22.2%
Rarely	4	44.4%	0	0.0%	4	50.0%	8	44.4%
Sometimes	1	11.1%	1	100.0%	1	12.5%	3	16.7%
Often	1	11.1%	0	0.0%	2	25.0%	3	16.7%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Technology and information system development</b>								
Never	1	11.1%	0	0.0%	3	37.5%	4	22.2%
Rarely	2	22.2%	0	0.0%	2	25.0%	4	22.2%
Sometimes	6	66.7%	1	100.0%	2	25.0%	9	50.0%
Often	0	0.0%	0	0.0%	1	12.5%	1	5.6%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Board development</b>								
Never	3	33.3%	1	100.0%	3	30.0%	7	35.0%
Rarely	2	22.2%	0	0.0%	3	30.0%	5	25.0%
Sometimes	3	33.3%	0	0.0%	3	30.0%	6	30.0%
Often	1	11.1%	0	0.0%	1	10.0%	2	10.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%

Appendix: Grantmaking Practices by Foundation Type

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>Advocacy capacity</b>								
Never	3	33.3%	1	100.0%	4	50.0%	8	44.4%
Rarely	2	22.2%	0	0.0%	2	25.0%	4	22.2%
Sometimes	4	44.4%	0	0.0%	1	12.5%	5	27.8%
Often	0	0.0%	0	0.0%	1	12.5%	1	5.6%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Other</b>								
Never	1	100.0%	1	100.0%	0	0.0%	2	66.7%
Rarely	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Sometimes	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Often	0	0.0%	0	0.0%	1	100.0%	1	33.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%

**Grantmaking Practice**

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>17. How often did your organisation do the following during the past three fiscal years? (Check the most appropriate box for each item).</b>								
<b>Sought advice from a grantee advisory committee about policies, practices or programme areas</b>								
Never	7	53.8%	0	0.0%	11	42.3%	18	45.0%
Rarely	2	15.4%	0	0.0%	6	23.1%	8	20.0%
Sometimes	1	7.7%	1	100.0%	8	30.8%	10	25.0%
Often	2	15.4%	0	0.0%	1	3.8%	3	7.5%
Always	1	7.7%	0	0.0%	0	0.0%	1	2.5%
<b>Invited grantees to address board members</b>								
Never	3	23.1%	0	0.0%	4	15.4%	7	17.5%
Rarely	4	30.8%	0	0.0%	11	42.3%	15	37.5%
Sometimes	3	23.1%	0	0.0%	7	26.9%	10	25.0%
Often	3	23.1%	1	100.0%	3	11.5%	7	17.5%
Always	0	0.0%	0	0.0%	1	3.8%	1	2.5%
<b>Sought external input on grant proposals from representatives of recipient communities or grantees</b>								
Never	1	7.7%	0	0.0%	6	23.1%	7	17.5%
Rarely	2	15.4%	0	0.0%	6	23.1%	8	20.0%
Sometimes	7	53.8%	1	100.0%	10	38.5%	18	45.0%
Often	2	15.4%	0	0.0%	4	15.4%	6	15.0%
Always	1	7.7%	0	0.0%	0	0.0%	1	2.5%
<b>Sought external input on trust or foundation strategy from representatives of recipient communities or grantees</b>								
Never	5	38.5%	0	0.0%	8	30.8%	13	32.5%
Rarely	4	30.8%	0	0.0%	7	26.9%	11	27.5%
Sometimes	4	30.8%	1	100.0%	9	34.6%	14	35.0%
Often	0	0.0%	0	0.0%	1	3.8%	1	2.5%
Always	0	0.0%	0	0.0%	1	3.8%	1	2.5%

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>Delegated funding decision-making power to representatives of recipient communities or grantees</b>								
Never	8	61.5%	0	0.0%	21	80.8%	29	72.5%
Rarely	0	0.0%	0	0.0%	4	15.4%	4	10.0%
Sometimes	3	23.1%	1	100.0%	1	3.8%	5	12.5%
Often	2	15.4%	0	0.0%	0	0.0%	2	5.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Assessed the needs of the communities or fields served (e.g., surveys, interviews, focus groups).</b>								
Never	5	38.5%	0	0.0%	9	34.6%	14	34.1%
Rarely	3	23.1%	0	0.0%	6	23.1%	9	22.0%
Sometimes	5	38.5%	1	50.0%	7	26.9%	13	31.7%
Often	0	0.0%	0	0.0%	4	15.4%	4	9.8%
Always	0	0.0%	1	50.0%	0	0.0%	1	2.4%
<b>18. How often did your organisation do the following during the past three fiscal years? (Check the most appropriate box for each item).</b>								
<b>Funded the replication of projects in new locales</b>								
Never	7	53.8%	1	50.0%	10	38.5%	18	43.9%
Rarely	3	23.1%	0	0.0%	7	26.9%	10	24.4%
Sometimes	3	23.1%	1	50.0%	8	30.8%	12	29.3%
Often	0	0.0%	0	0.0%	1	3.8%	1	2.4%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Funded the dissemination of a new idea or innovation through communications, marketing and distribution</b>								
Never	6	46.2%	0	0.0%	14	53.8%	20	50.0%
Rarely	3	23.1%	0	0.0%	4	15.4%	7	17.5%
Sometimes	2	15.4%	1	100.0%	4	15.4%	7	17.5%
Often	2	15.4%	0	0.0%	4	15.4%	6	15.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Funded costs associated with collaboration or managing partnerships among grantees</b>								
Never	5	38.5%	1	100.0%	10	38.5%	16	40.0%
Rarely	2	15.4%	0	0.0%	5	19.2%	7	17.5%
Sometimes	3	23.1%	0	0.0%	10	38.5%	13	32.5%
Often	3	23.1%	0	0.0%	1	3.8%	4	10.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Leveraged relationships with other grantmakers to raise money so that grantees could expand their impact</b>								
Never	1	7.7%	0	0.0%	9	34.6%	10	25.0%
Rarely	4	30.8%	0	0.0%	4	15.4%	8	20.0%
Sometimes	6	46.2%	1	100.0%	7	26.9%	14	35.0%
Often	2	15.4%	0	0.0%	6	23.1%	8	20.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%



Appendix: Grantmaking Practices by Foundation Type

**19. During the past three fiscal years, when you made a grant/series of grants that proved to be less than successful, how often was the failure due to the following?** (Check the most appropriate box for each item).

**Foundation strategy/programme design flaw**

Never	2	18.2%	1	100.0%	7	26.9%	10	26.3%
Rarely	1	9.1%	0	0.0%	6	23.1%	7	18.4%
Sometimes	4	36.4%	0	0.0%	3	11.5%	7	18.4%
Often	0	0.0%	0	0.0%	2	7.7%	2	5.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	4	36.4%	0	0.0%	8	30.8%	12	31.6%

**Lack of stakeholder engagement**

Never	2	16.7%	1	25.0%	7	28.0%	10	24.4%
Rarely	2	16.7%	1	25.0%	5	20.0%	8	19.5%
Sometimes	4	33.3%	1	25.0%	3	12.0%	8	19.5%
Often	0	0.0%	1	25.0%	2	8.0%	3	7.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	4	33.3%	0	0.0%	8	32.0%	12	29.3%

**Lack of due diligence**

Never	3	25.0%	1	100.0%	7	28.0%	11	28.9%
Rarely	2	16.7%	0	0.0%	4	16.0%	6	15.8%
Sometimes	3	25.0%	0	0.0%	7	28.0%	10	26.3%
Often	1	8.3%	0	0.0%	1	4.0%	2	5.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	3	25.0%	0	0.0%	6	24.0%	9	23.7%

**Lack of grantee leadership capacity**

Never	1	8.3%	1	100.0%	6	23.1%	8	20.5%
Rarely	2	16.7%	0	0.0%	3	11.5%	5	12.8%
Sometimes	4	33.3%	0	0.0%	8	30.8%	12	30.8%
Often	1	8.3%	0	0.0%	4	15.4%	5	12.8%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	4	33.3%	0	0.0%	5	19.2%	9	23.1%

**Unavoidable environmental reasons (e.g., the economy, natural disaster)**

Never	0	0.0%	1	100.0%	8	32.0%	9	23.7%
Rarely	4	33.3%	0	0.0%	6	24.0%	10	26.3%
Sometimes	2	16.7%	0	0.0%	4	16.0%	6	15.8%
Often	1	8.3%	0	0.0%	1	4.0%	2	5.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	5	41.7%	0	0.0%	6	24.0%	11	28.9%

**Other**

Never	0	0.0%	0	0	2	22.2%	2	15.4%
Rarely	1	25.0%	0	0	1	11.1%	2	15.4%
Sometimes	0	0.0%	0	0	2	22.2%	2	15.4%
Often	0	0.0%	0	0	0	0.0%	0	0.0%
Always	1	25.0%	0	0	0	0.0%	1	7.7%
Do Not Know	2	50.0%	0	0	4	44.4%	6	46.2%

**20. During the past three fiscal years, did your foundation develop any strategic relationships with other entities (e.g., funders, business, government)?** Note: For the purposes of this survey, a strategic relationship might include pooled funding, a co-funded initiative or aligning your funding strategy with another grantmaker.

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
Yes	11	84.6%	1	100.0%	14	53.8%	26	65.0%
No	2	15.4%	0	0.0%	12	46.2%	14	35.0%

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%

**21. Related to these relationships, how often were each of the following your primary motivations during the past three fiscal years?** (Check the most appropriate box for each item).

**To assess community needs**

Never	2	18.2%	0	0.0%	1	7.1%	3	11.5%
Rarely	1	9.1%	0	0.0%	1	7.1%	2	7.7%
Sometimes	4	36.4%	0	0.0%	4	28.6%	8	30.8%
Often	3	27.3%	1	100.0%	7	50.0%	11	42.3%
Always	1	9.1%	0	0.0%	1	7.1%	2	7.7%

**To achieve greater impact**

Never	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Rarely	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Sometimes	0	0.0%	0	0.0%	3	21.4%	3	11.5%
Often	7	63.6%	1	100.0%	7	50.0%	15	57.7%
Always	4	36.4%	0	0.0%	4	28.6%	8	30.8%

**To tap into the expertise of other grantmakers**

Never	1	9.1%	0	0.0%	1	7.1%	2	7.7%
Rarely	0	0.0%	0	0.0%	2	14.3%	2	7.7%
Sometimes	1	9.1%	0	0.0%	7	50.0%	8	30.8%
Often	5	45.5%	1	100.0%	4	28.6%	10	38.5%
Always	4	36.4%	0	0.0%	0	0.0%	4	15.4%

**Lack of due diligence**

Never	9	81.8%	1	100.0%	8	57.1%	18	69.2%
Rarely	1	9.1%	0	0.0%	4	28.6%	5	19.2%
Sometimes	0	0.0%	0	0.0%	2	14.3%	2	7.7%
Often	1	9.1%	0	0.0%	0	0.0%	1	3.8%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%

**To minimise burden on grantees**

Never	1	9.1%	1	100.0%	1	7.1%	3	11.5%
Rarely	1	9.1%	0	0.0%	2	14.3%	3	11.5%
Sometimes	3	27.3%	0	0.0%	7	50.0%	10	38.5%
Often	4	36.4%	0	0.0%	4	28.6%	8	30.8%
Always	2	18.2%	0	0.0%	0	0.0%	2	7.7%

Appendix: Grantmaking Practices by Foundation Type

**22. Related to these relationships, how often were each of the following your partners during the past three fiscal years? (Check the most appropriate box for each item).**

**Not-for-profit organisations**

Never	1	9.1%	0	0.0%	1	7.1%	2	7.7%
Rarely	1	9.1%	0	0.0%	2	14.3%	3	11.5%
Sometimes	2	18.2%	1	100.0%	5	35.7%	8	30.8%
Often	4	36.4%	0	0.0%	4	28.6%	8	30.8%
Always	3	27.3%	0	0.0%	2	14.3%	5	19.2%

**Private business/corporate philanthropies**

Never	1	9.1%	0	0.0%	5	35.7%	6	23.1%
Rarely	1	9.1%	0	0.0%	3	21.4%	4	15.4%
Sometimes	5	45.5%	1	100.0%	3	21.4%	9	34.6%
Often	3	27.3%	0	0.0%	3	21.4%	6	23.1%
Always	1	9.1%	0	0.0%	0	0.0%	1	3.8%

**Government entities**

Never	4	36.4%	0	0.0%	4	28.6%	8	30.8%
Rarely	3	27.3%	0	0.0%	0	0.0%	3	11.5%
Sometimes	4	36.4%	1	100.0%	10	71.4%	15	57.7%
Often	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%

**23. Overall, are you willing to engage in open dialogue regarding funding for...? (Please check all that apply).**

Programme expansion	12	92.3%	0	0.0%	17	65.4%	29	72.5%
Facility needs	7	53.8%	0	0.0%	16	61.5%	23	57.5%
Working capital needs	5	38.5%	0	0.0%	7	26.9%	12	30.0%
Cash flow concerns	5	38.5%	0	0.0%	5	19.2%	10	25.0%
Operating reserves	5	38.5%	0	0.0%	4	15.4%	9	22.5%
Building reserves	3	23.1%	0	0.0%	3	11.5%	6	15.0%
Debt burden	2	15.4%	0	0.0%	1	3.8%	3	7.5%
We are not willing to have open dialogue on these topics	0	0.0%	1	100.0%	4	15.4%	5	12.5%

**Foundation Processes, Administrative Requirements, and Reporting Procedures**

	Independent		Corporate		Community		Total	
	Mean	Median	Mean	Median	Mean	Median	Mean	Median
<b>24. During the past three fiscal years, on average, how long did it take for your organisation to accomplish the following? (Please estimate in days.)</b>								
Acknowledge receipt of funding requests	15.83	11.50	3.00	3.00	8.50	6.00	10.62	7.00
Approve a typical grant (from submission of a full proposal to notification of funding decisions)	46.42	47.50	180.00	180.00	65.23	60.00	62.38	60.00

Make the (initial) payment after a typical grant award was approved	20.92	10.00	60.00	60.00	21.00	14.00	22.00	14.00
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	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%

**25. Did your organisation track this information?**

**Acknowledge receipt of funding requests**

Yes	3	23%	0	0%	16	62%	19	48%
No	6	46%	1	100%	5	19%	12	30%
Does not apply	4	31%	0	0%	5	19%	9	23%

**Approve a typical grant (from submission of a full proposal to notification of funding decisions)**

Yes	4	31%	0	0%	20	77%	24	60%
No	6	46%	1	100%	4	15%	11	28%
Does not apply	3	23%	0	0%	2	8%	5	13%

**Make the (initial) payment after a typical grant award was approved**

Yes	4	31%	0	0%	16	62%	20	50%
No	5	38%	1	100%	7	27%	13	33%
Does not apply	4	31%	0	0%	3	12%	7	18%

**26. How often did each of the following apply to your organisation's grantmaking processes during the past three fiscal years? (Check the most appropriate box for each item).**

**Application requirements were proportionate to size and type of grant (e.g., fewer requirements for small grants, membership dues and event sponsorships)**

Never	1	8%	1	100%	3	12%	5	13%
Rarely	0	0%	0	0%	4	15%	4	10%
Sometimes	6	46%	0	0%	6	23%	12	30%
Often	5	38%	0	0%	8	31%	13	33%
Always	1	8%	0	0%	5	19%	6	15%

**Renewal grant requirements were less than original requirements**

Never	2	15%	1	100%	9	35%	12	30%
Rarely	3	23%	0	0%	9	35%	12	30%
Sometimes	4	31%	0	0%	6	23%	10	25%
Often	2	15%	0	0%	1	4%	3	8%
Always	2	15%	0	0%	1	4%	3	8%

**Accepted grantee applications and reports as e-mail attachments or an uploaded document from a Web portal (e.g., pdf)**

Never	1	8%	0	0%	5	19%	6	15%
Rarely	2	15%	0	0%	5	19%	7	18%
Sometimes	1	8%	0	0%	3	12%	4	10%
Often	4	31%	1	100%	8	31%	13	33%
Always	5	38%	0	0%	5	19%	10	25%

**Grantee's organisational capacity (e.g., financial and staff) was assessed as part of due diligence process**

Never	0	0%	1	100%	4	15%	5	13%
Rarely	2	15%	0	0%	2	8%	4	10%
Sometimes	1	8%	0	0%	3	12%	4	10%
Often	5	38%	0	0%	9	35%	14	35%
Always	5	38%	0	0%	8	31%	13	33%

Appendix: Grantmaking Practices by Foundation Type

<b>Rationale for rejecting funding requests was explained to applicant</b>												
Never	1	8%	1	100%	5	19%	7	18%				
Rarely	1	8%	0	0%	6	23%	7	18%				
Sometimes	2	15%	0	0%	2	8%	4	10%				
Often	5	38%	0	0%	1	4%	6	15%				
Always	4	31%	0	0%	12	46%	16	40%				

<b>27. During the past three fiscal years, did your organisation collect any information about how long it takes grantees to meet your administrative requirements (e.g., the time it takes to create proposals, monitor progress, or complete evaluations or reports)?</b>												
Yes	2	15%	0	0%	3	12%	5	13%				
No	11	85%	1	100%	23	88%	35	88%				
	Independent			Corporate			Community			Total		
	Mean	N	Median	Mean	N	Median	Mean	N	Median	Mean	N	Median

<b>28. Approximately how many hours do you estimate a typical grantee spent on meeting your organisation's administrative requirements for an average grant during the past three fiscal years? (Please provide your estimates in hours. If not applicable, please write 'NA').</b>												
Proposal development and selection processes	20.0	2.0	20.0	0.0	0.0	0.0	2.0	2.0	2.0	11.0	4.0	6.0
Grant monitoring and reporting processes:	4.0	1.0	4.0	0.0	0.0	0.0	1.0	2.0	1.0	2.0	3.0	1.0
Grantee evaluation processes:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Independent			Corporate			Community			Total		
	N	%		N	%		N	%		N	%	

<b>29. How often did each of the following apply to your organisation during the past three fiscal years? (Check the most appropriate box for each item).</b>												
<b>Grantee reports were... (note: excluding "does not apply" responses)</b>												
<b>Used to foster learning and a useful exchange between the foundation and our grantees</b>												
Never	2	15%	0	0%	4	18%	6	17%				
Rarely	2	15%	0	0%	7	32%	9	25%				
Sometimes	2	15%	1	100%	5	23%	8	22%				
Often	5	38%	0	0%	3	14%	8	22%				
Always	2	15%	0	0%	3	14%	5	14%				
<b>Proportionate to the size and type of the grant (e.g. a one page report requirement for a small grant or event sponsorship)</b>												
Never	2	15%	0	0%	2	10%	4	11%				
Rarely	1	8%	0	0%	3	14%	4	11%				
Sometimes	3	23%	1	100%	5	24%	9	26%				
Often	4	31%	0	0%	8	38%	12	34%				
Always	3	23%	0	0%	3	14%	6	17%				
<b>Acknowledged within four weeks of receipt</b>												
Never	0	0%	0	0%	2	9%	2	6%				
Rarely	1	8%	0	0%	6	27%	7	19%				
Sometimes	2	15%	0	0%	2	9%	4	11%				
Often	5	38%	0	0%	2	9%	7	19%				
Always	5	38%	1	100%	10	45%	16	44%				

<b>Read by at least one staff member</b>								
Never	0	0%	0	0%	0	0%	0	0%
Rarely	0	0%	0	0%	1	4%	1	3%
Sometimes	2	15%	0	0%	1	4%	3	8%
Often	2	15%	0	0%	0	0%	2	5%
Always	9	69%	1	100%	21	91%	31	84%
<b>Paid for by including appropriate overhead to cover the time spent reporting on the grant</b>								
Never	7	58%	1	100%	16	73%	24	69%
Rarely	2	17%	0	0%	0	0%	2	6%
Sometimes	1	8%	0	0%	3	14%	4	11%
Often	0	0%	0	0%	1	5%	1	3%
Always	2	17%	0	0%	2	9%	4	11%

## Evaluation

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>30. During the past three fiscal years, did your organisation engage in either of the following activities to help evaluate or strengthen its performance? (Check all that apply).</b>								
Solicit anonymous feedback from grantees through surveys/interviews/focus groups	1	7%	0	0%	5	16%	6	13%
Solicit non-anonymous feedback from grantees through surveys/interviews/focus groups	4	27%	0	0%	11	34%	15	31%
Both	1	7%	0	0%	3	9%	4	8%
Neither of the above	9	60%	1	100%	13	41%	23	48%
<b>31. Does your organisation evaluate the work it funds?</b>								
Yes	9	69%	1	100%	15	58%	25	63%
No	4	31%	0	0%	11	42%	15	38%
<b>32. When evaluating the work that your organisation funds, how important are the following?</b>								
<b>Learn whether original objectives were achieved</b>								
Not at all	0	0%	0	0%	0	0%	0	0%
Not very	0	0%	0	0%	0	0%	0	0%
Somewhat	3	33%	0	0%	3	20%	6	24%
Very	6	67%	1	100%	12	80%	19	76%
<b>Learn about implementation of funded work</b>								
Not at all	0	0%	0	0%	0	0%	0	0%
Not very	0	0%	0	0%	1	7%	1	4%
Somewhat	2	22%	0	0%	4	27%	6	24%
Very	7	78%	1	100%	10	67%	18	72%

## Appendix: Grantmaking Practices by Foundation Type

<b>Learn about outcomes of funded work</b>								
Not at all	0	0%	0	0%	0	0%	0	0%
Not very	0	0%	0	0%	0	0%	0	0%
Somewhat	2	22%	0	0%	2	13%	4	16%
Very	7	78%	1	100%	13	87%	21	84%
<b>Contribute to knowledge in the field</b>								
Not at all	1	11%	0	0%	0	0%	1	4%
Not very	0	0%	0	0%	2	13%	2	8%
Somewhat	5	56%	0	0%	7	47%	12	48%
Very	3	33%	1	100%	6	40%	10	40%
<b>Strengthen organisational practices in the field</b>								
Not at all	1	13%	0	0%	0	0%	1	4%
Not very	0	0%	1	50%	2	13%	2	8%
Somewhat	5	63%	0	0%	11	73%	16	67%
Very	2	25%	1	50%	2	13%	5	21%
<b>Strengthen public policy in the field</b>								
Not at all	2	22%	0	0%	3	20%	5	20%
Not very	1	11%	0	0%	4	27%	5	20%
Somewhat	4	44%	1	100%	6	40%	11	44%
Very	2	22%	0	0%	2	13%	4	16%
<b>Strengthen our future grantmaking</b>								
Not at all	0	0%	0	0%	0	0%	0	0%
Not very	0	0%	0	0%	1	7%	1	4%
Somewhat	4	44%	0	0%	3	20%	7	28%
Very	5	56%	1	100%	11	73%	17	68%
<b>Other</b>								
Not at all	0	0%	1	100%	0	0%	1	50%
Not very	0	0%	0	0%	0	0%	0	0%
Somewhat	0	0%	0	0%	0	0%	0	0%
Very	0	0%	0	0%	1	100%	1	50%
<b>33. During the past two years, who in your foundation has been leading your organisation's evaluation or learning activities? (This does not mean they necessarily conducted the evaluation themselves, but rather, had responsibility for evaluation). Please select only one.</b>								
Existing programme officers assumed these responsibilities as part of their current roles	1	11%	0	0%	2	13%	3	12%
Senior Trust or foundation staff (CEO, Senior staff, etc.) assumed these responsibilities as part of their current roles	7	78%	1	100%	10	67%	18	72%
An evaluation, assessment or learning officer position and/or department	0	0%	0	0%	2	13%	2	8%
Other	1	11%	0	0%	1	7%	2	8%

**34. What have you done with your organisation's evaluation data during the past three fiscal years? (Check all that apply).**

Planned/revise programmes	3	23%	1	25%	8	31%	12	28%
Planned/revise strategies	3	23%	1	25%	9	35%	13	30%
Reported to your board on grants	8	62%	1	25%	13	50%	22	51%
Attempted to influence public policy or government funding choices	2	15%		0%	3	12%	5	12%
Reported to grantees/stakeholders	4	31%	1	25%	9	35%	14	33%
Shared findings with other grantmakers	5	38%	0	0%	6	23%	11	26%
We have not used evaluation findings	0	0%	0	0%	0	0%	0	0%
Other	1	8%	0	0%	1	4%	2	5%
	<b>Independent</b>		<b>Corporate</b>		<b>Community</b>		<b>Total</b>	

**35. Listed below are six potential audiences of your organisation's evaluation efforts. Please rank the six audiences in terms of order of priority (Please click and drag the audience you consider your highest priority to '1'; your next highest priority, '2' and so forth).**

Grantees	3	2	2	2
Foundation's Board of Directors	1	1	1	1
Policy Makers	5	5	4	4
Foundation Staff	2	3	3	3
Other Foundations	4	4	5	5
Others for whom results are mainly intended	6	6	6	6

**Grantmaker's Organisational Characteristics**

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>38. What was the market value of your organisation's assets at the end of its most recent fiscal year? (Rough estimates are fine).</b>								
\$10 Million or less	5	38%	1	100%	12	46%	18	45%
\$10 Million - \$50 Million	6	46%	0	0%	5	19%	10	25%
\$50 Million - \$100 Million	1	8%	0	0%	1	4%	2	5%
\$100 Million - \$400 Million	0	0%	0	0%	4	15%	5	13%
Greater than \$400 Million	1	8%	0	0%	4	15%	5	13%



Appendix: Grantmaking Practices by Foundation Type

	Independent		Corporate		Community		Total	
	Mean	Median	Mean	Median	Mean	Median	Mean	Median
<b>39. What was the median size grant from your organisation last fiscal year?</b> (Rough estimates are fine).	\$46,169	\$40,000	\$250,000	\$250,000	\$20,109	\$8,600	\$34,326	\$10,000

	Independent		Corporate		Community		Total	
	N	%	N	%	N	%	N	%
<b>40. How many paid professional and support staff does your organisation employ?</b> (Please count each full-time staff member as '1', each half-time staff member as '.5' and so on).								
0-2	8	62%	0	0%	13	50%	21	53%
2.1-5	4	31%	1	100%	9	35%	14	35%
5.1-10	0	0%	0	0%	1	4%	1	3%
10.1-100	1	8%	0	0%	3	12%	4	10%
Over 100	0	0%	0	0%	0	0%	0	0%

<b>41. How many of your organisation's paid professional and support staff have experience working for a not-for-profit (excluding grantmaking organisations)?</b> (Rough estimates are fine. If you do not know the answer, please write 'DNK').								
0-2	9	69%	0	0%	12	63%	21	64%
2.1-5	3	23%	1	100%	5	26%	9	27%
5.1-10	0	0%	0	0%	1	5%	1	3%
10.1-100	1	8%	0	0%	1	5%	2	6%
Over 100	0	0%	0	0%	0	0%	0	0%

**% of staff with experience working for a non-profit**

Mean	96%	100%	95%	96%
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**44. Is the focus of your foundation's work primarily?** (Check all that apply).

By field of interest (e.g. arts, education)	10	76.92%	0	0.00%	8	30.77%	18	45.00%
Local (e.g. community)	5	38.46%	0	0.00%	17	65.38%	22	55.00%
Regional (	5	38.46%	0	0.00%	11	42.31%	16	40.00%
National	5	38.46%	1	100.00%	5	19.23%	11	27.50%
International	0	0.00%	0	0.00%	1	3.85%	1	2.50%
Urban	1	7.69%	0	0.00%	3	11.54%	4	10.00%
Suburban	1	7.69%	0	0.00%	3	11.54%	4	10.00%
Rural	1	7.69%	0	0.00%	3	11.54%	4	10.00%
Other	2	15.38%	0	0.00%	1	3.85%	3	7.50%

	Independent		Corporate		Community		Total	
	Mean	Median	Mean	Median	Mean	Median	Mean	Median
<b>45. How many individuals currently serve on your organisation’s Board of Directors?</b>	7.54	7.00	7.00	7.00	7.92	7.00	7.78	7.00
<b>46. Please indicate how many of the following types of individuals are represented on your organisation’s Board of Directors.</b>								
(For example, if you have two representatives from grantee organisations on your Board, please write ‘2’ beside “Grantee representatives.” If none, please write ‘0’.)								
Grantee representative	0.6	0.0	0.0	0.0	0.2	0.0		
Representatives from other non-profits	1.2	0.0	0.0	2.0	0.6	0.0		
Representatives from recipient communities.	1.0	0.0	0.0	0.0	4.5	3.5		

## Appendix B - Grantmaking Practices by Foundation Asset Size

### Changes in Grantmaking in Response to the Economy

	Asset Levels											
	Less than \$10 million		\$10 million - \$50 million		\$50 million - \$100 million		\$100 million - \$400 million		Greater than \$400 million		All respondents	
	N	%	N	%	N	%	N	%	N	%	N	%
<b>6. During the past three fiscal years, in what ways (if any) did your grantmaking practices change?</b>												
<b>During the last three fiscal years, our foundation...</b>												
<b>Percentage of endowment paid out</b>												
Reduced A lot >15%	0	0%	2	20%	0	0%	0	0%	0	0%	2	5%
Reduced Slightly 1-15%	3	17%	1	10%	0	0%	3	60%	2	40%	9	23%
Did Not Change	8	44%	5	50%	1	100%	2	40%	2	40%	18	46%
Increased Slightly 1-15%	7	39%	2	20%	0	0%	0	0%	1	20%	10	26%
Increased A lot >15%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
<b>Total dollars awarded</b>												
Reduced A lot >15%	0	0%	3	30%	0	0%	0	0%	1	20%	4	10%
Reduced Slightly 1-15%	4	22%	1	10%	0	0%	2	40%	1	20%	8	21%
Did Not Change	5	28%	1	10%	0	0%	3	60%	0	0%	9	23%
Increased Slightly 1-15%	7	39%	5	50%	1	100%	0	0%	2	40%	15	38%
Increased A lot >15%	2	11%	0	0%	0	0%	0	0%	1	20%	3	8%

<b>Total dollars awarded per grant</b>												
Reduced A lot >15%	0	0%	1	10%	0	0%	0	0%	1	20%	2	5%
Reduced Slightly 1-15%	2	12%	2	20%	0	0%	2	40%	2	40%	8	21%
Did Not Change	12	71%	4	40%	0	0%	3	60%	0	0%	19	50%
Increased Slightly 1-15%	3	18%	3	30%	0	0%	0	0%	2	40%	8	21%
Increased A lot >15%	0	0%	0	0%	1	100%	0	0%	0	0%	1	3%
<b>Total dollars for multi-year awards</b>												
Reduced A lot >15%	0	0%	1	10%	0	0%	0	0%	1	20%	2	6%
Reduced Slightly 1-15%	1	7%	0	0%	0	0%	0	0%	0	0%	1	3%
Did Not Change	13	87%	5	50%	0	0%	1	25%	1	20%	20	57%
Increased Slightly 1-15%	1	7%	4	40%	0	0%	3	75%	3	60%	11	31%
Increased A lot >15%	0	0%	0	0%	1	100%	0	0%	0	0%	1	3%
<b>Total number of multi-year awards</b>												
Reduced A lot >15%	0	0%	1	13%	0	0%	0	0%	1	20%	2	6%
Reduced Slightly 1-15%	3	23%	0	0%	0	0%	0	0%	0	0%	3	9%
Did Not Change	10	77%	2	25%	1	50%	2	50%	2	40%	17	53%
Increased Slightly 1-15%	0	0%	4	50%	0	0%	2	50%	2	40%	8	25%
Increased A lot >15%	0	0%	1	13%	1	50%	0	0%	0	0%	2	6%
<b>Total dollars for general operating support grants</b>												
Reduced A lot >15%	0	0%	1	10%	0	0%	0	0%	1	20%	2	5%
Reduced Slightly 1-15%	3	18%	1	10%	1	100%	0	0%	1	20%	6	16%
Did Not Change	8	47%	5	50%	0	0%	2	40%	1	20%	16	42%
Increased Slightly 1-15%	4	24%	2	20%	0	0%	2	40%	2	40%	10	26%
Increased A lot >15%	2	12%	1	10%	0	0%	1	20%	0	0%	4	11%
<b>Total number of general operating support grants</b>												
Reduced A lot >15%	0	0%	2	20%	1	100%	0	0%	0	0%	3	9%
Reduced Slightly 1-15%	3	20%	0	0%	0	0%	1	20%	1	25%	5	14%
Did Not Change	9	60%	4	40%	0	0%	1	20%	3	75%	17	49%
Increased Slightly 1-15%	2	13%	4	40%	0	0%	2	40%	0	0%	8	23%
Increased A lot >15%	1	7%	0	0%	0	0%	1	20%	0	0%	2	6%

Appendix: Grantmaking Practices by Foundation Type

<b>Total dollars for grantee capacity building</b>										
Reduced A lot >15%	1	7%	0	0%	0	0%	0	0%	1	3%
Reduced Slightly 1-15%	2	13%	2	22%	0	0%	1	20%	6	18%
Did Not Change	10	67%	7	78%	0	0%	2	40%	20	59%
Increased Slightly 1-15%	2	13%	0	0%	1	100%	2	40%	6	18%
Increased A lot >15%	0	0%	0	0%	0	0%	0	0%	1	3%
<b>Total dollars for grantee evaluation activities</b>										
Reduced A lot >15%	1	7%	1	10%	0	0%	0	0%	2	6%
Reduced Slightly 1-15%	0	0%	0	0%	0	0%	0	0%	0	0%
Did Not Change	14	93%	7	70%	0	0%	2	40%	25	71%
Increased Slightly 1-15%	0	0%	2	20%	0	0%	2	40%	5	14%
Increased A lot >15%	0	0%	0	0%	1	100%	1	20%	3	9%
<b>Grantee application and/or reporting</b>										
Reduced A lot >15%	0	0%	1	10%	0	0%	0	0%	1	3%
Reduced Slightly 1-15%	1	7%	0	0%	1	0%	1	20%	3	9%
Did Not Change	9	64%	6	60%	0	0%	4	80%	21	60%
Increased Slightly 1-15%	4	29%	3	30%	0	0%	0	0%	8	23%
Increased A lot >15%	0	0%	0	0%	1	100%	0	0%	2	6%
<b>Grant cycles and turnaround time</b>										
Reduced A lot >15%	1	7%	1	10%	0	0%	0	0%	2	5%
Reduced Slightly 1-15%	1	7%	0	0%	0	0%	0	0%	2	5%
Did Not Change	12	80%	6	60%	1	50%	4	80%	27	73%
Increased Slightly 1-15%	1	7%	2	20%	1	50%	1	20%	5	14%
Increased A lot >15%	0	0%	1	10%	0	0%	0	0%	1	3%
<b>Strategies to improve grantee cash flow (e.g. loans, access to lines of credit, stop-gap funding)</b>										
Reduced A lot >15%	0	0%	0	0%	0	0%	0	0%	0	0%
Reduced Slightly 1-15%	1	8%	0	0%	0	0%	0	0%	1	3%
Did Not Change	11	85%	9	100%	1	50%	3	60%	24	73%
Increased Slightly 1-15%	1	8%	0	0%	1	50%	2	40%	7	21%
Increased A lot >15%	0	0%	0	0%	0	0%	0	0%	1	3%

**Foundation overhead costs (e.g. staffing, occupancy, travel)**

	Less than \$10 million	\$10 million - \$50 million	\$50 million - \$100 million	\$100 million - \$400 million	Greater than \$400 million
Reduced A lot >15%	0	0	0	0	0
Reduced Slightly 1-15%	2	1	0	0	4
Did Not Change	6	5	0	2	14
Increased Slightly 1-15%	7	2	0	3	15
Increased A lot >15%	0	1	1	0	2
	0%	11%	100%	0%	0%
	13%	56%	0%	20%	0%
	40%	22%	0%	40%	60%
	47%	11%	0%	60%	43%
	0%	0%	0%	0%	6%

	Less than \$10 million	\$10 million - \$50 million	\$50 million - \$100 million	\$100 million - \$400 million	Greater than \$400 million
Reduced	Increased	Reduced	Increased	Reduced	Increased

**7. If changed, is the change...**

**Percentage of endowment paid out**

Temporary, due to the economy	2	0	3	1	0	2	0	0	0
Permanent, due to the economy	0	1	0	1	0	0	0	0	1
Unrelated to the economy	0	4	0	0	0	0	0	0	0
Not at all	0	0	0	0	0	0	0	0	0

**Total dollars awarded**

Temporary, due to the economy	2	0	3	1	0	1	0	1	0
Permanent, due to the economy	0	1	0	1	0	0	0	0	0
Unrelated to the economy	0	5	0	3	1	0	0	0	3
Not at all	0	1	0	0	0	0	0	0	0

**Total dollars awarded per grant**

Temporary, due to the economy	1	0	2	1	0	1	0	1	0
Permanent, due to the economy	0	1	0	0	0	0	0	0	0
Unrelated to the economy	0	1	0	2	1	0	0	1	2
Not at all	0	0	0	0	0	0	0	0	0

Appendix: Grantmaking Practices by Foundation Type

	Less than \$10 million		\$10 million - \$50 million		\$50 million - \$100 million		\$100 million - \$400 million		Greater than \$400 million	
	Reduced	Increased	Reduced	Increased	Reduced	Increased	Reduced	Increased	Reduced	Increased
<b>Total dollars for multi-year awards</b>										
Temporary, due to the economy	1	0	1	0	0	0	0	0	0	0
Permanent, due to the economy	0	0	0	0	0	0	0	0	0	0
Unrelated to the economy	0	0	0	4	1	0	0	2	0	3
Not at all	0	0	0	0	0	0	0	0	0	0
<b>Total number of multi-year awards</b>										
Temporary, due to the economy	0	0	0	0	0	0	0	0	0	0
Permanent, due to the economy	1	0	1	0	0	0	0	0	0	0
Unrelated to the economy	0	0	0	4	0	1	0	1	0	2
Not at all	0	0	0	1	0	0	0	0	0	0
<b>Total dollars for general operating support grants</b>										
Temporary, due to the economy	1	0	2	1	0	0	0	0	0	0
Permanent, due to the economy	0	0	0	0	0	0	0	1	1	0
Unrelated to the economy	0	4	0	2	1	0	0	1	0	2
Not at all	0	1	0	0	0	0	0	0	0	0
<b>Total number of general operating support grants</b>										
Temporary, due to the economy	1	0	2	1	0	0	1	0	0	0
Permanent, due to the economy	0	0	0	0	0	0	1	0	0	0
Unrelated to the economy	0	2	0	2	1	0	0	0	0	0
Not at all	0	1	0	0	0	0	0	0	0	1
<b>Total dollars for grantee capacity building</b>										
Temporary, due to the economy	0	0	2	0	0	0	1	0	0	0
Permanent, due to the economy	0	0	0	0	0	0	0	0	0	0
Unrelated to the economy	2	0	0	0	0	1	0	2	0	2
Not at all	0	0	0	0	0	0	0	0	0	0

	Less than \$10 million		\$10 million - \$50 million		\$50 million - \$100 million		\$100 million - \$400 million		Greater than \$400 million	
	Reduced	Increased	Reduced	Increased	Reduced	Increased	Reduced	Increased	Reduced	Increased
<b>Total dollars for grantee evaluation activities</b>										
Temporary, due to the economy	1	0	0	0	0	0	0	0	0	0
Permanent, due to the economy	0	0	0	0	0	0	0	0	0	0
Unrelated to the economy	0	0	0	1	0	1	0	2	0	2
Not at all	0	0	0	0	0	0	0	0	0	0
<b>Grantee application and/or reporting</b>										
Temporary, due to the economy	0	0	1	1	0	0	0	0	0	0
Permanent, due to the economy	0	0	0	0	0	0	0	0	0	0
Unrelated to the economy	0	3	0	1	0	0	0	1	1	1
Not at all	0	0	0	0	0	0	0	0	0	1
<b>Grant cycles and turnaround time</b>										
Temporary, due to the economy	0	0	1	0	0	0	0	0	0	0
Permanent, due to the economy	0	0	0	1	0	0	0	0	0	0
Unrelated to the economy	2	1	0	1	0	1	0	0	0	0
Not at all	0	0	0	0	0	0	0	1	1	0
<b>Strategies to improve grantee cash flow (e.g. loans, access to lines of credit, stop-gap funding)</b>										
Temporary, due to the economy	0	0	0	0	0	0	0	0	0	0
Permanent, due to the economy	0	0	0	0	0	0	0	0	0	0
Unrelated to the economy	1	1	0	1	0	0	0	1	0	2
Not at all	0	0	0	0	0	0	0	0	0	1
<b>Foundation overhead costs (e.g. staffing, occupancy, travel)</b>										
Temporary, due to the economy	0	0	0	0	0	0	0	0	0	0
Permanent, due to the economy	1	0	0	0	0	0	0	2	0	0
Unrelated to the economy	1	2	0	3	0	1	0	1	0	2
Not at all	0	1	0	0	0	0	0	0	0	0



Appendix: Grantmaking Practices by Foundation Type

	Less than \$10 million		\$10 million - \$50 million		\$50 million - \$100 million		\$100 million - \$400 million		Greater than \$400 million		All respondents	
	N	%	N	%	N	%	N	%	N	%	N	%

The remainder of the survey asks you to comment on your grantmaking practices, in general, during the past three fiscal years

**8. During the past three fiscal years, how often did your organisation make MULTI-YEAR grants of two years or longer?** (Please note: For the purposes of this survey, a multi-year grantee would not be expected to reapply for funding each year of the grant period.) Rough estimates are fine.

Never	7	38.9%	4	40.0%	1	50.0%	1	20.0%	1	20.0%	14	35.0%
Rarely	6	33.3%	2	20.0%	0	0.0%	2	40.0%	2	40.0%	12	30.0%
Sometimes	3	16.7%	2	20.0%	0	0.0%	1	20.0%	1	20.0%	7	17.5%
Often	1	5.6%	1	10.0%	1	50.0%	1	20.0%	1	20.0%	5	12.5%
Almost always/Always	1	5.6%	1	10.0%	0	0.0%	0	0.0%	0	0.0%	2	5.0%

**9. In determining your foundation's strategy for multiyear grants, which of the following influenced your decision to NEVER or RARELY fund multi-year grants?** (Please check all that apply).

Desire to decrease grantee dependency on the foundation	1	7.7%	3	37.5%	0	0.0%	0	0.0%	0	0.0%	4	12.5%
Limited funds	6	46.2%	3	37.5%	1	100.0%	1	20.0%	2	40.0%	13	40.6%
Desire to remain flexible	4	30.8%	2	25.0%	0	0.0%	3	60.0%	1	20.0%	10	31.3%
Other	2	15.4%	0	0.0%	0	0.0%	1	20.0%	2	40.0%	5	15.6%

**10. In determining your foundation's strategy for multi-year grants, which of the following influenced your decision to SOMETIMES, OFTEN, or ALMOST ALWAYS/ALWAYS fund multi-year grants?** (Please check all that apply).

In support of the ongoing implementation of a successful project	5	27.8%	4	40.0%	1	50.0%	2	40.0%	2	40.0%	14	35.0%
In support of a launch of a new project (e.g., seed funding)	3	16.7%	4	40.0%	1	50.0%	0	0.0%	2	40.0%	10	25.0%
In support of a grantee in tough times, reliable funding	0	0.0%	1	10.0%	0	0.0%	1	20.0%	1	20.0%	3	7.5%
To reduce grantee fundraising costs	0	0.0%	1	10.0%	1	50.0%	1	20.0%	0	0.0%	3	7.5%
Other	0	0.0%	0	0.0%	1	50.0%	1	20.0%	0	0.0%	2	5.0%

	Less than \$10 million		\$10 million - \$50 million		\$50 million - \$100 million		\$100 million - \$400 million		Greater than \$400 million		All respondents	
	N	%	N	%	N	%	N	%	N	%	N	%

**11. During the past three fiscal years, approximately what proportion of your organisation's annual grantmaking budget was devoted to general operating support grants (also known as unrestricted grants, core operating grants or general purpose grants)?** Rough estimates are fine.

**Note:** For the purposes of this survey, exclude grants that build overhead costs into a project, are designated solely for capacity building or are designated solely for capital expenses (e.g. facilities and equipment).

Mean/Median	30.89	22.50	16.80	0.00	26.50	26.50	37.00	30.00	47.40	50.00	29.98	28.50
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**12. During the past three fiscal years, how often did your organisation invest in GENERAL OPERATING SUPPORT GRANTS? (Rough estimates are fine).**

Never	5	27.8%	4	40.0%	0	0.0%	0	0.0%	0	0.0%	9	22.5%
Rarely	4	22.2%	1	10.0%	1	50.0%	0	0.0%	0	0.0%	6	15.0%
Sometimes	3	16.7%	3	30.0%	1	50.0%	2	40.0%	2	40.0%	11	27.5%
Often	4	22.2%	1	10.0%	0	0.0%	2	40.0%	3	60.0%	10	25.0%
Almost always/Always	2	11.1%	1	10.0%	0	0.0%	1	20.0%	0	0.0%	4	10.0%

**13. In determining your foundation's strategy related to general operating support, which of the following influenced your decision to NEVER or RARELY fund general operating support? (Please check all that apply).**

Prefer specific accountability/deliverables by grantees	4	22.2%	4	40.0%	0	0.0%	0	0.0%	2	40.0%	10	25.0%
Too hard to assess impact of grant	1	5.6%	0	0.0%	1	50.0%	0	0.0%	2	40.0%	4	10.0%
Lack of familiarity with grantees	3	16.7%	0	0.0%	0	0.0%	0	0.0%	1	20.0%	4	10.0%
Trust or foundation policy	4	22.2%	4	40.0%	1	50.0%	1	20.0%	0	0.0%	10	25.0%
Do not want to make grantees overly reliant on the foundation	5	27.8%	1	10.0%	0	0.0%	1	20.0%	2	40.0%	9	22.5%
Very few requests/needs by grantees	5	27.8%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	5	12.5%
Other	2	11.1%	3	30.0%	1	50.0%	2	40.0%	1	20.0%	9	22.5%

Appendix: Grantmaking Practices by Foundation Type

	Less than \$10 million		\$10 million - \$50 million		\$50 million - \$100 million		\$100 million - \$400 million		Greater than \$400 million		All respondents	
	N	%	N	%	N	%	N	%	N	%	N	%
<b>14. In determining your foundation's strategy related to general operating support, which of the following influenced your decision to SOMETIMES, OFTEN, or ALMOST ALWAYS/ALWAYS fund general operating support grants? (Please check all that apply).</b>												
Provide flexibility, stability/capacity to the grantee organisation in tough times	1	5.6%	2	20.0%	0	0.0%	2	40.0%	1	20.0%	6	15.0%
Grantee has proven results, enhance impact	2	11.1%	1	10.0%	0	0.0%	2	40.0%	2	40.0%	7	17.5%
Invest in or support the overall grantee mission	2	11.1%	2	20.0%	0	0.0%	2	40.0%	2	40.0%	8	20.0%
Reduce grantmaking costs	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Seed new organisation or innovation, foster risk-taking	2	11.1%	0	0.0%	0	0.0%	1	20.0%	1	20.0%	4	10.0%
Allow for advocacy programming	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Other	0	0.0%	1	10.0%	0	0.0%	0	0.0%	0	0.0%	1	2.5%

**15. During the past three fiscal years, did your organisation support capacity-building (including leadership development) activities among your grantees? Note:** For the purposes of this survey capacity building and leadership development activities are defined as the process of strengthening an organisation in order to improve its performance and impact. Please only include general operating support grants if they included a specific capacity-building objective.

Yes	7	38.9%	5	50.0%	1	50.0%	5	100.0%	4	80.0%	22	55.0%
No	11	61.1%	5	50.0%	1	50.0%	0	0.0%	1	20.0%	18	45.0%

**16. When your organisation supports capacity-building (including leadership development) activities among your grantees, how often do you fund the following?**

Leadership and/or management skills for grantee staff	Never	Rarely	Sometimes	Often	Always			
Never	2	33.3%	0	0.0%	0	0.0%	2	9.5%
Rarely	1	16.7%	4	80.0%	1	100.0%	2	40.0%
Sometimes	2	33.3%	1	20.0%	0	0.0%	1	20.0%
Often	1	16.7%	0	0.0%	0	0.0%	2	40.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%
							3	75.0%
							1	25.0%
							0	0.0%
							8	38.1%
							7	33.3%
							4	19.0%
							0	0.0%

	Less than \$10 million		\$10 million - \$50 million		\$50 million - \$100 million		\$100 million - \$400 million		Greater than \$400 million		All respondents	
	N	%	N	%	N	%	N	%	N	%	N	%
<b>Succession planning/leadership transitions</b>												
Never	4	80.0%	3	60.0%	0	0.0%	2	50.0%	0	0.0%	9	47.4%
Rarely	1	20.0%	2	40.0%	1	100.0%	1	25.0%	1	25.0%	6	31.6%
Sometimes	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	50.0%	2	10.5%
Often	0	0.0%	0	0.0%	0	0.0%	1	25.0%	1	25.0%	2	10.5%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Budgeting and financial management</b>												
Never	2	33.3%	2	40.0%	0	0.0%	0	0.0%	1	25.0%	5	25.0%
Rarely	1	16.7%	3	60.0%	0	0.0%	2	50.0%	1	25.0%	7	35.0%
Sometimes	3	50.0%	0	0.0%	1	100.0%	1	25.0%	1	25.0%	6	30.0%
Often	0	0.0%	0	0.0%	0	0.0%	1	25.0%	1	25.0%	2	10.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Fund development, strategic fundraising</b>												
Never	2	40.0%	1	20.0%	0	0.0%	0	0.0%	2	50.0%	5	27.8%
Rarely	1	20.0%	3	60.0%	0	0.0%	2	66.7%	0	0.0%	6	33.3%
Sometimes	2	40.0%	1	20.0%	1	100.0%	0	0.0%	2	50.0%	6	33.3%
Often	0	0.0%	0	0.0%	0	0.0%	1	33.3%	0	0.0%	1	5.6%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Evaluation capacity</b>												
Never	3	60.0%	1	20.0%	0	0.0%	0	0.0%	1	25.0%	5	25.0%
Rarely	0	0.0%	3	60.0%	0	0.0%	1	20.0%	1	25.0%	5	25.0%
Sometimes	2	40.0%	1	20.0%	0	0.0%	3	60.0%	1	25.0%	7	35.0%
Often	0	0.0%	0	0.0%	1	100.0%	1	20.0%	1	25.0%	3	15.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

Appendix: Grantmaking Practices by Foundation Type

	Less than \$10 million		\$10 million - \$50 million		\$50 million - \$100 million		\$100 million - \$400 million		Greater than \$400 million		All respondents	
	N	%	N	%	N	%	N	%	N	%	N	%
<b>Volunteer management</b>												
Never	2	40.0%	1	20.0%	0	0.0%	1	25.0%	0	0.0%	4	21.1%
Rarely	0	0.0%	3	60.0%	1	100.0%	1	25.0%	0	0.0%	5	26.3%
Sometimes	2	40.0%	1	20.0%	0	0.0%	0	0.0%	2	50.0%	5	26.3%
Often	1	20.0%	0	0.0%	0	0.0%	2	50.0%	2	50.0%	5	26.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Communications and media relations</b>												
Never	4	80.0%	2	40.0%	0	0.0%	1	33.3%	0	0.0%	7	38.9%
Rarely	0	0.0%	1	20.0%	0	0.0%	1	33.3%	1	25.0%	3	16.7%
Sometimes	1	20.0%	2	40.0%	1	100.0%	0	0.0%	3	75.0%	7	38.9%
Often	0	0.0%	0	0.0%	0	0.0%	1	33.3%	0	0.0%	1	5.6%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Strategies for management of growth</b>												
Never	2	40.0%	2	40.0%	0	0.0%	0	0.0%	0	0.0%	4	22.2%
Rarely	1	20.0%	3	60.0%	1	100.0%	2	66.7%	1	25.0%	8	44.4%
Sometimes	2	40.0%	0	0.0%	0	0.0%	0	16.7%	1	25.0%	3	16.7%
Often	0	0.0%	0	0.0%	0	0.0%	1	16.7%	2	50.0%	3	16.7%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Technology and information system development</b>												
Never	2	40.0%	1	20.0%	0	0.0%	1	33.3%	0	0.0%	4	22.2%
Rarely	1	20.0%	1	20.0%	0	0.0%	0	0.0%	2	50.0%	4	22.2%
Sometimes	2	40.0%	3	60.0%	1	100.0%	1	33.3%	2	50.0%	9	50.0%
Often	0	0.0%	0	0.0%	0	0.0%	1	33.3%	0	0.0%	1	5.6%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

	Less than \$10 million		\$10 million - \$50 million		\$50 million - \$100 million		\$100 million - \$400 million		Greater than \$400 million		All respondents	
	N	%	N	%	N	%	N	%	N	%	N	%
<b>Board development</b>												
Never	4	66.7%	2	40.0%	0	0.0%	0	0.0%	1	25.0%	7	35.0%
Rarely	1	16.7%	1	20.0%	1	100.0%	1	25.0%	1	25.0%	5	25.0%
Sometimes	1	16.7%	2	40.0%	0	0.0%	2	50.0%	1	25.0%	6	30.0%
Often	0	0.0%	0	0.0%	0	0.0%	1	25.0%	1	25.0%	2	10.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Advocacy capacity</b>												
Never	4	80.0%	2	40.0%	0	0.0%	1	33.3%	1	25.0%	8	44.4%
Rarely	0	0.0%	0	0.0%	1	100.0%	1	33.3%	2	50.0%	4	22.2%
Sometimes	1	20.0%	3	60.0%	0	0.0%	0	0.0%	1	25.0%	5	27.8%
Often	0	0.0%	0	0.0%	0	0.0%	1	33.3%	0	0.0%	1	5.6%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Other</b>												
Never	1	50.0%	1	100.0%	0	0.0%	0	0.0%	0	0.0%	2	66.7%
Rarely	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Sometimes	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Often	1	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	33.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

<b>17. How often did your organisation do the following during the past three fiscal years? (Check the most appropriate box for each item).</b>												
<b>Sought advice from a grantee advisory committee about policies, practices or programme areas</b>												
Never	9	50.0%	4	40.0%	2	100.0%	3	60.0%	0	0.0%	18	45.0%
Rarely	1	5.6%	4	40.0%	0	0.0%	1	20.0%	2	40.0%	8	20.0%
Sometimes	6	33.3%	1	10.0%	0	0.0%	1	20.0%	2	40.0%	10	25.0%
Often	1	5.6%	1	10.0%	0	0.0%	0	0.0%	1	20.0%	3	7.5%
Always	1	5.6%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	2.5%
<b>Invited grantees to address board members</b>												
Never	7	38.9%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	7	17.5%
Rarely	5	27.8%	4	40.0%	2	100.0%	2	40.0%	2	40.0%	15	37.5%
Sometimes	2	11.1%	4	40.0%	0	0.0%	2	40.0%	2	40.0%	10	25.0%
Often	4	22.2%	1	10.0%	0	0.0%	1	20.0%	1	20.0%	7	17.5%
Always	0	0.0%	1	10.0%	0	0.0%	0	0.0%	0	0.0%	1	2.5%
<b>Sought external input on grant proposals from representatives of recipient communities or grantees</b>												
Never	6	33.3%	0	0.0%	1	50.0%	0	0.0%	0	0.0%	7	17.5%
Rarely	4	22.2%	1	10.0%	0	0.0%	2	40.0%	1	20.0%	8	20.0%
Sometimes	5	27.8%	5	50.0%	1	50.0%	3	60.0%	4	80.0%	18	45.0%
Often	3	16.7%	3	30.0%	0	0.0%	0	0.0%	0	0.0%	6	15.0%
Always	0	0.0%	1	10.0%	0	0.0%	0	0.0%	0	0.0%	1	2.5%
<b>Sought external input on trust or foundation strategy from representatives of recipient communities grantees</b>												
Never	6	33.3%	0	0.0%	1	50.0%	0	0.0%	0	0.0%	7	17.5%
Rarely	4	22.2%	1	10.0%	0	0.0%	2	40.0%	1	20.0%	8	20.0%
Sometimes	5	27.8%	5	50.0%	1	50.0%	3	60.0%	4	80.0%	18	45.0%
Often	3	16.7%	3	30.0%	0	0.0%	0	0.0%	0	0.0%	6	15.0%
Always	0	0.0%	1	10.0%	0	0.0%	0	0.0%	0	0.0%	1	2.5%
<b>Delegated funding decision-making power to representatives of recipient communities or grantees</b>												
Never	13	72.2%	7	70.0%	2	100.0%	3	60.0%	4	80.0%	29	72.5%
Rarely	2	11.1%	1	10.0%	0	0.0%	1	20.0%	0	0.0%	4	10.0%
Sometimes	3	16.7%	1	10.0%	0	0.0%	1	20.0%	0	0.0%	5	12.5%
Often	0	0.0%	1	10.0%	0	0.0%	0	0.0%	1	20.0%	2	5.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

<b>Assessed the needs of the communities or fields served (e.g., surveys, interviews, focus groups).</b>												
Never	10	55.6%	3	30.0%	1	50.0%	0	0.0%	0	0.0%	14	35.0%
Rarely	4	22.2%	2	20.0%	1	50.0%	1	20.0%	1	20.0%	9	22.5%
Sometimes	3	16.7%	4	40.0%	0	0.0%	2	40.0%	4	80.0%	13	32.5%
Often	1	5.6%	1	10.0%	0	0.0%	2	40.0%	0	0.0%	4	10.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

**18. How often did your organisation do the following during the past three fiscal years? (Check the most appropriate box for each item).**

<b>Funded the replication of projects in new locales</b>												
Never	14	77.8%	3	30.0%	1	50.0%	0	0.0%	0	0.0%	18	45.0%
Rarely	3	16.7%	4	40.0%	0	0.0%	2	40.0%	1	20.0%	10	25.0%
Sometimes	1	5.6%	2	20.0%	1	50.0%	3	60.0%	4	80.0%	11	27.5%
Often	0	0.0%	1	10.0%	0	0.0%	0	0.0%	0	0.0%	1	2.5%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

<b>Funded the dissemination of a new idea or innovation through communications, marketing and distribution</b>												
Never	12	66.7%	6	60.0%	1	50.0%	0	0.0%	1	20.0%	20	50.0%
Rarely	2	11.1%	3	30.0%	0	0.0%	2	40.0%	0	0.0%	7	17.5%
Sometimes	3	16.7%	0	0.0%	0	0.0%	2	40.0%	2	40.0%	7	17.5%
Often	1	5.6%	1	10.0%	1	50.0%	1	20.0%	2	40.0%	6	15.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

<b>Funded costs associated with collaboration or managing partnerships among grantees</b>												
Never	13	72.2%	2	20.0%	1	50.0%	0	0.0%	0	0.0%	16	40.0%
Rarely	2	11.1%	2	20.0%	0	0.0%	1	20.0%	2	40.0%	7	17.5%
Sometimes	3	16.7%	5	50.0%	0	0.0%	4	80.0%	1	20.0%	13	32.5%
Often	0	0.0%	1	10.0%	1	50.0%	0	0.0%	2	40.0%	4	10.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

<b>Leveraged relationships with other grantmakers to raise money so that grantees could expand their impact</b>												
Never	6	33.3%	3	30.0%	1	50.0%	0	0.0%	0	0.0%	10	25.0%
Rarely	7	38.9%	0	0.0%	0	0.0%	1	20.0%	0	0.0%	8	20.0%
Sometimes	4	22.2%	5	50.0%	1	50.0%	1	20.0%	3	60.0%	14	35.0%
Often	1	5.6%	2	20.0%	0	0.0%	3	60.0%	2	40.0%	8	20.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%



**19. During the past three fiscal years, when you made a grant/series of grants that proved to be less than successful, how often was the failure due to the following?** (Check the most appropriate box for each item).

Foundation strategy/program design flaw	6	35.3%	3	30.0%	0	0.0%	1	25.0%	0	0.0%	10	26.3%
Never	6	35.3%	3	30.0%	0	0.0%	1	25.0%	0	0.0%	10	26.3%
Rarely	3	17.6%	0	0.0%	0	0.0%	2	50.0%	2	40.0%	7	18.4%
Sometimes	2	11.8%	3	30.0%	0	0.0%	0	0.0%	1	20.0%	6	15.8%
Often	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	20.0%	1	2.6%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	6	35.3%	4	40.0%	2	100.0%	1	25.0%	1	20.0%	14	36.8%
<b>Lack of stakeholder engagement</b>												
Never	5	29.4%	3	30.0%	0	0.0%	1	25.0%	1	20.0%	10	26.3%
Rarely	5	29.4%	0	0.0%	0	0.0%	1	25.0%	1	20.0%	7	18.4%
Sometimes	1	5.9%	3	30.0%	0	0.0%	1	25.0%	2	40.0%	7	18.4%
Often	0	0.0%	1	10.0%	0	0.0%	0	0.0%	1	20.0%	2	5.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	6	35.3%	3	30.0%	2	100.0%	1	25.0%	0	0.0%	12	31.6%
<b>Lack of due diligence</b>												
Never	7	41.2%	3	30.0%	0	0.0%	1	25.0%	0	0.0%	11	28.9%
Rarely	1	5.9%	2	20.0%	0	0.0%	2	50.0%	1	20.0%	6	15.8%
Sometimes	4	23.5%	2	20.0%	0	0.0%	1	25.0%	3	60.0%	10	26.3%
Often	0	0.0%	1	10.0%	0	0.0%	0	0.0%	1	20.0%	2	5.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	5	29.4%	2	20.0%	2	100.0%	0	0.0%	0	0.0%	9	23.7%
<b>Lack of grantee leadership capacity</b>												
Never	6	35.3%	1	10.0%	0	0.0%	1	20.0%	0	0.0%	8	20.5%
Rarely	2	11.8%	2	20.0%	0	0.0%	0	0.0%	1	20.0%	5	12.8%
Sometimes	3	17.6%	3	30.0%	0	0.0%	4	80.0%	2	40.0%	12	30.8%
Often	2	11.8%	1	10.0%	0	0.0%	0	0.0%	2	40.0%	5	12.8%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	4	23.5%	3	30.0%	2	100.0%	0	0.0%	0	0.0%	9	23.1%

Unavoidable environmental reasons (e.g., the economy, natural disaster)												
Never	7	41.2%	1	10.0%	0	0.0%	1	25.0%	0	0.0%	9	23.7%
Rarely	3	17.6%	4	40.0%	0	0.0%	2	50.0%	1	20.0%	10	26.3%
Sometimes	2	11.8%	1	10.0%	0	0.0%	0	0.0%	3	60.0%	6	15.8%
Often	1	5.9%	1	10.0%	0	0.0%	0	0.0%	0	0.0%	2	5.3%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	4	23.5%	3	30.0%	2	100.0%	1	25.0%	1	20.0%	11	28.9%
<b>Other</b>												
Never	1	20.0%	0	0.0%	0	0.0%	1	50.0%	0	0.0%	2	15.4%
Rarely	1	20.0%	1	33.3%	0	0.0%	0	0.0%	0	0.0%	2	15.4%
Sometimes	0	0.0%	0	0.0%	0	0.0%	1	50.0%	1	100.0%	2	15.4%
Often	0	0.0%	0	0.0%	1	50.0%	0	0.0%	0	0.0%	1	7.7%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Do Not Know	3	60.0%	2	66.7%	1	50.0%	0	0.0%	0	0.0%	6	46.2%

**20. During the past three fiscal years, did your foundation develop any strategic relationships with other entities (e.g., funders, business, government)?**

Please note: For the purposes of this survey, a strategic relationship might include pooled funding, a co-funded initiative or aligning your funding strategy with another grantmaker.

Yes	8	44%	7	70%	1	50%	5	100%	5	100%	26	65%
No	10	56%	3	30%	1	50%	0	0%	0	0%	14	35%

**21. Related to these relationships, how often were each of the following your primary motivations during the past three fiscal years? (Check the most appropriate box for each item).**

**To assess community needs**

Never	1	12.5%	1	14.3%	0	0.0%	0	0.0%	1	20.0%	3	11.5%
Rarely	0	0.0%	0	0.0%	1	100.0%	1	20.0%	0	0.0%	2	7.7%
Sometimes	2	25.0%	3	42.9%	0	0.0%	2	40.0%	1	20.0%	8	30.8%
Often	4	50.0%	2	28.6%	0	0.0%	2	40.0%	3	60.0%	11	42.3%
Always	1	12.5%	1	14.3%	0	0.0%	0	0.0%	0	0.0%	2	7.7%

**To achieve greater impact**

Never	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Rarely	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Sometimes	1	12.5%	0	0.0%	0	0.0%	0	0.0%	2	40.0%	3	11.5%
Often	5	62.5%	3	42.9%	1	100.0%	3	60.0%	3	60.0%	15	57.7%
Always	2	25.0%	4	57.1%	0	0.0%	2	40.0%	0	0.0%	8	30.8%

**To tap into the expertise of other grantmakers**

Never	2	25.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	7.7%
Rarely	0	0.0%	0	0.0%	0	0.0%	1	20.0%	1	20.0%	2	7.7%
Sometimes	2	25.0%	1	14.3%	0	0.0%	4	80.0%	1	20.0%	8	30.8%
Often	2	25.0%	4	57.1%	1	100.0%	0	0.0%	3	60.0%	10	38.5%
Always	2	25.0%	2	28.6%	0	0.0%	0	0.0%	0	0.0%	4	15.4%

<b>Lack of due diligence</b>												
Never	5	62.5%	6	85.7%	1	100.0%	3	60.0%	3	60.0%	18	69.2%
Rarely	3	37.5%	0	0.0%	0	0.0%	1	20.0%	1	20.0%	5	19.2%
Sometimes	0	0.0%	0	0.0%	0	0.0%	1	20.0%	1	20.0%	2	7.7%
Often	0	0.0%	1	14.3%	0	0.0%	0	0.0%	0	0.0%	1	3.8%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>To minimise burden on grantees</b>												
Never	3	37.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	3	11.5%
Rarely	0	0.0%	1	14.3%	0	0.0%	2	40.0%	0	0.0%	3	11.5%
Sometimes	2	25.0%	3	42.9%	0	0.0%	2	40.0%	3	60.0%	10	38.5%
Often	3	37.5%	1	14.3%	1	100.0%	1	20.0%	2	40.0%	8	30.8%
Always	0	0.0%	2	28.6%	0	0.0%	0	0.0%	0	0.0%	2	7.7%
<b>22. Related to these relationships, how often were each of the following your partners during the past three fiscal years? (Check the most appropriate box for each item).</b>												
<b>Not-for-profit organisations</b>												
Never	0	0.0%	1	14.3%	0	0.0%	0	0.0%	1	20.0%	2	7.7%
Rarely	0	0.0%	1	14.3%	0	0.0%	1	20.0%	1	20.0%	3	11.5%
Sometimes	3	37.5%	1	14.3%	1	100.0%	2	40.0%	1	20.0%	8	30.8%
Often	2	25.0%	2	28.6%	0	0.0%	2	40.0%	2	40.0%	8	30.8%
Always	3	37.5%	2	28.6%	0	0.0%	0	0.0%	0	0.0%	5	19.2%
<b>Private business/corporate philanthropies</b>												
Never	1	12.5%	2	28.6%	0	0.0%	2	40.0%	1	20.0%	6	23.1%
Rarely	0	0.0%	0	0.0%	1	100.0%	3	60.0%	0	0.0%	4	15.4%
Sometimes	3	37.5%	2	28.6%	0	0.0%	0	0.0%	4	80.0%	9	34.6%
Often	4	50.0%	2	28.6%	0	0.0%	0	0.0%	0	0.0%	6	23.1%
Always	0	0.0%	1	14.3%	0	0.0%	0	0.0%	0	0.0%	1	3.8%

Appendix: Grantmaking Practices by Foundation Type

<b>Government entities</b>												
Never	4	50.0%	3	42.9%	0	0.0%	0	0.0%	1	20.0%	8	30.8%
Rarely	1	12.5%	2	28.6%	0	0.0%	0	0.0%	0	0.0%	3	11.5%
Sometimes	3	37.5%	2	28.6%	1	100.0%	5	100.0%	4	80.0%	15	57.7%
Often	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Always	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>23. Overall, are you willing to engage in open dialogue regarding funding for...? (Please check all that apply).</b>												
Programme expansion	12	66.7%	8	80.0%	2	100.0%	3	60.0%	4	80.0%	29	72.5%
Facility needs	8	44.4%	6	60.0%	1	50.0%	4	80.0%	4	80.0%	23	57.5%
Working capital needs	4	22.2%	3	30.0%	0	0.0%	3	60.0%	2	40.0%	12	30.0%
Cash flow concerns	4	22.2%	2	20.0%	0	0.0%	3	60.0%	1	20.0%	10	25.0%
Operating reserves	2	11.1%	3	30.0%	0	0.0%	3	60.0%	1	20.0%	9	22.5%
Building reserves	1	5.6%	4	40.0%	0	0.0%	1	20.0%	0	0.0%	6	15.0%
Debt burden	0	0.0%	2	20.0%	0	0.0%	1	20.0%	0	0.0%	3	7.5%
We are not willing to have open dialogue on these topics	4	22.2%	0	0.0%	0	0.0%	0	0.0%	1	20.0%	5	12.5%
<b>24. During the past three fiscal years, on average, how long did it take for your organisation to accomplish the following? (Please estimate in days.)</b>												
<b>Mean/Median</b>												
Acknowledge receipt of funding requests	14.00	7.00	6.80	4.50	24.50	24.50	5.80	7.00	6.00	4.00	10.62	7.00
Approve a typical grant (from submission of a full proposal to notification of funding decisions)	69.82	45.00	48.20	42.00	52.50	52.50	59.80	60.00	72.00	60.00	62.38	60.00
Make the (initial) payment after a typical grant award was approved	30.29	15.00	15.30	8.50	14.50	14.50	14.25	15.00	16.40	10.00	22.00	14.00

**25. Did your organisation track this information?**

**Acknowledge receipt of funding requests**

Yes	6	33%	4	40%	2	100%	5	100%	2	40%	19	48%
No	5	28%	5	50%	0	0%	0	0%	2	40%	12	30%
Does not apply	7	39%	1	10%	0	0%	0	0%	1	20%	9	23%

**Approve a typical grant (from submission of a full proposal to notification of funding decisions)**

Yes	10	56%	6	60%	1	50%	4	80%	3	60%	24	60%
No	5	28%	3	30%	1	50%	1	20%	1	20%	11	28%
Does not apply	3	17%	1	10%	0	0%	0	0%	1	20%	5	13%

**Make the (initial) payment after a typical grant award was approved**

Yes	9	50%	4	40%	1	50%	4	80%	2	40%	20	50%
No	4	22%	5	50%	1	50%	1	20%	2	40%	13	33%
Does not apply	5	28%	1	10%	0	0%	0	0%	1	20%	7	18%

**26. How often did each of the following apply to your organisation's grantmaking processes during the past three fiscal years? (Check the most appropriate box for each item).**

**Application requirements were proportionate to size and type of grant (e.g., fewer requirements for small grants, membership dues and event sponsorships)**

Never	4	22%	1	10%	0	0%	0	0%	0	0%	5	13%
Rarely	2	11%	0	0%	0	0%	0	0%	2	40%	4	10%
Sometimes	5	28%	3	30%	0	0%	3	60%	1	20%	12	30%
Often	6	33%	5	50%	1	50%	1	20%	0	0%	13	33%
Always	1	6%	1	10%	1	50%	1	20%	2	40%	6	15%

**Renewal grant requirements were less than original requirements**

Never	6	33%	3	30%	1	50%	0	0%	2	40%	12	30%
Rarely	6	33%	2	20%	1	50%	2	40%	1	20%	12	30%
Sometimes	5	28%	2	20%	0	0%	1	20%	2	40%	10	25%
Often	0	0%	2	20%	0	0%	1	20%	0	0%	3	8%
Always	1	6%	1	10%	0	0%	1	20%	0	0%	3	8%

<b>Accepted grantee applications and reports as e-mail attachments or an uploaded document from a Web portal (e.g., pdf)</b>												
Never	4	22%	0	0%	1	50%	1	20%	0	0%	6	15%
Rarely	3	17%	2	20%	0	0%	1	20%	1	20%	7	18%
Sometimes	1	6%	2	20%	0	0%	0	0%	1	20%	4	10%
Often	5	28%	3	30%	0	0%	3	60%	2	40%	13	33%
Always	5	28%	3	30%	1	50%	0	0%	1	20%	10	25%
<b>Grantee's organisational capacity (e.g., financial and staff) was assessed as part of due diligence process</b>												
Never	4	22%	1	10%	0	0%	0	0%	0	0%	5	13%
Rarely	4	22%	0	0%	0	0%	0	0%	0	0%	4	10%
Sometimes	3	17%	0	0%	0	0%	1	20%	0	0%	4	10%
Often	4	22%	5	50%	0	0%	2	40%	3	60%	14	35%
Always	3	17%	4	40%	2	100%	2	40%	2	40%	13	33%
<b>Rationale for rejecting funding requests was explained to applicant</b>												
Never	5	28%	1	10%	1	50%	0	0%	0	0%	7	18%
Rarely	3	17%	1	10%	0	0%	1	20%	2	40%	7	18%
Sometimes	1	6%	1	10%	1	50%	0	0%	1	20%	4	10%
Often	1	6%	3	30%	0	0%	1	20%	1	20%	6	15%
Always	8	44%	4	40%	0	0%	3	60%	1	20%	16	40%
<b>27. During the past three fiscal years, did your organisation collect any information about how long it takes grantees to meet your administrative requirements (e.g., the time it takes to create proposals, monitor progress, or complete evaluations or reports)?</b>												
Yes	2	11.1%	3	30.0%	0	0.0%	0	0.0%	0	0.0%	5	12.5%
No	16	88.9%	7	70.0%	2	100.0%	5	100.0%	5	100.0%	35	87.5%
Mean	Median	Mean	Median	Mean	Median	Mean	Median	Mean	Median	Mean	Median	
<b>28. Approximately how many hours do you estimate a typical grantee spent on meeting your organisation's administrative requirements for an average grant during the past three fiscal years? (Please provide your estimates in hours. If not applicable, please write 'NA').</b>												
Proposal development and selection processes	2.00	2	20.00	20.00	0	0.00	0.00	0.00	0.00	0.00	11.00	2.00
Grant monitoring and reporting processes:	1.00	1	4.00	4.00	0	0.00	0.00	0.00	0.00	0.00	6.00	1.00
Grantee evaluation processes:	0.00	0	1.00	1.00	0	0.00	0.00	0.00	0.00	0.00	0.00	0.00

**29. How often did each of the following apply to your organisation during the past three fiscal years? (Check the most appropriate box for each item).**

**Grantee reports were...** (note: excluding "does not apply" responses)

**Used to foster learning and a useful exchange between the foundation and our grantees**

Never	5	31%	1	10%	0	0%	0	0%	0	0%	0	0%	6	17%
Rarely	3	19%	1	10%	0	0%	3	60%	2	50%	2	50%	9	25%
Sometimes	4	25%	1	10%	0	0%	2	40%	1	25%	1	25%	8	22%
Often	2	13%	4	40%	1	100%	0	0%	1	25%	1	25%	8	22%
Always	2	13%	3	30%	0	0%	0	0%	0	0%	0	0%	5	14%

**Proportionate to the size and type of the grant (e.g. a one page report requirement for a small grant or event sponsorship)**

Never	3	19%	0	0%	0	0%	0	0%	1	20%	1	20%	4	11%
Rarely	0	0%	1	10%	0	0%	2	40%	1	20%	1	20%	4	11%
Sometimes	7	44%	2	20%	0	0%	0	0%	0	0%	0	0%	9	24%
Often	2	13%	3	30%	0	0%	2	40%	2	40%	2	40%	9	24%
Always	4	25%	4	40%	1	100%	1	20%	1	20%	1	20%	11	30%

**Acknowledged within four weeks of receipt**

Never	1	6%	0	0%	0	0%	1	20%	0	0%	0	0%	2	6%
Rarely	3	19%	1	11%	0	0%	1	20%	2	40%	2	40%	7	19%
Sometimes	3	19%	1	11%	0	0%	0	0%	0	0%	0	0%	4	11%
Often	3	19%	1	11%	1	100%	1	20%	1	20%	1	20%	7	19%
Always	6	38%	6	67%	0	0%	2	40%	2	40%	2	40%	16	44%

**Read by at least one staff member**

Never	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Rarely	1	6%	0	0%	0	0%	0	0%	0	0%	0	0%	1	3%
Sometimes	1	6%	1	10%	0	0%	1	20%	0	0%	0	0%	3	8%
Often	1	6%	1	10%	0	0%	0	0%	0	0%	0	0%	2	5%
Always	13	81%	8	80%	1	100%	4	80%	5	100%	5	100%	31	84%



<b>Paid for by including appropriate overhead to cover the time spent reporting on the grant</b>												
	10	67%	7	70%	0	0	3	60%	4	80%	24	69%
Never	1	7%	0	0%	0	0	0	0%	1	20%	2	6%
Rarely	1	7%	1	10%	0	0	2	40%	0	0%	4	11%
Sometimes	1	7%	0	0%	0	0	0	0%	0	0%	1	3%
Often	2	13%	2	20%	0	0	0	0%	0	0%	4	11%

<b>30. During the past three fiscal years, did your organisation engage in either of the following activities to help evaluate or strengthen its performance? (Check all that apply).</b>												
Solicit anonymous feedback from grantees through surveys/interviews/focus groups	1	5.0%	2	14.3%	0	0.0%	1	14.3%	2	40.0%	6	12.5%
Solicit non-anonymous feedback from grantees through surveys/interviews/focus groups	2	10.0%	6	42.9%	0	0.0%	4	57.1%	3	60.0%	15	31.3%
Both	1	5.0%	2	14.3%	0	0.0%	1	14.3%	0	0.0%	4	8.3%
Neither of the above	16	80.0%	4	28.6%	2	100.0%	1	14.3%	0	0.0%	23	47.9%

<b>31. Does your organisation evaluate the work it funds?</b>												
Yes	10	55.6%	8	66.7%	1	50.0%	5	100.0%	3	60.0%	25	62.5%
No	8	44.4%	4	33.3%	1	50.0%	0	0.0%	2	40.0%	15	37.5%

<b>32. When evaluating the work that your organisation funds, how important are the following? Learn whether original objectives were achieved</b>												
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Not very	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Somewhat	2	20.0%	2	33.3%	0	0.0%	1	20.0%	1	33.3%	6	24.0%
Very	8	80.0%	4	66.7%	1	100.0%	4	80.0%	2	66.7%	19	76.0%

<b>Learn about implementation of funded work</b>										
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Not very	0	0.0%	0	0.0%	1	20.0%	0	0.0%	1	4.0%
Somewhat	2	20.0%	1	16.7%	2	40.0%	1	33.3%	6	24.0%
Very	8	80.0%	5	83.3%	2	40.0%	2	66.7%	18	72.0%
<b>Learn about outcomes of funded work</b>										
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Not very	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Somewhat	0	0.0%	1	16.7%	2	40.0%	0	0.0%	4	16.0%
Very	10	100.0%	5	83.3%	3	60.0%	3	100.0%	21	84.0%
<b>Contribute to knowledge in the field</b>										
Not at all	0	0.0%	1	16.7%	0	0.0%	0	0.0%	1	4.0%
Not very	2	20.0%	0	0.0%	0	0.0%	0	0.0%	2	8.0%
Somewhat	5	50.0%	3	50.0%	4	80.0%	0	0.0%	12	48.0%
Very	3	30.0%	2	33.3%	1	20.0%	3	100.0%	10	40.0%
<b>Strengthen organisational practices in the field</b>										
Not at all	0	0.0%	1	16.7%	0	0.0%	0	0.0%	1	4.2%
Not very	2	22.2%	0	0.0%	0	0.0%	0	0.0%	2	8.3%
Somewhat	5	55.6%	4	66.7%	1	100.0%	1	33.3%	16	66.7%
Very	2	22.2%	1	16.7%	0	0.0%	2	66.7%	5	20.8%
<b>Strengthen public policy in the field</b>										
Not at all	2	20.0%	1	16.7%	0	0.0%	1	33.3%	5	20.0%
Not very	4	40.0%	0	0.0%	1	20.0%	0	0.0%	5	20.0%
Somewhat	3	30.0%	3	50.0%	0	0.0%	2	66.7%	11	44.0%
Very	1	10.0%	2	33.3%	1	100.0%	0	0.0%	4	16.0%

Appendix: Grantmaking Practices by Foundation Type

<b>Strengthen our future grantmaking</b>										
Not at all	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Not very	1	10.0%	0	0.0%	0	0.0%	0	0.0%	1	4.0%
Somewhat	1	10.0%	3	50.0%	0	0.0%	2	40.0%	1	33.3%
Very	8	80.0%	3	50.0%	1	100.0%	3	60.0%	2	66.7%
<b>Other</b>										
Not at all	1	100.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Not very	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Somewhat	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Very	0	0.0%	1	100.0%	0	0.0%	0	0.0%	0	0.0%
<b>33. During the past two years, who in your foundation has been leading your organisation's evaluation or learning activities? (This does not mean they necessarily conducted the evaluation themselves, but rather, had responsibility for evaluation). Please select only one.</b>										
Existing programme officers assumed these responsibilities as part of their current roles	1	10.0%	1	16.7%	0	0.0%	1	20.0%	0	0.0%
Senior Trust or foundation staff (CEO, Senior staff, etc.) assumed these responsibilities as part of their current roles	9	90.0%	5	83.3%	0	0.0%	3	60.0%	1	33.3%
An evaluation, assessment or learning officer position and/or department	0	0.0%	0	0.0%	0	0.0%	1	20.0%	1	33.3%
Other	0	0.0%	0	0.0%	1	100.0%	0	0.0%	1	33.3%

<b>34. What have you done with your organisation's evaluation data during the past three fiscal years? (Check all that apply).</b>												
Planned/revise programs	3	16.7%	3	30.0%	1	50.0%	3	60.0%	2	40.0%	12	30.0%
Planned/revise strategies	4	22.2%	4	40.0%	0	0.0%	3	60.0%	2	40.0%	13	32.5%
Reported to your board on grants	8	44.4%	6	60.0%	1	50.0%	5	100.0%	2	40.0%	22	55.0%
Attempted to influence public policy or government funding choices	0	0.0%	1	10.0%	1	50.0%	1	20.0%	2	40.0%	5	12.5%
Reported to grantees/stakeholders	4	22.2%	3	30.0%	1	50.0%	4	80.0%	2	40.0%	14	35.0%
Shared findings with other grantmakers	1	5.6%	3	30.0%	1	50.0%	4	80.0%	2	40.0%	11	27.5%
We have not used evaluation findings	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Other	0	0.0%	0	0.0%	1	50.0%	0	0.0%	1	20.0%	2	5.0%

<b>35. Listed below are six potential audiences of your organisation's evaluation efforts. Please rank the six audiences in terms of order of priority (Please click and drag the audience you consider your highest priority to '1'; your next highest priority, '2' and so forth).</b>										
Grantees	2	3	4	3	3	2				
Foundation's Board of Directors	1	1	1	1	1	1				
Policy Makers	4	4	5	4	5	4				
Foundation Staff	3	2	2	2	4	3				
Other Foundations	5	5	3	5	5	5				
Others for whom results are mainly intended	6	6	6	6	6	6				

<b>44. Is the focus of your foundation's work primarily? (Check all that apply).</b>												
By field of interest (e.g. arts, education)	8	44.44%	6	60.00%	1	50.00%	0	0.00%	3	60%	18	45%
Local (e.g. community)	11	61.11%	4	40.00%	1	50.00%	3	60.00%	3	60%	22	55%
Regional (e.g. state, or multi-state)	5	27.78%	4	40.00%	0	0.00%	4	80.00%	3	60%	16	40%
National	5	27.78%	4	40.00%	1	50.00%	0	0.00%	1	20%	11	28%
International	1	5.56%	0	0.00%	0	0.00%	0	0.00%	0	0%	1	3%
Urban	0	0.00%	2	20.00%	0	0.00%	0	0.00%	2	40%	4	10%
Suburban	1	5.56%	2	20.00%	0	0.00%	0	0.00%	1	20%	4	10%
Rural	0	0.00%	2	20.00%	0	0.00%	0	0.00%	2	40%	4	10%
Other	2	11.11%	1	10.00%	0	0.00%	0	0.00%	0	0%	3	8%
<b>45. How many individuals currently serve on your organisation's Board of Directors?</b>	<b>Mean/Median</b>	<b>5.78</b>	<b>6.00</b>	<b>8.60</b>	<b>7.50</b>	<b>11.00</b>	<b>11.00</b>	<b>10.80</b>	<b>12.00</b>	<b>9.00</b>	<b>7.78</b>	<b>7.00</b>
<b>46. Please indicate how many of the following types of individuals are represented on your organisation's Board of Directors. (For example, if you have two representatives from grantee organisations on your Board, please write '2' beside "Grantee representatives." If none please write '0'.)</b>	<b>Mean/Median</b>											
Grantee representative	0.22	0.00	0.80	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.30	0.00
Representatives from other nonprofits	0.17	0.00	1.50	0.00	0.00	0.00	2.40	0.00	0.00	0.20	0.78	0.03
Representatives from recipient communities.	1.67	0.00	2.90	2.50	0.00	0.00	9.60	12.00	4.80	5.00	3.28	0.50

## Appendix C - Grantmaking Practices Survey – 2013



Philanthropy New Zealand  
Tōpūtanga Tuku Aroha o Aotearoa

### Grantmaking Practices Survey – 2013

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**Instructions:** This survey should take you no longer than 20 minutes to complete. It should be completed by the CEO or Executive Director, or, if none, by the person most responsible for the organisation's overall management. This survey is entirely confidential. None of your responses will be attributed to you or your organisation. Community Trust or foundation respondents should refer to their discretionary grantmaking (i.e., not donor-advised funds) in this survey.

**Please note:** Some responses will result in skipping one or two questions; this is a design feature of the survey. By providing a full response to questions 1-5, you will be provided with access to the final published report after this study is complete. By completing the entire survey, you will be able to compare your responses with the results of the national study. Without these data, we will not be able to provide you with the final report or comparative data.

This survey will be used to gain a picture of current New Zealand grantmaking practice, and will be used as the basis for undertaking research in this area. By completing this survey you agree to your anonymised data being used within this research.

### Respondent Information

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1. What is your Name? \_\_\_\_\_

2. What is your organisation name? \_\_\_\_\_

3. What is your Position or Title

CEO, Executive Director:

Trustee, Board member:

Other (please specify): \_\_\_\_\_

4. Would you like a copy of the final report from this Field Study?

Yes

No

5. What email address shall we notify you of the availability of the data?

\_\_\_\_\_

## Changes in Grantmaking in Response to the Economy

**6. & 7. During the past three fiscal years, in what ways did your grantmaking practices change?** (If you do not make multi-year awards, please indicate 'did not change' in question 6).

	6. During the last three fiscal years, our trust/foundation...					7. If changed, is the change...			
	Reduced a lot	Reduced slightly	Did not change	Increased slightly	Increased a lot	Temporary, due to economy	Permanent, due to the economy	Unrelated to the economy	Not applicable
Percentage of endowment paid out	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Total dollars awarded	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Total dollars awarded per grant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Total dollars for multi-year awards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Total number of multi-year awards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Total dollars for general operating support	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Total number of general operating support awards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Total dollars for grantee capacity building	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Total dollars for grantee evaluation activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Grantee application, reporting requirements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Grant cycles and turnaround time	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Financial strategies to improve grantee cash flow (e.g., loans, access to lines of credit, stop-gap funding, accelerated pay-out)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Foundation overhead costs (e.g., staffing, occupancy, travel)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify):	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Types of Grant Support

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The remainder of the survey asks you to comment on your grantmaking practices, in general, during the past three fiscal years (2010-11, 2011-12, and 2012-13).

**8. During the past three fiscal years, how often did your organisation make MULTI-YEAR grants of two years or longer?**

**Please note:** For the purposes of this survey, a multiyear grantee would not be expected to reapply for funding each year of the grant period. (Rough estimates are fine.)

- Never (0%)
- Rarely (1%-25%)
- Sometimes (26%-50%)
- Often (51%-75%)
- Almost always/Always (75%+)

**9. In determining your foundation's strategy for multi-year grants, which of the following influenced your decision to NEVER or RARELY fund multiyear grants? (Please check all that apply).**

- Desire to decrease grantee dependency on the foundation
- Limited funds
- Desire to remain flexible
- Other (please specify) \_\_\_\_\_

**10. In determining your foundation's strategy for multi-year grants, which of the following influenced your decision to SOMETIMES, OFTEN, or ALMOST ALWAYS/ALWAYS fund multiyear grants? (Please check all that apply).**

- In support of the ongoing implementation of a successful project
- In support of a launch of a new project (e.g., seed funding)
- In support of a grantee in tough times, reliable funding
- To reduce grantee fundraising costs
- Other (please specify) \_\_\_\_\_

**11. During the past three fiscal years, approximately what proportion of your organisation's annual grantmaking budget was devoted to general operating support grants (also known as unrestricted grants, core operating grants or general purpose grants)? Rough estimates are fine.**

**Note:** For the purposes of this survey, *exclude* grants that build overhead costs into a project, are *designated solely* for capacity building or are *designated solely* for capital expenses (e.g. facilities and equipment).

Percentage of grant dollars (if none, please enter '0'): \_\_\_\_\_%

**12. During the past three fiscal years, how often did your organisation invest in GENERAL OPERATING SUPPORT GRANTS? (Rough estimates are fine).**

- Never (0%)
- Rarely (1%-25%)
- Sometimes (26%-50%)
- Often (51%-75%)
- Almost always/Always (75%+)



**13. In determining your foundation’s strategy related to general operating support, which of the following influenced your decision to NEVER or RARELY fund general operating support? (Please check all that apply).**

- Prefer specific accountability/deliverables by grantees
- Too hard to assess impact of grant
- Lack of familiarity with grantees
- Trust or foundation policy
- Do not want to make grantees overly reliant on the foundation
- Very few requests/needs by grantees
- Other (Please specify): \_\_\_\_\_

**14. In determining your foundation’s strategy related to general operating support, which of the following influenced your decision to SOMETIMES, OFTEN, or ALMOST ALWAYS/ALWAYS fund general operating support grants? (Please check all that apply).**

- Provide flexibility, stability/capacity to the grantee organisation in tough times
- Grantee has proven results, enhance impact
- Invest in or support the overall grantee mission
- Reduce grantmaking costs
- Seed new organisation or innovation, foster risk-taking
- Allow for advocacy programming
- Other (Please specify): \_\_\_\_\_

**15. During the past three fiscal years, did your organisation support capacity-building (including leadership development) activities among your grantees?**

**Please note:** For the purposes of this survey capacity building and leadership development activities are defined as the process of strengthening an organisation in order to improve its performance and impact. Please only include general operating support grants if they included a specific capacity-building objective.

- Yes
- No

**16. When your organisation supports capacity-building (including leadership development) activities among your grantees, how often do you fund the following? (Check the most appropriate box for each item).**

	Never	Rarely	Sometimes	Often	Always
Leadership and/or management skills for grantee staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Succession planning/leadership transitions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Budgeting and financial management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fund development, strategic fundraising	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evaluation capacity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Volunteer management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Communications and media relations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Strategies for management of growth	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Technology and information system development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Board development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Advocacy capacity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify):	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Grantmaking Practices

17. How often did your organisation do the following during the past three fiscal years? (Check the most appropriate box for each item).

	Never	Rarely	Sometimes	Often	Always
Sought advice from a grantee advisory committee about policies, practices or program areas	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Invited grantees to address board members	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sought external input on grant proposals from representatives of recipient communities or grantees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sought external input on trust or foundation strategy from representatives of recipient communities grantees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Delegated funding decision-making power to representatives of recipient communities or grantees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assessed the needs of the communities or fields served (e.g., surveys, interviews, focus groups).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

18. How often did your organisation do the following during the past three fiscal years? (Check the most appropriate box for each item).

	Never	Rarely	Sometimes	Often	Always
Funded the replication of projects in new locales	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Funded the dissemination of a new idea or innovation through communications, marketing and distribution	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Funded costs associated with collaboration or managing partnerships among grantees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leveraged relationships with other grantmakers to raise money so that grantees could expand their impact	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**19. During the past three fiscal years, when you made a grant/series of grants that proved to be less than successful, how often was the failure due to the following? (Check the most appropriate box for each item).**

	Never	Rarely	Sometimes	Often	Always	Do not know
Foundation strategy/program design flaw	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Lack of stakeholder engagement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Lack of due diligence	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Lack of grantee leadership capacity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Unavoidable environmental reasons (e.g., the economy, natural disaster)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify):	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**20. During the past three fiscal years, did your foundation develop any strategic relationships with other entities (e.g. funders, business, government)?**

**Please note:** For the purposes of this survey, a strategic relationship might include pooled funding, a co-funded initiative or aligning your funding strategy with another grantmaker.

- Yes  
 No

**21. Related to these relationships, how often were each of the following your primary motivations during the past three fiscal years? (Check the most appropriate box for each item).**

	Never	Rarely	Sometimes	Often	Always
To assess community needs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To achieve greater impact	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To tap into the expertise of other grantmakers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Lack of due diligence	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To minimise burden on grantees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**22. Related to these relationships, how often were each of the following your partners during the past three fiscal years? (Check the most appropriate box for each item).**

	Never	Rarely	Sometimes	Often	Always
Not-for-profit organisations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Private business/corporate philanthropies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Government entities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**23. Overall, are you willing to engage in open dialogue regarding funding for...? (Please check all that apply).**

- Programme expansion
- Facility needs
- Working capital needs
- Cash flow concerns
- Operating reserves
- Building reserves
- Debt burden
- We are not willing to have open dialogue on these topics
- Other (Please specify): \_\_\_\_\_

## Foundation Processes, Administrative Requirements and Reporting Procedures

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**24. During the past three fiscal years, on average, how long did it take for your organisation to accomplish the following?**

**25. Did your organisation track this information?**

		Yes	No	Does not Apply
Acknowledge receipt of funding requests:	Days:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Approve a typical grant (from submission of a full proposal to notification of funding decisions)	Days:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Make the (initial) payment after a typical grant award was approved	Days:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**26. How often did each of the following apply to your organisation's grantmaking processes during the past three fiscal years? (Check the most appropriate box for each item)**

	Never	Rarely	Sometimes	Often	Always
Application requirements were proportionate to size and type of grant (e.g., fewer requirements for small grants, membership dues and event sponsorships)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Renewal grant requirements were less than original requirements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Accepted grantee applications and reports as e-mail attachments or an uploaded document from a Web portal (e.g., pdf)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Grantee's organisational capacity (e.g., financial and staff) was assessed as part of due diligence process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Rationale for rejecting funding requests was explained to applicant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**27. During the past three fiscal years, did your organisation collect any information about how long it takes grantees to meet your administrative requirements (e.g., the time it takes to create proposals, monitor progress, or complete evaluations or reports)?**

- Yes
- No

**28. Approximately how many hours do you estimate a typical grantee spent on meeting your organisation’s administrative requirements for an average grant during the past three fiscal years?** (Please provide your estimates in hours. If not applicable, please write ‘NA’).

	Estimated time spent
a. Proposal development and selection processes:	Hours:
b. Grant monitoring and reporting processes:	Hours:
c. Grantee evaluation processes:	Hours:

**29. How often did each of the following apply to your organisation during the past three fiscal years?** (Check the most appropriate box for each item).

**Grantee reports were...**

	Never	Rarely	Sometimes	Often	Always	Does not apply
Used to foster learning and a useful exchange between the foundation and our grantees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Proportionate to the size and type of the grant (e.g. a one page report requirement for a small grant or event sponsorship)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Acknowledged within four weeks of receipt	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Read by at least one staff member	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Paid for by including appropriate overhead to cover the time spent reporting on the grant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Evaluation

**30. During the past three fiscal years, did your organisation engage in either of the following activities to help evaluate or strengthen its performance?** (Check all that apply).

- Solicit anonymous feedback from grantees through surveys/interviews/focus groups
- Solicit non-anonymous feedback from grantees through surveys/interviews/focus groups
- Neither of the above

**31. Does your organisation evaluate the work it funds?**

**Please note:** For the purposes of this survey, evaluation is defined as the systematic process of asking questions, collecting information and using the information to answer those questions.

- Yes
- No

**32. When evaluating the work that your organisation funds, how important are the following?**

	Not at all	Not Very	Somewhat	Very
Learn whether original objectives were achieved	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Learn about implementation of funded work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Learn about outcomes of funded work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Contribute to knowledge in the field	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Strengthen organisational practices in the field	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Strengthen public policy in the field	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Strengthen our future grantmaking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify):	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**33. During the past two years, who in your foundation has been leading your organisation's evaluation or learning activities?** (This does not mean they necessarily conducted the evaluation themselves, but rather, had responsibility for evaluation). *Please select only one.*

- Existing program officers assumed these responsibilities as part of their current roles
- Senior Trust or foundation staff (CEO, Senior staff, etc.) assumed these responsibilities as part of their current roles
- An evaluation, assessment or learning officer position and/or department
- Other (Please specify): \_\_\_\_\_

**34. What have you done with your organisation's evaluation data during the past three fiscal years?** (Check all that apply).

- Planned/ revised programs
- Planned/ revised strategies
- Reported to your board on grants
- Attempted to influence public policy or government funding choices
- Reported to grantees/ stakeholders
- Shared findings with other grantmakers
- We have not used evaluation findings
- Other (Please specify) : \_\_\_\_\_

**35. Listed below are six potential audiences of your organisation's evaluation efforts. Please rank the six audiences in terms of order of priority** (Please click and drag the audience you consider your highest priority to '1'; your next highest priority, '2' and so forth).

- \_\_\_ Grantees
- \_\_\_ Foundation's Board of Directors
- \_\_\_ Policy Makers
- \_\_\_ Others for whom results are mainly intended (please specify)
- \_\_\_ Foundation Staff
- \_\_\_ Other Foundations

## Grantmaker's Organizational Characteristics

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**Please note** that by completing the entire survey, you will be able to compare your responses with the results of the national study. Without these data, we will not be able to provide you with your report or comparative data.

36. In what year was your organisation established? \_\_\_\_\_ (year)

37. How would you describe your organisation? (Please check one box only)

- |  |  |
|--|--|
| <input type="radio"/> Private/independent foundation | <input type="radio"/> Family foundation                  |
| <input type="radio"/> Corporate foundation           | <input type="radio"/> Corporate giving program           |
| <input type="radio"/> Community trust                | <input type="radio"/> Operating foundation               |
| <input type="radio"/> Venture philanthropist         | <input type="radio"/> Donor-advised fund                 |
| <input type="radio"/> Charitable trust               | <input type="radio"/> Health care trust/foundation       |
| <input type="radio"/> Other workplace giving         | <input type="radio"/> Religious grantmaking organisation |
| <input type="radio"/> Other (Please specify): _____  |  |

38. What was the market value of your organisation's assets at the end of its most recent fiscal year? (Rough estimates are fine). \$ \_\_\_\_\_.

39. What was the median size grant from your organisation last fiscal year? (Rough estimates are fine). \$ \_\_\_\_\_.

40. How many paid professional and support staff does your organisation employ? (Please count each full-time staff member as '1', each half-time staff member as '.5' and so on). \_\_\_\_\_

41. How many of your organisation's paid professional and support staff have experience working for a not-for-profit (excluding grantmaking organisations)? (Rough estimates are fine. If you do not know the answer, please write 'DNK'). \_\_\_\_\_

42. Where is your foundation's postcode? \_\_\_\_\_

43. In what region is your organisation's headquarters located?

- |  |  |
|--|--|
| <input type="radio"/> Northland            | <input type="radio"/> Auckland           |
| <input type="radio"/> Coromandel           | <input type="radio"/> Waikato            |
| <input type="radio"/> Bay of Plenty        | <input type="radio"/> East Coast         |
| <input type="radio"/> Central North Island | <input type="radio"/> Taranaki           |
| <input type="radio"/> Hawke's Bay          | <input type="radio"/> Manawatu/Whanganui |
| <input type="radio"/> Wairarapa            | <input type="radio"/> Wellington/Kapiti  |
| <input type="radio"/> Chatham Islands      | <input type="radio"/> Nelson/Tasman      |
| <input type="radio"/> Marlborough          | <input type="radio"/> West Coast         |
| <input type="radio"/> Canterbury           | <input type="radio"/> Otago              |
| <input type="radio"/> Fiordland            | <input type="radio"/> Southland          |

44. Is the focus of your foundation's work primarily...? (Check all that apply).

- By field of interest (e.g. arts, education)
- Regional
- International
- Suburban
- Other (Please specify): \_\_\_\_\_
- Local (e.g. community)
- National
- Urban
- Rural

45. How many individuals currently serve on your organisation's Board of Directors? \_\_\_\_\_

46. Please indicate how many of the following types of individuals are represented on your organisation's Board of Directors. (For example, if you have two representatives from grantee organisations on your Board, please write '2' beside "Grantee representatives." If none, please write '0'.)

\_\_\_\_ Grantee representative

\_\_\_\_ Representatives from other non-profits

\_\_\_\_ Representatives from recipient communities.

47. What do you think are the most important changes organised philanthropy needs to make in the next 10 years to improve grantee success?

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48. Please share any additional comments or outstanding questions.

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49. Would you be willing to be contacted for a follow-up interview?

- Yes (please ensure we have your contact details in questions 1 to 5)
- No

50. Is your organisation a member of Philanthropy New Zealand?

- Yes
- No

**Thank you for your participation**

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