THE PORTLAND CHILDREN'S LEVY: REVIEW OF THE GRANTMAKING PROCESS

PORTLAND STATE UNIVERSITY

CENTER FOR THE IMPROVEMENT OF CHILD AND FAMILY SERVICES

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EXECUTIVE SUMMARY

Researchers at Portland State University's (PSU) Center for Improvement of Child and Family Services (CCF) conducted a comprehensive review of the Portland Children's Levy (PCL) grantmaking process. Our purpose was to understand strengths and challenges, and to develop recommendations for improvement. We approached our work with a strong racial equity lens, looking for opportunities to create more just practices that impact not only applicants, but also the communities they serve.

Using the 2014 PCL funding cycle as the primary foundation for our review, we collected and analyzed the following data:

- Interviews and focus groups with funded and unfunded applicants, Allocation Committee members, funders from local foundations, and PCL staff
- Text analysis/document review, including: a sample of submitted proposals; PCL policies and procedures; the Request for Investment materials, including scoring rubrics; previous Audits performed by external accountants and the City Auditor's office; and RFI/RFPs from similar levies in other cities
- Analysis of video footage of previous Allocation Committee (AC) meetings
- Literature reviews of best practices in participatory grantmaking and equitable practices in grantmaking

We organized our review design, analysis and report according to the following framework:

- *Pre-proposal Process*: The actions that occur from the release of the RFI until the proposal writing process begins
- *Proposal Process*: The writing of the proposal
- *Review Process*: The review process including the scoring by reviewers and the PCL staff recommendation process
- *Allocation Process*: The period after PCL staff has announced reviewer scores and their own recommendations. This process includes public testimony, private advocacy, and public funding decisions

Our report highlights strengths, challenges, and recommendations identified in each of the four processes. Results of our comprehensive review are described in full in this report.

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The data demonstrated many strengths in the current PCL process, including:

1. Applicants appreciated the elevation of equity issues by the Children's Levy as demonstrated in their bonus points awarded for culturally specific programming and programs that serve populations east of 82nd Avenue
2. Applicants praised PCL staff for their
   a. Deep knowledge of the funded programs; nearly everyone described feeling confident that the most informed assessment of programs came from PCL staff
   b. Availability and willingness to communicate during and after the grantmaking process; they also appreciated the clarity in the division of labor as they always knew which staff to communicate with about their proposal
3. Applicants appreciated the efforts to include community reviewers in the process
4. The Request for Investment, including the scoring rubric is clear, thorough, and well organized

The full report includes 30 recommendations plus additional recommendations focused on a grant fund for small and emerging organizations and a two-step process. The recommendations are directly related to the challenges that were documented in the grantmaking process and can be broadly grouped in two categories: increasing transparency and strengthening equitable practices. These two constructs do, of course, overlap at times.

Although all of our recommendations deserve careful consideration, we suggest prioritizing the following:

1. Development of a fund dedicated to small grants to support small, emerging organizations, not previously funded by Portland Children's Levy. This fund would have a different minimum and maximum grant amounts than PCL uses for its typical grants.
2. Redesign Section IV of the RFI to include more explicit definition of culture; separate out the culturally specific bonus points to a newly created Section V and increase the number of bonus points from 3 to 12 as indication of the importance of culturally specific work
3. Reconsider the public testimony process, including increasing time allotted for testimony and making the testimony private (following public meeting law, noting that this is a testimony, not a deliberation or decision-making event)
4. Reconceptualize the testimony/advocacy process altogether, including allowing multiple opportunities for agencies to meet with Allocation Committee members, including in "off cycle" years
5. Offer multiple opportunities for more transparent processes:

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    a. Adopt a policy or process that AC members must follow should they diverge from PCL staff recommendations

    b. Adopt an appeals process

    c. Use the PCL website to upload questions/answers from applicants, FAQs, etc.

6. Consider increasing PCL staffing capacity. In order for our recommendations to be implemented, we believe there needs to be more available FTE. This increase can be accomplished by two different means:

    a. When PCL is due for reauthorization, change ballot language to raise the administrative cap above 5%

    b. In the meantime, reconsider how PCL staff work is classified – whether as administrative or programmatic duties. Increased capacity for programmatic work attends to developing and maintaining grantee relationships, building capacity, and providing technical assistance that so many programs desire and appreciate

7. Review the efforts in achieving these recommendations in one year's time. This process could include developing, as allowed by AC by-laws, a sub-committee to monitor progress

In this section we have summarized our methods and highlighted some of the findings that came from our institutional analysis of the Portland Children's Levy grantmaking process. The full report provides more details about our approach and methods and findings related to strengths, challenges, and recommendations for improving the process. Finally, we want to thank everyone who contributed to our review and generously shared their time and experiences with us, including: applicants from programs that were both funded and unfunded, PCL staff, members of the Allocation Committee, and representatives from local foundations and the philanthropy community.

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INTRODUCTION

In 2002 Portland voters approved Measure 26-33, a levy to fund programs serving children and youth in Portland. The levy, now known as the Portland Children's Levy (PCL), was reauthorized by voters in 2008, 2013, and 2018 (see Appendix A). During this time, the Levy has invested over $150 million through 69 agencies, representing six program areas:

- Child abuse prevention and intervention
- Foster care
- Early childhood efforts to prepare children for school
- After school programming
- Mentoring for children and youth
- Hunger relief

All PCL investments seek to support proven programs that prepare children for school, support their success in and out of the classroom, and reduce racial and ethnic disparities in their well-being and school success.

In September 2018 a team of evaluators at Portland State University were awarded the contract to review PCL's grantmaking process. In the first month, the PSU team met multiple times with PCL staff to refine the review plan. The parameters of the work were:

- It was to be qualitative
- We would use the 2014 grantmaking process as the primary basis of our review
- The review would produce data on strengths, challenges, and recommendations for improving the grantmaking process
- We would center equity issues in grantmaking
- The work was to be completed in approximately five months, in order to allow time for PCL staff and the PCL Allocation Committee to consider implications for the next grantmaking cycle

METHODS

The Center for Improvement of Child and Family Services (CCF) at Portland State University (PSU), led by Principal Investigator Thuan Duong, and Co-Principal Investigator Dr. Alma Trinidad, proposed to frame the review as an Institutional Analysis (IA). The IA framework is applied in numerous settings, including public policy, management, economics, and social service delivery. The hallmark of an IA is that it considers the institution/organization as an

actor; this actor imposes "rules of the game" that shape and are shaped by policies, processes, and outcomes. An institutional analysis pays attention to these policies, but also their interpretation, operationalization and institutionalization. In other words, the IA critically examines the extent to which practices are supported by policy and then how to craft policy to produce more equitable practices. There are variances in IA frameworks depending upon the discipline from which they derive. The IA that the PSU team employed is grounded in sociologist Dorothy Smith's work on institutional ethnography. This IA, like others, focuses on the way organizations are structured, but illuminates how these structures may contribute to inequities and disparities. Our IA differs from other reviews in that it assumes bias in the system, and therefore works to uncover bias and provide solutions. For some readers, this framing may feel unfairly punitive or stigmatizing. It is, however, important to recognize that we assume all systems are at least equally biased. In order to "level the playing field," we must begin by acknowledging these biases, identifying the policies or procedures that support biases, and then amend those procedures or policies.

The Institutional Analysis is a framework that guides the design, purpose, and analysis of our review; it does not prescribe the methods used. In this work, we used the following data collection methods:

- *Focus groups and interviews*: These include conversations with a sample of both funded and unfunded applicants, Allocation Committee members, funders from local foundations and PCL staff. In all, there were 68 stakeholder representatives and/or agencies proposed for interview/focus group and we collected data from 42 stakeholder representatives and/or agencies. Data were transcribed, coded, and analyzed. For a more detailed breakdown of data collection, see Table 1 below.
- *Text analysis/document review*: PSU reviewed many documents to understand PCL's grantmaking process including:
    - A sample of submitted proposals
    - PCL policies and procedures including the Request for Investment (RFI) documents, reviewer instructions and sample reviewer scores
    - Previous PCL efforts to review the grantmaking process
    - Audit performed by the City Auditors
    - Annual audits performed by an external accounting firm
- *Review and analysis of past Allocation Committee meeting videos*: This included the 2014 testimony and funding decision meetings
- *Literature reviews:* We conducted reviews on the following topics:
    - Best practices in participatory grantmaking (see Appendix B)
    - Issues specific to equity in grantmaking (see Appendix C)

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We interviewed 59 people, representing agencies who were both funded and not funded by PCL in the 2014 funding cycle[1]. Among this group, we spoke to grant writers, program managers, executive directors and development directors. We also interviewed seven others who represented local philanthropic foundations or sat on previous Allocation Committees. We initially planned a number of focus groups but many we reached out to wanted to include multiple staff from their agency. In these cases we conducted group interviews[2]. Everyone who participated in the interviews/focus groups were offered a $10 Amazon gift card as a token of our appreciation for their time.

Table 1. Data Collection, Proposed and Gathered

Category (# unduplicated agencies[3])	Proposed	Total # of agencies interviewed/focus group	Total # of individuals interviewed/focus group
Not new, funded	23	19	34
Culturally specific (funded & unfunded)	11	5	8
New to PCL, funded	6	6	8
New to PCL, not funded	15	4	6
Previously funded, not funded 2014	6	2	3
Local funders and/or Allocation Committee members	7	6	7

[1] We refer to this as the 2014 cycle, but several of those interviewed participated in subsequent special RFI processes. They are included in these numbers.

[2] For the purpose of this work, we differentiate a group interview from a focus group in the following way: a group interview involves multiple participants from the same agency whereas a focus group involves multiple participants from at least two different agencies.

[3] Some agencies submit more than one proposal and thus may fall in multiple categories. For the purposes of this table, each organization was assigned to one category.

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Total	68	42	66

At the time of these interviews, for most, almost five years had passed since they last wrote a PCL proposal. Some participants prepared for the interview/focus group by reviewing their past proposal(s), while others spoke from memory. Some participants had experience in multiple PCL cycles while others were new to PCL in 2014. We interviewed several participants who were new to their agencies and/or did not participate in the previous PCL grantmaking process. Our early conversations with PCL staff prepared us for this possibility (as well as the possibility that even veteran participants might not have strong recall of the process). In these cases, we laid out the steps in the grantmaking process and asked participants to provide their opinion of the process, especially as it compared to other non-PCL grant proposal processes. Overall, our team feels confident in the data and its utility in reflecting participants' views of strengths and challenges in the current PCL grantmaking process.

ORGANIZATION OF THIS REPORT

This report is organized using the following framework:

PRE-PROPOSAL PROCESS. These are the actions that occur from the release of the RFI up until the proposal writing process begins. We understand that this and others may be artificial delineations but we employed this framework simply as an organizational tool.

PROPOSAL PROCESS. The writing of the proposal, including strengths and challenges in the requested information and the human capital needed to submit a PCL proposal.

REVIEW PROCESS. The review process includes the scoring by reviewers and the PCL recommendation process.

ALLOCATION PROCESS. Once scores are averaged and reported and PCL staff make public their recommendations, we consider this the allocation process. The allocation process includes public testimony, private advocacy, and the public funding decisions.

RECOMMENDATION FOR GRANT FUND FOR SMALL, EMERGING ORGANIZATIONS. Our focus on equity produced a recommendation to open up a funding stream for emerging agencies. In this section, we discuss how we came to this recommendation and suggestions structuring this fund based on interview/focus group data and literature review.

POSSIBILITIES FOR TWO STEP GRANTMAKING PROCESS. One area of exploration in our data collection was about the possibility of PCL moving from a one-step to a two-step proposal

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process. In this section we report the results, including findings from data collection and literature reviews.

PRE-PROPOSAL PROCESS

We conceptualized the pre-proposal phase as everything occurring in preparation for submitting a proposal. During focus groups and interviews, we primarily asked about the Bidder's Conference. It became clear that many applicants drew on knowledge and experience for their proposals that originated outside the Bidder's Conference such as institutional knowledge from being a previous PCL grantee or applicant in former funding rounds and/or at different agencies. This accumulated human and cultural capital minimizes the importance of a Bidder's Conference for these applicants. Overall, findings indicate that applicants receive sufficient information in this phase about PCL's priorities and the mechanics of the proposal process, although increased need for opportunities for additional information sharing and relationship building remain, particularly for agencies new to PCL. These opportunities may serve to "level the playing field" for programs that do not carry the accumulated human and cultural capital. In the sections below we summarize the data gathered, highlight strengths and challenges of the pre-proposal phase, and make recommendations for improvement.

SUMMARY OF DATA SOURCES GATHERED

- PCL applicant interviews and focus groups reflecting on their experience with PCL's pre-proposal process
- Review of previous PCL evaluations and audits, which included information about the pre-proposal phase
- Review of processes used by other city levies
- Interviews with PCL staff

STRENGTHS OF THE BIDDER'S CONFERENCE

- Informative and responsive
  - Those who attended understood what would be expected of them in the grant application process
- Engagement with PCL staff was great
  - Attendees felt PCL staff were available and willing to answer questions as they prepared to apply
  - Attendees find PCL staff to be thoughtful and engaging

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CHALLENGES IN THE BIDDER'S CONFERENCE

Attendees felt the Bidder's Conference and access to PCL staff were sufficient in clarifying mechanics of the proposal itself. Challenges emerging at this phase were informational needs about the post-proposal phases of PCL's grantmaking process (review/recommendation, Allocation Committee). The general themes of these concerns/needs are listed below and more thoroughly addressed in subsequent report sections.

- Some wanted more understanding of how final funding decisions would be reached, including:
    - Clarity around how much weight the reviewers' scores carry
    - Clarity around how much weight the public testimony carries
    - Clarity around how much weight private advocacy of AC members carries
- Some would like more clarity on what it means for a program to demonstrate "proven success"
- Equity issues
    - Some participants conveyed their *perception* of the lack of diversity among PCL staff, reviewers, and Allocation Committee members and wondered how this might impact PCL's grantmaking process
    - For emerging agencies, especially those new to seeking public funds, PCL's grantmaking process is overwhelming
    - Some programs or agencies may be new to PCL but not new to the communities they serve. The current grantmaking process affords little time to develop relationships with these agencies unless they are already funded
    - Some interviewees said that there are certain programs that will always be funded, lowering their own ability to receive funding
- A number of participants, especially those representing new agencies, wanted guidance from PCL staff on "right-sizing" their budget request

RECOMMENDATIONS

Many of our recommendations in subsequent sections of this report can be communicated or addressed in the pre-proposal period. We also recommend reemphasizing these things more than once, at multiple times in the grantmaking process. Many of our recommendations seek to mitigate the accumulated cultural capital that legacy grantees accrue over time, making it easier for newer agencies to successfully compete.

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1. Utilize "off cycle years" as an opportunity to build rapport and relationships with service provider agencies, including those who have never received PCL funding. Conceptualize this work as part of the pre-proposal period
   - This extended pre-proposal period should offer deliberate opportunities for agencies to engage with the Allocation Committee
   - This period can also be an opportunity for PCL staff to build relationships with new-to-PCL programs

I think ideally [the Allocation Committee] would have more engagement, at least with current grantees, leading up to -- I think they do if you reach out to them and ask for a visit typically people will come and visit. It is not part of the process, definitely not part of the application process. It is really unclear to me sitting in the room when they are making their final decisions how much they have really absorbed or what is actually in front of them.

2. At multiple intervals, including during the Bidder's Conference, describe the reviewer recruitment and assignment process, including the attempts to ensure diverse representation, both racially and programmatically, on each review committee
3. Provide clear guidelines and processes about how applicants can engage with PCL once the RFI is released, including the timeframe and methods by which applicants can seek clarifying information from PCL
   - Guidelines should include information about the extent to which applicants may ask PCL about program design
   - Limit applicant information seeking to electronic communications (as opposed to phone and in person contacts). All questions received and responses provided by PCL should be posted on the PCL website and available to all applicants
4. Develop and post an FAQ on PCL's website. This can mitigate information inequities arising from accumulated cultural capital
5. In future RFI documents, provide a table with the following information about each program area and strategy from the previous funding round: # of grantees funded, range of funding, average funding, and median funding
6. Amplify outreach notifying potential applicants of the Bidder's Conference

DISCUSSION

Data gathered about the pre-proposal process suggested that for new applicants the Bidder's Conference is well received and helpful. Our data also indicate that veteran programs, agencies and grant writers have a natural advantage when preparing to write their proposal: their

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previous successful proposal. Our recommendations in the pre-proposal process reflect the value in transparency through increasing communications, including at the Bidder's Conference, about the grantmaking process for all agencies, but especially for those new to PCL. An additional recommendation - to create multiple opportunities for the AC to meet with and develop relationships with agencies and their programs - offers opportunity for a more equitable process.[4]

PROPOSAL PROCESS

The proposal phase focuses on agencies' experiences developing and submitting an application in response to a PCL RFI. Findings suggest that the Request for Investments are appreciated for their clarity and thoroughness. At the same time, the RFI poses unique equity challenges that should be addressed. In the sections below we summarize the data gathered, highlight strengths and challenges of the proposal phase, and make recommendations for improvement.

SUMMARY OF DATA SOURCES GATHERED

- PCL applicant interviews and focus groups reflecting on their experience with PCL's proposal process in addition to other funders' proposal processes
- Allocation Committee and local funder interviews
- Review of previous PCL evaluations and audits
- Review of proposal processes used by other city levies (e.g. Oakland and San Francisco)
- Interviews with PCL staff

STRENGTHS

- Almost everyone interviewed said the Request for Investment is well organized
- Almost everyone interviewed said the instructions are clear

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[4] The Coalition for Communities of Color report, "Philanthropy and communities of color in Oregon: from strategic investments to assessable impacts amidst growing racial and ethnic diversity" emphasizes the importance of relationship building between funders and communities of color.

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- Almost everyone said the scoring rubric is clearly described
- Almost everyone said that PCL staff were very accessible and quickly responded to communications
    - Several participants mentioned that some of their questions were not answered, because PCL staff indicated it would give the applicant an unfair advantage. A couple of these participants expressed appreciation for PCL staff's conscientiousness in this matter
- Interviewees mostly felt they understood how to define culturally specific and culturally responsive based on the application criteria
- Those interviewed thought it was appropriate to add bonus points for the culturally specific and East of 82nd priorities
- Several of those interviewed said the proposal rewards demonstration of quality programming

I think the application process really rewards well thought-out programs. I think it really rewards organizations that are credible stakeholders within the community, who speak for the community, but also have solvency and strength, internal strength...I would say that a [positive] is that the application process is a very good steward of public funds.

CHALLENGES

- The majority of participants complained about the level of detail requested in the proposal
    - Many of these same participants said they understood that this was a result of the funding coming from a public entity - unlike a private foundation proposal - and seemed resigned to this
- Some applicants, especially those disqualified and/or not recommended for funding, wished they knew earlier on that their program design would not be competitive in PCL's grantmaking process
- A large number of participants said that completing the proposal posed equity issues, including:
    - Smaller, emerging agencies did not have the capacity or staff to complete the proposal
    - Smaller, emerging agencies often do not have the program data necessary to meet the proposal's requirements

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- Some felt that culturally specific agencies were at a disadvantage because of the unique resource needs of culturally specific programs; for instance, that in order to serve a child of youth, the program must actually serve the entire family. One participant wondered how reviewers not familiar with their program area or their work could understand this dilemma
- Some participants wondered why PCL has not moved towards an online proposal process
- The proposal requires demonstration of established programming and does not reward innovation

That is something that I don't get from the Children's Levy applications, is that there is room to fail or room to experiment or room to try new things.

RECOMMENDATIONS

7. Many applicants, representing both mainstream and culturally specific agencies, suggested a separate funding stream (for emerging agencies and with a lower budget cap) in which the proposal process is more accessible and that would possibly launch these agencies into the position of applying for the standard PCL grant at a future date. We explore this possibility further in the section titled "Small and Emerging Grants Fund"
8. Proposals that identify their program as culturally specific should be allowed additional space to explain to reviewers the impact of serving their communities on their budget and/or program design. This could be included in the overall program design score
9. Consider an online portal for proposal submission
10. Consider a two-step proposal process. We explore this possibility further in the section titled "Two-Step Proposal Process"

DISCUSSION

The proposal process was overwhelmingly described as thorough, organized, and clear. At the same time, many interviewees agreed that the proposal writing was onerous and required significant resources and data. The strengths of this part of the grantmaking process is the transparency due to the clarity and organization of the Request for Investment. The equity challenge that occurs here is that for many agencies, the barrier to entry is high. In order to mitigate this, we recommended the development of a new funding stream, focused on

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reducing the barrier to entry, but also on supporting and building capacity in smaller community agencies. Those interviewed suggested that this stream be "smaller" both in terms of agency size or capacity but also in terms of budget allocation.

REVIEW PROCESS

The review phase focuses on all activities that occur after the submission of an application and before the Allocation Committee's funding decisions. For PCL, this primarily entails community-based reviewers scoring applications and then PCL staff formulating their funding recommendations. Strengths and challenges of the review process center around issues of transparency, consistency and equity. In the sections below, we summarize the data gathered, highlight strengths and challenges of the review phase, and make recommendations for improvement.

We did not specifically seek out reviewers for interviews due to the length of time that passed since their review. Unlike grantees, reviewers could not refer to their 2014 materials and their commitment to the process was smaller; thus they were less likely to remember their role as a reviewer. While interviewing several applicants, they mentioned they also served on a review panel in the previous cycle. When we probed about their experiences on the review panel, they did not feel confident in describing them. But to the extent that they helped us to understand parts of the review process, those data may be reflected below.

When our evaluation approached the topic of culture and equity, participants acknowledged the importance of recognizing multiple marginalized identities, (e.g., communities of color, disability, sexual identity, poverty status, etc.), but our team do not feel confident that their responses would be the same had we given them a much longer period to consider the impact of their answer. Given this, PCL should continue to explore how to interpret "culture" and whether to expand it beyond race/ethnicity. At the same time, should PCL expand their definition to an intersectional one, we caution against the risk of employing an intersectionality framework to neutralize race, rather than to complicate it. In other words, race/ethnicity considerations should always be included, and even centered, in grantmaking processes.

SUMMARY OF DATA SOURCES GATHERED

- Grantee interviews and focus groups, reflecting on their experience having PCL applications scored by community reviewers

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- Allocation Committee interviews
- Interviews with PCL staff
- Local funder interviews who could speak about their own internal review and scoring processes
- Review of previous PCL evaluations and audits, which included the experiences of volunteer reviewers
- Analysis of review and scoring processes used by other city levies (e.g. Oakland and San Francisco)
- List of 2014 reviewers organized by program area reviewed and their professional titles and/or roles in the community

STRENGTHS

- Applicants appreciated being able to see the scoring rubric ahead of time
- Applicants appreciated being able to see staff recommendations and justifications before Allocation Committee meetings
- Post facto, participants, even some who were not recommended for funding, felt that they understood the rationale behind PCL staff recommendations. Staff have additional information and context about applicants that reviewers may not have. This knowledge should be valued
- Interviewees liked having community members as reviewers – many preferred reviewers who have knowledge about the local context as opposed to external reviewers throughout the state or even in neighboring cities
- Interviewees appreciated that reviewers have the opportunity to come together, discuss applications, clarify lingering questions and adjust their scores accordingly
- When a program was not recommended for funding, participants noted that PCL staff were very willing to have a site visit/conversation about their rationale
- There appears to be strong attempts to distribute reviewer assignments with consideration of lived experience, program area expertise and culturally responsive values

CHALLENGES

- Applicants were not always confident they understood how the community review scores get weighted in relation to PCL staff recommendations and Allocation Committee decisions

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- Some interviewed described the potential of bias (including personal opinions and conflicts of interest) to shape a reviewer's score or the staff's recommendation
- There is a perception among some applicants that reviewers might not have expertise in an applicant's program area
- Some participants expressed concern that reviewers might not have sufficient knowledge of the intricacies of working with communities of color
- Questions were raised about whether the allocation of points in the scoring rubric sufficiently addresses equity issues – particularly the amount of bonus points

3 out of 100 points is laughable.   That is incredibly low -- 3 points out of 100, is that really what it is?

- Some applicants wondered why completed review sheets and scorer comments were not more transparently available
- Earlier we noted that applicants said they understood the difference between cultural specific and culturally responsive programs and agencies. However, our textual analyses and interviews with PCL staff indicated a need for clearer scoring guidelines on this issue

There are historic inequities, and in terms of whatever this scoring of points and out of 100, that is the most base, most foundational way to correct some inequalities through money, through monetary means, to assist people who have been overlooked. When you account for not only serving that marginalized community, but also serving that marginalized community through staff that reflect them, you are doing real and tangible work that is going to reap benefits for multiple generations. You are giving people jobs and you are giving people hope that they can interact and be integrated into the larger civic life of the community. That should have a higher weight to it, if someone is offering that. The benefits of offering that total package from [culturally specific organizations] - these are organizations that are really triaging a lot of the negative effects built up within our society over multiple generations. To slide backwards -- not to slide backwards, but to talk about, well, this organization could do better and they had a better proposal and the words were better and it is an evidence-based programs and these statistics were better -- that sort of balancing between these people who are from the community and they get the job done and they are doing amazing work, and then the application looked a little bit better and they checked the box -- there is no semblance of weight there. It is much higher on the community's side perspective where an organization is of for, and made up of the community.

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RECOMMENDATIONS

11. Clarify the definition of cultural responsiveness/specificity, and specifically how an organization might "reflect" the community they serve. See Appendix D for further information on this recommendation.

12. PCL should continue to actively prioritize a variety of content expertise when assigning volunteer reviewers to a panel, including expertise in cultural responsiveness, lived experience, and program area.

    o This should be communicated with applicants at multiple points in PCL's grantmaking process, including the Bidder's Conference.

When you look at a proposal that is very technical, from only a technical perspective, you are automatically excluding certain things. I would like to know that there is more lived experience on the review committee.

13. Consider having someone external to PCL convene and facilitate the volunteer review committees rather than PCL staff

14. Consider further transparency of reviews/score sheets. These should be available to all applicants (San Francisco as possible example https://www.dcyf.org/modules/showdocument.aspx?documentid=5331)

15. Further clarification and transparency on the process PCL staff undertake to arrive at their funding recommendations. Consider development of a more concrete process, such as a separate staff scoring rubric (San Francisco as a possible example https://www.dcyf.org/modules/showdocument.aspx?documentid=5329)

16. When volunteer reviewers meet and have the opportunity to clarify and adjust their scores, only the scores from those able to attend this meeting should be included in the final averaging of reviewer scores

The following recommendations are specific to Section IV of the 2014 RFI. In Appendix D we provide a new Section IV draft, along with a proposed new Section V. We summarize the main proposed changes below.

17. As per the Citywide Racial Equity Goals & Strategies, explicitly operationalize culture as race and ethnicity in the RFI

18. When an applicant is scored on whether or not it "reflects" the population served, reflect should be measured via racial/ethnic diversity, wherein non-white staff and/or leadership constitute 51% or more of program and/or organizational staff (see Appendix D for further distinction between programs and agencies)

19. Categorize staff and leadership of programs and agencies as follows:

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- o Staff of proposed program – direct service staff
- o Leadership of organization – key management staff and board of directors

20. Table IV.B in Exhibit E should reflect the following changes to correspond with Section IV and V revisions
   - o Remove columns that reference "Program Management Staff"
   - o Add columns for "Clients Served by Program"

21. Clearly distinguish RFI sections that deal with Cultural Responsiveness and Cultural Specificity by creating a Section V that deals with Culturally Specific bonus points

22. Reduce the point value of the Cultural Responsiveness section from 25 to 23. Increase Culturally Specific bonus points from 3 to 12
   - o In Culturally Responsive scoring rubric Part B, bullet points 2-4 award points for staff, management and board of directors reflecting population served as defined by race/ethnicity and language spoken. This is not part of the definition of culturally responsive given in Section IV. Additionally, language accessibility (including staff who speak the languages of communities served) is addressed and scored in Part G of the Cultural Responsiveness scoring rubric. We believe bullet points 2-4 should be removed from Section IV; criteria about race/ethnicity should be placed in the newly proposed Section V, and criteria about language accessibility should remain in Part G of Section IV
   - o Removal of these criteria from Section IV B should reduce the point value of that section from 4 to 2 points, thus the overall Section IV point value changing from 25 to 23

23. In future (i.e., post 2019) community input processes, explore interest in expanding the definition of culture beyond race/ethnicity to incorporate an intersectional framework

Based on a review of similar grantmaking processes and interviews with stakeholders, we introduce several options for considering the scoring of culturally specific/culturally responsive. The way the RFI is currently organized, there are 25 out of 100 points allotted for demonstration of culturally responsive programs and agencies. An additional three bonus points are awarded for culturally specific programs.

In 2014 several proposals were disqualified due to not meeting minimum points in the Cultural Responsiveness section. A review of those proposals indicate that they were disqualified primarily because they did not communicate concrete policies, structures, and/or systems attending to working with non-dominant communities or they did not communicate that these practices were already in place. One organization did not meet the minimum points in this section and was disqualified because they acknowledged not documenting or systematically attending to their work with communities of color; they posited that they were doing culturally

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responsive work, but their target population was disabled youth. This brings up the issue of how to interpret "culture." The RFI does not make it explicit. Below are several examples of how other, similar levies operationalize culture and/or equity:

SAN FRANCISCO

Funders offer up to 10 additional points for what they call an "Equity Score." Below is an excerpt from San Francisco's RFI:

To support DCYF's focus on equity, proposals that projected to serve 75% of participants from one or more of the populations below received 10 additional points on their Proposal Score. The populations below are based on the areas of concentrated need identified in the DCYF Services Allocation Plan (SAP):

- *African American, Hispanic/Latino, and Pacific Islander youth;*
- *Low-income Asian youth;*
- *Zip codes where 50% or more of youth 0-17 are living below 300% of the federal poverty level and*
- *Disconnected transitional age youth (TAY) ages 18 to 24. Disconnected TAY were defined as: homeless or in danger of homelessness; have dropped out of high school; have a disability or other special needs, including substance abuse; are low-income parents; are undocumented; are new immigrants and/or English Learners; are Lesbian, Gay, Bisexual, Transgender, Queer, and Questioning (LGBTQQ); and/or are transitioning from the foster care, juvenile justice, criminal justice or Special Education system.*

Based on the above, San Francisco would likely define culture as extending beyond race/ethnicity.

OAKLAND

The Oakland Fund for Children and Youth's 2019-2022 RFP makes explicit their primary focus on racial equity, prioritizing agencies serving African American youth; also noting that Latinx, American Indian, and Asian/Pacific Islander youth are also prioritized in specific strategies. Their scoring rubric is as follows (100 points total): Agency history and capacity (15 points), program design (50 points), outcomes and impacts (15 points), and required resources and budget requests (20 points). Oakland does not award equity points separately but does center equity in their mission.

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Although there are a number of similarities between the grantmaking processes in Oakland and San Francisco to Portland, one of the differences is in racial and ethnic demographics. The racial makeup of the San Francisco Bay Area is different than Portland's. We note that although these demographics differ, there are similarities in children and youth outcomes between the two regions[5]. We do, however, recommend at this time that the PCL bonus points be awarded to culturally specific programs and agencies as defined by race/ethnicity. We encourage the Allocation Committee and PCL staff to revisit this definition and consider expansion to an intersectional lens at a later date. For the time being, see Appendix D for suggestions on revising the cultural responsiveness and culturally specific sections of the RFI.

DISCUSSION

Data gathered on the review process offered opportunities to attend to both transparency and equity issues. Transparency issues relate to increasing communication with applicants about PCL's goals in assembling each volunteer review committee and to the extent possible, quantifying the different components of the review process (recognizing that it's not entirely quantifiable). A notable success, even from those who were not recommended for funding, was PCL staff's willingness and availability to conduct site visits in order to clarify their process and decisions. The primary equity issue related to this component of the grantmaking process resulted in our focus on the scoring of the culturally responsive section of the RFI and the culturally specific bonus points. Our changes to the RFI, specifically the parsing of bonus points on the continuum towards culturally specific agencies, are meant to guide and rewards agencies as they move further along towards cultural specificity.

One of the challenges in interviewing applicants was in considering how to analyze data between unfunded and funded applicants. In general, funded applicants were satisfied with the

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[5] https://www.ofcy.org/assets/Uploads/OFCY-Population-Profile-Student-Success.pdf

https://www.ofcy.org/assets/Strategic-Plan/FY2019-2022/OFCY-Population-Profile-GENERAL-AND-COMMUNITY.11.15.2017.pdf

https://www.dcyf.org/Modules/ShowDocument.aspx?documentid=5000

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process, although they often considered ways to make the process more accessible for other programs and agencies. Unsurprisingly, the unfunded applicants were less satisfied with the process. The challenge here was that many of their stories described a unique or very specific barrier or challenge. In translating these accounts to challenges and/or recommendations, the PSU team focused on how these issues reflected structural or procedural gaps. Additionally, because some of these stories were so unique as to identify the applicants, our team worked to obscure their stories in order to protect their identities.

ALLOCATION COMMITTEE/FUNDING DECISION PROCESS

The Allocation Committee/Funding Decision phase refers to the public Allocation Committee hearings where PCL staff present their funding recommendations, applicant agencies testify and advocate for their applications, and the Committee arrives at final funding decisions. Ballot language specifies that funding decisions must be made in a public forum. In sum, there is recognition that PCL staff carry the most informed understanding of programs and thus their recommendations should be carefully considered. Challenges include unanimous dissatisfaction with the testimony process as currently structured and a need for more clarity on how decisions are ultimately made. In the sections below we summarize the data gathered, highlight strengths and challenges of the Allocation Committee/Funding Decision phase, and make recommendations for improvement.

SUMMARY OF DATA SOURCES GATHERED

- Applicant interviews and focus groups, reflecting on their experience of the allocation process
- Local funder interviews who could speak about their funding processes
- Allocation Committee interviews
- Review of previous PCL evaluations and audits
- Analysis of allocation processes used by other city levies (e.g. Oakland and San Francisco)
- Interviews with PCL staff
- Analysis of Allocation Committee meetings

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STRENGTHS

- Interviewees acknowledge that PCL staff have a deep understanding of applicants and community service needs that helps inform their funding recommendation. This instills confidence in applicants and the Allocation Committee
- Some applicants like that private advocacy is permissible and they appreciate Allocation Committee members being responsive to their advocacy
- Decision making happens in a public meeting as required by law
    - Almost all interviewed disliked the allocation process, but they acknowledged that behind-closed-door decision making was not more favorable, just more comfortable

CHALLENGES

- In-the-moment decision making by the Allocation Committee is not ideal. It is too high-pressured of a situation for both applicants and Allocation Committee members
- There are inequities in the capacity or access of agencies to effectively utilize outside advocacy to Allocation Committee members
    - Not all applicants knew they could do private advocacy
- Two minutes of testimony is not a meaningful way for applicants to communicate their organization's missions, approaches to service, etc.
    - Applicants representing culturally specific agencies felt that two minutes was inequitable because, believing that client testimony was critical, their non-native English speaking clients were unable to effectively participate in a two minute process

That is different that you sit at the allocation table with a client and you have your 3 minutes and the client speaks another language so a minute and a half of it is actually translation.

    - Several interviewees spoke about how some agencies went beyond two minutes in their testimony process, and wondered why this was allowed.
    - The protocol might formally allow for Q&A between applicants and the Allocation Committee, but it is rarely practiced. This lack of dialogue contributes to perception that the testimony process is meaningless and that the Allocation Committee has already decided prior to it
- Some applicants expressed a perception of unfairness (or the possibility of unfairness) in the Allocation Committee's final decisions. Portland is a small town - Allocation

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Committee members have relationships with applicant agencies and may make final decisions based on unknown criteria unrelated to application scores and PCL staff recommendations

- Related to the previous bullet point, many applicants questioned the utility of the testimony process because they felt that the AC had already made up their minds prior to the meeting.

One applicant asked,

Is their decision made before they walk through the door and this is all for show?

RECOMMENDATIONS

24. Implement a more robust conflict of interest policy for Allocation Committee members. Such a policy should be at least as robust as the conflict of interest policy for volunteer reviewers
25. Consider trainings/continuing education for the Allocation Committee on cultural responsiveness and equity
26. Implement a process for when the Allocation Committee wants to deviate from PCL staff recommendations, including funding amounts. The process can simply be an in-the-moment articulation of the rationale for deviation

A number of interviewees described their lack of confidence in the Allocation Committee's ability to fully understand their program, particularly when the AC goes against PCL staff recommendations. One interviewee said,

Yeah, in theory that seems ludicrous to me. In theory they should be held -- if an organization did great on an application and has a great staff recommendation, I think that should be a clear indication as to how an allocation should come. So, yeah, I think not having parameters or a clear connection as to, OK, if you were scored here and if you were recommended, you go -- it is a flow chart kind of based on how you go

And another described an experience where confusion abounds when the AC makes unexpected decisions. This interviewee mischaracterized the full events, but the quote below speaks to the unpredictability and resulting frustration when all indications point to one outcome and the AC does the opposite.

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I did see at an allocation committee, not on my category, out of the blue there were these grants that were prioritized, and out of the blue they funded a grant that was not prioritized, and I'm not even sure applied for a grant.

A similar conversation occurred at a focus group. Below, multiple individuals representing different agencies echo the above,

Participant 1: I think, for me, I would rather see more decision making stay with the staff, and to have the allocation committee's role more prescribed. I just don't think it is practical for them to gain the same knowledge. It is similar to any elected official, and they have professional staffers whose job it is to be the expert in some really narrow aspect of environmental sustainability. It is technical knowledge that you need to have. I would parallel it to that. They are not, as the elected representative -- they don't know everything about everything. It is not practical, but they have people they trust and then they develop their positions based on those people's work.

Participant 2: I would just state that I am in agreement that the -- I trust the staff way more than I do the allocation committee, and not because I don't like them as humans, but just that they have a lot, and they are coming to a couple of meetings to make some decisions. I don't think they are coming to that room fully informed.

Participant 3: Yeah, there is no way those people have as much knowledge as people on the ground about our programs.

Participant 4: If I put myself there, I wouldn't -- I would have to site visit and spend, almost be in a relationship with those organizations, going, what do you do, in order to get my head around it. It takes time. That's the time that the Levy staff do. They do that.

Additional recommendations include,

27. Clarify and reconsider for all stakeholders how the operationalization of Oregon's Public Meeting Law (see Appendix E) came to be implemented such that the two minute testimony is a public process
    a. Relatedly, clarify what the boundaries are between private discussions among Committee members and public deliberation
28. Allocation Committee by-laws allow for the establishment of "sub-committees and advisory groups to aid in its work." Consider how these could be utilized in the future, including as a way to increase community voice and representation in the Allocation Committee's work

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how much do they know about the struggles in the [community of color]? It is one thing to read about things in the Oregonian or listen to things on the news or on OPB. It is another thing to live in that community. I think this is too much work, but something like a community advisory board for specific -- when the PCL funds, having a lens of culturally specific organizations needing to be funded, and then also hearing from the community, some sort of testimony on, is this a project that we need, is this a project that is going to reap dividends for people?

29. Consider the following strategies to address the limitations of a two minute testimony period:
    a. Create more regular, meaningful opportunities for the Allocation Committee to get to know applicants throughout the year
    b. Allow for a more extended, dynamic interaction between applicants and the Allocation Committee (e.g. 10 minute interviews consisting of 5 minutes for program description and 5 minutes for Q&A)
    c. Provide repeated notification of what advocacy/lobbying activities are permissible, including the possibility of advocating in non-funding years
30. Consider implementing an appeals process for applicants who are not awarded funding. This could be a role for a sub-committee. See examples below:
    a. For Oakland Fund for Children and Youth appeal process (page 71): https://www.ofcy.org/assets/Uploads/OFCY-RFP-2019-2022.pdf
    b. For San Francisco's Department of Children, Youth & their Families appeal process (page 10): https://www.dcyf.org/modules/showdocument.aspx?documentid=5699

DISCUSSION

Almost everyone interviewed, including Allocation Committee members, agreed that the decision-making process, both the testimony and the funding decision, was less than ideal (some clarified by saying it was still preferable to private funding decision making). The major themes in this section included the discomfort and tension in the two minute testimony process; the challenge for some agencies to include their clients in the testimony process; and for many, the strong belief that the AC decisions were already made prior to the testimony process. Our focus on transparency netted our recommendations for a clearer conflict of interest policy for AC members and to consider adopting a process for AC members, should they deviate from reviewer scores and staff recommendations. The primary equity issue noted in this part of the grantmaking process relates to relationships between AC members and applicants. A significant number of those interviewed spoke about their perception of

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"cronyism", unfair advantages in part due to previous relationships and the perception that the AC has little to no understanding of the work they proposed. In an earlier section, we proposed increasing opportunities for AC to meet with applicants prior to public allocation process. Additionally, we recommend developing ways to reassure applicants that decisions are not already committed prior to the testimony process.

GRANT FUND FOR SMALL, EMERGING ORGANIZATIONS

SUMMARY OF DATA SOURCES GATHERED

- Interviews with grantees, local funders and Allocation Committee members
- Literature review
- Review of Oakland Fund for Children and Youth (see Appendix F)

CHALLENGES

An overwhelming number of participants, both funded and unfunded in 2014, spoke about the extremely high level of resources needed to complete a PCL proposal, and the even higher level of fiscal and social capital needed to receive a PCL award. Some of these barriers include:

- Emerging non-profits have relatively fewer sources of revenue than larger and established non-profits
- Even if these organization are eligible to apply, they are under resourced – both technical and human resource. Additionally, these agencies sometimes do not have robust data to support a PCL proposal
- PCL's commitment to investing in programs long-term limits the opportunity for new and emerging programs to be identified and invested in

how do we create an application that say, not as of yet have we had results here, but we have identified the need based on community inputs. We are the stewards and the closest people connected to the community, but we need some funds to test out something hypothetical.

Another applicant said,

It is almost impossible to generate the high level of data that PCL asked [for] in the application. Smaller organizations do not have the personnel to compile data and create a report, the process can be expensive and time-consuming. If you talk about equity, then it is almost

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impossible for the smaller organization to compete with a bigger organization who have staff support and resources.

RECOMMENDATIONS

Those interviewed often spoke about the overwhelmingly positive impact of a PCL award, including the ability to successfully receive funding from other municipalities and foundations. Many of those interviewed suggested a different/parallel funding stream, one focused on new and emerging programs and in which funding would be capped at a lower ceiling than the primary PCL awards. Those interviewed were fairly prescriptive in their description of this stream. Ideas include:

- Smaller amount of funding
- Provide more technical assistance to this group
- Several wanted this stream to focus especially on culturally specific programming
- Only agencies that have never received PCL funding are eligible
- The funding would be for a shorter length of time, for example, one year or up to three years
- A higher indirect cost ceiling for grantees, allowing for infrastructure development

BENEFITS AND GOALS OF GRANT FUND FOR SMALL, EMERGING ORGANIZATIONS

Those who spoke about this idea felt that the ultimate outcome would be that newer agencies would be more competitive in applying for subsequent funding, both through the Children's Levy and other sources.

We conducted a literature review focusing on this idea, specifically considering small and emerging agencies. This funding stream focuses on investing and building a pool of resources to provide technical assistance and capacity building to newer agencies. Some funding organizations create lower budget caps for these types of funding streams, reflecting, in part, the lower bar to entry. This funding stream might provide opportunities to pilot PCL processes, for example, a two-step process or a more focused consideration of agencies with an intersectional lens.

 A grant for small, emerging organizations can help build their internal capacity for the purposes of program and service expansion and readiness for future funding. Our interviews and data

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collected show many applicants recognizing that legacy programs would continue to be funded, many indicating that this consistency was important to shifting long-term outcomes for children and youth. At the same time, applicants wanted authentic opportunities for newer agencies to benefit from PCL funding. As one local funder noted, "we want to discover the next SEI."

TWO-STEP PROPOSAL PROCESS

In our initial conversations with PCL staff, they posed the question of whether to move the grantmaking process to a two-step process (i.e., a Letter of Intent followed by a full proposal). They asked that we explore this idea in our work.

There was no overwhelming consensus on whether applicants preferred one-step or two-step processes. Several agencies that were interviewed and did not receive recommendations for funding said that a 2-step process would have been useful – to avoid the work of completing a full proposal. If a two-step process were adopted, these interviewees suggested a first step should include elements of program design and dosage, as these were key factors in their unsuccessful applications.

We recommend PCL staff and Allocation Committee continue to explore the possibility of two-step grantmaking processes in the future. Specifically, we recommend that a shared understanding be developed about the purpose of a two-step process. Two such possibilities emerged from our data collection:

- A two-step process could provide applicants feedback about program concept, design, dosage, etc. so that the applicant pool produces more robust proposals
- A two-step process could be used to eliminate certain applicants early on, narrowing the applicant pool to allow more in-depth engagement with the remaining applicants

A decision about the overall purpose of a two-step process will guide the design of such a process. Additionally, a number of interviewees described positive experiences with a two-step grantmaking process, identifying both Meyer Memorial Trust and Ford Foundation as exemplars. When it comes time to further consider two-step processes, PCL should closely examine these two funders.

OK, my ideal process would be a two-step process, in which the first paper is purely concept. There is no budget, there is not timeline -- it is here is who we are as an organization, here is our credibility, here is our alignment with your funding goals, and here is what we have identified as the need in the community that is aligned with your funding goals and philosophy and ideology,

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and here is our solution or our intervention into that problem. Would you like to fund us? Is this of interest to you? If we have everything behind this, such as a plan to sustain it, a budget, a timeline, a staffing plan, all these additional details, all this logic model and things like that -- I don't want to do any of that unless you think that this is something that you want to fund.

CONCLUSION

From September 2018 through January 2019, researchers at Portland State University conducted a comprehensive institutional analysis of the Portland Children's Levy's grantmaking process. Our work, as agreed to by PCL staff, imposed an explicit equity examination of the grantmaking process. Although our institutional analysis prioritized exploration of challenges and barriers in the process, it should be noted that there was near consensus about the importance of the Children's Levy mission. Respondents overwhelmingly praised the efforts by PCL staff and appreciated the move towards transparency as evidenced by the funding of this project as well as the simultaneous community engagement process.

We interviewed 66 individuals, representing 42 entities, including agencies, local foundation funders and Allocation Committee members. Additionally, we reviewed copious internal and external reports, research, applicant proposals, organizational policies, and the practices of similar city levies in San Francisco and Oakland. We analyzed all data and developed recommendations as described in this report.

Many of the recommendations may be broadly categorized into two areas: increasing transparency and strengthening/incorporating equitable practices. These are, of course, not mutually exclusive categories. Transparency related recommendations include both communicating current practices to combat the perception of unfair or confusing practices and developing new processes to include more transparency for applicants. Our equity recommendations focused on both how to illuminate the ways in which PCL already attends to equity issues, and also how to increase equitable processes.

Finally, an additional consideration and recommendation from the PSU team. As we conducted and analyzed our data, we carefully considered the feasibility of our recommendations. We analyzed the Act passed by Portland voters, Oregon's Public Meeting Law, and the capacity of PCL staff and/or the Allocation Committee. We understand that some recommendations are easily implemented and some will, if authorized, require extensive restructuring. This is up to the Children's Levy and its Allocation Committee to decide if and how to incorporate this work.

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Our final recommendation is that the 5% administrative allocation cap be revisited. The purpose of this adjustment is to increase capacity and FTE to implement our recommendations. A new funding stream requires more staffing. Relationship building, foundational to equitable practice, requires freeing up staff and AC time. We recommend that this staffing be increased and pose two possible solutions:

- When the Levy is up for reauthorization, consider increasing the 5% administrative cap
- In the meantime, explore ways in which PCL staff work is categorized, including whether there is a difference in administrative work and programmatic work.

LIMITATIONS OF OUR REVIEW.

Overall, we feel confident that our findings and recommendations strongly reflect the experiences of those interviewed and the literature available. There are, however, several limitations to our review, including:

- The short time-frame for this review impacted our ability to recruit and collect data from certain sources, including agencies that never applied to PCL funding and those who were not funded
- The majority of those interviewed were from agencies that were funded
- Due to the time passed since last RFI reviewer process, we did not explicitly pursue data collection with reviewers. In our interviews with applicants some did mention their experience with reviewing proposals; when applicable, those data are included in the review section
- We considered two similar levies in our work (Oakland and San Francisco's) but there are other levies that were not reviewed (e.g., Seattle)

SUGGESTIONS FOR FUTURE EXPLORATION.

Building on the above limitations and others noted in this report, any future work conducted in this area might include:

- A thorough, timely examination of the reviewer process
- Stronger outreach to agencies that were not funded, in order to more fully understand their experiences
- Outreach to agencies who never applied for PCL funding, in order to understand the barriers

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- More extensive research of other levies beyond San Francisco and Oakland
- More focused exploration of a two-step process

Although we acknowledge limitations and opportunities for further work, we feel confident that our report represents a wide range of stakeholder voices and experiences. Additionally, the review team has a wealth of experience in examining equity at the structural and organizational level and made every attempt to center this expertise in our work.

We want to thank all those involved in the review process who agreed to be interviewed and generously shared their experiences in the grantmaking process including applicants, members of the Allocation Committee, Children's Levy staff, and representatives from local foundations and the philanthropy community.

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Appendix A:

2018 Portland Children's Levy Authorizing Legislation

RESOLUTION No. 37843

Refer renewal of Portland Children's Levy to City voters as a local option levy for five years commencing in FY 2019-20 (Resolution)

WHEREAS, in 2002 City voters approved the creation of the Portland Children's Levy through a five-year tax levy to improve the lives of Portland children; and

WHEREAS, in 2008 City voters approved the renewal of the Portland Children's Levy; and

WHEREAS, in 2013 City voters approved the renewal of the Portland Children's Levy for the second time; and

WHEREAS, the Portland Children's Levy on average has annually supported programs for more than 14,000 Portland children, and hunger relief services to more than 15,000 children who might otherwise grow up without a healthy start and the positive influences that lead to success in school and beyond; and

WHEREAS, the Portland Children's Levy supports 74 different early childhood, after school and mentoring programs, child abuse prevention and intervention, foster care and hunger relief programs throughout Portland; and

WHEREAS, the Portland Children's Levy has kept its commitment to voters by funding only programs that are cost-effective and have a proven record of success; and

WHEREAS, the Portland Children's Levy has kept its commitment to voters by limiting its administrative costs to less than 5%; and

WHEREAS, the Portland Children's Levy has supported early childhood programs that have prepared children to enter kindergarten ready to succeed; and

WHEREAS, the Portland Children's Levy has supported after school and mentoring programs have helped students stay engaged in school and safe after school; and

WHEREAS, the Portland Children's Levy has supported child abuse prevention and intervention programs to ensure the families who are most at risk receive the support and intervention services they need; and

WHEREAS, the Portland Children's Levy has invested in programs that have supported the well-being and development of children and youth in foster care; and

WHEREAS, the Portland Children's Levy has invested in programs that have supported child hunger prevention and relief efforts; and

WHEREAS, the residents of the City of Portland should be allowed to vote to continue the Portland Children's Levy, renewing the local option tax at $0.4026 per thousand dollars of assessed value, which will raise approximately $118.4 million for the five-year period of the levy.

NOW, THEREFORE, BE IT RESOLVED the Council submits an Act, attached hereto as Exhibit A, entitled: "A Measure to renew the Portland Children's Levy by directing a five-year local option ad valorem tax levy within the City of Portland at a rate of $0.4026 per thousand dollars of assessed value, outside certain constitutional limitations, commencing in fiscal year 2019-20." The Act is hereby submitted to the legal voters of the City of Portland, Oregon, for their adoption or rejection at the general election in the City of Portland, Multnomah County, Clackamas County and Washington County to be held on May 15, 2018. Each voter who votes upon the Act shall vote "yes" or "no" in the space indicated for such vote on the City ballot at said election.

BE IT FURTHER RESOLVED that the City Council submits the ballot title for the May 15, 2018 election ballot, as shown in the attached Exhibit B; and

BE IT FURTHER RESOLVED that the City Council directs the City Auditor to publish the ballot title as shown in Exhibit B in accordance with City Code; and

BE IT FURTHER RESOLVED the funds collected from the Portland Children's Levy shall continue to be used to make targeted investments in proven and cost-effective early childhood programs; programs for children in foster care; child abuse prevention and intervention; after school, summer and mentoring programs for children; and to prevent child hunger. The Portland Children's Levy will extend for a period of five years and the estimated amount to be collected and spent for those programs over the five-year period of the levy is $118.4 million; and

BE IT FURTHER RESOLVED that the sponsoring elected official may submit an explanatory statement to the City Auditor for the publication in the voters' pamphlet; and

BE IT FURTHER RESOLVED that the City Auditor is directed to forward to the county Elections Office all material necessary to place this measure on the May 15, 2018 election ballot.
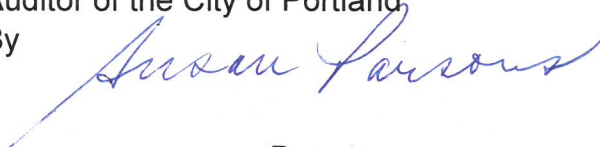
Adopted by the Council, FEB 07 2018

Commissioner Dan Saltzman
Prepared by: Maja Haium and Brendan Finn
Date Prepared: January 23, 2018

Mary Hull Caballero
Auditor of the City of Portland

By *Susan Parsons*

Deputy

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Agenda No.

RESOLUTION NO. 37343

Title

Refer renewal of Portland Children's Levy to City voters as a local option levy for five years commencing in FY 2019-20 (Resolution)

INTRODUCED BY Commissioner/Auditor: **Commissioner Dan Saltzman**	CLERK USE: DATE FILED _____ JAN **3 0** 2018

COMMISSIONER APPROVAL	
Mayor—Finance & Administration – Wheeler	Mary Hull Caballero Auditor of the City of Portland
Position 1/Utilities - Fritz	By: _____
Position 2/Works - Fish	Deputy
Position 3/Affairs - Saltzman	
Position 4/Safety - Eudaly	ACTION TAKEN:

BUREAU APPROVAL

Bureau: **Portland Children's Levy**
Bureau Head: **Lisa Pellegrino**

Prepared by: Maja Haium and Brendan Finn
Date Prepared: 11/21/2018

Impact Statement
Completed ☒ Amends Budget ☐

Portland Policy Document
If "Yes" requires City Policy paragraph stated in document.
Yes ☐   No ☒

City Auditor Office Approval:
required for Code Ordinances

City Attorney Approval:
required for contract, code. easement, franchise, charter, Comp Plan

Council Meeting Date:
February 7th, 2018

AGENDA		FOUR-FIFTHS AGENDA	COMMISSIONERS VOTED AS FOLLOWS:		
TIME CERTAIN ☒ Start time: **9:45 AM**				YEAS	NAYS
		1. Fritz	1. Fritz	✓	
Total amount of time needed: 30 minutes (for presentation, testimony and discussion)		2. Fish	2. Fish	✓	
CONSENT ☐		3. Saltzman	3. Saltzman	✓	
		4. Eudaly	4. Eudaly	✓	
REGULAR ☐ **Total amount of time needed:** (for presentation, testimony and discussion)		Wheeler	Wheeler	✓	

Exhibit A
AN ACT

A Measure to renew the Portland Children's Levy by directing a five-year local option ad valorem property tax levy within the City of Portland at a rate of $0.4026 per thousand dollars of assessed value, outside certain constitutional limitations, commencing in fiscal year 2019-20.

BE IT ENACTED BY THE PEOPLE OF THE
CITY OF PORTLAND, OREGON

Section 1.   Local Option Levy
Pursuant to Section 7-112 of the Charter of the City of Portland, the Council shall levy for each of five successive years commencing with the fiscal year 2019-20, at the time taxes are levied for the payment of expenses of the City, a special tax at a rate of $0.4026 per thousand dollars of assessed value, on all property in the City of Portland not exempt from taxation. The proceeds from such levy shall be placed in a special fund to be designated as the Children's Investment Fund to be administered by the Portland Children's Levy. This local option levy is specifically authorized, and it shall not be counted as within the limitation provided in Sections 11 of Article XI of the Constitution of the State of Oregon. This levy shall, however, be subject to proportional reduction under Section 11(11)(c)(B)(I) of Article XI of the Constitution of the State of Oregon. This special tax hereby authorized shall be in addition to all other taxes that may be levied according to law.

Section 2.   Portland Children's Levy Allocation Committee and Staff
A five-member Allocation Committee shall allocate the Children's Investment Fund subject to final approval by the Portland City Council. The Mayor shall appoint the following members to the Allocation Committee: a Portland City Council member, a representative of the business community and a private citizen residing in the City of Portland. The Multnomah County Commission shall appoint to the Allocation Committee a member of the County Commission and a private citizen that resides in both the City of Portland and Multnomah County. Allocation Committee operations shall be governed by this Act and bylaws adopted by its members.

Portland Children's Levy staff shall be employed by the City of Portland and shall report to the Portland City Council member currently serving on the Allocation Committee. Staff shall serve and advise the Allocation Committee, and be responsible for administering the Portland Children's Levy. Staff duties shall include:
- Design and execution of funding process
- Accounts payable and receivable processing
- Data collection and analysis
- Reporting on performance of funded programs to Allocation Committee and the public
- Community outreach and engagement.

Section 3. Goals and Eligible Services

The Portland Children's Levy shall support programming that contributes to achieving the following goals:

- Children are prepared for school.
- Children are supported to succeed inside and outside of school.
- Racial and ethnic disparities in children's well-being and success are reduced.

The Portland Children's Levy shall be used exclusively to support:

- Early childhood programs, childcare affordability and quality
- Child abuse prevention and intervention programs
- Programs serving children in foster care
- After-school, summer and mentoring programs
- Programs focused on addressing child and family hunger

Section 4: Development of Program Area Goals and Strategies

Prior to beginning a competitive funding process, the Portland Children's Levy shall design and approve program area goals and adopt strategies to achieve these goals. Program areas are defined as early childhood, child abuse prevention/intervention, foster care, after-school/summer, mentoring and hunger relief. Program area goals and strategies shall be informed by:

- A public input process that includes a range of engagement strategies such as surveys, focus groups, key stakeholder interviews, and public meetings.
- Local data on the demographics of Portland children (including race/ethnicity, poverty, geography and language) and indicators of child development, safety/well-being and school success.
- Current research and best practices in early childhood, childcare, child abuse prevention/intervention, after-school/summer programming, mentoring and hunger relief.

Section 5. Allocation of Funds Between Program Areas

Prior to beginning a competitive funding process, the Allocation Committee shall allocate funds available between program areas on a percentage basis with no more than 35% of total funds available allocated to any one program area as defined in Section 4 above.

Section 6. Funding Process

At least 90% of available funds shall be allocated through a competitive application process for multi-year grants in which non-profit corporations, local education agencies, community colleges and universities may apply. Applicants for funding shall be required to demonstrate cost effectiveness and proven success in engaging and retaining participants, and achieving positive outcomes.

Applications shall be scored according to published criteria, and application scores shall be reported to the Allocation Committee. The Allocation Committee shall make funding decisions in a public meeting based on application scores and other community

conditions to foster a balanced and integrated citywide system of services. The Allocation Committee investment decisions may not exceed 30% of an organization's revenue. Allocation Committee funding decisions are subject to City Council approval or remand by funding category.

Up to 10% of available funds may, at the Allocation Committee's discretion, be allocated in non-competitive processes for the following purposes:
- Special initiatives that address multiple program areas.
- Quality improvement supports, training, and technical assistance for funded programs.
- Improving the systems that affect children and the organizations that serve them.

Section 7.   Accountability
Portland Children's Levy staff shall collect data from all funded programs on the number of participants served, hours of service provided, demographics of participants, participation rates, participant outcomes and program staff turnover. These data shall be compiled annually and reported to the Allocation Committee. The Allocation Committee shall review performance of funded programs annually.

Portland Children's Levy funds are to be used to expand the operational capacity of an organization in order to serve children. Any use of funds for capital must be related to expanding operational capacity.

Section 8.   Audit and Administrative Expense Cap
No more than 5% of the Portland Children's Levy may be spent for expenses associated with administering the fund. The fund shall be subject to an annual audit. Results of the annual audit shall be reported to the Allocation Committee.

Exhibit B
BALLOT LANGUAGE FOR THE PORTLAND CHILDREN'S LEVY

CAPTION

Renew Portland Children's Levy for five years.

QUESTION

Shall Portland continue early childhood, child abuse programs; five-year levy $0.4026 per $1,000 assessed value beginning 2019?

This measure renews current local option taxes.

SUMMARY

Renews the Portland Children's Levy at current rate; supports proven programs preventing childhood hunger, preventing child abuse and neglect, helping children arrive at school ready to learn, providing safe constructive after-school alternatives for kids, and helping foster children succeed.

Funds can only be used for:

Preventing childhood hunger: giving hungry children healthy, nutritious meals and food.

Child abuse prevention and intervention: addressing juvenile crime, school failure, drug and alcohol abuse, homeless youth.

Early childhood programs: making childcare more affordable and preparing children for success in school.

After school, summer and mentoring programs: promoting academic achievement, reducing the number of juveniles victimized by crime, increasing graduation rates.

Children in foster care programs: helping foster children who have been abused and neglected succeed.

Accountability measures include:
- Investments subject to annual audits.
- Programs funded must be cost effective and have a proven record of success.
- Investments subject to oversight by a citizen committee.
- Administrative costs cannot exceed 5%.

It is estimated the levy will raise an average of $23.68 million per year for five years.

Appendix B:

Participatory Grantmaking Literature Review
Participatory Grantmaking Additional Resources

Participatory Grantmaking in the Philanthropic Sector

History & context of participatory approaches in foundation grantmaking
Broad context. Multiple historical, cultural and technical factors are driving interest in participatory processes, including participatory approaches in grantmaking.

- Public trust in major institutions - including government - has steadily declined since the 1960's and has hovered at historic lows the last decade.
- Demographic changes and the integration of cultures require the inclusion of more voices/perspectives to address complex social issues.
- These cultural shifts have prioritized collaboration, accessibility and transparency.
- Technological advances provide venues for citizen participation in systems and processes previously limited to experts and official gatekeepers.

Thus, there is growing recognition that elite-driven and closed-door decision making processes are: 1) culturally and politically unsatisfactory; and 2) ineffective. As a result, numerous sectors of American society have faced increased citizen demand for accountability and transparency - and opportunities to meaningfully participate in decisions that shape their lives.

In response to these dynamics, sectors including philanthropy are experimenting with more participatory and transparent decision making processes. For the purposes of this literature summary I will focus on this shift in the field of philanthropy, which is referred to as "participatory grantmaking".

Who, where, when? Participatory grantmaking currently operate on an "ad hoc" basis wherein individual institutions test their own approaches without much knowledge of, or linkages to, overarching best practice guidelines. The field is in its infancy. Other than limited surveys of participatory grantmaking practices published in the last 2-3 years, anecdotal evidence is all we have. There is no one type of foundation that engages in participatory grantmaking: there is wide variety in terms of grant amount, scale of operation (local-->global), focus area, etc.

Defining participation
There is no go-to, standard definition of participation when it comes to grantmaking. However, foundation literature generally distinguishes "participatory approaches" and "participatory grantmaking" (participatory grantmaking is considered one form of a participatory approach).

Participatory approaches are a broad category of strategies that funders use to involve non-traditional stakeholders (i.e. non-grantmakers) in their institutional processes. This could mean inviting input on funding priorities and strategies, or inviting community representation on advisory committees or a board of directors.

Participatory grantmaking refers to institutional processes that explicitly give non-grantmakers <u>decision-making power over funding decisions</u>. This is different from participatory approaches in that participatory approaches don't necessarily cede control when it comes to funding allocation decisions.

Participatory approaches are more commonly accepted as a best practice, whereas participatory grantmaking is more resource intensive and uncommon in philanthropy.

Four conceptual models of participation may be useful for PCL to consider. The first two - Arnstein's Ladder of Participation and IAP2's Spectrum of Public Participation - highlight differing levels of citizen involvement in public affairs. The third and fourth - Ford Foundation's Framework for Participatory Grantmaking and CFLead's Resident Engagement Spectrum - are specific to citizen involvement in grantmaking/funding processes. These are included as an appendix.

Mechanics of participatory grantmaking
As previously mentioned, there is no universal model for what participatory grantmaking looks like. This section attempts to provide a representative picture of how participatory grantmaking processes and institutions differ along core characteristics. This information comes from a selection of case studies and small survey data that has been collected from foundations engaged in participatory grantmaking.

Who? What non-grantmaker groups become involved in decision making?
- Majority of participants are individuals directly impacted by the applicants under review - program staff and program clients
- Content area "experts" from the community, wherein expert is broadly conceived and includes expertise derived from lived experience
- Community residents who are interested in participating but do not fit the above categories

How? What forms of participation and involvement do the above peer/community groups engage in?
- Advisory committees composed solely of community members, whose processes are supported administratively by staff
- Individual community members embedded in pre-existing committees/processes that include staff/donors
- Decision making capabilities at all steps in the process:
    o determining funding priorities;
    o establishing application criteria;
    o determining decision-making criteria moving forward;
    o circulating requests for proposals, including directly contacting promising applicant organizations;
    o conducting initial screening of proposals for fit;
    o in-depth assessment of proposals, which may include scoring rubrics and/or site visits and interviews;
    o final decision making of funding;
    o participating in post-award activities including communications strategies, grantee evaluation/monitoring, and incorporating lessons learned into future grantmaking processes.
- Note: there is a spectrum of processes when it comes to final funding decisions and how much power peer/community participants have. In many instances the peer groups make

final decisions and the staff/donors essentially rubber stamp those decisions without question. In other instances staff/donors retain a form of veto power over peer/community participants.

Models for Two-Step Approaches. How do participatory grantmakers structure their two –step application process? What follows is a selection of examples to highlight the range of possibilities for two-step processes.

- *Liberty Hill Foundation*
  - o Step 1: Staff conduct "Preliminary proposal review" using a formal scoring rubric that assesses five key dimensions of the applicant organization's work. Based on these results, staff decides which groups move forward.
  - o Step 2: Extensive process undertaken by a separate non-staff group - "Community Funding Board" - who conduct extensive assessments of each applicant, including site visits. This group makes final recommendations to staff.
- *Haymarket People's Fund*
  - o Step 1: Funding Panel members (community members) are put in reading teams of 2-3 individuals; each team reads and reviews 10-15 proposals. Broader panel convenes an all day meeting to determine which applicants will move forward.
  - o Step 2: Selected applicants are then interviewed by two-person teams from the Funding Panel. Funding Panel eventually comes back together and makes final recommendations.
- *Brooklyn Community Foundation*
  - o Step 1: Foundation reviews applications and narrows down a set of finalists for next step.
  - o Step 2: Advisory Council (community members) then interview these finalist organizations and eventually vote on who receives funding.
- *Case Foundation*
  - o Step 1: A group of community-based experts formed an advisory committee that narrowed the initial applicant pool from 100 to 20.
  - o Step 2: The final 20 applicant proposals were put forward to the public who selected four recipients via popular vote.

*Note: a collection of brief case studies of participatory grantmaking institutions is provided in the appendix. Sections of these case studies that might be particularly useful include:

- "Initial Vetting/Screening/Due Diligence"
- "Grantmaking Decision Process and Panel"
- "General Structure"

Benefits of participatory grantmaking
Participatory approaches lead to better funding decisions. The challenges facing citizens and communities requires the expertise of those outside official institutions. Participatory grantmaking leads to investments that are more closely aligned with what communities need and want, and thus result in better outcomes.

Participatory approaches lead to desirable byproducts. Power sharing and transparency are forms of democratic accountability, which increases the perceived credibility of granting

institutions. Meaningful participation contributes to justice, empowerment and agency of community members, which may facilitate their involvement in other civic and political processes. Finally, participatory approaches promote diversity, equity and inclusion - in the process itself and the outcomes.

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APPENDIX

Ladder of Citizen Participation

Citizen Control. Participants ("the public") handle the entire job of planning, policy making, and managing a program or initiative with no intermediaries.

Delegated Power. Participants have a clear majority of seats on committees with delegated powers to make decisions and assure accountability.
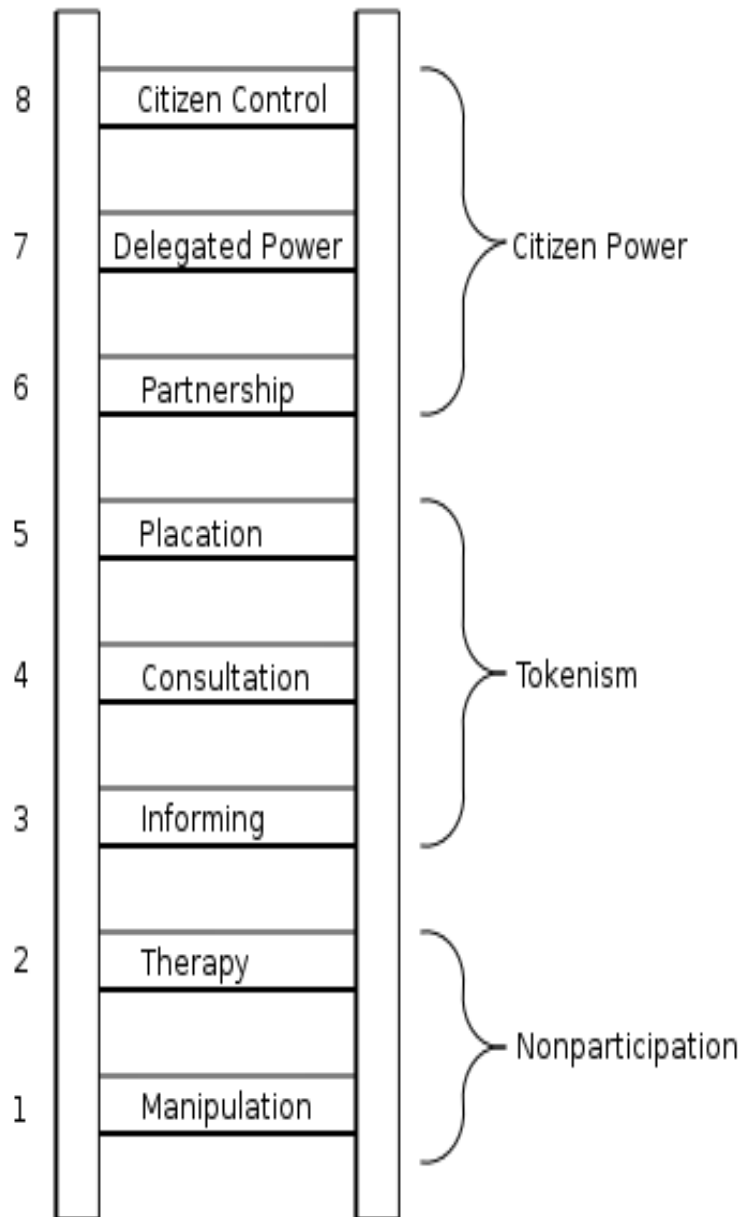
Partnership. Planning and decision-making responsibilities are shared through joint committees of participants and public officials/experts.

Placation. Participants can advise but public officials and other power holders have the right to judge the legitimacy or feasibility of the input.

Consultation. Public officials and other decision makers use surveys, community meetings, and public inquiries to elicit and gauge participants' opinions.

Informing. Public officials and other power holders create a one-way information flow with no feedback channels for participant reactions or input.

Manipulation & Therapy (Nonparticipatory). Public officials and other power holders seek to "cure" or "educate" participants, using public relations strategies to build public support.

Rung	Label	Category
8	Citizen Control	Citizen Power
7	Delegated Power	Citizen Power
6	Partnership	Citizen Power
5	Placation	Tokenism
4	Consultation	Tokenism
3	Informing	Tokenism
2	Therapy	Nonparticipation
1	Manipulation	Nonparticipation

*Adapted from S. Arnstein's "Ladder of Citizen Participation" (1969) and C. Gibson's "Deciding Together: Shifting Power and Resources Through Participatory Grantmaking" (2018)

Spectrum of Public Participation
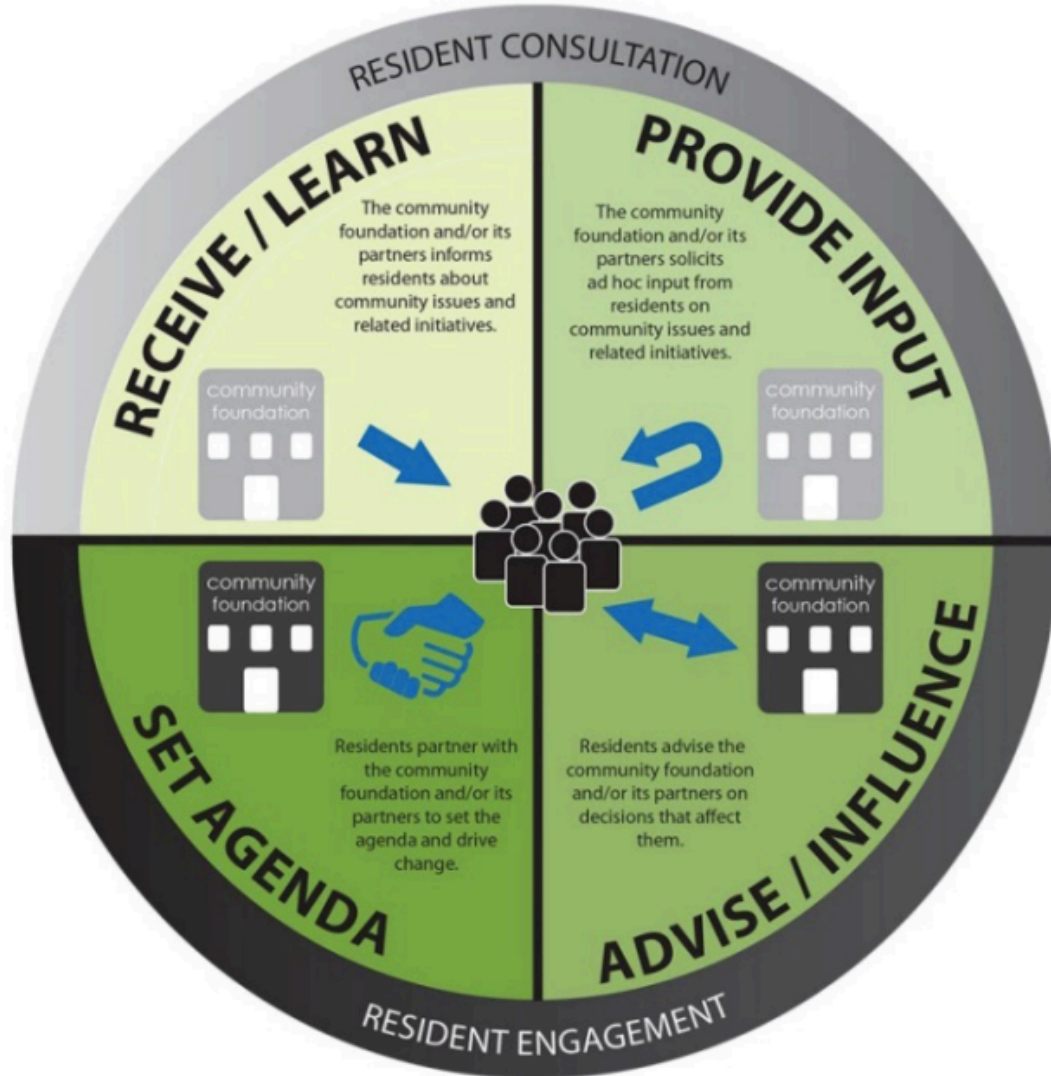
IAP2 Spectrum of Public Participation

International Association for Public Participation

Increasing Level of Public Impact →

	Inform	Consult	Involve	Collaborate	Empower
Public participation goal	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision-making in the hands of the public.
Promise to the public	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.
Example techniques	■ Fact sheets ■ Web sites ■ Open houses	■ Public comment ■ Focus groups ■ Surveys ■ Public meetings	■ Workshops ■ Deliberative polling	■ Citizen advisory committees ■ Consensus-building ■ Participatory decision-making	■ Citizen juries ■ Ballots ■ Delegated decision

© 2007 International Association for Public Participation

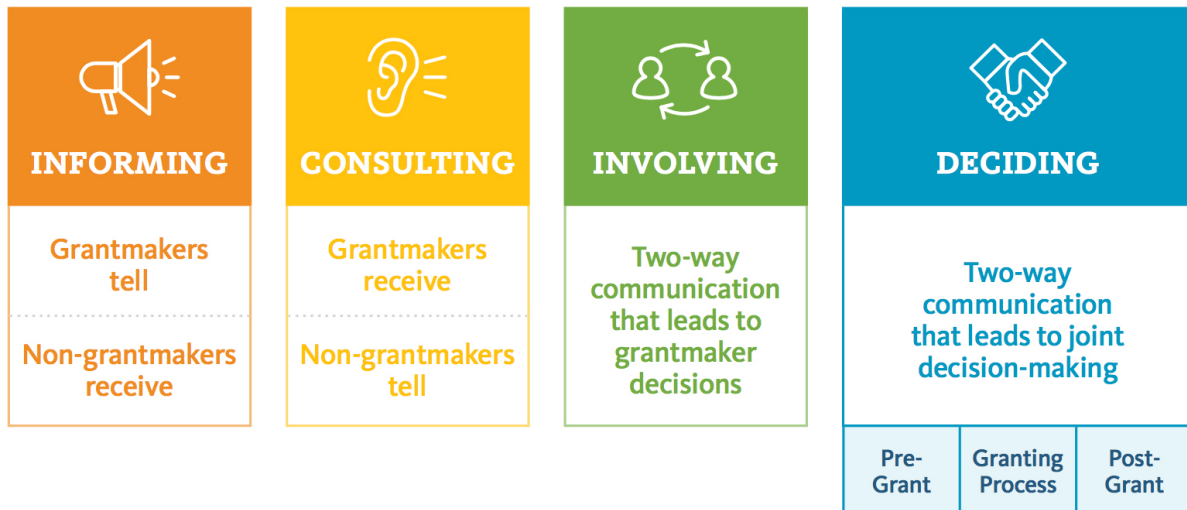*International Association for Public Participation (2007)

CFLeads Resident Engagement Spectrum

*CFLeads (2014)

Framework for Participatory Grantmaking

Participatory Grantmaking: Draft Overall Framework

INFORMING	CONSULTING	INVOLVING	DECIDING
Grantmakers tell	Grantmakers receive	Two-way communication that leads to grantmaker decisions	Two-way communication that leads to joint decision-making
Non-grantmakers receive	Non-grantmakers tell		

Pre-Grant	Granting Process	Post-Grant

*Ford Foundation (2017)

FundAction

GRANTMAKING PRIORITY-SETTING AND STRATEGY

What are your grantmaking and/or strategic priorities (in terms of geographic focus, issue, etc.)? Who decides the grantmaking priorities? The overall strategy for the fund? What's the process by which these decisions are made? How are these practices socialized within your organization?

FundAction supports grassroots activists from across Europe that work on a variety of issues.

The overall strategy of the Fund was developed during a participatory two-day workshop organized in December 2016 by the four founding foundations (Open Society Initiative for Europe, European Cultural Foundation, Charles Leopold Mayer Foundation, and Guerrilla Foundation) that brought together more than 30 activists from many European countries. A facilitation group of seven activists and one foundation representative was proposed at the workshop and is now further developing and implementing the strategy. An annual assembly (which had its debut in April 2018) is the main forum for making major strategic decisions, e.g., types of grants offered, specific focus areas, and processes for grantmaking and recruiting new members.

Our goals are to shift power to make decisions about funding from foundations to those closer to the issue, strengthen collaboration and mutual support among European activists, and build the capacity of activists and the social movements they work with. We do this by inviting peers to both participate in and apply for funding.

TYPES OF GRANTS

What kinds of grants do you provide (e.g., general, rapid response, capacity building, field-building, etc.)? What is the range in amount of the grants you award? Is the participatory decision-making process the same for all grant types and sizes? If not, why? Do you earmark funding for a specific purpose in order to ensure diversity in who/what you're funding? Who determines the type and size of grants, and how?

FundAction currently makes two types of grants, while a third is planned but has not yet been implemented:

1) Rethink Grants provide up to 5000 EUR for capacity building, exchange, and community building among European activists.

2) Renew Grants provide up to 20.000 EUR for projects that are systemically challenging the status quo and/or building viable alternatives to the current systems of oppression and exploitation that we want to see changed.

3) Resist Grants (currently being designed by the community) will provide up to 2000 EUR for urgent response direct action

The decision to create the first two funding streams was made at the first strategic workshop in 2016. We completed the first rounds of grants for both Rethink and Renew grants and discussed them at our annual assembly in April 2018. We are currently debating, reviewing, and designing future rounds of these grants.

Decision-making process:

1) Rethink Grants applicants fill out a short online application that is then reviewed by FundAction members who comment and vote on proposals through an online portal. Preliminary winners are based on the number of votes up to the budgeted funding amount for that particular round. After undergoing an eligibility/legal check by the hosting organization, the EDGE Funders Alliance, applicants sign a grant agreement and funds are disbursed.

2) Renew Grants: The application process is similar to the Rethink Grants, with ten applications selected for consideration. A five-member peer-to-peer panel (randomly selected from non-applicant members) then does a detailed reading of the ten applications and conducts interviews with them. The panel then meets in person at the annual assembly to make the final decisions, which is followed by an eligibility check by the hosting organization (currently EDGE Funders Alliance). Winners are announced on our online platform.

APPLICATION PROCESS

Who is eligible to apply for a grant? What kind of outreach happens to make potential grant applicants aware of your grantmaking?

All FundAction members can apply for a grant. Currently, we have 163 members who are made up of activists and volunteers (see **here** for more information about our members). We plan to invite more participants to grow the community. Currently, our list of countries eligible for funding are EU28, EFTA (Norway, Iceland, Switzerland, Liechtenstein), Western Balkans (Serbia, BiH, Macedonia, Kosovo, Montenegro, Albania), Ukraine, Moldova, and Turkey.

How often do you accept applications/grant proposals?

Renew Grants: Once a year
Rethink Grants: 3-4 times per year
Resist: Planned: Frequency TBD (We'd love to do this ad-hoc, to provide a more timely stream of grants, but planning a quick and participatory process is not easy—so we are still designing and determining logistics.)

Can applicants get assistance in applying? If so, what kind?

We say that if anyone needs help, the Facilitation Group—a subsection of the FundAction members—is available. The group helps with translation and any necessary clarifications. In our first round, we reached out to applicants whose applications were not very clear. While we had this ad hoc assistance, we plan to discuss this process in detail and possibly develop a more formal system.

What type of information is collected from applicants, and who has access to this information?

At the moment, our application collects basic information such as who the applicant is, what they want to accomplish, how much money is needed, and why. New questions and criteria are currently being discussed. We share information with Edge Funders Alliance, who is hosting the Fund, but they do not have input on the application design.

INITIAL VETTING/SCREENING/ DUE DILIGENCE

Are applications initially screened or vetted to ensure eligibility? How and by whom is this done? If more than one person is involved, how do you ensure that the same criteria has been considered in all cases?

The Facilitation Group screens incoming applications to assure that they align with the goals and basic criteria of the fund they are seeking support from. One eligibility requirement we have is that applicants be registered nonprofits or have a fiscal sponsor who is a nonprofit. However, we see this less as an eligibility requirement and more as a legal hurdle we must jump.

Criteria that are used for screening are published and available to the all members, along with the call for applications. These criteria are also used for the Facilitation Group's assessment.

GRANTMAKING DECISION PROCESS AND PANEL

Who comprises your grantmaking selection panel(s)? How are they selected (e.g., by nomination, application, etc.)?

Renew Grants are decided by a randomly selected group of five members who did not apply for the grant.

How do you think about representation of specific population groups or geographies?

We strive for diversity of members by sharing diversity criteria along with our invitation phase, during which members are able to recruit new activists.

What, if any, is the term limit for members of the selection panel? Why?

Members are appointed to the selection panel only once per decision cycle. This enables them to be able to apply themselves for grants during the next round.

What is the process by which the selection panel determines grant decisions?

The group holds a Skype interview with each applicant, after which each of the five members evaluate and score the applications. The collated scoring results are discussed at a face-to-face meeting, where the final decision is made through a confidential voting process.

Can decision-makers on grantmaking selection panels be applicants? If so, are there any special processes or a conflict of interest policy tied to this occurrence?

Yes, but not during the same cycle during which they are an applicant. All members are invited to be applicants unless randomly selected as part of the grantmaking selection panel.

What happens if there is disagreement among the decision-making committee? How is this resolved? (e.g., consensus, voting, etc.)

There is a final vote to determine the winners of the grant, and the majority wins.

How are selection panel members trained and supported?

There is a Facilitation Group member present during the final decision-making meeting. The Facilitation Group also supports the panel members before the meeting to assure that they understand the process and decision-making criteria for applications before they interview the 10 applicants.

What recourse do grants applicants have to challenge the decisions?

While we don't have recourse options because, in our situation the applicants themselves are part of FundAction and participated in the design of the questions, criteria, and voted on the proposals. That said, several applicants shared disappointments at our in-person Annual Assembly and we reiterated that we can always change questions in the next round if they think they need improvement. So, in terms of challenging the decisions, people can do so on the online debates or at the in-person meetings.

GENERAL STRUCTURE

What percentage of staff members are "peers", i.e. of the population the foundation seeks to benefit?

The Facilitation Group comprises a group of activists who are compensated financially for their support of the fund, but they are not considered "staff." All involved are considered peers.

What percentage of board members are peers?

We do not have a board.

What percentage of the grantmaking decision-making committee(s) are peers?

100%

Are there other committees or operational processes that involve peers?

All operational processes of the Fund involve peers, except the final legal eligibility check, which is done by the Edge Funders Alliance

How does the role of paid staff differ from that of peers?

N/A

Do you pay members of your panel/committee?

Yes, Facilitation Group members receive 500 EUR/month for about two days of work. The coordinator receives an additional 500 EUR to organize prepare the meetings and assure smooth operations. The Peer to Peer panel members can ask for compensation of their time if this is needed (250 EUR/day), but they automatically receive 300 EUR each to acknowledge their support for the fund. We encourage panel members to regrant this contribution as a gift/private donation to a grassroots movement of their choice.

REPORTING, LEARNING, AND PROCESS ITERATION

Do you do any kind of formal evaluation? If so, what is asked of grantees and who conducts the evaluations? How do you evaluate impact? How do you learn about participants' experiences, both as selection panelists and applicants? With whom do you share the results of what you learn? Have you made changes to your programs based on feedback? If so, what is an example?

The development of FundAction has been a completely participatory process, in which both foundations as well as activists were involved. During the formation, fundamental values were clarified and agreed on and are now outlined in a Charter of Values. The internal online platform was shaped and functions according to these basic values and principles, which are also the basis for evaluating FundAction's process and impact.

In line with its participatory ethos, FundAction's evaluation framework only outlines the overall framework and general objectives of the fund. Specific objectives and measures are defined by the grantees and other members of the fund.

FundAction aims to achieve impact on three different levels: the fund itself and its members; the philanthropic sector in Europe and beyond; and European society, especially activist communities. One objective has been formulated for each value defined in our Charter of Values: democracy; inclusivity; openness; mutual trust and respect; peer to peer interaction; transparency; and autonomy. The evaluation framework provides progress and outcome measures for each of these objectives.

Participants will be asked to fill in an online survey about their progress and outcomes. To get more detailed qualitative information, interviews were conducted by an external evaluator who reviewed FundAction as a whole, rather than grantee projects. In addition, data on the internal online platform will be analyzed and desk research will be conducted to enhance FundAction's objectives.

For more information about the FundAction, contact: **contact@fundaction.eu**.

This resource was developed as a companion piece to the GrantCraft guide on participatory grantmaking. This resource is part of a suite of resources that showcase the rich and varied practices of participatory grantmaking across various organizations, reducing the burden on each funder to repeatedly outline their model. The guide and companion resources give insight to the philanthropy landscape about the what, how, and why of participatory grantmaking.

Visit **grantcraft.org/participatorygrantmaking** to explore further.

Global Greengrants Fund

GRANTMAKING PRIORITY-SETTING AND STRATEGY

What are your grantmaking and/or strategic priorities (in terms of geographic focus, issue, etc.)?

Global Greengrants Fund makes grants to grassroots efforts around the world in support of environmental justice, human rights, and sustainability. We give approximately 800 grants to 90 countries annually and have an advisory network of 160 advisors reaching over 140 countries. These grants can be grouped across the following action areas: climate justice, healthy ecosystems and communities, local livelihoods, right to land, water and resources, and women's environmental action.

Who decides the grantmaking priorities?

Grantmaking priorities are determined by decentralized advisory boards made up of environmental and social movement leaders and experts from the region where the grants are made. Advisory boards are managed by a coordinator who also comes from the local movements. Each advisory board sets its own grantmaking strategy, priorities, and criteria based on their assessment of local needs and opportunities. The advisory boards meet in person annually to review strategy and grantmaking results and adapt their approach to changing needs and context. Overall grantmaking guidelines (such as maximum grants size, principles of grassroots grantmaking, and conflict of interest policies) are set by staff and board of directors with input from advisors.

The overall strategy for the fund?

Our strategic plan and theory of change are developed through committees with representation from various parts of the organization—advisors, staff, and global board members. All staff are convened for input, and advisory boards provide feedback during meetings and through interviews and surveys. The board of directors makes the final approval of the organization's strategic plan.

What's the process by which these decisions are made?

Grant decisions are made by advisory boards who self-manage an annual budget, usually over two or three grant rounds, one of which occurs in-person during an annual advisory board meeting. Usually decisions are made by consensus among peers on an advisory board. Staff and the global board are involved in decisions about overall growth and strategy for the fund with input from advisors.

How are these practices socialized within your organization?

New advisors in the grantmaking process receive orientation from the coordinator, fellow advisors, and information contained in an advisor handbook. Program staff join advisory board meetings to meet, share practices, and build trust with advisors and the wider networks.

TYPES OF GRANTS

What kinds of grants do you provide (e.g., general, rapid response, capacity building, field-building, etc.)?

We do not limit the type of grants we provide. Our grants are used for a wide range of support, from processes like action planning, exchange visits, capacity building, awareness raising, trainings, communications, innovative projects, advocacy, general funds, data collection, research, etc. We can quickly turn around emergency grants when needed.

What is the range in amount of the grants you award?

$500 to $15,000

Is the participatory decision-making process the same for all grant types and sizes?

Yes. (We have a separately managed donor advised fund program that gives larger grants and employs different grantmaking models not described here.)

Do you earmark funding for a specific purpose in order to ensure diversity in who/what you're funding?

No, we do not set targets, although advisory boards consider diversity in their strategy development and decisions.

Occasionally, our donors restrict funds for specific types of grants such as those supporting women's environmental action. We ensure that our restricted funds match the grants priorities of our boards.

Who determines the type and size of grants, and how?

During funding rounds, advisory boards make decisions about the type and size of grant to be given to a particular group.

APPLICATION PROCESS

Who is eligible to apply for a grant?

Grant proposals must be invited by an advisor, who will then present it to an advisory board for consideration. We fund a broad range of organizations: community based organizations, indigenous groups, voluntary associations, cooperatives, small NGOs, networks, and coalitions. We also fund groups that are not formally registered.

What kind of outreach happens to make potential grant applicants aware of your grantmaking?

Advisors circulate notice of funding rounds by email to networks and coalition members with whom they work and orally with their contacts. They sometimes run their own participatory process by asking a coalition of actors to make grant recommendations. They also get proposals from groups and informal networks.

How often do you accept applications/grant proposals?

It depends on the number and frequency of grantmaking rounds of a particular advisory board.

Can applicants get assistance in applying? If so, what kind?

Advisors frequently offer assistance to organizations in applying, e.g., providing feedback on a proposal idea through a one-on-one consultation with an advisor. Our administrative staff (part-time consultants based in the regions) also help grantees with proposals and translations as necessary.

What type of information is collected from applicants, and who has access to this information?

A proposal and organizational form; documents of registration (if applicable, we can do non-profit equivalency determination with non-registered groups, depending on the rules for each country); and then, after acceptance, a non-profit equivalency form with bank information. Advisors,

administrators, coordinators, and grants/program staff all have access to this information, and it can be audited at any time.

INITIAL VETTING/SCREENING/ DUE DILIGENCE

Are applications initially screened or vetted to ensure eligibility? How and by whom is this done?

Yes, by the administrator/advisor. During a grant round, the coordinator will also ensure relevance and eligibility before inclusion in the proposals under consideration.

If more than one person is involved, how do you ensure that the same criteria have been considered in all cases?

The administrator is the most knowledgeable and reviews every proposal.

GRANTMAKING DECISION PROCESS AND PANEL

Who comprises your grantmaking selection panel(s)?

Our panels are made up of leaders from environmental and social movements.

How are they selected (e.g., by nomination, application, etc.)?

Advisors are recruited through our existing advisory boards.

How do you think about representation of specific population groups or geographies?

Depending on the strategy of each advisory board, we seek people from particular countries and geographic regions and people connected to different movements and networks. We also look for gender and ethnic diversity.

What, if any, is the term limit for members of the selection panel? Why?

We have no set term limit; however, some advisory boards set their own terms based on their strategies and desire to reach new groups, networks, and geographies.

What is the process by which the selection panel determines grant decisions?

The process varies from one advisory board to another but generally involves:

1) Advisors identify promising organizations and projects through their own work and networks and invite them to present proposals.

2) Proposals are submitted to the advisory board for a grantmaking round.

3) Advisors on the board review and rate a docket of proposals, asking and answering questions via email, teleconference, and/or in-person discussion.

4) The advisory board decides by consensus which proposals to fund and for how much.

5) Administrative staff gather and review additional due diligence materials from grantees.

6) Staff make final authorization of grant payment and notify grantees and advisors.

7) Advisors remain available to grantees for questions, mentoring, and other grant-related assistance.

What considerations are taken into account to ensure inclusive and streamlined decision making processes?

We consider the overall administrative burden of our grantmaking process, including the amount of paperwork and questions asked of grantees in the application and reporting process. We accept proposals and materials in many languages, and advisors and local administrators are available to help groups understand and navigate the grant process. We assist grantees in finding alternative ways to get funds if they do not have bank accounts or face other challenges receiving funding. We also track the efficiency of our grantmaking process and survey grantees about their experience with us as a funder.

Can decision-makers on grantmaking selection panels be applicants? If so, are there any special processes or a conflict of interest policy tied to this occurrence?

Our conflict of interest policy prohibits advisors from taking part in funding decisions involving their own organizations.

What happens if there is disagreement among the decision-making committee? How is this resolved? (e.g., consensus, voting, etc.)

In most cases, disagreements are resolved through consensus; however, advisory boards may also decide to vote if necessary to resolve disagreements.

How are selection panel members trained and supported?

Advisors are given an orientation by the coordinator, supplemented by a written handbook and interactions with other advisors and staff. Much of the learning happens through participation on the advisory board with peers and annual reviews of grantmaking and strategy. We also provide distance coaching for some advisors.

What recourse do grants applicants have to challenge the decisions?

We do not have a formal challenge process, but applicants can discuss with an advisor the possibility of resubmitting amended proposals.

GENERAL STRUCTURE

What percentage of staff members are "peers", i.e. of the population the foundation seeks to benefit?

45%

What percentage of board members are peers?

20%

What percentage of the grantmaking decision-making committee(s) are peers?

100%

Are there other committees or operational processes that involve peers?

We involve peers in organizational processes such as strategic planning and program evaluations.

How does the role of paid staff differ from that of peers?

Advisors are volunteers and review the proposals. Staff manage organizational operations and grant payments.

Do you pay members of your panel/committee?

We offer modest honoraria to advisors to help defray some of the costs of participating.

REPORTING, LEARNING, AND PROCESS ITERATION

What, if any, are your reporting requirements for grantees? Who develops them?

For all grants, a report developed by the grantee group or contact is due one year following the grant. Where language or literacy is an issue, an advisor can call or visit a grantee and help with the report form. A report can also arrive in the form of recording or video. A report must be received before repeat grants can be considered.

Do you do any kind of formal evaluation? If so, what is asked of grantees and who conducts the evaluations?

Advisory boards and staff based in Boulder, Colorado in the United States work together to hire consultants, who, ideally, are from and knowledgeable about their communities.

Consultants conduct visits and participatory action research; visit grantees; and create spaces for feedback and learning. The learning is documented and often shared in workshops with grantees and key actors.

How do you evaluate impact?

Global Greengrants Fund's contribution to concrete change is studied through longitudinal case studies of our grantmaking within particular socio-environmental movements. The case is revisited every three to five years. The research covers a series or cluster of grants, rather than the impact of one particular grant or grantee. It queries the grantmaking strategy of an advisor within a movement. The case studies involve outside researchers working closely with advisory boards but interviewing a wide range of outside key actors to understand the trajectory of movements, their waxing and waning, tipping points, key event mapping, and the timing. This process contributes to better understanding the unique contribution and usefulness of small grants at different points in time relative to wider outcomes.

How do you learn about participants' experiences, both as selection panelists and applicants?

Advisors are usually highly respected and known to environmental and social justice networks based on their reputation gained over a career. Existing advisors recommend candidates for a new advisor, and staff can also recommend names through networks. The merits of each candidate are debated openly and all candidates are interviewed by advisors, references and outside contacts— a triangulated process that deepens understanding of the candidate. Final decisions are made by the coordinator of an advisory board, although Boulder staff can veto.

Grantee applicants' work or situation are known to advisors or recommend by trusted and knowledgeable actors within an advisors network. Because advisors are often working in coalition spaces, they gain broad understanding of a movement and its many actors.

With whom do you share the results of what you learn?

The most important audience is the advisory network specifically, the advisory boards so they can reflect and adjust continually, we well as learn from each other and across boards. Our staff and global board are also important audiences for our learning, as well as donors and the general public. We also share learning in peer spaces such as funder conferences or in thematic spaces on environmental and human rights topics.

Have you made changes to your programs based on feedback? If so, what is an example?

The advisory boards meet yearly to reflect and adjust strategy accordingly. One example might be our Next Generation Climate Board, which is made up of young climate activists who recommend grants to other youth climate activists. Granting to youth carries more risks because youth groups have high turnover rates and less experience with grant management. The board has learned and documented many lessons over time about assessing applicants' sustainability and advising potential grantees to think carefully about their ideas and projects.

For more information about Global Greengrants Fund, contact Allison Davis at **allison@greengrants.org**.

This resource was developed as a companion piece to the GrantCraft guide on participatory grantmaking. This resource is part of a suite of resources that showcase the rich and varied practices of participatory grantmaking across various organizations, reducing the burden on each funder to repeatedly outline their model. The guide and companion resources give insight to the philanthropy landscape about the what, how, and why of participatory grantmaking.

Visit **grantcraft.org/participatorygrantmaking** to explore further.

Haymarket People's Fund

GRANTMAKING PRIORITY-SETTING AND STRATEGY

What are your grantmaking and/or strategic priorities (in terms of geographic focus, issue, etc.)?

Haymarket believes that community organizing is the most effective strategy for achieving our vision of an equitable, peaceful and humane world. By organizing, we mean efforts led by those most affected by injustice that focus on two things: the root causes of the problems facing them and changing the institutions and structures of power that keep injustice in place. We do not fund services that provide for the basic needs of individuals, self-help programs, or advocacy work unless they are part of an organizing strategy.

Haymarket also believes that for real change to occur, organizing must be anti-racist and recognize the intersection of racism and other forms of oppression. We pay special attention to race because we understand that, in the United States, racism has divided all social change movements and has limited the effectiveness of our organizing work.

Haymarket currently offers two kinds of grants—Sustaining Grants and Urgent Response Grants—for social justice organizing work happening in the New England region (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont). We are committed to supporting urban and rural organizing across the region, start-up and emerging organizations, and groups with a long history of grassroots organizing. We make grants for both general operating support and project work.

We look at community organizing broadly and fund groups that focus on the root causes of the problems they are facing. We also look for groups that have strong constituency leadership and accountability, anti-racist and anti-oppression values and practice, and a commitment to movement building. We will consider funding cultural work and resources for organizing (such as workshops, conferences and media work) that are part of an ongoing community organizing effort or are accountable to social change movements.

We evaluate all applications for funding according to the following funding criteria:

1) Self-determination and accountability: Is the organization or project led by and accountable to their constituency or community? Do constituents have real leadership and voice in all aspects of the organization?

2) Leadership development: Is the group strengthening the skills and experience of their constituency in all aspects of their work? How is leadership development built into their process?

3) Anti-racism and anti-oppression values and practice: Does the organization understand racism and is it working to develop anti-racist vision, values and practice, both internally and externally in the community? Is it helping its members and leadership develop a clear understanding of racism and white privilege? Do they understand how racism and white privilege impact their community and the issues they are facing? Is their organization changing as a result of this work? Do they understand other areas of oppression and how they intersect with racism?

4) Organizing for systemic change: Does the group understand the underlying causes of the problems they are addressing, and do they have plans and strategies which address these root causes? Is the group working to create systemic change; that is, are they working to change the culture, institutions and/or structures of power in their community? Does the organization have a power analysis?

5) Movement building: Is the organization building relationships and unity with other groups working on issues both similar and different to theirs? Is the group able to see its work as part of a larger struggle for change?

6) Diversified funding base: Is the group working to build a strong, diverse, and sustainable funding and resource base in their community? Does a group have a good mix of funding sources (i.e. grants, grassroots etc.)?

7) Limited access to traditional funding: Haymarket is committed to funding groups that, because of their analysis and vision, have limited access to traditional funding sources (such as government and corporate funding). We have a history of funding start-ups and smaller, grassroots organizations across the region. We do not fund groups with budgets over $300,000.

Who decides the grantmaking priorities? The overall strategy for the fund? What's the process by which these decisions are made?

Haymarket's New England Funding Panel members collectively determine grant awards for the region according to Haymarket's mission, vision, and principles. Through their organizing and accountability to their constituencies, Funding Panel members help shape Haymarket's work for justice and equity across New England.

The New England Funding Panel is the grant decision making body at Haymarket. Staff only plays a coordinating/support role. The Funding Panel works with the Haymarket staff to carry out grantmaking duties and is accountable to the Haymarket Board of Directors. The Board approves all Funding Panel nominations.

TYPES OF GRANTS

What kinds of grants do you provide (e.g., general, rapid response, capacity building, field-building, etc.)? What is the range in amount of the grants you award?

Sustaining Grants: Grant awards range up to $10,000 for grassroots social change organizations that meet our funding criteria. Grant sizes are determined after a careful evaluation of each proposal that takes into account Haymarket's criteria and commitment to strengthening anti-racist movement building in New England. We fund both start-up groups (emerging) and groups that are more established (movement building).

Urgent Response Grants: These grants provide up to $1,000/year to help grassroots social change organizations respond quickly to unforeseen crises or opportunities that critically affect their organization and constituency. This includes unexpected events, political crises, or organizing opportunities. Grants are not to be used for ongoing program work, financial crises, a shortfall in projected funding, or because the group missed a funding deadline. Applications are accepted on a rolling basis as long as funding is available.

Is the participatory decision-making process the same for all grant types and sizes? If not, why?

No, because of the quick turn around with Urgent Response Grants, that application is a shorter process. Applications are reviewed by a few Funding Panel members, and responses are typically given in two to three weeks.

Who determines the type and size of grants, and how?

The New England Funding Panel is the grant decision making body at Haymarket. Sustaining grants are determined at a weekend long retreat, where decisions are made by consensus. A total grant pool is approved each fiscal year by the Haymarket board of directors.

APPLICATION PROCESS

Who is eligible to apply for a grant?

Groups doing anti-racism grassroots organizing in New England are eligible for funding. We do not fund groups with budgets over $300,000.

What kind of outreach happens to make potential grant applicants aware of your grantmaking?

Groups that have received funding in the past three years receive an application in the mail. We also hold two or three grant information sessions before each grant cycle begins that take place across the region.

How often do you accept applications/grant proposals?

Sustaining Grant applications are accepted one time per year. Urgent Response applications are accepted on a rolling basis.

Can applicants get assistance in applying? If so, what kind?

Staff are happy to talk to anyone who is applying. We also encourage applicants to attend a grant information session because Funding Panel members will be there to go over our funding criteria in detail, as well as answer questions.

What type of information is collected from applicants, and who has access to this information?

Haymarket has a grant application that includes a narrative, as well as a list of attachments. Staff and funding panel members have access to applications.

INITIAL VETTING/SCREENING/ DUE DILIGENCE

Are applications initially screened or vetted to ensure eligibility? How and by whom is this done? If more than one person is involved, how do you ensure that the same criteria has been considered in all cases?

Yes, groups that have not been funded by Haymarket in the past three years need to call the office and speak to a staff person about their work. If they meet our basic criteria, then we will send an application package.

GRANTMAKING DECISION PROCESS AND PANEL

Who comprises your grantmaking selection panel(s)? How do you think about representation of specific population groups or geographies?

The New England Funding Panel comprises up to 18 community organizers from across the six New England states. Ideally, there will be three members from each state, as well as members who represent a range of issues and urban and rural regions (criteria set by the board of directors). The Funding Panel's membership will be majority people of color and meet Haymarket's values of inclusion around age, gender, sexuality, ability, and class.

How are they selected (e.g., by nomination, application, etc.)?

People interested in being on the Funding Panel need to fill out a volunteer application. After the application is reviewed, current members of the funding panel, along with the grants director, meet with the applicant. They make a recommendation to the Funding Panel and then to the Haymarket board for approval.

What, if any, is the term limit for members of the selection panel? Why?

Terms are for three years with the option of extending for a fourth year. The first year is conditional based on mutual evaluation.

What is the process by which the selection panel determines grant decisions?

Funding Panel members go through the following review process:

◆ Panel members are put into reading teams (2 to 3 people) and given 10-15 proposals to review.

◆ The Panel comes together for an all-day meeting, where they decide the groups they would like to interview. These decisions are made by consensus.

◆ The Panel is divided into two-person teams for interviews.

◆ The Funding Panel interviews four applicant groups at a time. (Haymarket interviews are group interviews because we have found that this approach reduces tension and often leads to important community building and networking opportunities.) Groups are not competing directly against the other groups; all groups can be funded.

◆ The Panel comes together for a weekend retreat where they make funding recommendations based on how well a group fits Haymarket's funding criteria. These decisions are made by consensus.

◆ Panel provides feedback to application (funded or not).

Can decision-makers on grantmaking selection panels be applicants? If so, are there any special processes or a conflict of interest policy tied to this occurrence?

Yes, given our model, panel members do have conflicts.

Our policy: Funding Panel members must declare association with an applicant group (e.g., as a board member, volunteer, employee, consultant, beneficiary, fiscal sponsor, etc.) at the initial stage of reviewing proposals. The funding board discusses these potential conflicts and activities that may preclude the member from participating in the process (e.g., interviews, site visits, voting/ decision making, etc.). However, panel members may still take part in the discussion, as well as answer questions and provide information about the project. The funding board member should reconfirm the existence of any potential conflict of interest at all funding board meetings during a review cycle.

What happens if there is disagreement among the decision-making committee? How is this resolved? (e.g., consensus, voting, etc.)

Haymarket's Funding Panel works by consensus.

How are selection panel members trained and supported?

Haymarket holds a new member orientation and a two and one-half day "Undoing Racism" workshop offered by People's Institute for Survival and Beyond within the first six months of members' service. We also provide mentoring and caucusing.

What recourse do grants applicants have to challenge the decisions?

Haymarket does not have an appeal process; however, each group (funded or not) is given feedback, and groups can apply the next year.

GENERAL STRUCTURE

What percentage of staff members are "peers", i.e. of the population the foundation seeks to benefit?

75%

What percentage of board members are peers?

100%

What percentage of the grantmaking decision-making committee(s) are peers?

90%

Are there other committees or operational processes that involve peers?

Yes, Haymarket's development and finance committees, as well as any ad hoc committees, are made up of peers.

How does the role of paid staff differ from that of peers?

The New England Funding Panel is the grant decision making body at Haymarket. The Board oversees the organization's governance and finance systems. Staff run the day-to-day operations of the organization.

Do you pay members of your panel/committee?

No, but we do reimburse for travel and/or other expenses.

REPORTING, LEARNING, AND PROCESS ITERATION

What, if any, are your reporting requirements for grantees? Who develops them?

Haymarket has a basic follow-up report that we ask groups to submit after 10 months of receiving a grant. These were developed by staff with the input of the Funding Panel.

Do you do any kind of formal evaluation? If so, what is asked of grantees and who conducts the evaluations? How do you evaluate impact?

Not currently, but it is something we are working on.

How do you learn about participants' experiences, both as selection panelists and applicants?

At the interviews, we ask participants to fill out a brief evaluation form. After each grant cycle, the Funding Panel does an evaluation.

With whom do you share the results of what you learn?

We share our results with the Funding Panel, staff, and board.

Have you made changes to your programs based on feedback? If so, what is an example?

Yes, at grantees' request we started holding an annual grantee gathering and providing more capacity building work with grantees. We also restructured the interview process and now include a glossary of terms in grant information packet.

For more information about the Haymarket People's Fund, contact Jaime Smith at jaime@haymarket.org.

This resource was developed as a companion piece to the GrantCraft guide on participatory grantmaking. This resource is part of a suite of resources that showcase the rich and varied practices of participatory grantmaking across various organizations, reducing the burden on each funder to repeatedly outline their model. The guide and companion resources give insight to the philanthropy landscape about the what, how, and why of participatory grantmaking.

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Liberty Hill Foundation

GRANTMAKING PRIORITY-SETTING AND STRATEGY

What are your grantmaking and/or strategic priorities (in terms of geographic focus, issue, etc.)?

Liberty Hill believes that lasting social change emerges from community organizing and social change movements. The Fund for Change (FFC) is Liberty Hill's primary competitive grantmaking program, whose goal is to support community organizing that builds power to win institutional change. FFC supports organizing models in Los Angeles County that have a strong membership base, pipeline for leadership growth and decision-making, campaign development, and coalition building in low-income communities and communities of color.

Who decides the grantmaking priorities? The overall strategy for the fund? What's the process by which these decisions are made?

The Fund for Change reaches out to organizations that:

◆ Are driven by people who are directly affected by injustice.

◆ Have a process for developing leaders from the membership base for the purpose of furthering the organization's mission.

◆ Have a clear plan to win concrete systemic or institutional changes to policies, practices, regulations or laws in the public and private sectors.

◆ Incorporate multiple organizing strategies such as engaging strategic allies, coalition building, research, advocacy, communications, and voter engagement.

◆ Advance racial justice by addressing institutional policies and practices that cause racial disparity. Liberty Hill applies an overarching racial justice lens to our grantmaking, recognizing that the distinct mark of racism is collective, systemic, and societal power that requires fundamental institutional change to undo.

◆ Link local efforts to broader social movements.

◆ Build power and increase impact over time.

Liberty Hill's Community Funding Board (CFB) is composed of community leaders and experts who provide strategic guidance and support in our Fund for Change grantmaking process. They conduct site visits for FFC applicants, prepare a comprehensive assessment tool for all site-visited groups, engage in a landscape analysis of organizing in Los Angeles County, and determine the role of each applicant within that landscape to help determine final grants. This landscape analysis sets the stage for subsequent funding cycles, with periodic convenings around emerging or heightened issues to sustain or change our funding priorities.

How are these practices socialized within your organization?

The CFB model has been in place since Liberty Hill's inception in 1976. All proposals are pre-approved by the board of directors, then placed in the hands of the grantmaking committee to conduct the funding cycle. Until 2010, all final grant awards were decided by the CFB, which recommended moving to a process in which staff would decide final grant amounts on the basis of a rigorous CFB-managed due diligence process.

The CFB currently provides High, Medium and Low (H-M-L) recommendations based on their site visits and landscape analysis. The staff will make final grant recommendations based on initial screening, CFB site visits, landscape analysis, and strong alignment with CFB H-M-L recommendations. Our entire grantmaking process and final results are shared through a full report to our board of directors and staff. Our grantees are strongly highlighted in our social media, provided with additional support through our Wally Marks Leadership training program, and engage in other partnership activities throughout the year.

TYPES OF GRANTS

What kinds of grants do you provide (e.g., general, rapid response, capacity building, field-building, etc.)?

The Fund for Change largely provides general support grants, as well as project-based grants as needed. It also strongly supports capacity-building.

What is the range in amount of the grants you award? Is the participatory decision-making process the same for all grant types and sizes? If not, why?

The Fund for Change decision-making process is the same for all grant types. The FFC provides one-year grants of up to $50,000, including:

◆ **Rising Activism Grants** ($10,000–$30,000) support emerging and developing organizations with: a growing membership base of people directly affected by injustice, basic organizing skills, leadership development mechanisms, and a commitment to outreach and organizing.

◆ **Impact Grants** ($30,000–$50,000) support organizations that are leading campaigns to win and implement institutional change and that show evidence of broad base building and leadership growth, along with movement-building strategies and strongly developed coalition engagement efforts.

Do you earmark funding for a specific purpose in order to ensure diversity in who/what you're funding?

Although we do not earmark funding for specific purposes, we are a public charity supported by individual and institutional funders who may earmark their FFC contribution for specific funding areas. Our process for ensuring diversity in funding occurs at the front end through outreach and screening.

Who determines the type and size of grants, and how?

Unless the funded organization has a fiscal sponsor or organizational structure beyond our geographic focus, all grants are general support grants. The size of grants is largely based on H-M-L recommendations by the CFB, then allocated by staff with final approval by the CEO.

APPLICATION PROCESS

Who is eligible to apply for a grant?

Liberty Hill considers applications from organizations based in Los Angeles County for work that is consistent with the Fund for Change's goal and strategy. Specifically, the Fund supports organizing models in low-income communities and communities of color that have a membership base, a pipeline for leadership growth, and experience in organizing around economic, racial, environmental, and LGBTQ justice issues. Eligible organizations must be tax-exempt under section 501(c)(3) of the Internal Revenue Code or have a fiscal sponsorship agreement with a 501(c)(3) organization.

What kind of outreach happens to make potential grant applicants aware of your grantmaking?

Liberty Hill announces the funding cycle on our website and conducts webinars to inform potential grantees about the FFC's goal and strategy. We also field phone and email queries and put these on our outreach list to notify when the fund is opened up.

How often do you accept applications/grant proposals?

The Fund for Change's grant process is conducted once a year. Generally, we announce the funding cycle in the fall, accept letters of inquiry in January, and send out RFPs with a March proposal deadline.

Can applicants get assistance in applying? If so, what kind?

We conduct webinars that review the application guidelines and questions. We encourage follow-up calls when the proposal is being prepared for one-on-one conversations. We have also provided periodic clinics by appointment to review proposal drafts.

What type of information is collected from applicants, and who has access to this information?

Funding guidelines and attachments that list what documents are required are available **here** (Word document). The **proposal intake form** (Word document) is the check list.

INITIAL VETTING/SCREENING/ DUE DILIGENCE

Are applications initially screened or vetted to ensure eligibility? How and by whom is this done? If more than one person is involved, how do you ensure that the same criteria has been considered in all cases?

Initial screening is conducted by our program team under the guidance of the director of grantmaking. We vet all proposals as a team and decide which groups to move forward for CFB review.

We use a **staff proposal review form** (Word document) to capture the five basic elements of organizing that are the focus for FFC funding: base-building, leadership development, institutional change, racial justice, and capacity building.

GRANTMAKING DECISION PROCESS AND PANEL

Who comprises your grantmaking selection panel(s)?

Our Community Funding Board is composed of community leaders and experts who provide strategic guidance and support in our FFC grantmaking process.

How are they selected (e.g., by nomination, application, etc.)? How do you think about representation of specific population groups or geographies?

Potential candidates can be recommended by CFB members, staff, and board, as well as self-nominated. Individuals interested in serving complete a **CFB background diversity profile sheet** (Word document) to help us determine the various diversity and needs of our CFB.

What, if any, is the term limit for members of the selection panel? Why?

CFB members generally serve two to three years but can be brought back in subsequent years if they wish and on an as needed basis.

What is the process by which the selection panel determines grant decisions?

The CFB conducts site visits for FFC applicants, prepares a comprehensive assessment tool (similar to the one used by staff) for all site-visited groups, engages in a landscape analysis of organizing in Los Angeles County, and determines the role of each applicant within that landscape to help determine final grants.

◆ The CFB reads through all proposals and completes a preliminary assessment tool, pulling out questions they have about the proposal.

◆ All questions are shared with the applicant in advance so they can be prepared to respond to them at the site visit.

◆ Groups are site-visited by a team of two people, who then complete a fuller assessment tool and submit that to staff.

◆ Staff gathers ratings from the assessment tools and places them in a database to average out the scores. These are then sent to the CFB teams.

◆ The CFB convenes a report-back meeting for a fuller discussion of the organizing landscape and then breaks out into groups to discuss issue-focused landscapes and site-visited organizations.

◆ The CFB draws up a landscape analysis with High-Medium-Low recommendations for funding within that landscape.

What considerations are taken into account to ensure inclusive and streamlined decision-making processes?

When the staff creates CFB teams that will site visit all applicants, it takes into account geographic focus, language, race, ethnicity, age, and other factors to ensure there is diversity within the teams.

Can decision-makers on grantmaking selection panels be applicants? If so, are there any special processes or a conflict of interest policy tied to this occurrence?

Yes, since our CFB is made up of activists, we welcome their participation. View our conflict of interest policy **here** (Word document).

What happens if there is disagreement among the decision-making committee? How is this resolved? (e.g., consensus, voting, etc.)

The CFB does not make final decisions about grantmaking, but does provide a space for strong conversation to vet arguments and perspectives. Since the CFB team is weighing the role of the applicant within the landscape, the H-M-L scores that are submitted collectively will determine the grant.

How are selection panel members trained and supported?

We dedicate a full-day orientation meeting with our CFB to better understand the FFC's goal and strategy, provide an in-depth review of the assessment tool, and provide training on conducting site visits—see **"Guide to Site Visits"** (Word document).

What recourse do grants applicants have to challenge the decisions?

All grant decisions are final and there is no appeal process since all available grant funds are entirely allocated.

GENERAL STRUCTURE

What percentage of staff members are "peers", i.e. of the population the foundation seeks to benefit?

We have 26 people on staff, and all are considered "peers."

What percentage of the grantmaking decision-making committee(s) are peers?

I would say 100% of our community funding board are peers.

Are there other committees or operational processes that involve peers?

Yes, there are a number of initiatives we are conducting, in additional to several other funds (Rapid Respond Fund for Racial Justice, Fund for Economic Equity and Dignity, Special Opportunity Fund, etc.), that involve peers.

How does the role of paid staff differ from that of peers?

Paid staff represent the foundation, while peers represent the community, although we all intersect on many levels.

Do you pay members of your panel/committee?

We do not pay members of our committees, but we do provide small appreciation stipends for various activities when we can.

REPORTING, LEARNING, AND PROCESS ITERATION

What, if any, are your reporting requirements for grantees? Who develops them?

FFC grantees are required to submit a final report at the end of the grant period. In cases where two-year grants are awarded, an interim report is due at the end of the first year, and a final report is due after the second. The director of grantmaking develops the reporting forms with input from the program staff and after the funding guidelines have been revised.

Do you do any kind of formal evaluation? If so, what is asked of grantees and who conducts the evaluations? How do you learn about participants' experiences, both as selection panelists and applicants?

The grantmaking team conducts a Grantee Perception Survey through Survey Monkey to all FFC applicants and grantees. We ask questions about the LOI and application processes, (clarity of process, time it takes, difficulty), site visits (similar questions), final decision (communication clarity, fairness, etc.), size of grant relative to the work involved in acquiring it, relationship with funder, etc. We also ask declined groups for feedback about their experience with the application process.

How do you evaluate impact?

FFC supports organizing that is building power to achieve institutional change. We track membership growth and leaders' development, as well as the trajectory of successful campaigns. We gather this information from proposals, site visits, grant reports, shared studies, and field observations.

With whom do you share the results of what you learn?

We share most of what we learn through our website and Facebook, with special reports to our board of directors and our donors.

Have you made changes to your programs based on feedback? If so, what is an example?

Yes, we've made quite a few changes over the last few years. We have been clearer about our commitment to being a responsive grantmaker and providing general support grants. We have also streamlined our application process by eliminating forms that proved to be very time consuming for groups to complete. Instead of filling out a budget sheet, for example, applicants now only have to submit their most recently approved budget. Instead of filling out a work plan chart, we now simply ask for the work plan within the narrative. We also narrowed down the number of questions asked (some were seen as repetitive) and created an entirely different application for existing groups that seek continued support.

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The New York Women's Foundation

GRANTMAKING PRIORITY-SETTING AND STRATEGY

What are your grantmaking and/or strategic priorities (in terms of geographic focus, issue, etc.)? Who decides the grantmaking priorities? The overall strategy for the fund? What's the process by which these decisions are made? How are these practices socialized within your organization?

The New York Women's Foundation creates an equitable and just future for women and families by uniting a cross-cultural alliance that ignites action and invests in bold, community-led solutions across the city. Since 1987, The New York Women's Foundation has advanced a dynamic philanthropic strategy based on the fundamental reality that, when women thrive, their families and communities also thrive.

We invest in women-led, community-based solutions that promote the economic security, safety, and health of the most vulnerable women in New York City. The New York Women's Foundation fosters women's leadership, creates partnerships that spark catalytic change, exchanges insights with experts across sectors, and empowers women by training them in activism and philanthropy to accelerate and sustain forward progress.

The New York Women's Foundation funds organizations within the five boroughs of New York City working to create long-term economic security for women, girls, and gender fluid individuals. The Foundation prioritizes the needs of under-invested communities of women, girls, and gender-fluid populations of all ages and in any borough of New York City. Examples include, but are not limited to:

◆ Women and girls of color;

◆ Native/Indigenous individuals

◆ Older adult women;

◆ Women and girls involved or formerly involved in the criminal/juvenile justice systems;

◆ Girls/gender-fluid youth involved with child welfare and/or family court

◆ Pregnant and parenting teens;

◆ Immigrant and refugee women and girls;

◆ Homeless women/transient women and families;

◆ Women and girls who are differently abled;

◆ Women, girls, and gender-fluid individuals facing issues related to mental health;

◆ LGBTQ women, girls, and gender-fluid individuals

◆ Survivors of gender-based violence.

Throughout our 30-year history, the New York Women's Foundation has been a crucial partner to organizations that are implementing local, community-based solutions. The Foundation's early investor strategy deepens this key element of our work by identifying, funding, and supporting small and/or emerging organizations and programs that serve historically underinvested communities of women, girls, and gender-fluid individuals. The Foundation also targets investments to accelerate change for women, families, and gender-fluid individuals in New York City with the highest levels of poverty, violence, unemployment, and related social, educational and economic disparities. This kind of funding leverages the work of our grantee partners and is carried out in partnership with them, as well as donors and other philanthropic organizations. The Foundation also responds to unexpected stressors that affect women and their communities with rapid investment, which is followed by sustained support.

The Foundation also houses and manages The NYC Fund for Girls and Young Women of Color, a collaboration of a diverse and growing group of funders coming together to expand philanthropic investment for this population. The first of its kind in the United States, the Fund envisions a city that offers every opportunity for all girls and young women of color—including two-spirited, transgender and gender non-binary youth—to succeed economically and socially. Ultimately, the Fund seeks to shift philanthropic practices by increasing sustained investments for girls and young women of color and sharing knowledge on effective strategies and approaches to advance their life outcomes.

The Foundation supports direct service programs, as well as systemic change efforts that build community, foster collaboration, enhance leadership skills and knowledge, and move individuals to become engaged members of their communities with a commitment to long-term systemic change.

We value ongoing collaborative, reciprocal partnerships with our grantee partners who are experts about the needs of their community and create effective solutions from within. We also gain insight from other key stakeholders—including the board of directors, donors, and staff—who inform our grantmaking priorities. Every three or four years, the Foundation undertakes a strategic planning process through which we conduct a formal review of our current grantmaking strategy and that is informed by key stakeholders.

TYPES OF GRANTS

What kinds of grants do you provide (e.g., general, rapid response, capacity building, field-building, etc.)? What is the range in amount of the grants you award?

The New York Women's Foundation provides three types of grants:

1) General (general operating support and program specific)

2) Rapid Response (community support and strategic discretionary)

3) Capacity Building

Currently, general grants range in size from $60,000–100,000. Capacity building grants are typically $5,000–10,000.

Is the participatory decision-making process the same for all grant types and sizes? If not, why? Do you earmark funding for a specific purpose in order to ensure diversity in who/what you're funding? Who determines the type and size of grants, and how?

The Foundation engages in three participatory grantmaking approaches:

1) Grants Advisory Committee (GAC)

2) Participatory Review Committee (PRC)

3) Girls in Grantmaking (GIG)

GAC provides volunteers with the opportunity to participate in the Foundation's unique grantmaking process. Serving as The Foundation's "eyes and ears" and with staff support, GAC members work in teams to review general grant proposals

from organizations, conduct site visits, and make funding recommendations. This approach allows us to leverage the talents of local women in finding and supporting effective community-driven programs.

PRC is a leadership opportunity for young women of color wanting to expand their understanding of philanthropy and participate in the grantmaking process for The NYC Fund for Girls and Young Women of Color. PRC members work in teams under the oversight of the Foundation's staff to review funding proposals and conduct site visits to applicant organizations. At the end of their visits, they make funding recommendations to the foundation members of The New York City Fund for Girls and Young Women of Color. This committee allows New York City to have a voice in identifying solutions that may be most effective for girls and young women of color in the city.

The New York Women's Foundation partners with a local community organization – currently the YWCA of New York -- to implement Girls IGNITE! Grantmaking, a unique fellowship designed to empower the next generation through philanthropic education and giving. Every year, 15 racially and culturally diverse teenage girls and gender-fluid youth are selected as fellows and explore social justice issues, leadership, advocacy, peer group dynamics, consensus building, community engagement, and financial decision making. The nine-month program offers participants the opportunity to work as a team to distribute the Foundation's youth grantmaking funds to local youth-led nonprofit organizations or projects that the group selects. Before the participants begin their grantmaking, the fellows complete an 11-session curriculum to learn how nonprofits work; trends in philanthropy; and the grantmaking process, including designing a request for proposals, evaluating proposals, making site visits, and creating recommendations for funding. The participants have $30,000 to distribute each year.

The Foundation also engages in staff-led grantmaking for general, rapid response, and capacity building grants, when appropriate.

APPLICATION PROCESS

Who is eligible to apply for a grant? What kind of outreach happens to make potential grant applicants aware of your grantmaking?

Any organization that meets the following criteria can apply for a grant:

- Registered 501(c)3 nonprofit organization or have a fiscal sponsor that is a 501(c)3
- Located within and serve the five boroughs of New York City
- Have been in existence for at least six months

The Foundation utilizes the following outreach strategies:

- Website: The Foundation posts open requests for funding on the homepage of the website
- Mailing list: The Foundation encourages organizations via the website to join the Foundation's mailing list, so they can receive notification of the most recent funding opportunities.
- Partner websites and listservs
- Industry websites, e.g. Foundation Center, Philanthropy New York

How often do you accept applications/grant proposals?

The Foundation holds one to four open grantmaking cycles for per year. Invitation-only grantmaking happens simultaneously with open grantmaking cycles. Rapid response grantmaking happens throughout the year on a rolling basis.

Can applicants get assistance in applying? If so, what kind?

Yes, assistance in applying is provided in the following ways:

- Webinars: The Foundation provides webinars for each open funding opportunity. Participants can ask questions during the webinar, and a recorded version of the webinar is made available on the Foundation's website.
- Phone calls: The Foundation takes phone calls and in-person meetings from interested organizations that want to learn more about the Foundation's grantmaking strategy and their potential fit.
- FAQs: The Foundation posts answers to the Frequently Asked Questions (FAQs) associated with each funding opportunity.

What type of information is collected from applicants, and who has access to this information?

The following information is collected from applicant organizations:

- Funding request narrative
- Organization description
- Leadership and staffing patterns
- Gender breakdown of board, staff and volunteers
- Demographics of the target population
- Data collection and evaluation practices
- Organization and program budgets
- Organization funding sources
- Grant budget and narrative
- Financial statements
- Key staff biographies
- Board of directors
- Organizational chart
- Proof of tax-exempt status (501c3 Letter, W-9)

The following staff have access to this information: the CEO; vice president of programs; program directors; program officers; grants managers; and finance staff (access to 501c3 and W-9 only).

INITIAL VETTING/SCREENING/ DUE DILIGENCE

Are applications initially screened or vetted to ensure eligibility? How and by whom is this done? If more than one person is involved, how do you ensure that the same criteria has been considered in all cases?

Applications are initially screened by Foundation staff who assess their alignment with the Foundation's mission, values, focus areas, and grantmaking priorities. Proposals with the strongest alignment are moved forward for review by the Grants Advisory Committee (GAC). The GAC reviews proposals and conducts site visits for this smaller pool of applicants and subsequently makes funding recommendations to the program committee of the board.

GRANTMAKING DECISION PROCESS AND PANEL

Who comprises your grantmaking selection panel(s)? How are they selected (e.g., by nomination, application, etc.)? How do you think about representation of specific population groups or geographies?

The Grants Advisory Committee (GAC) comprises volunteers who have been selected via an online application process. After reviewing the applications, the Foundation conducts phone interviews with a select number of volunteers. The final selections are then presented to the programs team for review.

	Grant advisory committee (GAC)	Participatory Review Committee (PRC)	Girls IGNITE! Grantmaking (GIG)
Who is served	Local programs receiving early investments for community-based solutions that serve historically underinvested groups of women, girls and gender-fluid individuals	Grantees of the NYC Fund for Girls and Young Women of Color to transform lives by breaking generational cycles of poverty, abuse, and disinvestment	High school students (14-18)
Who are participants	NYC Women	NYC young women of color (many 18-24)	NYC teenage girls and gender-fluid youth
Participant education	An overview of non-profit organizations, foundations, gender	An overview of non-profit organizations, foundations, gender, and guidance on evaluating proposals, conducting site visits, and making recommendations	How non-profits work, trends in philanthropy, process of grantmaking
Stages of participation	Review proposals, conduct site visits, and make recommendations for funding	Review proposals, conduct site visits, and make recommendations for funding	Design a request for proposal, evaluate proposals, make site visits, decide on funding

The Participatory Review Committee (PRC) has a similar process.

Girls IGNITE Grantmaking (GIG) fellows are selected by the partner organization, with the goal of having a diverse group of young women represented. The community partner recruits candidates from public and private schools, foster-care agencies, religious institutions, health centers, and LGBTQ organizations. It also reaches out to groups in public housing communities to make sure that population is represented.

GAC is made up entirely of women, but we also aim for diversity and inclusion by race/ethnicity, age, and professional background. Every grantmaking cycle, we try to have mostly women of color, as well as representatives from all five boroughs, serve on GAC. (We also accept members from outside of NYC, mainly New Jersey; Westchester County; and Fairfield County, CT).

What, if any, is the term limit for members of the selection panel? Why?

There is no term limit for service on GAC or PRC. GAC/PRC members can serve for multiple cycles in a row, take a break during certain cycles, and then come back when their schedules permit. Or, they can only serve one cycle, if they choose. GIG fellows participate for a nine-month period.

What is the process by which the selection panel determines grant decisions?

GAC, PRC and GIG members read proposals submitted by applicants, conduct site visits as a team, and then make recommendations for funding to key stakeholders of the Foundation. Each GAC and PRC team is typically made up of four members, including one team leader who is a veteran of the process and helps to coordinate logistics, coach GAC members during the review process, and serve as the point person for communication with Foundation staff. Each team member is tasked with serving as the point person for one of the three organizations assigned to the team for review. In the case of GIG, young women are put into teams of three, with a staff person from the partner organization who helps with logistics and mentoring the young women in the program.

GAC panel members make recommendations directly to the programs committee of the board of directors. The PRC makes recommendations to fund members of the NYC Fund for Girls and Young Women of Color. In both cases, these recommendations are then reviewed by the board's programs committee before being passed on to the full Board to be approved at quarterly meetings.

GIG's partner organizations make recommendations to the Foundation's programs staff, who then have the grants approved by the President/CEO (due to their size of $2,500 - $5,000, they do not need individual Board approval).

What considerations are taken into account to ensure inclusive and streamlined decision making processes?

GAC, PRC, and GIG members use a standardized approach to review and analyze proposals that assesses the applicant organization's program design and evaluation; support for the leadership of women, girls, and gender non-conforming individuals within the organization and program; financial health; and alignment with NYWF grantmaking strategies.

They also use a standardized recommendation form to guide their written recommendations. All receive coaching from Foundation staff to ensure that funding recommendations are aligned with the Foundation's mission, values, and funding priorities.

Can decision-makers on grantmaking selection panels be applicants? If so, are there any special processes or a conflict of interest policy tied to this occurrence?

GAC members are not allowed to be grant applicants. However, some GAC members are staff, board members or volunteers of former grantees, and some GAC members go on to become applicants to the Foundation.

What happens if there is disagreement among the decision-making committee? How is this resolved? (e.g., consensus, voting, etc.)

The vast majority of GAC members are able to come to a consensus with their teams regarding their ultimate recommendation for funding.

How are selection panel members trained and supported?

GAC members attend a three-hour, in-person training and are required to watch three webinars prior to the in-person orientation . These trainings provide an overview of the funding and nonprofit landscape; the mission, history, values, and grantmaking strategies of the Foundation; GAC roles and responsibilities (including use of our online grants management system, Fluxx), and application criteria, including detailed instructions on reviewing budgets and other financial aspects of the proposals. PRC has a similar process.

Over a period of nine months, GIG fellows complete an 11-session curriculum to learn how nonprofits work; trends in philanthropy; and the process of grantmaking, including designing an RFP, evaluating proposals, making site visits, and creating recommendations for funding.

What recourse do grants applicants have to challenge the decisions?

Grant applicants do not have recourse to challenge the decisions. However, all unfunded applicants are offered the chance to have a phone call with a Programs team member to discuss the strengths and challenges of the proposal and reasons for why it was declined. Many applicants apply again in future cycles and could be funded at a later date.

GENERAL STRUCTURE

What percentage of staff members are "peers", i.e. of the population the foundation seeks to benefit? What percentage of board members are peers?

All staff:
96% of staff are women.
64% of staff are women of color.

Programs & Fund staff:
100% are women.
78% are women of color.

Board of directors:
100% of the board are women.
41% are women of color.

What percentage of the grantmaking decision-making committee(s) are peers?

Our Board are the ultimate grant decision-makers. Among the volunteer participatory grantmaking committees:

100% of GAC are women.
70% of GAC are women of color.
100% of GIG fellows are young women.
87% of GIG fellows are young women of color.

How does the role of paid staff differ from that of peers?

The Foundation's paid programs staff develop grantmaking strategies; release grant guidelines; hold webinars; and have preliminary calls with potential applicants to inform them of our grantmaking process and criteria and learn more about applicants' work. Staff also conduct due diligence on applications and select those to be moved forward for a site visit from a GAC, PRC or GIG team; recruit train and coach GAC, PRC and GIG members to conduct these site visits and make recommendations to the Programs Committee of the Board; work with members of the Board's programs committee to create a recommended grants docket; and help prepare grant presentations for quarterly board meetings. Once grant award decisions are made at Board meeting, staff finalize the grant award paperwork and payment and serve as relationship managers with grantees over the course of the grant period.

GAC, PRC and GIG members review proposals for those applicants selected to receive a site visit, conduct these site visits, and make both written and verbal funding recommendations to key stakeholders of the Foundation.

Do you pay members of your panel/committee?

Participatory review members for the NYC Fund for Girls and Young Women of Color are paid a stipend of $550 for their participation upon request.

REPORTING, LEARNING, AND PROCESS ITERATION

What, if any, are your reporting requirements for grantees? Who develops them?

Through our structured relationship management process, program officers support grantee partners in sharing their successes and challenges throughout the grant period. This includes an initial baseline conversation to identify changes that have occurred prior to the grant period, discuss capacity building needs, and an interim report. All grantee partners submit a narrative and quantitative (where appropriate) annual report on their organizational and programmatic successes at the end of the grant period. Finally, any grantee partners who receive additional capacity building grants report on the impact of that funding following the completion of their project.

Do you do any kind of formal evaluation? If so, what is asked of grantees and who conducts the evaluations?

We do not conduct a formal evaluation of our grantmaking, but we ask grantee partners to submit an annual impact report to the evaluation and strategic learning manager and evaluate specific strategies to understand the collective impact of our grantee partners' work.

How do you evaluate impact?

We evaluate impact on several levels:

1) Our grantee partner's stability and continued ability to engage over time. Over 80% of grantee partners funded by the Foundation over the past 30 years continue to engage their communities.

2) Systemic changes our grantee partners achieve, such as advocating for legislative and regulatory change that supports women, girls, and gender-fluid individuals.

3) Publicly available population data to view long term impacts of policies and programs (such as the census) to track progress on economic, health, and safety indicators.

How do you learn about participants' experiences, both as selection panelists and applicants?

Following their participation in GAC, participants complete an online survey asking about their experience with the grant making process. The anonymous survey includes multiple choice and open-ended questions.

With whom do you share the results of what you learn?

Results from the survey are shared with the programs team.

Have you made changes to your programs based on feedback? If so, what is an example?

Several changes have been made to the GAC process based upon participant feedback. Specifically, GAC members requested more in-depth information about grantmaking and nonprofit organizations. In response, the Foundation developed several webinars for members to complete prior to attending the GAC orientation that cover the following topics: "The New York Women's Foundation's Approach to Grantmaking," "Nonprofit and Grantmaking 101," and "A Deeper Dive into Nonprofit Financials."

For more information about The New York Women's Foundation, visit **nywf.org**.

This resource was developed as a companion piece to the GrantCraft guide on participatory grantmaking. This resource is part of a suite of resources that showcase the rich and varied practices of participatory grantmaking across various organizations, reducing the burden on each funder to repeatedly outline their model. The guide and companion resources give insight to the philanthropy landscape about the what, how, and why of participatory grantmaking.

Visit **grantcraft.org/participatorygrantmaking** to explore further.

Red Umbrella Fund

GRANTMAKING PRIORITY-SETTING AND STRATEGY

What are your grantmaking and/or strategic priorities (in terms of geographic focus, issue, etc.)?

Our focus is global (any country in the world). The grantmaking criteria and priorities are set /tweaked each year by the International Steering committee (ISC) of the Red Umbrella Fund. We only fund sex worker-led groups, organizations, and networks.

Who decides the grantmaking priorities? The overall strategy for the fund?

Both are determined by the ISC, of which a large majority always are sex workers (community representatives).

What's the process by which these decisions are made?

The ISC determines this by consensus through in-person meetings, using input from their own background and expertise, input from the staff's expertise and experience, and information from relevant resources and evaluations that may be available (e.g., evaluation from the Programme Advisory Committee, our internal grants peer review panel, etc.).

How are these practices socialized within your organization?

The entire fund is led by sex workers, which is a core part of our organizational principles. Our history of the organization and why it is the way it is has been documented in a publication and shared widely within the organization and publicly.

TYPES OF GRANTS

What kinds of grants do you provide (e.g., general, rapid response, capacity building, field-building, etc.)?

We only provide flexible, general support grants. These can be used for any of the costs described above, as well as for operation costs, salary, activities, research, publications, board meetings, etc. The grants are either one- or two-year grants.

What is the range in amount of the grants you award?

Our grants are between 4,000–40,000 Euro per year (double for two-year grants).

Is the participatory decision-making process the same for all grant types and sizes? If not, why?

Yes. There is a separate process for selecting regional networks, but it does follow the exact same process (it's just that they don't have to 'compete' with local/national groups).

Do you earmark funding for a specific purpose in order to ensure diversity in who/what you're funding?

We earmark funding to specific regions to ensure that the final selection includes grants in all regions. There is also a separate earmark that has been set by the ISC for regional networks to ensure that these are also supported through our grants.

Who determines the type and size of grants, and how?

The Programme Advisory Panel (PAC), which is the grants peer review panel, determines the size of the grant but follows guidance (lower and upper limits) that have been determined by the ISC.

The ISC determines the types of grants (core funds, one and two-year grants), as well as the guidance on grant sizes. For example, newer groups and groups working locally, have a lower "ceiling" for the grant size than older and national or regional (as in international/ multi-country) working groups.

APPLICATION PROCESS

Who is eligible to apply for a grant?

Sex worker-led organizations that support the principles of the Red Umbrella Fund and are committed to contribute to the sex workers' rights movement(s).

What kind of outreach happens to make potential grant applicants aware of your grantmaking?

◆ Our own social media and website.

◆ Direct sharing with key contacts including sex worker

groups that we know, allied funders that we know are in touch with sex worker groups, allied NGOs, etc.

◆ Distribution through sex worker networks and organizations who share it on their member list serves and social media.

How often do you accept applications/grant proposals?

So far, once a year.

Can applicants get assistance in applying? If so, what kind?

Yes, we provide a brief written guide with tips, a Q&A on our website, and a short video online with tips.

We also offer (as explained in the brief application guide) direct personal feedback to any group that asks for it before a certain date (roughly one week before the actual final deadline for sending in applications). This feedback is provided in at least four languages, as needed.

What type of information is collected from applicants, and who has access to this information?

We only ask for information that is needed to assess the eligibility of the group and for the PAC to be able to prioritize groups for grants. Additional information (whether they have a bank account, etc.) is only asked for from groups that are selected for a grant. The information is accessible to Red Umbrella Fund staff, and the information on the application form is shared with the PAC, although contact details are left out for safety/security reasons.

Requested information includes:

◆ Information about the organization and contact details

◆ References that we can contact

◆ Mission, strategies and key partners

◆ Focus of the group (what is the situation they are trying to change, what are they doing, two key successes to date, etc.)

◆ Income from the past two years

◆ What they want to do if they get the grant and a rough budget to accompany that.

INITIAL VETTING/SCREENING/ DUE DILIGENCE

Are applications initially screened or vetted to ensure eligibility? How and by whom is this done?

Yes, this is done by staff who critically assess the application, conduct database and online research, and do reference checks.

If more than one person is involved, how do you ensure that the same criteria has been considered in all cases?

The criteria are clearly defined and set by the ISC. These are in our database system so that staff who are reading the application can check whether the organization meets those criteria. All declined applications on the basis of eligibility are checked by the Coordinator to ensure they indeed are clear about why they are declined on that basis.

GRANTMAKING DECISION PROCESS AND PANEL

Who comprises your grantmaking selection panel(s)?

Sex worker rights activists from different regions in the world make up our panel. In exceptional cases, there are up to two people in the PAC (out of 11 total) that can be an ally and not a self-identified sex worker.

How are they selected (e.g., by nomination, application, etc.)?

We put out a public call for self-nominations. Applicants submit a short form and a letter of motivation, and also provide a letter of support from a sex worker-led organization. The membership committee of the ISC reads and selects the new PAC members.

How do you think about representation of specific population groups or geographies?

The membership committee determines the diversity and other criteria used to select the PAC members. At this moment, key criteria are regional diversity and gender diversity. But additional factors—such as experience and/or knowledge—may be included each year as decided on by the membership committee.

What, if any, is the term limit for members of the selection panel? Why?

Three years to ensure that members have opportunities to contribute to this process and share what they have learned with other activists in the movements.

What is the process by which the selection panel determines grant decisions?

PAC members participate in the first round of scoring from home. The next steps involve group discussions of highest scoring organizations and a new (blind) scoring of those applications by all PAC members. This is followed by a final consensus decision about which groups should be awarded grants, and the size of those grants, based on the full portfolio selected.

Depending on restrictions/ earmarks of funding placed on us by our funders, there may sometimes be some limits in the freedom of the PAC to decide on the grants and grant sizes.

What considerations are taken into account to ensure inclusive and streamlined decision making processes?

We consider diversity in membership of the PAC, as well as facilitation of the process. Our processes have clear agendas (but also flexibility where needed), timelines, and guidelines to ensure that everyone speaks, contributes, and is heard. We provide one-on-one orientations to each PAC member each year to ensure everyone understands the process and what is expected of them.

Can decision-makers on grantmaking selection panels be applicants? If so, are there any special processes or a conflict of interest policy tied to this occurrence?

Yes, and there is a conflict of interest policy in place. It is an important part of the orientation and is enforced throughout the PAC scoring, discussion, and decision making process.

What happens if there is disagreement among the decision-making committee? How is this resolved? (e.g., consensus, voting, etc.)

The final selection is by consensus. The resolution is usually found by taking a break to reexamine all the criteria, priorities, arguments and data and then coming back to the conversation, which helps to see whether a consensus can be reached.

How are selection panel members trained and supported?

One-on-one orientation sessions over Skype (of 1.5–2 hours each), as well as support throughout the process as needed.

What recourse do grants applicants have to challenge the decisions?

They are offered the opportunity to request clarity / arguments for the decision. They can also send in a complaint should they wish, which would be formally responded to and documented.

GENERAL STRUCTURE

What percentage of staff members are "peers", i.e. of the population the foundation seeks to benefit?

Currently 60%.

What percentage of board members are peers?

72% at least, if all the seats are filled.

What percentage of the grantmaking decision-making committee(s) are peers?

At least 80%, but often it is 100%.

Are there other committees or operational processes that involve peers?

We make effort to recruit sex workers also as consultants, whenever possible. We have also worked with community designers, editors, researchers and interpreters who are also peers.

How does the role of paid staff differ from that of peers?

Staff implement the work and decisions by the ISC. Staff also take care of the day-to-day administration, accompaniment, communications, fundraising, finance, etc. Whereas the peers in the ISC make the higher- level decisions and the peers in the PAC decide on which grants to make.

Do you pay members of your panel/committee?

No, but all costs are covered (travel, hotel, meals, etc.).

REPORTING, LEARNING, AND PROCESS ITERATION

What, if any, are your reporting requirements for grantees? Who develops them?

Our reporting requirements are developed by staff, and there is a reporting requirement roughly every six months.

Do you do any kind of formal evaluation? If so, what is asked of grantees and who conducts the evaluations?

We require a final report (narrative and financial), and usually have an additional closing Skype or phone conversation to contribute to our understanding and evaluate the grant. We also do an internal evaluation of each grant ourselves, based on all the information available.

How do you evaluate impact?

We have a monitoring and evaluation plan that outlines our key objectives/ expected outcomes, processes and tools—for both our grantmaking, as well as our donor education/ philanthropic influencing work. We have also done some external evaluations (an anonymous survey of our current and former grantees), as well as various internal evaluations (an annual assessment of our work). We have now reached the end of our strategic plan and will hire a consultant to provide us with additional feedback by interviewing key stakeholders.

How do you learn about participants' experiences, both as selection panelists and applicants?

We usually conduct an evaluation with the PAC at the end of their process, either in-person or anonymously through an online survey (and sometimes both). We request feedback on all our reports of applicants; in 2015, we conducted an anonymous grantee survey process to get this kind of additional feedback.

In 2017, an external researcher interviewed our ISC members and staff and observed an ISC meeting to assess the level of participatory decision making that we practice and provide recommendations for improvements.

With whom do you share the results of what you learn?

We share our learnings with the ISC, and as much as possible, the sex worker rights movement, relevant philanthropic spaces, and directly with our funders. Many of our evaluations and learnings have been shared publicly through blog posts.

Have you made changes to your programs based on feedback? If so, what is an example?

Each year we have made changes based on feedback. Sometimes it has been adjusting wording or specific questions on our application form; other times it has been adding more guidance in the form of a Q&A and video to provide tips & recommendations to applicants. We also went from one-year to mostly two-year grants.

For more information about Red Umbrella Fund, contact Nadia van der Linde at nadia@redumbrellafund.org.

This resource was developed as a companion piece to the GrantCraft guide on participatory grantmaking. This resource is part of a suite of resources that showcase the rich and varied practices of participatory grantmaking across various organizations, reducing the burden on each funder to repeatedly outline their model. The guide and companion resources give insight to the philanthropy landscape about the what, how, and why of participatory grantmaking.

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Appendix C:

Equity in Grantmaking Literature Review

<div align="center">**Equity in Grantmaking**</div>

Conceptual frameworks for considering equity

Defining Equity in Grantmaking
According to D5 report - For some, equity is a label for a specific social outcome; for others, it defines a condition needed to bring about social change. Equity means promoting justice, impartiality, and fairness within the procedures and processes of institutions or systems, as well as in their distribution of resources. Tackling equity issues requires an understanding of the root causes of outcome disparities within our society.

Grantmaking institutions often consider two distinct types of equity: procedural and distributional.

What is procedural equity?
Procedural equity is focused on process of decision making. Participatory grantmaking is an example of procedural equity. The participatory grantmaking literature review helps to concretely operationalize procedural equity.

What is distributional equity?
Distributional equity is focused on the outcomes of decision-making processes. There are three types of distributional equity:
- Merit Based - The merit standard of distributive equity is closest to the idea that allocations should be a reward for good performance on objective measures (in the case of PCL, can be operationalized evaluating a program's previous performance or strength of program design)
- Representation - The representation standard emphasizes a group's share of the population as a basis for allocation decisions (in the case of PCL, the demographic representation of clients served or the demographic representation of "staff," including reviewers or Board of Directors).
- Need based - The need standard is focused on the conditions of the population in the areas where the grant recipients are located, thus recognizing disproportionate needs of certain groups over others (in the case of PCL, demonstrated by funding distributed to programs serving clients and communities east of 82nd Avenue.)

What are strategies for prioritizing racial equity in grantmaking?
Strategies used by funders to ensure racial equity include the following:
- Maintain an implicit and explicit focus on racial equity at three levels:
  - Individual (eg., racial composition of clients or providers)
  - Institutional (eg., programs demonstrating racial equity outcomes, culturally specific programming)
  - Structural (eg., programs aimed at policy change, community organization, or link to social movement).
- Have a clear definition of equity and use that definition as a guideline throughout the grant making process.
- Build racial equity questions into the scoring systems used to screen proposals.

- Analyze internal operations through a racial equity lens. This includes:
  - Attention to inclusive policies and practices
  - Racial diversity of board and program staff
  - Staff and board development in issues of race, diversity, cultural competency and/or equity
  - Strategic planning and/or theories of change that reflect racial equity analysis
  - Racial representation of funder organizations. A funding organization that does not reflect the population they serve often faces challenges with their commitment to diversity, inclusion and equity.
- Analyze external operations (e.g. grantmaking, grantee relations) through a racial equity lens, including:
  - Prioritizing capacity building for emerging organizations in communities of color
  - The use of intermediaries with a racial equity analysis
  - The systematic collection of demographic data about grantee board/staff members and the populations served by grantees
- Prioritize explicit racial equity language and analysis in external communications

Note: Even funders that have been using a racial lens can fall into unconscious patterns of addressing only the individual elements of racism rather than the institutional or structural elements. Grantees may be chosen because the organization is led by people of color or serves communities of color; however, funders and grantees should also be intentional in addressing structural racism.

Larger Foundations Implementing equity in Grantmaking
Most of the larger foundation ensures equity with grantees at three different stages- Initial information gathering, supporting and capacity building of grantee organization and evaluating the impact/outcome to address structural barrier.

Some of the larger foundation ensure equity and diversity by incorporating questions pertaining to equity issues as follows:

Ford Foundation: The Ford Foundation articulates its commitment to diversity in terms of the quality it seeks to achieve, both in desired results and the "talent pools" from which it draws. In reviewing proposals, program staff work through a set of open-ended questions with potential grantees on a case-by-case basis to clarify the connection between diversity
and quality. Grant makers may also take certain steps, including providing additional support, to help grantees meet diversity goals.

Anne E. Casey Foundation: The Annie E. Casey Foundation use a scale rating systems based on the foundation's overall commitment to eliminating disparities in children's well-being. These ratings help foundation develop thoughtful policies, which in turn enable staff to design programs and make individual grants that address racial and ethnic disparities.

The San Francisco Foundation: This foundation asks organizations intending to apply for funding to supply information on the race or ethnicity of people to be served by the project they have in mind, people served by the organization as a whole, and the organization's staff and board. The data inform the application process and help the foundation keep current with the diversity of the local nonprofit sector and its constituencies.

Note: A collection of Protocol for Discussing Equity and Diversity with Grantees is provided in the appendix.

Smaller grant making organization: A Case Study of Metropolitan Regional Arts Council (MRAC)
Metropolitan Regional Arts Council (MRAC) in St. Paul, Minnesota implemented a unique grantmaking approach by making application and reporting processes accessible and understandable for newcomer communities. MRAC is a foundation that operates with a public funding model and receives funding from the Minnesota state legislature. They faced numerous challenges in their efforts to promote equity in the process. Identified barriers included language inaccessibility in the application process and organizations not having a 501(c)3 status. They navigated these challenges by adopting new approaches to fund newcomer community organization including,
- Connecting with translators in multiple languages,
- Allowing organization without 501(c)3 choose a fiscal agent as sponsors,
- Outreach in non-traditional venues (playground, coffee shop, housing complexes etc),
- Broadening their program definition to include "forms of art" that fall outside the mainstream arts.

Note: East Portland Action Plan (EPAP) and East Portland Community Office (EPCO) both part of Office of Community and Civic Life- City of Portland grant-making process also ensure that grants are accessible to communities of color. They do so by hosting pre-information grant session (translation and childcare provided), allowing organization without 501 (c) 3 status to apply through fiscal sponsors, and accepting grant applications in multiple languages.

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Appendix D:

Revised RFI Sections IV and V

Introduction to Sections IV and V: Culturally Responsive Programs and/or Organizations and Culturally Specific Programs and/or Organizations

PCL values equity, diversity and access to opportunity among the children served by the programs it funds. In alignment with the Citywide Racial Equity Goals & Strategies, PCL operationalizes its priority of cultural responsiveness as specific to racial/ethnic diversity. In order to support its values and assure that all programs supported through PCL are culturally responsive, PCL will fund:
  • Culturally specific programs offered by culturally specific organizations;
  • Culturally specific programs offered by culturally responsive mainstream organizations; or
  • Culturally responsive programs offered by culturally responsive mainstream organizations.

PCL expects all applicants to demonstrate a baseline level of cultural responsiveness. The section on cultural *responsiveness* (Section IV) is worth 23 points. All applicants must score at least X points in this section to be eligible to receive PCL funding. Up to an additional 12 bonus points will be awarded in Section V for cultural *specificity*. It should be noted that cultural specificity is conceptualized as a continuum, and the point allocation in Section V reflects this.

Definition of Culturally Responsive Program and/or Organization:[11]
An organization or program that has a defined set of values and principles, demonstrates behaviors, attitudes, policies and structures that enables it to work effectively and has the capacity to:
  • value diversity;
  • conduct self-assessment;
  • manage the dynamics of difference;
  • acquire and institutionalize cultural knowledge; and
  • adapt to diversity and the cultural contexts of the communities it serves.
A culturally responsive organization or program incorporates all of the elements listed above into all aspects of policy making, administration, practice, service delivery, and systematically involves consumers, key stakeholders and communities.

Definition of Culturally Specific Program and/or Organization:[12]
  • The majority of clients served are from communities of color (e.g. African American, African, Asian and Pacific Islander, Native American/Alaska Native, Latino/Hispanic, Slavic).
  • The staff, management and board reflect communities served.
  • The organizational or program environment is culturally specific and identifiable by the *community at large* as such.
  • The organizational or program environment is culturally specific and identifiable by *service users* as such.

IV. Culturally Responsive Programs and Organizations (23 points)

Please answer all subparts and label your responses to correspond to the appropriate subpart. All applicants must score at least X points in this section to be eligible to receive funding. [5 page maximum not including Table IV.B (Exhibit E)]

A. Program Designation. State whether the proposed program is a culturally specific program offered by a culturally specific organization, a culturally specific program offered by culturally responsive

mainstream organization or a culturally responsive program offered by a culturally responsive mainstream organization. Your responses to the questions below will be used to determine whether the designation is adequately supported

B. Demographics Characteristics of 1) Program's Clients and Staff; and 2) Organization's Clients, Leadership and Board Members. Complete Table IV.B, Exhibit E per the instructions below. Please refer to the definitions in Exhibit G prior to completing the table. If the proposed program is new, enter the estimated numbers.

- **Clients served by the Program:** enter the actual number, as of January 1, 2014, of ALL unduplicated clients (i.e. children, adults, or both) served by the program and the corresponding demographic data.
- **Staff of Proposed Program**: enter the actual number of direct service staff of proposed program, as of January. 1, 2014. Enter the corresponding demographic data for the staff. (Note: Numbers of staff listed should reflect the number of staff positions listed in Table I.D3)
- **Clients served by the Organization**: enter the actual number, as of January 1, 2014, of ALL unduplicated clients (i.e. children, adults, or both) served by the organization and the corresponding demographic data.
- **Leadership of Applicant Organization**: enter the actual number, as of January 1, 2014, of the organization's key management staff and board members and the corresponding demographic data. For a definition of "key management staff", see Section III.C.
- **Note**: You may add additional demographic variables as additional rows if you choose, but please do not add additional columns. Additional demographic variables may include any other uniquely identifiable population.

C. Organizational Commitment to Cultural Responsiveness. Describe the organization's commitment to cultural responsiveness. Describe how the organization builds a culture of inclusion and equity.

D. Service User Voice and Influence. Describe how service user input is incorporated into program planning, service delivery, evaluation, quality improvement, hiring practices and performance evaluation. Include at least two examples of how service user input resulted in changes to agency and/or programmatic policies or practices that improved cultural responsiveness.

E. Community Engagement and Collaboration
1. Describe how the program/organization engages and collaborates with community leaders of the population(s) it serves.
2. Describe any established collaborations or partnerships the program/organization has with community-based organizations that represent or serve the interests of the population the program/organization serves.

F. Staff Recruitment, Retention, Promotion and Training; Board Training
1. Describe the organization's efforts to recruit, retain and promote staff who reflect the population served by the program/organization.
2. Describe how the organization trains staff to deliver culturally responsive services to the cultural groups it serves.
3. Describe any cultural responsiveness training the organization provides for the board of directors.

G. Language Accessibility. Describe the organization's efforts to provide effective language accessibility to the populations it serves. Include policies and practices on translation of written materials, interpretation services, and staff hiring.

V. Culturally Specific Programs and/or Organizations – Bonus Points.

All applicants should complete this section regardless of program designation. Even applicants who do not identify as a culturally specific program and/or organization may earn bonus points depending on the criteria outlined below. Complete Table IV.H below by referencing if and where evidence can be found in your response to this RFI that supports each element on the continuum towards cultural specificity. Reference the RFI section, question number, and any applicable subparts (e.g. I. B3, Table IV.B). You may provide additional narrative responses (up to two pages total) below Table IV.H. to further justify and explain how you meet the below elements.

Table IV.H. Evidence Towards Meeting the Definition for Culturally Specific Program/Organization	
Element of Definition of Culturally Specific Program/Organization	Location in Application
Majority of *program* clients served are from communities of color (2 pts.)	
Racial/ethnic makeup of *program* direct service staff reflects population *program* serves (2 pts.)	
Majority of *organizational* clients served are from communities of color (2 pts.)	
Racial/ethnic makeup of key *organizational* management staff reflects population organization serves (2 pts.)	
Racial/ethnic makeup of board of directors reflects population organization serves (2 pts.)	
The organizational or program environment is culturally specific and identifiable by the *community at large* as such (1 pt.)	
The organizational or program environment is culturally specific and identifiable by *service users* as such (1 pt.)	

Appendix E:

Oregon Public Meeting Law

OREGON'S PUBLIC MEETINGS LAW

1) <u>**Meetings Subject to the Law**</u>

   "All meetings of the governing body of a public body shall be open to the public and all persons shall be permitted to attend any meeting except as otherwise provided [in the Public Meetings Law]." (ORS 192.630(1)).

   a. "Governing body" -- "the members of *any* public body which consists of two or members, *with authority to make decisions for or recommendations to* a public body or administration." ORS 192.610(3) (Emphasis supplied).

   b. "Public Body" -- "the state, any regional council, county, city or district, or any municipal or public corporation, or any board, department, *commission,* council, bureau, *committee*, or *subcommittee, or advisory group or agency thereof.*" ORS 192.610(4) (Emphasis supplied).

   c. "Meeting" -- "the convening of a governing body of a public body *for which a quorum is required* in order to *make a decision or deliberate toward* a decision on any matter." ORS 192.610(5)(Emphasis supplied).

2) <u>**Gatherings Exempt from the Law**</u>

   "Meeting" does not include an on-site inspection of a project or program; attendance of members of a governing body at any national, regional or state association to which the public body or the members belong; or gatherings of a quorum of a board or commission where no official business is discussed.

3) <u>**Quorum Requirement**</u>

   If a quorum of a public body gets together and deliberates on official business, regardless of the setting, there is a violation of the public meetings law if the required notice was not provided. If there is a gathering of less than a quorum of the body, there is no public meeting.

4) <u>**Other Situations**</u>

   Purely social gatherings of a public body do not create a public meeting unless there is quorum and it decides to discuss matters relevant to its work. It is best not to discuss business at all during a social gathering.

   If you have a quorum present, even if the sole purpose of the meeting is to gather information to serve as the basis of future decisions or recommendations, then it is a public meeting.

   In addition, electronic communication among a quorum of the public body could constitute a public meeting, especially if the communications are sent within a short time frame.

5) <u>What is Required for a Public Meeting</u>

- **Notice**
    - Calculated to give actual notice to interested persons
    - States time and place
    - Lists principle subjects
    - Special and emergency meetings have different requirements

- **Location**
  Meetings of governing bodies of public bodies shall be held within the geographic boundaries of the area over which the public body has jurisdiction, at the public body's administrative offices (if any) or "at the other nearest practical location."

  Must be at a place largest enough to hold the anticipated attendance and must be a place that does not discriminate on the basis or race, color, creed, sex, sexual orientation, national origin, age or disability. Site must be one that people with disabilities can access.

- **Public Attendance**
  As a general rule, the right to know about and attend a public meeting does not include a right to testify. The public meetings law is a public attendance law, not a public participation law

- **Control**
  The presiding officer is authorized to keep order at a meeting and, where there will be public participation, may determine the length of time people may speak and in what order the testimony will be taken.

- **Voting**
    - All official action must be by public vote.
    - No secret ballots.
    - The vote of each member must be recorded unless there are 26 or more members.
    - Written ballots are allowed but each ballot must identify the member voting and the vote must be announced.
    - As a general rule, no proxy voting.
    - No absentee voting. That is, no voting by a member who did not participate whether in person or electronically as by telephone.

- **Minutes**
  There shall be sound, video, written notes or digital recordings of all meetings. These need not be verbatim but must "give a true reflection of the matters discussed at the meeting and the views of the participants." ORS 192.650(1). There are minimum requirements for the minutes and these include who was present, the substance of discussion and the results of the vote.

6) <u>Executive Sessions</u>

An executive session is a meeting or portion of a meeting of a governing body that is closed to the general public. An executive session is not closed to the media. However, the governing body may require that the media not disclose specified information.

There are limited purposes for an executive session which include employment, employee discipline, labor and real estate negotiations, and consultation with legal counsel regarding current or potential litigation. A governing body may also go into executive session to consider records exempt from public inspection. For example, a governing body may meet in executive session to discuss written legal advice from counsel because the written advice is exempt from public inspection as a privileged document.

A governing body may not make a final decision in executive session. To make a final decision, the chair must continue the decision to a public meeting or call the executive session into open session. Preliminary determination of whether there is a consensus may occur in executive session but the final vote must be in open session. A governing body may not remain in executive session to discuss or deliberate on matters other than the matter for which the session was convened.

Disclaimer: This document is intended to provide general information for city employees and volunteers and should not be construed or relied upon as legal advice. For specific questions, please contact the City Attorney's Office at (503) 823-4047.

Appendix F:

Oakland Fund for Children and Youth - Small and Emerging
Applicant Designation

Oakland Fund for Children and Youth - Small and Emerging Applicant Designation

Information provided below about Oakland's Small and Emerging Applicant Designation comes directly from the Oakland Fund for Children and Youth RFP for Direct Services for FY 2019-2022. The full document can be found at https://www.ofcy.org/assets/Uploads/OFCY-RFP-2019-2024.pdf.

Small and Emerging Applicants

The Small and Emerging designation focuses on smaller organizations and assists new grassroot organizations to be funded by OFCY. Eligible small and emerging organizations must have completed at least one year of programming related to services described in the funding strategy for which they are seeking support by the time they apply to OFCY. They may have recently received their 501(c)(3) status, after having been fiscally sponsored. If the organization does not have a 501(c)(3) status, it must apply using a fiscal sponsor. If the organization has 501(c)(3) status, it may still choose to use a fiscal sponsor.

If the organizational budget is under $350,000 in the current or most recent fiscal year and the organization has never received OFCY funding, it must apply as a Small and Emerging Applicant. However, if the organization is a current OFCY grantee in good standing and has a budget under $350,000, it may choose to apply as a single agency applicant. All conditions (i.e. total request % of organizational budget, match requirements, indirect rate and grant limits) pertaining to the single agency applicant apply, including the requirement of having recently audited financial statements available.

Small and Emerging Applicants
- A Small and Emerging applicant grant request must be between $25,000 and $100,000.
- No more than 20% may be allocated to indirect costs, calculated as a percentage of the total grant request.
- Agencies may submit more than one grant request. However, Small and Emerging Applicants must limit their total and/or combined OFCY requests to no more than 50% of their overall organizational budget.