

THE URBAN INSTITUTE

Knowledge, Attitudes, and Practices Concerning Effective Philanthropy Survey

Instructions: The survey should be completed by the CEO or executive director, or, if none, by the person most responsible for the foundation's overall management. Please answer each question by selecting the most appropriate response. Please write in black or blue ink only, and use an ☒ to indicate your answers.

I. Ideas about Foundation Effectiveness

- 1) Here are some of the ideas we have heard about what makes foundations effective. For a foundation such as yours, how important do you think each one is to achieving effectiveness? If you believe that a foundation such as yours should not engage in an activity, please check "should not do." (Check the most appropriate box for each item.)

How important is each to achieving effectiveness ...	Not at all	Not very	Some-what	Very	Should not do
Establish focused and limited grantmaking areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintain a broad grants program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Actively seek out social needs to address	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Respond to social needs identified by grant applicants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Engage in activities beyond grantmaking to increase impact	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Become actively involved in grant implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Adhere to founding donor's wishes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Focus on root causes of major problems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Influence public policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Publicize the foundation and its work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Solicit advice from those outside the foundation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Conduct formal evaluations of funded work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have a strong organizational infrastructure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have an involved board	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employ minimal staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Collaborate with external groups/organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Join grantmakers' associations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintain family unity (family foundations only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other very important practices: _____					

II. Approaches to Grantmaking

- 2) How influential were the following in formulating the foundation's grantmaking program priorities? (Check the most appropriate box *for each item*. For corporate foundations, the corporation is the "donor.")

	Not at all	Not very	Some-what	Very	Not Applicable
Founding donor(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Current donor(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Board	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community input	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other <i>strong</i> influences. Please identify: _____					

- 3) What does the foundation try to achieve in its grantmaking? How important are the following? (Check the most appropriate box *for each item*.)

	Not at all	Not very	Some-what	Very
Strengthen particular organization(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strengthen particular field(s) of activity (e.g., health, arts)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strengthen particular group(s) (e.g., youth, ethnic minorities)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strengthen the foundation's local community or region	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strengthen social change and/or strategies for change	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other <i>very important</i> things. Please specify: _____				

- 4) During the past two fiscal years, how often did the foundation make grants for the following purposes? (Check the most appropriate box *for each item*.)

	Never	Rarely	Some-times	Often
General operating support	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organizational/management development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Research	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advocacy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foundation-designed initiatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unsolicited proposals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other purposes <i>often</i> supported: _____				

5) Which field(s) received a significant portion of the foundation's grant dollars during the past two fiscal years? (Check all that apply.)

- ☐ Arts and Culture
- ☐ Education
- ☐ Environment & Animals
- ☐ Religion (e.g., missionary societies)
- ☐ Human Services
- ☐ International Affairs
- ☐ Public/Society benefit (e.g., community development, voluntarism)
- ☐ Other field. Please specify: _____

6) During the past two fiscal years, how often did the foundation make grants of three years or longer?

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Often
- ☐ Always

7) During the past two fiscal years, how often did the foundation provide the following types of non-financial support ("technical assistance") to grantees? (Check the most appropriate box *for each item.*)

	Never	Rarely	Some- times	Often
Board development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strategy and planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fundraising assistance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communications and public relations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Technology-related training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Host grantee convenings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please list any other non-financial support that you <i>often</i> provide: _____				

III. Application and Review Process

- 8) How often did each of the following apply to the foundation's application and review process during the past two years? (Check the most appropriate box *for each item.*)

	Never	Rarely	Some-times	Often	Always
Unsolicited applications received serious consideration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Written grant guidelines were available to public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A common application form (e.g., from a RAG) was accepted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Applications were accepted electronically	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Summary proposal encouraged/required prior to full proposal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff helped applicants develop proposals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff conducted site visits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustees conducted site visits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Applicants of rejected proposals were notified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 9) How important were the following criteria in the foundation's grantmaking decisions during the past two fiscal years? (Check the most appropriate box *for each item.*)

	Not at all	Not very	Some-what	Very
Strength of proposal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fit with foundation's pre-set priorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Donor(s) interest in cause	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Board member(s) interest in cause	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff input	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Availability of matching funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Presence of measurable outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Innovativeness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Low risk of failure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ethnic/racial diversity of applicant's board/staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender diversity of applicant's board/staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other <i>very important</i> criteria. Please specify: _____				

IV. Monitoring and Evaluation

10) How does the foundation monitor whether grant funds are used as specified? (Check the most appropriate box *for each item*.)

	Never	Rarely	Some-times	Often	Always
Site visits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interim reports required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Final reports required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Puts representative on grantee board	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Puts representative on grantee advisory committee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
By its ongoing involvement in the community/field	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please list other ways the foundation <i>often or always</i> monitors the use of funds: _____					

11) Does the foundation require grantees to collect information on outcomes of their work?

- ☐ Never
- ☐ Rarely
- ☐ Sometimes
- ☐ Often
- ☐ Always

12) Does the foundation ever formally evaluate the work that it funds?

- ☐ No → please *skip to Q17*
- ☐ No, but plans to do so within the next 12 months → please *skip to Q17*
- ☐ Yes

13) Why does the foundation conduct formal evaluations? How important are the following? (Check the most appropriate box *for each item*.)

	Not at all	Not very	Some-what	Very
Learn whether original objectives were achieved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learn about implementation of funded work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learn about outcomes of funded work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contribute to knowledge in the field	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strengthen organizational practices in the field	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strengthen public policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strengthen its future grantmaking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please indicate any other <i>very important</i> reasons: _____				

- 14) For whom are the results of the foundation's evaluations intended? (Check the most appropriate box *for each item*.)

<i>The results are intended for ...</i>	Not at all	Somewhat	Mainly
Grantee organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other nonprofits in the grantee's field	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foundation staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foundation board	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policymakers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other foundations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please list others for whom results are <i>mainly</i> intended: _____			

- 15) How often are the results of the foundation's evaluations made public?

- ☐ Never → please *skip to Q17*
- ☐ Rarely
- ☐ Sometimes
- ☐ Often
- ☐ Always

- 16) How are evaluation results distributed? (Check all that apply.)

- ☐ Website
- ☐ Published papers and reports
- ☐ Other foundation publications
- ☐ Conferences/meetings
- ☐ Press releases
- ☐ Other *major* distribution outlets. Please list: _____

- 17) During the past two years, did the foundation engage in any of the following activities to help evaluate or strengthen *its own* performance? (Check all that apply.)

- ☐ Conduct a strategic planning process
- ☐ Conduct a board retreat
- ☐ Conduct formal reviews of staff performance
- ☐ Review grants for consistency with stated foundation priorities
- ☐ Compare itself to other foundations
- ☐ Conduct a needs assessment of its field or community
- ☐ Solicit anonymous feedback from grantees through surveys/interviews/focus groups
- ☐ Solicit non-anonymous feedback from grantees through surveys/interviews/focus groups
- ☐ Other *important* activities. Please specify: _____

V. Investments

18) During FY 2001 and FY 2002 did the foundation engage in any of the following investment practices? (Check the most appropriate box *for each item.*)

	No	Yes
Make loans or investments for projects related to the foundation's philanthropic mission (Program Related Investments)	<input type="checkbox"/>	<input type="checkbox"/>
Invest, or avoid investing, in a company/business sector because of its social, political, or environmental practices	<input type="checkbox"/>	<input type="checkbox"/>
Vote proxies or join with other shareholders to influence a company's social, political, or environmental practices	<input type="checkbox"/>	<input type="checkbox"/>

VI. Collaboration and Professional Involvement

19) Did the foundation engage in any of the following activities during the past two fiscal years? (Check all that apply.)

- ☐ Participate in a formal co-funding arrangement
- ☐ Exchange information about prospective grantees with other funders
- ☐ Discuss issues in the foundation's interest areas with government officials
- ☐ Belong to a local or regional association of grantmakers
- ☐ Belong to a national association of grantmakers
- ☐ Convene people from outside the foundation to inform foundation activities
- ☐ Other *major* collaborative activities. Please list: _____

20) During the past two fiscal years, did the foundation actively encourage grantees to collaborate?

- ☐ No
- ☐ Yes → Did the foundation require the grantees to collaborate?
 - ☐ No
 - ☐ Yes, sometimes
 - ☐ Yes, always

VII. Communication

21) Which of the following communication activities did the foundation engage in during the past two fiscal years? (Check all that apply.)

- ☐ Have a foundation website
- ☐ Post application procedures on foundation website
- ☐ Publish annual reports
- ☐ Publish newsletters
- ☐ Send staff to make external presentations (e.g., at conferences)
- ☐ Actively solicit press coverage (e.g., through press releases)
- ☐ Hire a public relations consultant
- ☐ Publish reports about foundation-sponsored work
- ☐ Other *major* communication activities. Please specify: _____

VIII. Board and Staff

22) How many voting members are on the foundation's board?

23) How many of the voting board members are either foundation donors or relatives of the donor (by blood, adoption, or marriage)? If none, please write '0'.

24) Which of the following best describes the foundation's CEO?

- ☐ Foundation has no paid or volunteer CEO → *Please skip to Q26*
- ☐ CEO is a paid professional who does not vote on the board
- ☐ CEO is a voting board member who is paid for being CEO
- ☐ CEO is a voting board member who serves as CEO on a voluntary basis → *Please skip to Q26*
- ☐ Other. Please explain: _____

25) Where was the CEO employed prior to becoming CEO of the foundation? (Check one.)

- ☐ This foundation
- ☐ Another foundation
- ☐ University or college
- ☐ Other nonprofit organization
- ☐ Business
- ☐ Law firm
- ☐ Government
- ☐ Other. Please specify: _____

- 26) How many paid professional and support staff does the foundation employ? (*Please count each full-time staff member as '1', each half-time staff member as '.5', and so on.*)

Number of *full-time equivalent* paid professional staff:

Number of *full-time equivalent* paid support staff:

- 27) During the past two fiscal years, how often did the foundation provide formal opportunities for staff development and training (e.g., pay for a course, workshop) in the following areas?

	Never	Rarely	Some-times	Often
Computers/technology	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Grantmaking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other areas in which opportunities for staff development and training were <i>often</i> provided. Please specify: _____				

- 28) How many women and ethnic minority group members are on the board (as voting members) and professional staff?

	Number on Board (as voting members)	Number on Professional Staff
Women		
Racial/ethnic minorities		

IX. Assessment of Foundation Effectiveness

- 29) How would you rate your foundation's effectiveness overall in the following areas? (Check the most appropriate box *for each item.*)

	Poor	Fair	Good	Excellent
Asset management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Grant quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staffing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Grantee relations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communications/public relations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leveraging resources to achieve greatest impact	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fundraising (community foundations only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

X. Background Information

30) What type of foundation is this? (Please check one box only.)

- ☐ Community foundation
☐ Other public foundation
☐ Corporate foundation
☐ Independent (Private) foundation → Is the primary donor living?
☐ No
☐ Yes

31) What are the current plans for the foundation's longevity?

- ☐ Unlimited life
☐ Limited life
☐ Undecided

32) Is this primarily a local, regional, national, or international foundation?

- ☐ Local
☐ Regional
☐ National
☐ International
☐ Other. Please specify: _____

33) How many grants did the foundation make in FY 2002?

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How many grants did the foundation make in FY 2001?

--	--	--	--	--

34) What was the total dollar amount the foundation paid out in grants in FY 2002?

\$									
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What was the total dollar amount the foundation paid out in grants in FY 2001?

\$									
----	--	--	--	--	--	--	--	--	--

35) What was the market value of the foundation's assets at the end of FY 2002?

\$									
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36) What year was the foundation established?

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XI. Your Further Thoughts and Comments

Did we leave something out? Please let us know (in the space provided below) if there are any additional practices or attitudes that you feel are very important to achieving foundation effectiveness.

This image shows a single sheet of white paper with horizontal black ruling lines. The lines are evenly spaced and run across the width of the page. There is no text or other markings on the paper.

THANK YOU FOR YOUR PARTICIPATION

Please return your completed questionnaire to:

 THE URBAN INSTITUTE

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