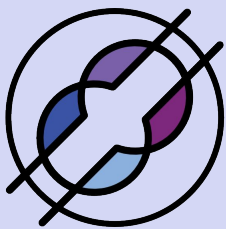




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THE DUKE ENDOWMENT

Evaluation of Efforts to Center Racial Equity in COVID-19 Grantmaking

Final Report

December 2021

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Learnings from The Duke Endowment's Efforts to Center Racial Equity in COVID-19 Grantmaking | December 2021

Background

The COVID-19 pandemic has emerged as an unprecedented public health and socioeconomic crisis with data indicating disproportionate effects for communities of color. In March 2020, The Duke Endowment Board of Trustees approved \$35 million to support coronavirus relief efforts in the Carolinas. Following an initial round of grantmaking, the Endowment adopted guiding principles and changes in grantmaking to (1) center racial equity, (2) enhance the Endowment's coronavirus response, and (3) maximize support to populations most affected by the pandemic. Informed by COVID-19 prevalence and mortality data for the Carolinas, staff prioritized assistance to Black/African American, Latino, and Native American/Indigenous populations. Priority was also given to organizations serving in closest proximity to those groups and having a demonstrated history of serving community needs.

The COVID-19 Guiding Principles for Racial Equity reflect the Endowment's emerging commitment to Racial Equity, Diversity, and Inclusion (REDI). The principles aim to ensure a greater proportion of coronavirus funds reach the communities hardest hit by the pandemic. The principles seek to:

1. Target resources to populations most impacted by the effects of the pandemic.
2. Optimize interventions for target populations.
3. Fund organizations that are most proximate to target populations.
4. Minimize the application and reporting burden on potential community partners.

Understanding the Impact of the Endowment's Guiding Principles for Racial Equity

In October 2020, the COVID-19 Equity Lens Taskforce (CELT) was created to inform decision-making for COVID-19 grant recommendations. CELT grantees applied through a process that took into account three criteria that were created to assess alignment with the COVID-19 Guiding Principles for Racial Equity:

1. Specify which target population the program seeks to assist.
2. Provide a compelling rationale for the program's fit with the target population.
3. Describe the applicant's history of reaching the target population or their plan to meaningfully partner with an organization that is more proximate to the community.

Purpose of the Evaluation

In June 2021, the Endowment contracted with Creative Research Solutions, LLC (CRS) to evaluate its efforts to center racial equity in COVID-19 grants awarded between March 2020 and July 2021. The goals of the evaluation are to assess:

- the reach of COVID-19 funds to target populations,
- the Endowment's adherence to the Guiding Principles for Racial Equity, and
- the implications for future grantmaking.

Evaluation Methods

CRS conducted a mixed-methods (i.e., qualitative and quantitative data) evaluation through a culturally responsive lens (e.g., disaggregating target population data to account for differences in life experiences and the differential impacts of the COVID-19 pandemic) to provide the Endowment with an understanding of the impact of centering racial equity in its COVID-19 grantmaking practices. In collaboration with the Endowment, CRS developed 16

central and supporting questions to guide the evaluation. Answers to these questions were informed by CRS's review of COVID-19 emergency response grant application documents and data collected by staff, grantees, and not funded applicant surveys. CRS also interviewed four Endowment-selected foundations, three of which are located in the Carolinas, to document information about how peers centered racial equity in COVID-19 emergency response grantmaking.

Key Findings

In response to the emergent needs of target populations exacerbated by the COVID-19 pandemic, the Endowment developed and implemented its Guiding Principles for Racial Equity. As using these principles to inform grantmaking decisions was a novel approach, much can be learned from how well the Endowment adhered to these principles. As a step toward understanding the impact of the initial implementation of the guiding principles, we offer what went well and also identify opportunities for growth for each guiding principle. More specifically, the information presented in the table below suggests areas that warrant further reflection for future grantmaking responses that support target populations (i.e., populations identified as those most critical to provide support). The opportunities for growth were generated using both direct recommendations from the respondents of this evaluation as well as suggestions from the CRS Team based on the totality of the evaluation's findings. Note that these are offered for consideration. When considering adjustments, the population, the circumstances (e.g., type of grantmaking response, staff needed to support the changes, etc.), and context among other areas, should be taken into account.

Table: The Duke Endowment's Adherence to the Guiding Principles and Opportunities for Growth

Guiding Principle	Met?	What Worked Well	Opportunities for Growth
Target resources to populations most impacted by the effects of the pandemic	✓	<p>Conducting field scans to identify the populations most impacted by the COVID-19 pandemic in the Carolinas.</p> <p>Direct communication with target populations encouraging them to apply.</p> <p>Partnering with statewide networks and partners that have established relationships with Black/African American and/or Latino communities.</p> <p>Engaging with community connectors (i.e., a trusted member of the community who facilitates the connection of people in the community) who have established trusted relationships with the target populations.</p> <p>Having direct communication with the target population by sharing how the Endowment aims to make an impact through the COVID-19 emergency grant (e.g., emails, phone calls, and virtual meetings).</p>	<p>Strategies and outreach methods used by the Endowment were more likely to engage African American- and Latino-led and/or serving communities than Native American/Indigenous communities. To ensure the Endowment is equitably distributing resources to the Native American/Indigenous community, the Endowment should consider increasing its awareness of Native American/Indigenous communities in the Carolinas and adapt its outreach strategies to increase engagement with the community.</p> <p>Some suggested strategies to consider for increasing engagement include:</p> <ul style="list-style-type: none"> Recruit current Native American/Indigenous grantees as intermediaries to connect with more Native American/Indigenous communities in the Carolinas. Adapt outreach methods to fit the community. Website, emails, or social media inquiries may not be answered because of a lack of advanced technological infrastructure on reservations. The Endowment should consider working with trusted partners and/or grantees to identify the best outreach strategy (e.g., mail, in-person meetings, facilitating a community gathering, etc.) for the community they are targeting. <p>Both the Endowment and its peers reported completing field scans to identify the populations most in need during the COVID-19 pandemic. By investing in research and following the data, the Endowment was able to target resources to the populations most impacted by the pandemic.</p> <p>Additional strategies that can be used to ensure funding is going to those most in need include:</p> <ul style="list-style-type: none"> Interviewing organizations proximate to and/or located in the target populations. increasing direct communication with the target population to ensure alignment with the priorities of the community.
Optimize interventions for target populations	✓	<p>Establishing equity criteria to identify grantees with proposed interventions that will fit and be effectively delivered to target populations because of the grantees' intimate knowledge of the target population.</p>	<p>Although all CELT grantees had interventions that were intentionally aligned with the target population they served, non-CELT grantees and not funded applicant respondents felt the Endowment could do a better job of making the objective to center racial equity clearer throughout the application and grantmaking process.</p> <p>The Endowment should consider adopting the Guiding Principles for Racial Equity for all future grantmaking to increase the likelihood that all grantees will have awareness of the Endowment's goals and objectives for funding organizations proximate to target populations.</p> <p>Additional strategies to ensure interventions are optimized for target populations include:</p> <ul style="list-style-type: none"> Provide opportunities for organizations led by and/or serving Black/African American, Latino, and/or Native American/Indigenous populations to give feedback to the Endowment and connect with each other about what interventions are working in the communities and what resources would be needed to make the biggest impact.

			<ul style="list-style-type: none"> ● Prioritize funding to those grantee organizations committed to reducing racial and/or ethnic inequities through innovative and creative approaches that aim to produce measurable impacts.
Fund organizations that are most proximate to target populations	✓	<p>Establishing equity criteria to identify grantees that are well-positioned to deliver timely and culturally appropriate services because they are located in, led by, and/or have prior experience working with target populations and have established trusting relationships with those populations.</p> <p>The Endowment increased funding to organizations led by and/or serving Black/African American, Latino, and Native American/Indigenous communities</p>	<p>To increase its impact in the communities led by and/or serving Black/African American, Latino, and Native American/Indigenous populations, the Endowment should consider engaging with the key community members (i.e., community-based practitioners, organizers, etc.) directly to ensure the Endowment is meeting the needs of the communities' shifting priorities.</p> <p>Additional strategies to ensure funding is going to organizations most proximate to the target populations include:</p> <ul style="list-style-type: none"> ● Utilizing grantee intermediaries to facilitate new partnerships with grantees serving the target populations traditionally underfunded through non-emergency grantmaking practices. ● Supporting operating expenses rather than project-specific funding (or allowing project-specific funds to be converted to general operating funds after project milestones have been met and/or at a predetermined time period) because short-term funding pushes organizations to remain project-focused rather than building lasting community relationships and community leadership.
Minimize the administrative (application and reporting) burden on potential community partners	✓	<p>Clearly communicate the objectives of the grant to CELT grantees and be accessible, when needed, throughout the grantmaking process.</p> <p>Reducing granting report requirements to allow grantees to focus on delivering resources and services to the community.</p>	<p>It appears that staff shouldered the decreased obligations for grantees via an increase in program officer workload. Thus, the Endowment should consider ways to reduce the burden on both grantees and program staff.</p> <p>Recommended strategies include:</p> <ul style="list-style-type: none"> ● Streamlining the application process by reflecting on what is needed to determine who receives grant funding (i.e., financial records, recommendations, etc.) <ul style="list-style-type: none"> ○ For grantees, this strategy can reduce the time it takes to apply for grant funding. ○ For program staff, this strategy can reduce the time it takes to review grant applications and potential fatigue associated with a length review process. ● Using one consistent application for all grantees receiving the Endowment's emergency response funds <p>While some respondents felt that there was transparency in the grantmaking response, others felt that there was an opportunity for the Endowment to be even more transparent. To further increase transparency in the grantmaking process, the Endowment should make it clear from the beginning that it is centering racial equity in its grantmaking process (e.g., including racial equity on all public communications related to the grant opportunity) and consider making applications for funding widely available (i.e., posting on the Endowment's website or social channels) so applicants can prepare in advance of the funding announcements.</p>

Lessons Learned

One of the greatest strengths of the Endowment's efforts to center racial equity in its grantmaking is establishing partnerships with organizations proximate to the target populations. COVID-19 grantees were positively impacted by the Endowment's efforts to center racial equity in its emergency response grantmaking. Through open communication, support, and trust-building from the Endowment staff, the funds provided by the Endowment helped grantees provide food, financial and non-financial resources, and COVID-19 testing and vaccines to target populations. As a philanthropic organization, it is important to reflect on how the work being done is impacting target populations.

To center racial equity, peer organizations, grantees, and not funded applicants alike recommend **keeping equity at the forefront** of all of the Endowment's future emergency response grantmaking initiatives. The Endowment's efforts to center equity in its COVID-19 grantmaking provided evidence for the benefits of open communication with grantees and transparency throughout the grantmaking process. Additional strategies from grantee and staff respondents to help center equity include (1) using data to drive funding decisions and (2) increasing direct communication with community-based practitioners. Additionally, the Endowment should consider increasing transparency about funding objectives, who is ultimately funded, and why they are funded across all stakeholders. Being clear about its approach to equity will help the Endowment fund the right grantees aligned with the Endowment's mission.

COVID-19 grantees noted that the requirements for this grant paved the way for them to foster relationships with other organizations to better serve the community during this time. The impact grantees reported having in the community is generating additional interest within the communities served. Although not the original intention of the Endowment's COVID-19 emergency response grant, grantees noted that more funding is needed to sustain their impact, as they become more embedded into target populations. Endowment staff respondents reported targeting resources to the populations most impacted by the COVID-19 pandemic as the most meaningful way to define success for emergency response grantmaking. To sustain its success, the Endowment should reflect on additional strategies that can be utilized as the pandemic continues throughout the Carolinas.

Suggested Next Steps

As shown, much information was learned during this evaluation of the Endowment's novel approach to centering equity in its grantmaking response through using its four Guiding Principles for Racial Equity. While the evaluation provided initial insights into the tactics used that hold promise, there are also opportunities for growth. However, because we could consider this a 'pilot phase,' additional reflections and refinement is needed.

With the Endowment's ongoing efforts to intentionally center equity, it appears from this evaluation that the Guiding Principles for Racial Equity did just that - and decreased grantee burden. We suggest that the Endowment and other similar organizations may reflect on the wealth of information captured to determine the relevancy and feasibility of each, both to the work overall and with regard to disaster relief work.

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Forward

Creative Research Solutions, LLC (CRS) served as the learning and evaluation partner for The Duke Endowment's Evaluation of Efforts to Center Racial Equity in COVID-19 Grantmaking.

Founded in 2009, CRS is an award-winning research and evaluation firm located in the Atlanta Metropolitan Area. Through culturally responsive evaluation and authentically engaged and rigorous data collection and analysis, we help clients critically evaluate their work to support and refine their approaches. When evaluating outcomes and impacts, we ensure that our approach, refined and sharpened over time, is aligned with local values while being directly coordinated with initiative and portfolio-level design and data collection activities. This approach enables us to generate strengths-based evaluation findings, demonstrate impacts, and provide actionable suggestions for addressing gaps and future growth.

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We would also like to acknowledge our partners within The Duke Endowment who provided guidance throughout the evaluation process and the staff, grantees, not funded applicants, and peer organizations foundations who shared valuable insights and honest opinions.

Acronyms and Abbreviations

Acronyms and Abbreviations	Meaning
CRS	Creative Research Solutions
CELT	COVID-19 Equity Lens Taskforce
BIPOC	Black, Indigenous, and People of Color BIPOC-led and/or -serving defined as Black/African American, Indigenous, and/or Latino

Definitions

Key Term	Definition
Racial Equity	A state in which all people have what they need to thrive regardless of racial or ethnic backgrounds.
CELT Grantee	Grantees whose proposals were reviewed and endorsed by the task force.
Non-CELT	Grantees who received COVID-19 funds, but either their applications were not reviewed or were not endorsed by the task force.
Pre-CELT	Grantees who received COVID-19 funds between March 2020 and November 2020, before the Guiding Principles for Racial Equity were put into place.
Not Funded Applicants	Applicants who were engaged in the CELT pipeline but ultimately were not funded. In some cases, the applicant was asked to submit a proposal that was reviewed but not endorsed by the task force. In other cases, a program officer engaged an applicant as a potential CELT grantee but ultimately decided not to invite a proposal from the organization.
Target populations	Communities who were assessed to have the highest incidence and/or COVID-19 mortality rates. Priority groups include Black/African American, Latino, and Native American/Indigenous.

Introduction to the Evaluation of Efforts to Center Equity in COVID-19 Grantmaking

The COVID-19 pandemic has affected every aspect of daily life for individuals and families. Apart from being a major global health crisis, the COVID-19 pandemic has also emerged as an unprecedented socioeconomic crisis with data indicating that communities of color are being hit disproportionately hard. In an effort to deepen the understanding of the impacts of COVID-19 on the racial and ethnic groups that are disproportionately affected by the virus in the Carolinas - Black/African American, Latino, and Native American/Indigenous communities. The Duke Endowment conducted an informal field scan to identify funding opportunities, get to know the organizations and leaders responding to COVID-19 in target populations, and identify topics for potential exploration. The results of the field scan highlighted challenges affecting the target populations, what works when engaging target populations, and identified 48 organizations--28 of which were BIPOC-led and/or -serving--that were engaged in COVID-19 emergency response.¹

Guiding Principles for Racial Equity

In March 2020, The Duke Endowment Board of Trustees approved \$35 million to support coronavirus relief efforts in the Carolinas. Following an initial round of grantmaking, an ad hoc team of staff proposed guiding principles to (1) center racial equity, (2) enhance the Endowment's coronavirus response, and (3) maximize support to communities most affected by the pandemic. Target populations include Black/African American, Latino, and Native American/Indigenous populations. The Endowment also prioritized support to organizations that are most proximate to priority groups and have a demonstrated history of serving community needs.

Guiding Principles for Racial Equity

1. Target resources to populations that are most impacted by the effects of the pandemic.
2. Optimize interventions for target populations.
3. Fund organizations that are most proximate to target populations.
4. Minimize the administrative (application and reporting) burden on potential community partners.

In August 2020, the Endowment adopted the COVID-19 Guiding Principles for Racial Equity as an expression of their emerging commitment to Racial Equity, Diversity, and Inclusion (REDI). The principles aimed to ensure a more significant portion of coronavirus funds reach the communities hardest hit by the pandemic. The four principles that guide the Endowment's efforts to center equity in COVID-19 grantmaking aim to (1) target resources to populations most impacted by the effects of the pandemic, (2) optimize interventions for target populations, (3) fund organizations that are most proximate to target populations, and (4) minimize the administrative (application and reporting) burden on potential community partners. The Endowment hypothesized that "If we implement principles and criteria to direct COVID-19 grantmaking, then a greater proportion of the Endowment's resources will reach the racial and ethnic groups that are most affected by the pandemic."

Understanding the Impact of the Endowment's Guiding Principles for Racial Equity

In October 2020, The COVID-19 Equity Lens Taskforce (CELT) was created to review and make recommendations related to COVID-19 grant proposals. The purpose of CELT was to enhance the allocation and distribution of

¹ Since this time, the full \$35 million funds has been used and 34 additional CELT grants have been made through December 2021.



financial resources to benefit communities of color in the Carolinas impacted by COVID-19 with an intentional emphasis on learning. Grantees who were reviewed and endorsed by CELT - applied through a process that took into account three criteria that were created to assess alignment with the COVID-19 Guiding Principles for Racial Equity:

1. Specify which target population the program seeks to assist.
2. Provide a compelling rationale for the program's fit with the target population.
3. Describe the applicant's history of reaching the target population or their plan to meaningfully partner with an organization that is more proximate to the community.

Additionally, staff prepared supporting documents that included a proposal to CELT, due diligence form, COVID-19 application, program area application, CELT cover sheet, and a funding recommendation for the Endowment's Board of Trustees. Between March 2020 and July 2021, \$29.9 million was distributed for COVID-19 relief, \$3.8 million of which was distributed to BIPOC-led organizations, \$12.5 million was distributed to target populations, and \$21.9 million was distributed to economically disadvantaged communities in the Carolinas.²

Purpose of the Evaluation

In June 2021, the Endowment contracted with CRS to evaluate its efforts to center racial equity in COVID-19 grants awarded between March 2020 and July 2021. The goals of the evaluation are to assess (1) the reach of COVID-19 funds to target populations, (2) the Endowment's adherence to the Guiding Principles for Racial Equity, and (3) the implications for future changes in grantmaking practice.

Evaluation Methods

In collaboration with the Endowment, CRS developed 16 central and supporting questions to guide the evaluation. Answers to these questions were informed by CRS's review of grantee documents — including applications, CELT cover sheets, and staff write-ups and recommendations for funding — as well as data collected by staff, grantees, and not funded applicant surveys. CRS also interviewed four Endowment-selected peer organizations, three of which are located in the Carolinas, to document information about how peers centered racial equity in COVID-19 emergency response grantmaking.

In September 2021, CRS launched the grantee survey to observe the impact of the new racial equity criteria on grantees that received grants between November 2021 and July 2021. Grantee survey data aimed to capture perceptions of the Endowment's COVID-19 emergency response grantmaking process and how the Endowment could better support progress towards grantees' project goals. To better understand the difference between the guiding principles and racial equity criteria made in grantmaking practices and outcomes, CRS divided grantee survey respondents into two groups, (1) CELT grantees and (2) non-CELT grantees.

- CELT grantee proposals were reviewed and endorsed by the task force.
- Non-CELT grantees received COVID-19 funds, but either were not reviewed or were not recommended for funding by CELT.

² Please note that the funds could be included in more than one of these categories; thus, the sum will not equal the \$29.9 million total distribution.

To gather information and identify areas for improvement in the grantmaking process, we surveyed not funded applicants, who were engaged in the CELT pipeline but were ultimately not funded. Because the number of formally not funded applicants (i.e., applicants who were asked to submit a proposal that was reviewed but not endorsed by the task force) was small (3), additional applicants who were engaged by program officers as a potential CELT grantee but were ultimately not invited by the Endowment to submit a proposal were also invited to complete this not funded applicant³ survey to capture information about strategies used to engage the community, challenges with the Endowment's emergency response grantmaking process, and the types of resources and support that would most benefit the communities they serve.

Through the staff survey, also launched in September 2021, we aimed to capture current impressions about (1) how the COVID-19 grantmaking criteria impacted the reach of funds to the target population, (2) the degree of adherence to the guiding principles for equity, and (3) any suggestions for changes to the Endowment's grantmaking practice from lessons learned during the grantmaking response to COVID-19.

All surveys were programmed into CheckMarket, an online survey software, and administered via email to Endowment staff, CELT and non-CELT grantees, and not funded applicants. Survey response rates ranged from 63 to 88 percent, with the average response rate being 71 percent, which is notable as response rates tend to be much lower among similar populations (e.g., the response rate for nonprofit leaders was 41%,⁴ response rate for organizations was 34.8%⁵). Survey response rates are presented in **Table 1** below.

Table 1: Survey Response Rates

	COVID-19 Evaluation Sample	Survey Responses	Response Rate
CELT Grantees	24	21	88%
Non-CELT Grantees	11	7	64%
Not Funded Applicants	8	5	63%
Endowment Staff	32	22	69%

Note: Partial responses were excluded from the analysis: 4 Non-CELT Grantees, 2 CELT grantees, and 1 staff member did not complete the majority of the survey.

To assess whether grantees optimized interventions for target communities, we relied on the document review rather than staff opinions. To be sure we were obtaining the most appropriate information, we created a data extraction matrix⁶ and systematically coded the grantee applications, CELT cover sheets, and staff

³ Both not funded applicants and additional applicants are referred to as "not funded applicants(s)" throughout this report.

⁴ Example response rates can be found here:

https://www.google.com/url?q=https://www.philanthropyohio.org/sites/default/files/resources/Nonprofit_challenges_09-09-13.pdf&sa=D&source=docs&ust=1638393299380000&usg=AOvVaw000o3dUPd-kl9RQCt138Cj

⁵ Example response rates can be found here:

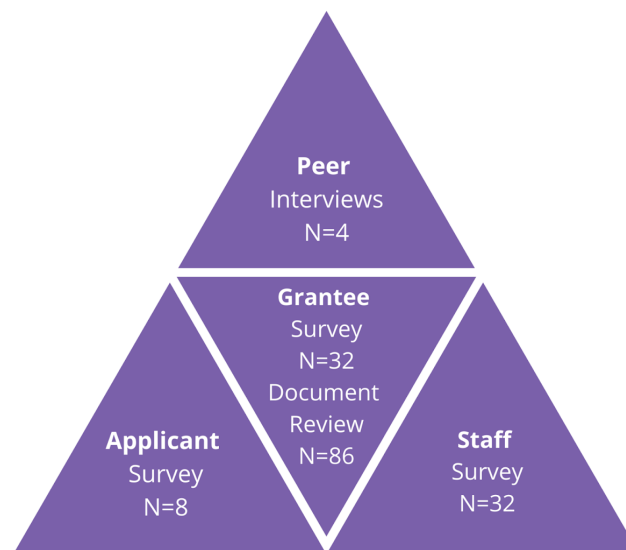
<https://digital.lib.washington.edu/researchworks/bitstream/handle/1773/46585/NBEC-Local-Impacts-of-a-Global-Crisis-How-Washington-state-nonprofits-are-responding-to-COVID-19-1.pdf?sequence=1>

⁶ [Data extraction matrix template](#)



recommendations for funding. To assess whether the interventions fit the target populations, we reviewed grantee applications, first taking note of the target population served and whether or not it included details about the intervention in the application. To ensure the intervention fit the target population, we pulled key details about each intervention as they related to the target populations grantees listed as serving for COVID-19 emergency funds. As a reference, we also completed the document review process for the 6 pre-CELT grantees funded from March 2020 to November 2020 (pre-CELT grantees refer to those grants awarded before the guiding principle for racial equity were implemented). It should be noted that we were unable to do any significance testing because of the relatively small sample sizes. **Figure 1** shows all data sources for the evaluation of the Endowment's efforts to center racial equity in COVID-19 grantmaking.

Figure 1: Data Sources for the Evaluation of the Endowment's Efforts to Center Racial Equity



Demographics

Demographics were calculated for all survey participants. The tables (**Tables 2-4**) below provide a high-level demographic portrait of the Endowment staff, grantee, and not funded applicant survey respondents.

Endowment Staff

Of the 22 total Endowment staff respondents, 9 were members of the CELT review team for The Duke Endowment's COVID-19 emergency response grant.

Table 2: Endowment Staff Survey Respondent Demographics by CELT Review Team and All Other Program Staff

		CELT Review Team (n = 9)	Endowment Program Staff (n = 13)
Role in the COVID-19 emergency response grantmaking	Management Team Member (n = 7)	1 (14.3%)	6 (85.7%)
	Program Officer, Analyst, or Fellow (n = 8)	3 (37.5%)	5 (62.5%)
	Senior Administrative Specialist (n = 3)	2 (66.7%)	1 (33.3%)
	Other (n = 4)	3 (75%)	1 (25%)

Grantmaking Area	Rural Church (n = 2)	1 (50%)	1 (50%)
	Health Care (n = 3)	1 (33.3%)	2 (66.7%)
	Child and Family Well-being (n = 3)	1 (33.3%)	2 (66.7%)
	Higher Education (n = 2)	1 (50%)	1 (50%)
	Special Initiatives (n = 1)	1 (100%)	0 (0%)
Length of Time with the Endowment	6 months - 1 year (n = 2)	0 (0%)	2 (100%)
	2-5 years (n = 8)	5 (62.5%)	3 (37.5%)
	6-10 years (n = 2)	2 (100%)	0 (0%)
	More than 10 years (n = 8)	2 (25%)	6 (75%)
Race/Ethnicity ¹	Black or African-American (n = 6)	5 (83.3%)	1 (16.7%)
	White or Caucasian (n = 11)	4 (36.4%)	7 (63.6%)
	Prefer not to respond (n = 3)	0 (0%)	3 (100%)
Gender ²	Woman (n = 10)	8 (80%)	2 (20%)
	Man (n = 6)	1 (16.7%)	5 (83.3%)
	Prefer not to respond (n = 4)	0 (0%)	4 (100%)

¹Additional Race/Ethnicity options respondents could choose from included American Indian/Indigenous, Alaskan Native, Asian or Asian American, Hispanic or Latino/Latina, and Native Hawaiian or other Pacific Islander.

²Additional gender options respondents could choose from included Transgender, Two-spirit, and Genderqueer/Gender non-conforming.

Grantees

More than half of the CELT grantees described themselves as BIPOC-led (i.e., Black/African American, Latino, and/or Native American/Indigenous), compared to less than 15 percent of non-CELT grantees.

Table 3: Grantee Reported Demographics by CELT and Non-CELT Status

			CELT Grantees (n = 23)	Non-CELT Grantees (n = 11)
Respondent	Role	Executive Director (n = 13)	8 (61.5%)	5 (38.5%)
		Other Senior Management (n = 4)	3 (75%)	1 (25%)
		Project Director (n = 0)	0 (0%)	0 (0%)
		Development Director (n = 1)	1 (100%)	0 (0%)
		Other Development Staff (n = 2)	1 (50%)	1 (50%)
		Program/Project Associate (n = 0)	0 (0%)	0 (0%)
		Program/Project Manager or Coordinator (n = 3)	3 (100%)	0 (0%)
		Grants Manager (n = 1)	1 (100%)	0 (0%)
		Volunteer (n = 1)	1 (100%)	0 (0%)
	Race/Ethnicity ¹	American Indian/Indigenous (n = 1)	1 (100%)	0 (0%)
		Black or African-American (n = 5)	5 (100%)	0 (0%)



		Hispanic or Latino/Latina (n = 5)	5 (100%)	0 (0%)
		White or Caucasian (n = 16)	9 (56.3%)	7 (43.8%)
		Not Listed (n = 2)	2 (100%)	0 (0%)
	Gender ²	Male (n = 8)	5 (62.5%)	3 (37.5%)
		Female (n = 20)	16 (80%)	4 (20%)
Organization	Community Served	African American (n = 23)	16 (69.6%)	7 (30.4%)
		Latino (n = 23)	17 (73.9%)	6 (26.1%)
		Native American/Indigenous (n = 13)	7 (53.8%)	6 (46.2%)
		White or Caucasian (n = 17)	11 (64.7%)	6 (35.3%)
		Asian or Asian American (n = 9)	4 (44.4%)	5 (55.5%)
		Alaskan Native (n = 0)	0 (0%)	0 (0%)
		Native Hawaiian or other Pacific Islander (n = 4)	2 (50%)	2 (50%)
	Program Area	Rural Church (n = 4)	3 (75%)	1 (25%)
		Higher Education (n = 4)	2 (50%)	2 (50%)
		Child and Family Well Being (n = 10)	9 (90%)	1 (10%)
		Health Care (n = 7)	4 (57%)	3 (43%)
	Leadership	BIPOC- Led Executive (n = 12)	12 (100%)	0 (0%)
		BIPOC- Led Board (n = 14)	13 (93%)	1 (7%)
	Annual Budget	Less than \$1M (n = 10)	10 (100%)	0 (0%)
		Greater than \$1M (n = 18)	11 (61%)	7 (39%)
	Full-time Employees	< 10 (n = 15)	11 (73.3%)	4 (26.7%)
		10-100 (n = 10)	9 (90%)	1 (10%)
		100 + (n = 3)	1 (33.3%)	2 (66.7%)
	Part-time Employees	< 10 (n = 21)	16 (76.2%)	5 (23.8%)
		10-100 (n = 6)	5 (83.3%)	1 (16.7%)
		100 + (n = 1)	0 (0%)	1 (100%)
	Geographic Area Served	Statewide (n = 8)	5 (62.5%)	3 (37.5%)
		Regional (n = 6)	6 (100%)	0 (0%)
		County (n = 6)	6 (100%)	0 (0%)
		City (n = 2)	2 (100%)	0 (0%)

¹Additional Race/Ethnicity options respondents could choose from included Alaskan Native, Asian or Asian American, and Native Hawaiian or other Pacific Islander.

²Additional gender options respondents could choose from included Transgender, Two-spirit, and Genderqueer/Gender non-conforming.

Not Funded Applicants

Due to the small respondent population for not funded applicants (n = 5), formally not funded applicants and additional applicant data have been combined in **Table 4** and throughout the report. Geographically, all not funded



applicant respondents reported serving communities statewide or regionally as opposed to CELT grantee respondents who were more geographically diverse and localized, serving communities at the county or city level.

Table 4: Not Funded Applicant Reported Demographics

			Not Funded Applicants (n = 5)
Respondent	Role	Executive Director	2 (40%)
		Other Senior Management	1 (20%)
		Development Director	1 (20%)
		Grants Manager	1 (20%)
	Race/Ethnicity ¹	Black or African-American	1 (20%)
		White or Caucasian	4 (80%)
	Gender ²	Male	2 (40%)
		Female	3 (60%)
Organization	Community Served	African American	5 (100%)
		Latino	5 (100%)
		Native American/Indigenous	2 (40%)
		White or Caucasian	4 (80%)
		Asian or Asian American	2 (40%)
		Native Hawaiian or other Pacific Islander	2 (40%)
	Program Area	Rural Church	2 (40%)
		Child and Family Well Being	1 (20%)
		Health Care	2 (40%)
	Leadership	BIPOC-Led Executive	2 (40%)
		BIPOC-Led Board	1 (20%)
	Annual Budget	Less than \$25M	2 (40%)
		Greater than \$25M	3 (60%)
	Full-Time Employees	< 10	2 (40%)
		10-100	1 (20%)
		100 +	2 (40%)
	Part-Time Employees	< 10	3 (60%)
		100 +	2 (40%)
	Geographic Area Served	Statewide	3 (60%)
		Regional	1 (20%)

¹Additional Race/Ethnicity options respondents could choose from included American Indian/Indigenous, Alaskan Native, Asian or Asian American, Hispanic or Latino/Latina, and Native Hawaiian or other Pacific Islander

²Additional gender options respondents could choose from included Transgender, Two-spirit, and Genderqueer/Gender non-conforming.

Analytic Approach

CRS conducted a mixed-methods (i.e., qualitative and quantitative data) evaluation through a culturally responsive lens (e.g., disaggregating target population data to account for differences in life experiences and the differential impacts of the COVID-19 pandemic) to provide the Endowment with an understanding of the impact of centering racial equity in its COVID-19 grantmaking practices. Descriptive statistics and thematic content analysis (for quantitative and qualitative data, respectively) were used to analyze the data sources. All data were synthesized and triangulated to further explicate the findings.

The learning and evaluation questions present in **Table 5** below guided the data analysis approach. Primary interest areas included (1) reach to the target population, (2) targeting resources to target populations, (3) impact of the Endowment's funds on grantees, (4) lessons learned and implication of changes in grantmaking on the Endowment's future practices, and (5) what is working and not working to center racial equity at peer organizations. **Table 5** presents each learning and evaluation question and the corresponding section of the report they are addressed.

Table 5: Endowment Learning and Evaluation Questions with Corresponding Report Section

Section of Report where Learning and Evaluation Questions Are Addressed	Learning and Evaluation Question
Reach to Target Populations	What strategies/outreach methods were used within the Endowment to identify and engage organizations that are proximate to the community? How effective do stakeholders (e.g., Endowment staff, grantees) perceive these methods to be?
	How does The Duke Endowment's application process encourage or deter access to target populations?
	How accessible was The Duke Endowment's COVID-19 emergency response grantmaking application process for the applicants?
	In what ways did The Duke Endowment work to foster transparency between stakeholder groups throughout the grantmaking process? What other ways could transparency between stakeholder groups be enhanced?
	How did the Endowment incorporate strategies that were inclusive of community voice and values?
Directing Resources to Target populations	To what extent did The Duke Endowment's grantmaking adhere to the COVID-19 Guiding Principles after the Guiding Principles were implemented?
	How do grantees awarded using the COVID-19 Guiding Principles for Equity compare to those grantees awarded before the Guiding Principles were in place?
	How does the structure created by the equity criteria enhance or challenge the disbursement of COVID-19 funds?
Impact of the Endowment's funding on COVID-19 Grantees	What did the Duke Endowment funding enable grantees to do that they otherwise would not have been able to do without this funding? Have there been unintended consequences, whether positive or negative?
	What grantee-perceived factors related to The Duke Endowment's grantmaking process have helped or hindered grantee progress towards their planned goals?
	What additional non-monetary supports provided by the Endowment do disaster response grantees find helpful to make progress toward their planned goals? What other non-monetary

	support would be helpful?
Lessons Learned	What lessons can be learned about The Duke Endowment's COVID-19 grantmaking response?
	In emergency response grantmaking, what is perceived as the most meaningful way for The Duke Endowment to define success? And how might that definition be applied in future crises? What are some lessons learned along the way?
	What have peers learned about what does or does not work to center equity in COVID-19 grantmaking?
	In terms of internal practices, what strategies facilitated collaboration across stakeholder groups (e.g., Endowment staff, external and internal stakeholders, and grantees) to ensure that equity was centered in the grantmaking process?
Throughout	What challenges did the Endowment (and its stakeholders) experience during the COVID-19 grantmaking process? What are some recommendations to improve the process in the future for other applicants, in terms of equitable criteria?

Quantitative Analysis

Descriptive statistics (e.g., frequencies and percentages) were calculated on the grantee survey, the Endowment staff survey, and the not funded applicant survey. To ensure findings were clear and to determine whether or not the Endowment was making the intended impact, CELT and non-CELT grantee survey data were analyzed separately. In addition, key information from grantee documents (e.g., application, CELT cover sheets, staff recommendation for funding) was extracted and systematically coded. Descriptive statistics were calculated for the data extracted from the grantee document review (e.g., # of BIPOC-led grantee organizations, # of Grantees with a history of serving target populations, etc.). Quantitative data will be included in tables, as appropriate.

Qualitative Analysis

Thematic content analysis was used to analyze open-ended survey responses and peer interviews. We identified major themes, noting similarities and differences, when appropriate, by peers, Endowment staff, not funded applicants, and CELT and non-CELT grantees.

Synthesis and Triangulation

We synthesized findings through triangulation, which is using multiple data sources to validate the findings of the evaluation. By synthesizing the findings of the Endowment staff survey, grantee survey, not funded applicant survey, and peer interviews, we can obtain a deeper understanding of the data.

In the next section, we will discuss the findings, including comparing across similar data.

Findings

Below we present the findings from the analysis of the COVID-19 grantee document review, Endowment staff, grantee, and not funded applicant surveys, as well as the peer interviews conducted in September 2021. The findings in the next several subsections are organized by the primary interest areas of the evaluation including (1) reach to the target population, (2) directing resources to target populations, (3) impact of the Endowment's funds on grantees, and (4) lessons learned and potential implications of changes in grantmaking for the Endowment's future practices. Disaggregated data by target population served (i.e., Black/African American, Latino, Native

American/Indigenous) and/or grantee type (e.g., CELT, Non-CELT, Pre-CELT) are presented, where appropriate. We provide illustrative quotes, where needed, to enhance and support themes that emerged during the analysis.

Reach to Target Populations

Both the Duke Endowment and its peer organizations focused on having intentional communication with organizations proximate to target populations for COVID-19 emergency response funding opportunities. Peer organizations worked directly with grantees to ensure they were able to focus on helping the communities rather than completing a lengthy application, and the Endowment ensured that grantee voices were incorporated throughout the grantmaking process. By being inclusive and transparent throughout the application and grantmaking processes, grantees and not funded applicants felt supported by the Endowment. Both the Endowment and its peers utilized equitable outreach and engagement strategies during the COVID-19 grantmaking process to increase access to grant funds for communities that had limited resources (e.g., time, technology, capacity) to submit funding applications. The next several subsections provide information regarding how the Endowment engaged target populations and centered equity in its grant application process.

Key Finding: Outreach strategies related to increased communication, support, and transparency encouraged applications from organizations proximate to priority communities.

- The Endowment intentionally communicated with organizations proximate to priority communities to encourage them to apply, which motivated more grantee serving target populations to apply for COVID-19 emergency response funds.
- Open communication with organizations proximate to priority communities and the Endowment's transparency about strategic priorities and objectives help grantee respondents feel that their voices and values are included throughout the grantmaking process.
- Strategies and outreach methods used by the Endowment to target priority communities more frequently engaged organizations proximate to Black/African American and Latino communities than Native American/Indigenous communities.

Identifying and engaging target populations for the COVID-19 emergency response grant

As previously mentioned, the Endowment identified target populations through a COVID-19 field scan with stakeholders proximate to target populations. Similarly, 3 of 4 peers reported conducting structured scans of the region and/or leveraging existing grantee partnerships to identify additional grantee organizations serving target populations. Once identified, Endowment staff used various strategies to engage organizations proximate to the target populations. Endowment staff respondents most frequently reported being unsure what strategies were used to engage organizations proximate to the target populations (Black/African American 45% (n=10); Latino 45% (n = 10); Native American/Indigenous 55% (n = 12)).

For all three target populations, the remaining Endowment staff respondents reported most frequently that they directly communicated with grantees that are proximate to target populations by encouraging them to apply (see **Table 6**). All peer organizations also reported direct communication with grantees as their main outreach strategy for COVID-19 emergency response funds. Three of Four (3 of 4) peer organizations utilized trusted grantees or professional partners to reach the target population while 1 organization conducted “cold calls” and emails to organizations most likely to be overlooked for public funds for COVID-19 emergency response grants.

Other top strategies reported by Endowment staff respondents include

1. Partnering with statewide networks and partners who have established relationships with target populations, specifically Black/African American (45% (n = 10)) and Latino communities (41% (n = 9)).
2. Engaging with community connectors and influencers who have access to target populations



(Black/African American 32% (n = 7); Latino 27% (n = 6); Native American/Indigenous 18% (n = 4)).

3. Having direct communication with the target populations by sharing how the Endowment aims to make an impact through the COVID-19 emergency grant (Black/African American 27% (n = 6); Latino 27% (n = 6); Native American/Indigenous 23% (n = 5)).

The least reported outreach strategy by Endowment staff was to invite the target populations served to meetings to discuss their needs (Black/African American 14% (n = 3); Latino 14% (n = 3); Native American/Indigenous 9% (n = 2)). **Table 6** below depicts the frequency with which Endowment staff respondents reported using select outreach strategies, disaggregated by the target population.

Table 6: Staff Reported Outreach Strategies by Target Population

	Black/African American	Latino	Native American/Indigenous
The Endowment invited target populations to meetings to discuss their needs.	14% (3)	14% (3)	9% (2)
The Endowment had direct communication with the target populations sharing how the Endowment aims to make an impact through the COVID-19 emergency grant.	27% (6)	27% (6)	23% (5)
The Endowment had direct communication with grantees who are proximate to target populations encouraging them to apply.	50% (11)	50% (11)	36% (8)
The Endowment partnered with statewide networks and partners who have established relationships with target populations.	46% (10)	41% (9)	18% (4)
The Endowment engaged with community connectors and influencers who have access to target populations.	32% (7)	27% (6)	18% (4)

Strategies were identified from the summary of The Duke Endowment's COVID-19 BIPOC Coronavirus Response Efforts in the Carolinas Interviews.

Note: Bolded row indicates the most frequently reported strategy. Respondents could select more than one strategy. Conducting surveys within target populations to identify what they think is the biggest problem facing their community, distributing newsletters targeted to grantees who are proximate to the target populations, and utilizing social media marketing to target grantees who are proximate to target populations were additional outreach options included in the survey but not reported used by staff survey respondents.

Although Endowment staff reported frequently being unsure of the efficacy of outreach strategies used to engage organizations proximate to target populations, most staff felt that it was at least moderately effective (e.g., the number of staff reporting moderately, very, or extremely was at least 33% (n = 7) for Black/African American, 23% (n = 5) for Latino, and 23% (n = 5) for Native American/Indigenous communities) and CELT, non-CELT, and not funded applicant respondents reported they were encouraged to apply for the COVID-19 grant by direct communication from someone at the Endowment (CELT grantees 82% (n = 18); non-CELT grantees 86% (n = 6); not funded applicants 60% (n = 3)). The strategies utilized by the Endowment to reach target populations encouraged organizations proximate to the target populations to seek funding from The Duke Endowment. By incorporating strategies involving transparency and direct communication, the Endowment can limit the grantee stress that comes with ambiguous objectives and minimize the administrative burden on potential grantees for the COVID-19 emergency response grant.

For all outreach strategies, Endowment staff respondents more frequently reported identifying and engaging with Black/African American and Latino-led and/or -serving communities when compared to Native American/Indigenous-led and/or serving communities (see **Table 6**). Among the 22 Endowment staff respondents, 68 percent (n = 15) agreed that Black/African American and Latino -led and/or -serving communities were encouraged to apply to the COVID-19 emergency response grant, while only 36 percent (n = 8) agreed that Native American/Indigenous-led and/or -serving communities were encouraged to apply. Similarly, both CELT and non-CELT grantee respondents reported serving the Black/African American and Latino community more frequently than the Native American/Indigenous community for the COVID-19 emergency response funding opportunity, providing evidence that the Endowment both reached out to, encouraged applications, and ultimately funded organizations that are proximate to the target populations (see **Table 3**).

Transparency and support within the COVID-19 grantmaking application process

In addition to using direct communication to identify and engage target populations to apply, Endowment staff also reported using transparency and direct communication throughout the application process for the COVID-19 emergency grant. During the application process, 73 percent (n = 16) of Endowment staff respondents agreed that the Endowment was available to assist target population applicants and 50 percent (n = 11) agreed the Endowment provided a clear overview of the purpose, expectations, and requirements for the COVID-19 emergency response grant to organizations proximate to the target populations. Similarly, among grantee respondents, 100 percent (n = 28) of CELT and non-CELT grantees agreed that the Endowment made it clear who they should contact with questions about their application, 96 percent (n = 27) agreed that reasons for grant decisions were clear and 82 percent (n = 23) were aware of who the decision-makers were for matters concerning their grant.

Among CELT grantees, 96 percent (n = 20) agreed that they felt supported by Endowment staff throughout the application process and that the application was easy to understand. Similarly, not funded applicants believe that the application was easy to understand, requirements were clear, and the Endowment understood the applicant's proposed approach for the COVID-19 emergency response proposal. Among not funded applicants, CELT, and non-CELT grantee respondents, the Endowment staff being able to answer questions in a timely manner was the **most helpful factor** when applying to the COVID-19 emergency response grant.

Focusing on providing resources to organizations underserved by traditional grantmaking practices, peer organizations reduced application requirements to reduce the burden on potential grantees and allowed for a more rapid grantmaking process. Strategies reported by peers include (1) shortening the application for funding and (2) posting the application on the website so potential grantees can decide whether or not they want to put in the effort to apply.

Incorporating community voices and values throughout the grantmaking process

As seen above, strategies related to communication and transparency between staff and grantees were used frequently to center racial equity in the Endowment's COVID-19 grantmaking. Among the Endowment's CELT review team (n = 9), over 75 percent agreed that the Endowment's equity criteria encouraged strategies that were inclusive of the **voices** of the Black/African American- and Latino-led and/or -serving communities (89% (n = 8) and 78% (n=7), respectively), while only 33 percent (n = 3) agreed that the criteria were inclusive for Native American/Indigenous-led and/or -serving communities. Furthermore, the CELT review team respondents agreed



that the equity criteria encouraged strategies that were inclusive of the **values** of Black/African American- and Latino- and Native American/Indigenous-led and/or -serving communities (78% (n=7), 89% (n = 8), and 33% (n = 3), respectively). The strategies used most frequently by the CELT review team to incorporate the voices and values of the target populations included:

- The Endowment clearly communicating its strategic priorities to increase transparency between stakeholders (56% (n = 5)),
- The Endowment being readily available to listen to grantees (56% (n = 5)),
- The Endowment clearly communicating the objectives of the grant (56% (n = 5)),
- The Endowment soliciting feedback from grantees to ensure equity throughout the grantmaking process (44% (n = 4)).

Although 43 percent (n = 3) of the CELT review team respondents were unsure about the effectiveness of the strategies used to include the target populations' voices and values, 93 percent (n = 26) of both CELT and non-CELT grantee respondents agreed that their organization's voice was included in the grantmaking process while 97 percent (n = 28) agreed that their organization's values were included in the grantmaking process.

Recommendations for the Endowment to consider when identifying and engaging target populations for future grantmaking practices in disaster relief.

- ❖ When developing and updating grantmaking plans, invest in research (e.g., field scans, interviews, etc.) and use the data to design grant programs that address the population(s) most impacted. Although used infrequently, inviting target populations to discuss their needs may also be a viable way to solicit feedback to tailor support. Note that this approach will need to be explored further to determine the applicability for future grantmaking efforts.
- ❖ Continue to prioritize reducing the burden on potential grantees (i.e., shorter applications). Be clear about what supporting documentation applicants need to gather so they are prepared before applying and/or being interviewed for grant opportunities.
- ❖ Maintain direct communication with organizations proximate to target populations and encourage them to apply to Endowment funding opportunities to ensure the Endowment is reaching its target populations.
- ❖ Consider identifying (and partnering) with statewide networks, community connectors, and/or influencers that have established trusted relationships with the target populations to identify and engage additional communities the Endowment aims to serve through disaster relief funds.
- ❖ Increase transparency regarding grant-making priorities in the beginning and communication following the funding decisions within the Endowment and with not funded applicants.
- ❖ Continue to listen to those who are serving in Black/African American, Latino, and/or Native American/Indigenous communities.
- ❖ Prioritize funding to those committed to reducing racial and/or ethnic inequities through innovative and creative approaches which aim to produce measurable impacts.

Directing Resources to Target Populations

As stated above, four principles guide the Endowment's efforts to center racial equity in its COVID-19 grantmaking including (1) directing resources to populations that are most impacted by the effects of the pandemic, (2) optimizing interventions for target populations, (3) funding organizations that are most proximate to target populations, and (4) minimizing the application and reporting burden on potential community partners. An *ad hoc*



staff team created criteria that served as an expression of the Guiding Principles for Racial Equity to enhance the allocation and distribution of the COVID-19 emergency response grant to target populations. The equity criteria were used by the CELT review team to assess the equity alignment of proposals and to offer funding recommendations to the Management Team. A rubric informed by the following questions facilitated systematic reviews of COVID-19 proposals.

1. Does the project or intervention serve a target population?
2. Does the intervention provide a compelling rationale of fit with the target population?
3. Is the organization located or easily accessed by the target population?
4. Does the organization have a history of reaching the target population? If not, do they provide a plan to meaningfully partner with an organization that is more proximate to the target population?
5. Is the organization led by a BIPOC executive?

Endowment staff respondents who were members of the CELT review team agreed that because of the equity criteria resources were targeted, recommended, and provided to target populations (see **Table 7**).

Table 7: CELT Review Team Perceptions of Adherence to the Guiding Principles for Racial Equity by Target Population

	Black/African American	Latino	Native American/ Indigenous
The Endowment directed resources to target populations most impacted by the effects of the COVID-19 pandemic.	100% (9)	89% (8)	67% (6)
The Endowment recommended that funding goes to organizations in target populations.	100% (9)	89% (8)	67% (6)
The Endowment's COVID-19 equity criteria provided resources to target populations that are most impacted by the effects of the pandemic.	100% (9)	100% (9)	56% (5)

Equity criteria

From November 2020 to July 2021, The Duke Endowment provided funding to 25 CELT grantees. Findings from CRS's independent review of grantee documents⁷ (i.e., Grantee applications, CELT cover sheets, and the Endowment staff recommendations for funding) revealed that CELT grantees intentionally focused interventions on target populations and the Endowment provided financial resources to organizations proximate to the target population.⁸ In this context proximate means being located close to or in the target population or easily accessed by the target population.

The data profile developed by the Endowment staff in **Appendix H** summarizes funding trends for the evaluation sample. Across 25 CELT Grantees, we determined that 60 percent (n = 15) served the Black/African American community, 76 percent (n = 19) served the Latino community, 24 percent (n = 6) served the Native American/Indigenous community, and 48 percent (n = 12) served other populations outside of the target populations. Some examples of other populations include low-income, prison, and rural communities. Less than

⁷ CRS's independent review of grantee documents included extracting and systematically coding applicable data from grantee documents.

⁸ When viewing the findings, it's important to note that these may not comport with the perceptions from the surveys because this was an independent review of grantee documents. We note similarities and differences where we can but these are inherently different groups so we can not do direct comparisons with the survey respondent data.

one-tenth (8 percent; n = 2) of CELT grantees did not specify a target population and instead listed “POC” or “minorities” as the communities they served on their application for the COVID-19 emergency response grant.

All CELT grantees were determined to have an intervention that was optimized to fit the target population they are serving. Examples of interventions optimized for the target population include

1. developing a culturally and linguistically appropriate COVID-19 educational campaign by conducting surveys to understand barriers to vaccines, training leaders to disseminate vaccine info, and referring the Latino community to vaccine sites,
2. targeting rapid testing, and vaccine outreach, education, and administration to communities with low vaccination rates, and
3. creating risk indices used to provide insight and resources to those at risk for contracting COVID-19 or those who would be most negatively impacted by COVID-19 (e.g., low-income, Black/African-American and Latino communities).

Among the 25 CELT grantees, 96 percent (n = 24) were geographically located in and/or easily accessed by Endowment-identified target populations. A total of 68 percent (n = 17) of CELT grantees reported serving communities located in North Carolina, 24 percent (n = 6) of CELT grantees reported serving communities in South Carolina and 4 percent (n = 1) reported serving in both North and South Carolina for the COVID-19 emergency response grant. Multiple CELT grantees mentioned *meeting the community where they are* -- e.g., reaching out to rural communities, including programs in areas that can be accessed without a highway, and delivering resources and services directly to individuals and families in the community. Additional methods CELT grantees reported using to access target populations include (1) training community members, (2) coordinating transportation to services and/or delivering services to individuals (e.g. food, PPE, cleaning supplies), and (3) targeting outreach and community events where the target populations reside.

All CELT grantees had a history of reaching target populations and 80 percent (n = 20) had plans to meaningfully partner with organizations that are proximate to the intended target population. Some examples of the partnerships grantees provided on their application for the COVID-19 emergency response include partnering with (1) schools and community centers to distribute food, (2) community-based primary care providers, (3) faith-based organizations, and (3) local farmers to reinvest in the local economy and gain community trust.

Adherence to the Endowment’s equity criteria for funding is summarized in **Table 8** below. For a general comparison, pre-CELT grantee (i.e., grantees funded between March 2020 and November 2020, before the Guiding Principles for Racial Equity were put into place) data are included. However, it should be noted that this is for illustrative purposes only. Because of the small sample size, no conclusions can be drawn from the comparison data. It is provided to show adherence to the guiding principles after they were put in place at the Endowment.

Table 8: The Duke Endowment's Adherence to the Equity Criteria for Funding

Equity Criteria	CELT November 2020 - July 2021 (N = 25)	Pre-CELT March 2020 - November 2020 (n = 6)
Serves a Target Population	100% (25)	50% (3)
Intervention fits the target population	100% (25)	50% (3)
Located or easily access by the target population	100% (25)	83% (5)
History of reaching and/or plan to meaningful partner with the target population	100% (25)	33% (2)
Lead by POC	36% (9)	0% (0)

Note: At the start of the pandemic (March 2020) the Endowment **reacted** and quickly made several awards but in November 2020, they used the equity criteria to **intentionally direct** COVID-19 funds to communities that had the highest COVID-19 incidence and mortality.

Funding target populations

Among all Endowment staff respondents, 59 percent (n = 13) agreed that the equity criteria used for CELT grantees enhanced the speed with which COVID-19 funds were distributed to organizations in target populations. The top factor related to enhancing the distribution of COVID-19 funds to all target populations reported by staff survey respondents is having a **better-aligned intent and action throughout the grantmaking process**. Additional factors related to enhancing the distribution of COVID-19 funds specifically for African American- and Latino -led and/or -serving communities are having an enhanced program fit to ensure services are effectively delivered to the community and more intimate knowledge of the communities served by the grantee (see **Table 9**).

Similarly, peer organizations interviewed who centered equity in their grantmaking response reported efficiently distributing funding to communities most in need by communicating their funding priorities to trusted grantee organizations proximate to target populations. Working with grantee intermediaries to reach target populations facilitated new grantee partnerships with organizations traditionally underfunded through non-emergency grantmaking practices.

Among the strategies program staff reported using to enhance distribution of COVID-19 funds to target populations, establishing trusting relationships with grantees to deliver culturally appropriate services was the least frequently used. Strategies for enhancing the distribution of COVID-19 funds to target populations can be found in **Table 9** below.

Table 9: Strategies Used to Enhance the Distribution of COVID-19 Funds to Target Populations

	Target Population		
	Black/African American	Latino	Native American/ Indigenous
Better aligned intent and action throughout the grantmaking process	50% (11)	50% (11)	36% (8)
More intimate knowledge of the communities served by the grantee	50% (11)	50% (11)	32% (7)



Enhanced program fit to ensure services are effectively delivered to the community	50% (11)	50% (11)	23% (5)
Established trusting relationships between myself and the grantees to deliver culturally appropriate services	18% (4)	14% (3)	14% (3)

Note: Strategies were adapted from The Duke Endowment's equity criteria. Respondents could select more than one strategy

By being intentional about targeting resources to target populations, the Endowment distributed COVID-19 emergency response grant funds to grantees closely aligned with the goals of the Endowment's grantmaking response.

Recommendations for the Endowment's consideration regarding centering racial equity in its COVID-19 grantmaking practices.

- ❖ Consistency is key. Build on the relationships that have been established through this initiative for future grantmaking beyond emergency relief.
- ❖ Continue to use the equity criteria to help distribute emergency response funds efficiently to communities most in need.
- ❖ To effectively deliver resources to target populations, be intentional about funding organizations that have an intimate knowledge and trusted relationship with the target population.
- ❖ Utilize grantee intermediaries to facilitate new partnerships with grantees serving the target populations traditionally underfunded through non-emergency grantmaking practices.
- ❖ In disaster response, bring together and listen to organizations and groups doing the work on the ground to get a better understanding of shifting priorities.
- ❖ Be patient but make sure to look for the progress. Unraveling generations of prejudice and building community understanding and trust takes time.

Impact of Centering Racial Equity in Emergency Response Grantmaking on Grantees

Both CELT and non-CELT grantees were positively impacted by The Duke Endowment's efforts to center racial equity in its COVID-19 grantmaking. Through open communication, support, and trust-building from the Endowment staff, the funds provided by the Endowment helped grantees provide food, financial and non-financial resources, and COVID-19 testing and vaccines to target populations.

Impact of the Endowment's funding on COVID-19 grantees

The COVID-19 emergency response grant helped organizations respond to an important need in their communities at the right time (100% (n = 28)). More specifically, among CELT grantee respondents, 48 percent (n = 10) reported using the COVID-19 emergency funds

Key Finding: The COVID-19 emergency response grant is helping organization respond to critical needs in their communities.

- The requirements of the COVID-19 emergency response grant helped grantees foster new relationships with community partners to serve their community better and increase the impact of their funds.
- Minimizing grantee reporting requirements and offering efficient support, helped grantees make progress towards their goals.
- Increasing capacity-building opportunities (e.g., fundraising, financial management, leadership training) would positively impact grantees working to meet the needs of the priority communities.
- More fundings is needed for grantees to sustain the services offered to priority communities through the COVID-19 emergency response grant.



to provide food, financial assistance (e.g., rent and utilities), and other resources (e.g., personal protective equipment [PPE], cleaning supplies, education assistance, children and baby supplies) to help individuals and families during the pandemic. CELT grantee respondents also frequently reported using the funds for COVID-19 testing, vaccinations, and vaccine outreach (38% (n = 8)). Approximately 10 percent (n = 2) of CELT respondents reported using the funds to support other organizations and faith leaders in the community through subgrants. In addition to supporting individuals and families impacted by COVID-19 and increasing testing and vaccine outreach, non-CELT grantee respondents reported most frequently using the Endowment's COVID-19 emergency response grant to pivot as necessary and apply funds, where needed, to continue to meet the service needs of the community during the pandemic (43% (n = 3)).

"This funding has opened up more possibilities for sharing food with our designated communities. We source local feeding agencies with fresh produce, and this funding has increased our capacity to do just that. The requirements of this grant has challenged us to foster even more relationships with local feeding agencies to better serve the areas we were tasked with serving."
-CELT Grantee Respondent

Grantees noted that the requirements for this grant paved the way for them to foster relationships with other organizations to better serve the community during this time. Grantees reported they had to expand their reach to support more community members because of the success and word of mouth of working with traditional partners. For example, one grantee shared: *"We have gained new partners who are engaged in providing concrete supports which allows our agency to have a more significant impact."*

Grantee respondents agreed the Endowment's funding helped grantees respond to the needs of the community, and several expressed needing to increase their internal staff capacity and funding to serve more people in the community. Grantees reported the intensity level of services is generating additional interest within the communities served. Although not the original intention of the Endowment's COVID-19 emergency response grant, grantees noted that more funding is needed to sustain their impact, as they become more embedded into target populations.

"We established a post-acute clinic to follow-up with those hospitalized for COVID-19. This project would not have been undertaken without Duke Endowment support. The clinic has generated a great deal of interest/demand in the community and is operating as hoped."
-CELT Grantee Respondent

Impact of the COVID-19 grantmaking process on grantees

Among CELT and non-CELT grantees, 79 percent (n = 22) stated that they were continuing as planned towards their intended goals while 18 percent (n = 5) reported having achieved their project goals for the COVID-19 emergency response grant; however, it should be noted that this finding may not be surprising since grantees received funding at different times and project lengths varied for each grantee. When asked about what has helped grantees make progress towards their planned goals, they reported:

1. Accessibility of Endowment staff when needed (86% (n = 24))
2. Clear communication of the objectives for the grant (61% (n = 17))
3. Minimal grantee reporting requirements (57% (n = 16))

Further, 96% (n = 27) of all grantee respondents agreed that the Endowment is working to foster open communication throughout the emergency response grantmaking process and that, when needed, the Endowment staff members were available to provide a helpful response quickly.



Endowment staff respondents most frequently reported offering a professional relationship built on trust and transparency (27% (n = 6)) and carefully considering grantees' organizational needs throughout the grantmaking process (27% (n = 6)) as additional support to help grantees make progress towards their planned goals. **Grantee respondents corroborated this sentiment**; nearly three-quarters (71% (n = 20)) of grantee respondents felt that they had a relationship with the Endowment built on trust and transparency.

Over 85 percent of grantee respondents were not hindered by the Endowment when making progress towards their goals. However, among CELT grantees that did report some hindrance, it was due to a lack of

- capacity-building opportunities facilitated by Endowment staff,
- collaborative opportunities with peer organizations, and
- clarity around the Endowments strategy for COVID-19 relief in the Carolinas.

Non-CELT grantees respondents reported a lack of clearly defined objectives for the COVID-19 emergency response grant as a hindrance to making progress towards their planned goals.

Taken together, it is clear that the Endowment's concerted efforts to build a relationship on trust and transparency and carefully considering grantees' organizational needs have helped grantees make progress towards their goals for the COVID-19 emergency response grant.

Additional non-monetary support for consideration in future emergency response efforts

Grantees were also asked about other non-monetary supports that would have made the biggest impact for their emergency relief projects.⁹ CELT grantees respondents most frequently reported wanting:

- Capacity building opportunities facilitated by The Duke Endowment (33% (n = 7))
- Fundraising support (29% (n = 6))
- Learning and growth opportunities facilitated by The Duke Endowment (24% (n = 5)).

Interestingly, non-CELT grantees reported wanting slightly different non-monetary supports as compared to CELT grantees. More specifically, 43 percent (n = 3) of non-CELT grantees reported learning and growth opportunities facilitated by the Endowment and dedicated networking and community building opportunities facilitated by the Endowment as the top non-monetary supports that would make the biggest impact on achieving their COVID-19 project goals. By incorporating these non-monetary supports the Endowment can reduce grantee reported hindrance to make progress toward their planned goals.

Recommendations for the Endowment's consideration regarding centering racial equity in its COVID-19 grantmaking practices.

- ❖ Communicate efforts to center racial equity more widely. By making the Endowment's intentions public, the Endowment may learn about more organizations that could benefit from the Endowment's support.
- ❖ Utilize dissemination partners who have a deeper reach and more trusting relationships in the target

⁹ Non-monetary supports adapted from the Center for Effective Philanthropy report, Strengthening Grantees: Foundation and Nonprofit Perspectives. http://cep.org/wp-content/uploads/2018/10/Strengthening_Grantees_FNL_forwebsite.pdf

- ❖ populations to help identify potential applicants beyond the Endowment's current network.
- ❖ Bring together and provide additional support to organizations wanting to engage in racial equity work more deeply.
- ❖ Prioritize building trust and transparency throughout the grantmaking process to help grantees make progress towards their planned goals.
- ❖ Consider increasing capacity building opportunities and partnerships among grantees by encouraging collaborations among similar grantee organizations to further support target population(s).
- ❖ Be aware of additional service needs/interest among grantees' target populations and work with grantees to determine capacity to absorb the additional target population requests.

Lessons Learned

As a philanthropic organization, it is important to reflect on how the work being done is impacting target populations. In this section, we have summarized lessons learned from the evaluation to help the Endowment reflect on its COVID-19 grantmaking practices and better center equity in future grantmaking.

The Endowment's efforts to center racial equity in its COVID-19 grantmaking practices had a positive impact on Endowment identified target populations. Although very few challenges were reported from Endowment staff, grantees, and not funded applicants, **the main improvement that emerged across all stakeholders is to increase transparency about funding objectives, who is ultimately funded, and why they are funded.**

Key Finding: Changes in the Endowment's grantmaking practice increased equity in grantmaking.

- Transparency and direct communication with the community are the main recommendations to center equity in the grantmaking process from both staff and external survey respondents.
- Targeting resources to the populations most impacted by the COVID-19 pandemic is the most meaningful way to define the success of emergency response grantmaking.



Recommendation for Consideration: To center racial equity, peer organizations, grantees, and not funded applicants alike recommend keeping equity at the forefront of all of the Endowment's future grantmaking initiatives. Additional strategies from grantee and staff respondents to help center equity include (1) using data to drive funding decisions and (2) increasing direct communication with community-based practitioners.

Lessons learned about defining success in emergency grantmaking

Endowment staff considered the Endowment's efforts to center racial equity in COVID-19 grantmaking a success if

1. resources are targeted to the population most impacted by the pandemic (73% (n = 16)),
2. the application process encourages organizations that are proximate to target populations to apply (50% (n = 11)), and
3. ultimately, organizations most proximate to target populations are funded (45% (n = 10)).

Externally, several Endowment staff respondents cited **establishing partnerships with organizations proximate to the target populations as one of the greatest strengths** of Endowment's efforts to center equity in its



grantmaking. By forming new partnerships with BIPOC -led and/or -serving communities, the Endowment can increase its reach and impact in the community.

Internally, several Endowment staff respondents also cited the **collaboration across departments** at the Endowment as a strength of this grantmaking effort. Working across departments allowed a variety of voices and perspectives to contribute to the effort making for a richer grantmaking initiative. Some program staff respondents did cite **a lack of transparency about who is being funded** after grants were made as a challenge for the COVID-19 grantmaking practice. This finding was further supported during the sensemaking session, as multiple sensemaking participants stated that staff who did not participate on the CELT review team had limited exposure to the COVID-19 grantmaking process.



Recommendation for Consideration: Provide information about who receives the grants at the all-staff meetings. These discussions can help staff be better program managers and allow them to course-correct before an issue arises if needed, instead of reacting to a preventable problem.

Lessons learned about The Duke Endowment's COVID-19 grantmaking response

Although very few challenges were reported by Endowment staff survey respondents, **an increase in reporting requirements for the staff themselves** (18% (n = 4) all staff) and **staff administrative burden** (44% (n = 4) CELT staff) were reported. To explain, staff respondents indicated that not all staff used the same application; some staff used the COVID-19 special grant application while others used the traditional Endowment grant application, leading to inconsistent records. We, too, noted this during the document review; information was gleaned from multiple grantee application types. Further, staff respondents noted that the Endowment's online grants management system, Blackbaud Grantmaking (BBG), was not used for the COVID-19 grant opportunity which increased the administrative burden for staff.



Recommendation for Consideration: In addition to reducing the administrative burden reported by staff, by **streamlining and standardizing the application process**, the Endowment can easily compile data to increase transparency and examine their work while continuing to learn after the COVID-19 crisis is over.

Among staff respondents, continuing to foster relationships and partnerships with the community and those proximate to the communities The Duke Endowment serves is the most frequently mentioned strategy recommended to be applied to future grantmaking.



Recommendation for Consideration: Several staff respondents also noted that the Endowment should continue to build on the lessons learned and use data to inform who is most in need while always keeping equity at the forefront of the work, which is also a common theme that emerged from each peer interview. It is also supported by grantee respondents who noted that using the data to inform funding priorities will help the Endowment ensure they are targeting those most in need.

Communication and transparency from Endowment staff emerged as key recommendations and positive benefits of the COVID-19 grantmaking process cited across all grantees. When asked about the quality of the overall emergency response, 86 percent (n = 21) of grantees strongly agree that they are satisfied with the Endowment's



emergency response communications, 93 percent (n = 26) are satisfied with the process, and 86 percent (n = 27) are satisfied with the interactions had with the Endowment for the COVID-19 emergency response grant. Grantees also frequently cited Endowment staff generosity, how responsive Endowment staff was when grantees needed help, and how the Endowment was upfront and clear about the grant and expectations. **The Endowment's efforts to center equity in its COVID-19 grantmaking provided evidence for the benefits to open communication and transparency throughout the grantmaking process.**



Recommendation for Consideration: The Endowment should consider **maintaining open communication and continue to provide guidance as grantees serve the community.** In addition, reflect on why barriers to equity exist within philanthropy and continue the long-term commitment to equity beyond emergency response funding.

Strategies to ensure equity was centered in the grantmaking process

As stated above one of the main recommendations from all stakeholders is to keep equity at the forefront of all grantmaking initiatives. One strategy to help center equity is increasing transparency across all stakeholders, not just grantees. To better center racial equity, 43 percent (n = 3) of non-CELT grantees respondents and 80 percent (n = 4) of not funded applicant respondents recommend being explicit about what the Endowment wants to accomplish and making those goals clear from the beginning. Being clear about its approach to equity will help the Endowment fund the right grantees aligned with The Endowment's mission.

Throughout the application process, it is important for funders to honestly consider what determines who is qualified to apply for a grant. To center equity, grantee respondents recommend not asking questions about how they compare to other organizations in terms of their operations. Although perceived as unintentional, this "...puts an organization that has been invited to be part of an experience that centers racial equity in the position of having to justify themselves, creating uncomfortable comparison for the grantees."



Recommendation for Consideration: To better center equity, the Endowment should also consider **getting to know community practitioners directly.** By building relationships with community practitioners, the Endowment can increase its understanding of practice-based strategies built on deep community experience and knowledge



Recommendation for Consideration: The Endowment should continue **educating itself** to gain an understanding of the racial inequities organizations led by people of color face and reward organizations that have board members and staff of color and recognize the legacy of white supremacy and the wealth gap it perpetuates in target populations.

Conclusions and Recommendations

In response to the emergent needs of target populations exacerbated by the COVID-19 pandemic, The Duke Endowment developed and implemented its Guiding Principles for Racial Equity. These principles demonstrate the Endowment's emerging commitment to REDI. As using these principles to inform grantmaking decisions was a novel approach, much can be learned from how well, for example, the Endowment adhered to these principles. While the recommendations specific to the primary interest areas of the evaluation are presented throughout the body of this report, we summarize them here:



- Communication and transparency (both with grantees, potential grantees, and staff) are critically important to ensure trust is maintained - including how the Endowment is centering racial equity.
- Continue to be responsive to the needs of priority populations.
- Prioritize funding specifically for those organizations committed to reducing racial and/or ethnic inequities.
- Consider providing general operating supports rather than project-specific supports.
- Listen to the voices of communities most impacted to better understand shifting priorities.
- Partner with organizations that have established trust and relationships with the target populations to increase the Endowment's reach.
- Streamline and standardize the application process to reduce staff burden.
- Continue and be open to additional learning about racial inequities organizations led by people of color face.

This novel approach to grantmaking could be viewed as an accelerated pilot phase. With the learnings and recommendations from this evaluation, the Endowment can begin moving toward a moment of reflection and refinement - where the processes that went well can be considered as part of the Endowment's normal grantmaking practices and the areas that may not have gone as well as planned can be viewed as opportunities for reflection and growth. As a step toward understanding how this initial implementation of the guiding principles went, we offer what went well and also identify opportunities for growth for each guiding principle (**Table 10**). For deeper reflection, in **Appendix A** we provide some questions to help guide further conversations.



Table 10: The Duke Endowment's Adherence to the Guiding Principles and Opportunities for Growth

Guiding Principle	Met?	What Worked Well	Opportunities for Growth
Target resources to populations most impacted by the effects of the pandemic	✓	<p>Conducting field scans to identify the populations most impacted by the COVID-19 pandemic in the Carolinas.</p> <p>Direct communication with target populations encouraging them to apply.</p> <p>Partnering with statewide networks and partners that have established relationships with Black/African American and/or Latino communities.</p> <p>Engaging with community connectors (i.e., a trusted member of the community who facilitates the connection of people in the community) who have established trusted relationships with the target populations.</p> <p>Having direct communication with the target population by sharing how the Endowment aims to make an impact through the COVID-19 emergency grant (e.g., emails, phone calls, and virtual meetings).</p>	<p>Strategies and outreach methods used by the Endowment were more likely to engage African American- and Latino-led and/or serving communities than Native American/Indigenous communities. To ensure the Endowment is equitably distributing resources to the Native American/Indigenous community, the Endowment should consider increasing its awareness of Native American/Indigenous communities in the Carolinas and adapt its outreach strategies to increase engagement with the community.</p> <p>Some suggested strategies to consider for increasing engagement include:</p> <ul style="list-style-type: none"> Recruit current Native American/Indigenous grantees as intermediaries to connect with more Native American/Indigenous communities in the Carolinas. Adapt outreach methods to fit the community. Website, emails, or social media inquiries may not be answered because of a lack of advanced technological infrastructure on reservations. The Endowment should consider working with trusted partners and/or grantees to identify the best outreach strategy (e.g., mail, in-person meetings, facilitating a community gathering, etc.) for the community they are targeting. <p>Both the Endowment and its peers reported completing field scans to identify the populations most in need during the COVID-19 pandemic. By investing in research and following the data, the Endowment was able to target resources to the populations most impacted by the pandemic.</p> <p>Additional strategies that can be used to ensure funding is going to those most in need include:</p> <ul style="list-style-type: none"> Interviewing organizations proximate to and/or located in the target populations. increasing direct communication with the target population to ensure alignment with the priorities of the community.
Optimize interventions for target populations	✓	<p>Establishing equity criteria to identify grantees with proposed interventions that will fit and be effectively delivered to target populations</p>	<p>Although all CELT grantees had interventions that were intentionally aligned with the target population they served, non-CELT grantees and not funded applicant respondents felt the Endowment could do</p>

		<p>because of the grantees' intimate knowledge of the target population.</p>	<p>a better job of making the objective to center racial equity clearer throughout the application and grantmaking process.</p> <p>The Endowment should consider adopting the Guiding Principles for Racial Equity for all future grantmaking to ensure all grantees are aware of the Endowment's goals and objectives for funding organizations proximate to target populations.</p> <p>Additional strategies to ensure interventions are optimized for target populations include:</p> <ul style="list-style-type: none"> • Provide opportunities for organizations led by and/or serving Black/African American, Latino, and/or Native American/Indigenous populations to give feedback to the Endowment and connect with each other about what interventions are working in the communities and what resources would be needed to make the biggest impact. • Prioritize funding to those grantee organizations committed to reducing racial and/or ethnic inequities through innovative and creative approaches that aim to produce measurable impacts.
<p>Fund organizations that are most proximate to target populations</p>	✓	<p>Establishing equity criteria to identify grantees that are well-positioned to deliver timely and culturally appropriate services because they are located in, led by, and/or have prior experience working with target populations and have established trusting relationships with those populations.</p> <p>The Endowment increased funding to organizations led by and/or serving Black/African American, Latino, and Native American/Indigenous communities</p>	<p>To increase its impact in the communities led by and/or serving Black/African American, Latino, and Native American/Indigenous populations, the Endowment should consider engaging with the key community members (i.e., community-based practitioners, organizers, etc.) directly to ensure the Endowment is meeting the needs of the communities' shifting priorities.</p> <p>Additional strategies to ensure funding is going to organizations most proximate to the target populations include:</p> <ul style="list-style-type: none"> • Utilizing grantee intermediaries to facilitate new partnerships with grantees serving the target populations traditionally underfunded through non-emergency grantmaking practices. • Supporting operating expenses rather than project-specific funding (or allowing project-specific funds to be converted to general operating funds after project milestones have been met and/or at a predetermined time period) because short-term funding pushes organizations to remain project-focused rather than building lasting community relationships and community leadership.

<p>Minimize the administrative (application and reporting) burden on potential community partners</p>	<p>✓</p>	<p>Clearly communicate the objectives of the grant to CELT grantees and be accessible, when needed, throughout the grantmaking process.</p> <p>Reducing granting report requirements to allow grantees to focus on delivering resources and services to the community.</p>	<p>It appears that staff shouldered the decreased obligations for grantees via an increase in program officer workload. Thus, the Endowment should consider ways to reduce the burden on both grantees and program staff.</p> <p>Recommended strategies include:</p> <ul style="list-style-type: none"> • Streamlining the application process by reflecting on what is needed to determine who receives grant funding (i.e., financial records, recommendations, etc.) <ul style="list-style-type: none"> ○ For grantees, this strategy can reduce the time it takes to apply for grant funding. ○ For program staff, this strategy can reduce the time it takes to review grant applications and potential fatigue associated with a length review process. • Using one consistent application for all grantees receiving the Endowment's emergency response funds <p>While some respondents felt that there was transparency in the grantmaking response, others felt that there was an opportunity for the Endowment to be even more transparent. To further increase transparency in the grantmaking process, the Endowment should make it clear from the beginning that it is centering racial equity in its grantmaking process (e.g., including racial equity on all public communications related to the grant opportunity) and consider making applications for funding widely available (i.e., posting on the Endowment's website or social channels) so applicants can prepare in advance of the funding announcements.</p>
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Appendices

Appendix A.	Suggested Reflection Questions for The Duke Endowment's Consideration
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Appendix A. Suggested Reflection Questions for The Duke Endowment's Consideration

In the table below, we offer some reflection questions for The Endowment's consideration as it is working toward centering racial equity in its grantmaking practices. We recognize that there may be more reflection questions and that this is also an iterative process.

Evidence	Reflection Questions
While overall grantees and staff reported largely that the Endowment had clear and open communication, some areas for communication around the specific objects of the grant and what organizations are funded could be improved.	<p>What were the mechanisms the Endowment used to foster open communication?</p> <p>How can the Endowment use the successes of transparent and open communication to foster transparency about the objectives of grants and what organizations are funded?</p>
While the specified target populations included Black/African American, Latino, and Native American, the data suggest that outreach efforts were fewer (or less frequent) for Native American communities than both Black/African American and Latino communities.	<p>Why might outreach efforts to Native American communities be lower than Black/African American and Latino?</p> <p>What actions can the Endowment take to identify Native American/Indigenous communities with which to partner?</p> <p>How can the Endowment further refine its outreach strategy?</p>
While the specified target populations included Black/African American, Latino, and Native American, staff reported that the Endowment's equity criteria were inclusive of Black/African American and Latino communities' voices more so than Native American communities' voices.	<p>What worked well to incorporate Black/African American communities' voices?</p> <p>What worked well to incorporate Latino communities' voices?</p> <p>Why might it be more difficult for the Endowment to incorporate Native American voices?</p> <p>In what ways can the Endowment hear from Native American communities to ensure equity criteria reflect their voices?</p> <p>Should the equity criteria be made more specific for each target population - e.g., reflexive to each target population's needs?</p> <p>Should the equity criteria be broadened to be more encompassing across each of the target populations?</p>
While grantees overall reported a relatively low	How can The Duke Endowment both maintain the decreased burden on grantees while decreasing

<p>burden, it appears that staff shouldered this decrease via an increase in workload.</p>	<p>the burden placed on staff?</p> <ul style="list-style-type: none"> • Are there mechanisms to further streamline the application process for staff? • Are there opportunities to shift job duties so that the increased burden placed on staff is met with a decrease in other job duties?
<p>This evaluation examined a novel grantmaking response.</p>	<p>In thinking about where The Duke Endowment would like to be, what other learnings from this shift in grantmaking can be taken forward?</p> <p>How can The Duke Endowment incorporate the equity criteria to all its grantmaking?</p> <p>What are the necessary first steps?</p> <p>What other stakeholders should be brought to the table? How should they be engaged? In what capacity? What might be the power dynamics across these groups?</p> <p>Are there other priority populations that should be considered? How can their voices be uplifted?</p>

Appendix B. Interview Protocol



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The Duke Endowment

Peer Interview Protocol

Instructions:

- Please take notes during the interview.
- Start with some small talk before beginning the introductory script in order to put the interviewee at ease.
- Give interviewees time to pause and think.
- Actively listen but avoid using verbal or body language (e.g., nodding) that might sway interviewees' responses.
- Take 10-15 minutes following the interview to write down your initial thoughts and reflections on the main points of the interview, including any follow-up questions.
- Note: Bolded items are priorities. Please make sure to keep track of time and prioritize the bolded questions.

Timing and Recording: The interview should begin promptly and take place for no more than 30 minutes. Please record the interview.

Introductory Script

Thank you so much for your willingness to speak with me today. My name is _____ and I am a _____ with Creative Research Solutions. CRS is conducting an evaluation on behalf of The Duke Endowment (TDE), a private foundation supporting North and South Carolina, to assess the implications of changes to center racial equity in its grantmaking practice in response to the COVID-19 pandemic. [Organization name] was identified as an organization that has implemented rapid response grantmaking to meet an urgent need in the community. We are conducting interviews with four organizations, including yours, that responded to the COVID-19 pandemic by increasing the urgency of its philanthropic giving.

The purpose of today's interview is to capture information about your foundation's best practices to center racial equity in a disaster response (i.e., a pandemic). We are most interested in hearing about what did and did not work for your foundation to center racial equity during your grantmaking process and what recommendations you have for other philanthropic organizations looking to advance racial equity within their disaster response grantmaking.

This conversation is about you sharing your knowledge, experience, opinions, and observations. There are no right or wrong answers to any of these questions. We encourage you to be honest and open with your feedback. Again, thank you so much for your participation.

We expect that this interview will take up to 30 minutes. The interview is voluntary; you may skip any questions that you do not wish to answer or stop at any point. No identifying information will be included in our



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reporting. All information captured today will be synthesized and reported in aggregate with the responses from 3 other peer organizations.

We value what you say and we want to get it right. For this reason, I will take detailed notes during our interview. In addition, to make sure I fully and accurately capture our conversation I would also like to digitally record it for data collection purposes only. Please note that this interview is confidential. The recordings will not be shared with anyone outside of the Creative Research Solutions team, and will only be used to ensure the accuracy of the transcription. The recording will be deleted once the interview has been transcribed.

Do I have your permission to record this interview?

[If yes]—Thank you, if there is any point during the interview where you would not like me to record, I can stop or pause the recording.

[If no]—That's no problem. I will take detailed notes.

Do you have any questions before we get started?

Interviewer Name: Interviewee

Name(s): Peer Organization:

Date:

I'd like to start our conversation first with understanding a little about [organization name's] COVID-19 grantmaking response.

1. Background: Could you please share with me briefly about [organization name's] COVID-19/Rapid grantmaking response?

Probe: What was your role and main objective for this role during the grantmaking process?

Probe: In what ways was this grantmaking response different from typical grantmaking at [organization name]?

Probe: Was your grantmaking focused on local, statewide, regional, national, or international initiatives?

2. **How does [organization name] define success in its disaster response grantmaking?**

3. **How does [organization name] define equity?**

Thank you for sharing about [organization name's] COVID-19 grantmaking response. The next several questions I have are specifically focused on how [organization name] centered equity in its response, as well as benefits, challenges, and lessons learned.

4. **Centering Equity: How did [organization name] decide to center equity in its grantmaking efforts?**

a. Probe: What does centering equity in [organization name] COVID-19/Rapid Response grantmaking response look like?

b. Probe: What application and reporting requirements did you use to center equity in your process?

5. **Outreach:** What outreach methods did [organization name] use to reach communities that were most impacted by the COVID-19 Pandemic?
6. How did [organization name] identify grantees/partners that were well-positioned to reach communities that were most impacted by the COVID-19 pandemic? How did you know these grantees/partners were well-positioned?
 - a. **Probe:** In what ways were these outreach strategies successful?
 - b. **Probe:** What would you change about how [organization name] engaged in grantee outreach methods?
 - i. How do you think this enhanced or detracted from centering equity?
7. **Benefits:** What were some of the benefits of [organization name] centering equity during the COVID-19/Rapid Response grantmaking process?
 - a. **Probe:** What has been the most effective strategy that [organization name] has used to center equity during the grantmaking process?
8. **Challenges:** What were some of the challenges [organization name] experienced while centering equity during the COVID-19/Rapid Response grantmaking process?
 - a. **Probe:** What would you recommend [organization name] doing differently to improve the process? (i.e., Is there anything you would have changed?)
9. To what extent do you believe [organization name] work was successful when it comes to centering equity in the COVID-19/Rapid Response grantmaking process?
 - a. **Probe:** What recommendations would you make to improve equity in future grantmaking?
10. What grantmaking processes used for the COVID-19 grantmaking response is [organization name] considering incorporating into its grantmaking moving forward? Why?
11. We are almost done with our formal interview questions, however, before we wrap up I wanted to see if there was anything else you wanted to share about [organization name] grantmaking response that I haven't asked.

Thank you so much for your time today. We really appreciate your insights!

Appendix C. Staff Survey

The Duke Endowment Efforts to Center Racial Equity in COVID-19 Grantmaking

The Duke Endowment Staff Survey

Dates Open: September 9-16, 2021

As you may be aware, The Duke Endowment developed criteria to enhance its coronavirus response by centering racial equity and maximizing support to communities most affected by the pandemic. The Endowment also prioritizes support to organizations that are most proximate to the most impacted groups and that have a demonstrated history of serving community needs.

Note: For the context of this survey, 'racial equity' is defined as a state in which all people have what they need to thrive regardless of racial or ethnic backgrounds.

Purpose

This survey is being conducted by Creative Research Solutions (CRS) on behalf of the Duke Endowment. The purpose of this survey is to capture current staff impressions about (1) how the COVID-19 grantmaking criteria impacted the reach of funds to the target population, (2) the degree of adherence to the guiding principles for equity, and (3) any suggestions for changes to the Endowment's grantmaking practice from lessons learned during the grantmaking response to COVID-19.

How the Survey Data Will Be Used

Your individual responses will not be reported. Instead, your responses will be combined with other staff responses and reported anonymously, in aggregate. The findings will be translated to lessons learned that the Endowment can use to improve grantmaking practices.

Confidentiality

Please answer as openly and honestly as possible. You may skip any question you wish. We are interested in hearing your thoughts and input about the Endowment's COVID-19 emergency response grant strategy. Only select CRS staff will have access to individual responses.

This survey is designed to be completed within 30 to 35 minutes.

If you have any questions, please feel free to email Amanda Tyler, MPH at amanda@creativeresearchsolutions.com

Survey Questions

Grant Application Process

The questions in this section ask about your experience with The Duke Endowment's COVID-19 emergency response grantmaking application process. To answer these questions, please consider the COVID-19 emergency response application process.

1. As an Endowment staff member, what was your main role in the COVID-19 emergency response grantmaking?
 - a. Management Team Member
 - b. Program Officer, Analyst, or Fellow
 - c. Senior Administrative Specialist
 - d. Other (please specify): _____

2. Thinking about COVID-19 emergency response grantees, for each of the statements below, please indicate to what extent you agree or disagree for each community listed (i.e., African American, Latinx, Native American/Indigenous), where 1 = *Strongly Disagree*, 2 = *Disagree*, 3 = *Neither Agree Nor Disagree*, 4 = *Agree*, 5 = *Strongly Agree*, 9 = *Unsure*, and 0 = *Not applicable*. Please consider each target population separately.

	African American -led and/or -serving							Latinx -led and/or -serving							Native American/Indigenous-led and/or -serving						
	0	1	2	3	4	5	9	0	1	2	3	4	5	9	0	1	2	3	4	5	9
TDE encouraged priority communities to apply to the COVID-19 emergency response grant.																					
TDE targeted resources to priority communities most impacted by the effects of the COVID-19 pandemic.																					
TDE recommended that funding go to organizations in priority communities.																					

3. Thinking about the priority communities collectively, please indicate to what extent you agree or disagree with the following statements.	0 Not Applicable	1 Strongly Disagree	2 Disagree	3 Neither Agree or Disagree	4 Agree	5 Strongly Agree	9 Unsure
TDE's racial equity criteria enhanced the speed of which COVID-19 funds were distributed to organizations in							



priority communities.							
TDE provided a clear overview of the purpose of the COVID-19 emergency response grant to applicants from priority communities.							
TDE provided a clear overview of the expectations and requirements for the COVID-19 emergency response grant to applicants from priority communities.							
TDE was available to assist applicants from priority communities throughout the application process.							

4. Please indicate which strategies/outreach methods were used to engage each target population. (Select all that apply.)	African American -led and/or -serving	Latinx -led and/or -serving	NativeAmerican/ Indigenous-led and/or -serving
No strategies or outreach methods were used			
TDE conducted surveys within priority communities to identify what they think is the biggest problem facing their community.			
TDE invited priority communities to meetings to discuss their needs.			
TDE had direct communication with the priority communities sharing how TDE aims to make an impact through the COVID-19 emergency grant.			
TDE had direct communication with grantees who are proximate to priority communities encouraging them to apply.			
TDE partnered with statewide networks and partners who have established relationships with priority communities.			
TDE engaged with community connectors and influencers who have access to priority communities.			
TDE distributed newsletters targeted to grantees who are proximate to the priority communities.			
TDE utilized social media marketing to target grantees who are proximate to priority communities.			
I am unsure what strategies or outreach methods were used			

5. Please use this space below to indicate **other** strategies or outreach methods that were used to engage priority communities. (Open-ended

response)

6. On a scale of 1 to 5, with 1 being not at all effective and 5 being extremely effective, how effective do you think the strategies used to engage **African American -led and/or -serving organizations** during the grant application process were?
 - a. (1) Not at all effective
 - b. (2) Slightly effective
 - c. (3) Moderately effective
 - d. (4) Very effective
 - e. (5) Extremely effective
 - f. Unsure
 - g. Not applicable
7. On a scale of 1 to 5, with 1 being not at all effective and 5 being extremely effective, how effective do you think the strategies used to engage **Latinx -led and/or -serving organizations** during the grant application process were?
 - a. (1) Not at all effective
 - b. (2) Slightly effective
 - c. (3) Moderately effective
 - d. (4) Very effective
 - e. (5) Extremely effective
 - f. Unsure
 - g. Not applicable
8. On a scale of 1 to 5, with 1 being not at all effective and 5 being extremely effective, how effective do you think the strategies used to engage **Native American/Indigenous-led and/or -serving organizations** during the grant application process were?
 - a. (1) Not at all effective
 - b. (2) Slightly effective
 - c. (3) Moderately effective
 - d. (4) Very effective
 - e. (5) Extremely effective
 - f. Unsure
 - g. Not applicable
9. How, if at all, did the equity criteria for the COVID-19 grantmaking application process response **deter** access to African American, Latinx, and/or Native American/Indigenous-led and/or-serving organizations? (Open-ended text response)



Centering Racial Equity in the Grantmaking Process

The questions in this section ask about your experience with centering racial equity in the The Duke Endowment's emergency response grantmaking process. To answer these questions, please consider the COVID-19 emergency response grantmaking process.

10. How did the equity criteria **enhance** the distribution of COVID-19 funds to **African American -led and/or -serving** organizations? Please select all that apply.
- a. Better aligned intent and action throughout the grantmaking process
 - b. More intimate knowledge of the communities served by the grantee
 - c. Enhanced program fit to ensure services are effectively delivered to the community
 - d. Established trusting relationships between myself and the grantees to deliver culturally appropriate services
 - e. Unsure
 - f. Other (please specify): _____
11. How did the equity criteria **enhance** the distribution of COVID-19 funds to **Latinx -led and/or -serving** organizations? Please select all that apply.
- a. Better aligned intent and action throughout the grantmaking process
 - b. More intimate knowledge of the communities served
 - c. Enhanced program fit to ensure services are effectively delivered to the community
 - d. Established trusting relationships between myself and the grantees to deliver culturally appropriate services
 - e. Unsure
 - f. Other (please specify): _____
12. How did the equity criteria **enhance** the distribution of COVID-19 funds to **Native American/Indigenous-led and/or -serving** organizations? Please select all that apply.
- a. Better aligned intent and action throughout the grantmaking process
 - b. More intimate knowledge of the communities served
 - c. Enhanced program fit to ensure services are effectively delivered to the community
 - d. Established trusting relationships between myself and the grantees to deliver culturally appropriate services
 - e. Unsure
 - f. Other (please specify): _____
13. How did the equity criteria **challenge** the distribution of COVID-19 funds to African American, Latinx, and/or Native American/Indigenous-led or -serving organizations? (Open-ended text response)
14. Please indicate how often you communicated with grantees about how to center racial equity in the work funded by the COVID-19 emergency



response grant.

- a. Never
- b. Rarely
- c. Sometimes
- d. Frequently
- e. Always
- f. Not Applicable

15. Please provide any recommendations you have to better center racial equity in The Duke Endowment’s COVID-19 emergency response grant overall application **process** in the future. (Open-ended text response)

16. Were you a member of the CELT review team during the grantmaking process?

- a. Yes
- b. No *skip logic to question 23*
- c. Unsure

Grant Implementation

The questions in this section ask about your experience with the Duke Endowment COVID-19 emergency response grant implementation, which includes Endowment staff’s strategies, principles, and actions directed toward grantees after funds were distributed to selected organizations. To answer these questions, please consider the work of your program area during the COVID-19 emergency response implementation phase.

17. For each of the statements below, please indicate to what extent you agree or disagree for each community listed (i.e., African American, Latinx, Native American/Indigenous), where 1 = *Strongly Disagree*, 2 = *Disagree*, 3 = *Neither Agree Nor Disagree*, 4 = *Agree*, 5 = *Strongly Agree*, 9= *Unsure*, and 0 = *Not applicable*. Please consider each community separately.

	African American -led and/or -serving							Latinx -led and/or -serving							Native American -led and/or -serving						
	0	1	2	3	4	5	9	0	1	2	3	4	5	9	0	1	2	3	4	5	9
TDE’s COVID-19 equity criteria provided resources to priority communities that are most impacted by the effects of the																					

pandemic.																				
TDE's COVID-19 equity criteria encouraged strategies that were inclusive of the community voices .																				
TDE's COVID-19 equity criteria response grant encouraged strategies that were inclusive of the community's values																				
TDE provided support to grantee staff of priority communities when needed																				
TDE was available to assist grantees from priority communities throughout the implementation of the programs/projects funded by TDE's COVID-19 emergency response grant																				

18. Please indicate to how much you agree or disagree with the following statement: TDE's COVID-19 emergency response racial equity criteria minimized the administrative reporting burden for me as a staff member.

- a. Strongly Disagree
- b. Disagree
- c. Neither Agree Nor Disagree
- d. Agree
- e. Strongly Agree
- f. Not applicable

19. What strategies did your program area use to **incorporate community voices and/or values** throughout the grantee implementation phase? Select all that apply.

- a. The grantee reporting requirements were changed to reduce grantee burden
- b. TDE was readily available to listen to grantees
- c. TDE clearly communicated the objectives of the grant
- d. TDE clearly communicated its strategic priorities to increase transparency between stakeholders
- e. TDE solicited feedback from grantees to ensure equity throughout the grantmaking process

- f. TDE worked with grantees to build capacity throughout the implementation phase
- g. TDE encouraged grantees to engage in civic and community opportunities affecting the grantee organization
- h. TDE connected grantees with others in the sector to share best practices
- i. Other (please specify): _____

20. On a scale of 1 to 5, with 1 being not at all effective and 5 being extremely effective, how effective do you think the strategies your program area used to incorporate community voice and/or values in the grantee implementation phase were?

- a. (1) Not at all effective
- b. (2) Slightly effective
- c. (3) Moderately effective
- d. (4) Very effective
- e. (5) Extremely effective
- f. (9) Unsure

21. What strategies did your program area use **to help grantees** implement programs funded by the Duke Endowment's COVID-19 emergency response grant? Select all that apply.

- a. TDE had minimal grantee reporting requirements
- b. TDE was readily available to assist grantees as needed
- c. TDE clearly communicated the objectives of the grant
- d. TDE clearly communicated its strategic priorities
- e. TDE solicited feedback from grantees and other stakeholders to ensure equity throughout the implementation phase
- f. TDE worked with grantees to build capacity throughout the implementation phase
- g. TDE encouraged grantees to engage in civic and community opportunities affecting their organization
- h. TDE connected grantees with others in their sector to share best practices
- i. TDE convened regularly scheduled meetings to share information between stakeholder groups
- j. TDE conducted a field scan to ensure alignment with best practices in the field
- k. Unsure
- l. Other (please specify): _____

22. What **additional non-monetary support** did your program area provide to grantees during the implementation phase to help them make progress towards their planned goals? Select all that apply.

- a. TDE fostered a professional relationship built on trust and transparency



- b. TDE carefully considered grantee organizational needs throughout the grantmaking process
- c. TDE facilitated dedicated networking and community building opportunities for grantees
- d. TDE facilitated learning and growth opportunities to help build capacity for grantees
- e. TDE recognized and encouraged grantees throughout the grantmaking process
- f. TDE provided direct feedback to grantees throughout the grantmaking process
- g. TDE supported or facilitated meetings for grantees throughout the grantmaking process
- h. TDE shared information about innovative products and/or methods related to the grantees' field
- i. TDE provided staffing/talent management support to grantees
- j. TDE provided communications support to grantees
- k. TDE provided fundraising support to grantees
- l. TDE provided governance/board support to grantees
- m. TDE provided financial management support to grantees
- n. TDE provided strategic planning support to grantees
- o. TDE provided legal support to grantees
- p. TDE provided technology support to grantees
- q. TDE provided performance measurement support to grantees
- r. TDE provided Racial Equity, Diversity, and Inclusion (REDI) support to grantees
- s. None of the above
- t. Other (please specify): _____

Perceptions About Successes and Challenges

The questions in this section will ask you about successes and challenges of the Duke Endowment COVID-19 emergency response grant. Please consider the COVID-19 emergency grantmaking process overall.

23. For each of the statements below, please indicate to what extent you agree or disagree for each community listed (i.e., African American, Latinx, Native American/Indigenous), where 1 = *Strongly Disagree*, 2 = *Disagree*, 3 = *Neither Agree Nor Disagree*, 4 = *Agree*, 5 = *Strongly Agree*, 9 = *Unsure*, and 0 = *Not applicable*. Please consider each community separately.

	African American -led and/or -serving							Latinx -led and/or -serving							Native American -led and/or -serving						
	0	1	2	3	4	5	9	0	1	2	3	4	5	9	0	1	2	3	4	5	9



TDE ensured COVID-19 emergency response grant funds were distributed to applicants who planned to meaningfully partner with priority communities																				
TDE ensured COVID-19 emergency response grant funds were distributed to organizations with an intimate knowledge of the communities they serve																				
TDE ensured COVID-19 emergency response grant fund were distributed to organizations with a history of delivering culturally appropriate services to priority communities																				

24. Overall, what would you say are the The Duke Endowment's COVID-19 emergency response grantmaking **greatest strengths and/or successes**? (Open-ended text response)
25. Please describe any **unique value** of the COVID-19 emergency response grant compared to the other grants at the Endowment. (Open-ended text response)
26. In your opinion, what differences in grantmaking did you experience as a result of the Endowment's racial equity criteria? (Open-ended text response)
27. In your opinion, what are the top three indicators that define the success of the Duke Endowment's COVID-19 emergency response grant? (please select your top 3 definitions of success)

- a. Minimized administrative burden (application and reporting) for grantees
- b. An accessible grantmaking application process
- c. An application process that encourages priority communities to apply
- d. Resources are targeted to populations most impacted by the pandemic
- e. Organizations most proximate to target populations are funded
- f. Improved health and wellbeing for the populations served
- g. Increased capacity for grantees
- h. Incorporation of the community's voice and values into the Duke Endowment's COVID-19 emergency response grantmaking
- i. Collaboration across stakeholder groups (Endowment staff, external and internal stakeholders, and grantees)
- j. Other (please specify): _____

28. How might the definitions of success you selected in the question above be applied in future emergency grantmaking responses? (Open-ended text response)

29. In thinking about your role as a Duke Endowment staff member, what **challenges**, if any, did you experience working on the COVID-19 emergency response grant? Select all that apply.

- a. I did not experience any challenges
- b. A decrease in time allotted to disburse funds to grantees
- c. A lack of clarity around the grantmaking objectives
- d. A lack of support from Endowment leadership
- e. An increase in reporting requirements
- f. A lack of time to build relationships with grantees
- g. A lack of consistent communication among stakeholders
- h. Other (please specify): _____

30. Please provide any additional recommendations you have for **improving** The Duke Endowment's COVID-19 emergency response grant. (Open-ended text response)

Demographics (required)

31. What grantmaking area do you work with at the Endowment?



- a. Rural Church
- b. Health Care
- c. Child and Family Well-being
- d. Higher Education
- e. Special Initiatives
- f. None of the above

32. How long have you worked at the Duke Endowment?

- a. Less than 6 months
- b. 6 months - 1 year
- c. 2-5 years
- d. 6-10 years
- e. More than 10 years

33. How do you describe yourself? (Select one or more responses.)

- a. American Indian/Indigenous
- b. Alaskan Native
- c. Asian or Asian American
- d. Black or African-American
- e. Hispanic or Latino/Latina
- f. Native Hawaiian or other Pacific Islander
- g. White or Caucasian
- h. Not listed (please describe): _____
- i. Prefer not to respond

34. What is your gender? (Select one or more responses.)

- a. Woman
- b. Man
- c. Transgender
- d. Two-spirit
- e. Genderqueer/Gender non-conforming
- f. Gender not listed (Please describe): _____



- g. Prefer not to respond

Wrap-Up

We're almost done with the questions. Providing your name and email address is not required. If you choose to provide your name and email, CRS will only use this information to contact you to obtain further clarification on your responses.

35. Name (First Last)

- a. Textbox

36. Email Address

- a. Textbox with email address validation

Thank you for completing our survey! We look forward to reviewing your responses. If you have any additional thoughts, please do not hesitate to share them with us: amanda@creativeresearchsolutions.com

Appendix D. Grantee Survey

The Duke Endowment Efforts to Center Racial Equity in COVID-19 Grantmaking

COVID-19 Grantee Survey

Dates Open: September 9-23, 2021

As you may be aware, The Duke Endowment developed criteria to enhance its coronavirus response by centering racial equity and maximizing support to communities most affected by the pandemic. The Endowment prioritizes support to organizations that are most proximate to communities that have been hardest hit by the pandemic and that have a demonstrated history of serving community needs.

Note: For the context of this survey, 'racial equity' is defined as a state in which all people have what they need to thrive regardless of racial or ethnic backgrounds.

Purpose

This survey is being conducted by Creative Research Solutions (CRS) on behalf of The Duke Endowment. The purpose of this survey is to observe the impact of the new racial equity criteria on grantees that received grants after March 2020 compared with organizations that received funding before the racial equity criteria were in place. **This is not an assessment of your organization or your COVID-19 grant.** We aim to capture grantee perceptions of The Duke Endowment's COVID-19 emergency response grantmaking process and how the Endowment could better support progress toward your project goals.

How the Survey Data Will Be Used

Your individual responses will not be reported but will be combined with other grantees' responses. The findings will provide critical insights into lessons learned from the Endowment's efforts to center racial equity in its COVID-19 grantmaking. The Duke Endowment will use this information to improve future grantmaking practices.

Confidentiality

Please answer as openly and honestly as possible. You may skip any question you wish. We are really interested in hearing your thoughts and input about the Endowment's grantmaking strategy. All responses will be kept private; no names will be used in reports and only aggregated results will be shared. In addition, only select CRS staff will have access to individual responses. Neither your decision to participate or not participate in this survey, nor your responses, will affect your receipt of any Duke Endowment support.

This survey is designed to be completed within 35-45 minutes.

You will be compensated for your participation in this survey. To be compensated for your time to complete this survey, please include your name, organization, and email address in the space included at the end of the survey. Your name and other identifying information will only be used to send compensation for your time, unless you check the box indicating that you would be open to the Creative Research Solutions Team following up with you about any of your responses. As mentioned, **individual responses will not be reported to The Duke Endowment**



Tying passion and practice to impact.™

and only the Creative Research Solutions Team will have access to any potentially identifying information.

If you have any questions, please feel free to email Amanda Tyler, MPH at amanda@creativeresearchsolutions.com

Survey Questions

Awareness of the Grant

The questions in this section ask about you/your organization's awareness of The Duke Endowment's COVID-19 emergency response grantmaking. To answer these questions, please consider your experience with the grant application.

1. Has your organization received funding from The Duke Endowment prior to the Endowment's COVID-19 emergency response grant?
 - a. Yes, my organization has previously received funding from The Duke Endowment
 - b. No, my organization has never received funding from The Duke Endowment, including before the Endowment's COVID-19 emergency response grant
 - c. I'm unsure if my organization has ever received funding from The Duke Endowment prior to the COVID-19 emergency response grant
2. Did someone from the Endowment encourage you/your organization to apply for a COVID-19 emergency response grant?
 - a. Yes, I was encouraged to apply by Endowment staff *skip logic to question 4*
 - b. No, I was not encouraged to apply by Endowment staff
 - c. I am unsure if my organization was encouraged to apply by Endowment staff
3. How did you/your organization hear about the Endowment's COVID-19 emergency response grantmaking?
 - a. Someone from the Endowment made me/my organization aware of the application
 - b. Someone from my professional network encouraged me to apply
 - c. Grants database
 - d. The Duke Endowment website
 - e. Press release
 - f. Internet search (e.g., Google)
 - g. Informal mailing list featuring grant opportunities
 - h. Social media
 - i. Other funders
 - j. Other (please specify): _____
4. How would you describe the communities your organization serves for the project used to apply for funding? (Select all that apply)
 - a. American Indian/Indigenous community
 - b. Alaskan Native community



- c. Asian or Asian American community
- d. Black or African-American community
- e. Hispanic or Latino/Latina community
- f. Native Hawaiian or other Pacific Islander community
- g. White or Caucasian community
- h. Community not listed (Please describe): _____

Applying for the Grant

The questions in this section ask about you/your organization's experience applying for a Duke Endowment grant. To answer these questions, please consider your experience with the application process for COVID-19 emergency response funds

5. Which program area did you apply to for the COVID-19 emergency response grant?
 - a. Child and Family Well-Being
 - b. Health Care
 - c. Higher Education
 - d. Rural Church
 - e. Other (please specify)
 - f. Unsure

6. In total, approximately how long did you spend on the proposal including the writing and review process?
 - a. Less than 1 hour
 - b. 1 to 9 hours
 - c. 10 to 19 hours
 - d. 20 to 29 hours
 - e. 30 to 39 hours
 - f. 40 to 49 hours
 - g. 50 to 99 hours
 - h. More than 100 hours

7. Please indicate to what extent you agree or disagree with the following statements:	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not applicable
The application was easy to understand for me/my organization						
The application requirements were clear						
The application took less time to complete than other foundation application experiences						
The Duke Endowment clearly communicated the goal of this grant was to center racial equity						
The Duke Endowment was consistent in the information they provided throughout the						

application process						
The Duke Endowment exchanged ideas with my organization about how to center racial equity in the work funded by this grant						
The Duke Endowment understood my organization's local community needs						
The Duke Endowment understood my organization's proposed approach						
I/my organization made a change from regular practices to deliberately center racial equity to apply for The Endowments COVID-19 emergency response grant						
I/my organization felt supported by The Duke Endowment staff during the application stage						

8. What was **most helpful** to you/your organization when applying for the grant?

- a. The application requirements were clear
- b. The grantee selection criteria were clear
- c. The application could be completed quickly
- d. Endowment staff were able to answer questions in a timely manner
- e. Other (please specify): _____

9. What **challenges**, if any, did you experience during the application process? (Select all that apply)

- a. The application process was too time-consuming
- b. The application requirements were not clear
- c. The application format was difficult to understand
- d. The application required too many documents
- e. The grantee selection criteria were not clear
- f. The timeframe to complete the application process was too short
- g. The communication process with the Endowment was demanding (i.e. too many follow up questions and/or request for additional materials)
- h. Other (please specify): _____

10. What additional support and resources from The Duke Endowment staff do you recommend to effectively support future applicants who apply for emergency response funds? (Select all that apply)

- a. Technical and/or computer support for navigating the application
- b. Technical and/or computer support for submitting the application
- c. Support writing the grant application
- d. A longer timeframe for completing the application
- e. Other (please specify): _____

11. Thinking about the quality of the Endowment's emergency response, please indicate how much you agree or disagree with the following statements:

	Strongly Disagree	Disagree	Neither Agree or	Agree	Strongly Agree	Not Applicabl
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			Disagree			e
I/my organization is satisfied with the quality of The Endowment's emergency response processes.						
I/my organization is satisfied with the quality of The Endowment's emergency response communications						
I/my organization is satisfied with the quality of interactions we had with the Endowment for emergency response funds						

Grantmaking Process

The questions in this section ask about your experience as a grantee. To answer these questions, please consider your experience with the COVID-19 emergency response grantmaking process.

12. Please indicate to what extent you agree or disagree with the following statements:	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Not applicable
The COVID-19 emergency response grant is helping my organization respond to an important need at the right time						
My organization understands the expectations as a grantee						
My organization's voice is included throughout the grantmaking process						
My organization's values are being considered throughout the grantmaking process						
My organization is aware of the decision-makers for matters concerning my grant application						
The grant reporting process is straightforward for my organization						
When needed, Endowment staff members provide a helpful response quickly						
It is clear whom I should contact with questions about my grant						
Reasons for grant decisions are clearly communicated						
The Duke Endowment is working to foster open communication throughout the emergency response grantmaking process.						

Grantee Goals/Objectives

The questions in this section ask about your progress toward the intended goals and objectives for The Duke Endowment's COVID-19 emergency response grant and how the Endowment can best support your organization during implementation. To answer these questions, please consider your experience implementing your COVID-19 emergency response grant.

13. What has The Duke Endowment's COVID-19 emergency response grant allowed you to do that you otherwise would not have been able to do without this funding? (Open-ended text response)
14. Please indicate which of the following best describes your organization's current progress towards achieving the intended goal of the grant.
 - a. My organization has achieved its intended project goals
 - b. My organization is proceeding as planned towards the intended project goals
 - c. My organization has had to pivot from our original plan
 - d. My organization is falling behind schedule
 - e. Other, please specify: _____
15. What factors related to The Duke Endowment's emergency response grant implementation process are **most helpful** for your organization's progress toward its planned goals? Please select up to 3 factors.
 - a. Endowment staff are readily available
 - b. The grantee reporting requirements are minimal
 - c. The Endowment clearly communicates the objectives of the grant
 - d. The Endowment clearly communicates its strategic priorities
 - e. The Endowment solicits feedback from me/my organization to ensure racial equity throughout the grant implementation process
 - f. The Endowment works with me/my organization to build capacity throughout the grant implementation process
 - g. The Endowment encourages me/my organization to engage in civic and community opportunities affecting my organization
 - h. The Endowment connects me/my organization with others in the sector to share best practices
 - i. Other (please specify): _____
16. What factors related to The Duke Endowment's emergency response grant implementation process **hindered** your organization's progress toward your planned goals?
 - a. The lack of communication between myself/my organization and the Endowment
 - b. The process of getting grant funds to serve the community
 - c. The lack of clearly defined objectives for the COVID-19 emergency response grant
 - d. A lack of capacity building opportunities facilitated by The Duke Endowment
 - e. A lack of collaborative opportunities with peer organizations

- f. None of the above
- g. Other (please specify): _____

17. Please use the space below to provide any additional information about your organization's current progress towards achieving the intended goals of the grant. (open-ended)

18. Beyond the funding, what non-monetary support **is currently making** the biggest impact on achieving your COVID-19 project goals? (Please select up to 3 non-monetary supports)

- a. A relationship with The Duke Endowment built on trust and transparency
- b. A greater understanding and careful consideration of my organizational needs
- c. Dedicated networking and community building opportunities facilitated by The Duke Endowment
- d. Learning and growth opportunities facilitated by The Duke Endowment
- e. Recognition and praise from The Duke Endowment
- f. Direct feedback from The Duke Endowment
- g. Capacity building opportunities facilitated by The Duke Endowment
- h. The Duke Endowment providing access to knowledge, products and/or information related to my organization's field
- i. Staffing/Talent management support
- j. Communications support
- k. Fundraising support
- l. Leadership/Governance/Board support
- m. Financial management support
- n. Strategic planning support
- o. Legal support
- p. Technology support
- q. Performance/Impact measurement support
- r. Diversity, Racial Equity, and Inclusion Support
- s. None of the above
- t. Other (please specify): _____

19. Beyond the funding, what non-monetary support **would make** the biggest impact on achieving your COVID-19 project goals? (Please select your top 3 non-monetary supports)

- a. A relationship with The Duke Endowment built on trust and transparency
- b. A greater understanding and careful consideration of my organizational needs
- c. Dedicated networking and community building opportunities facilitated by The Duke Endowment
- d. Learning and growth opportunities facilitated by The Duke Endowment
- e. Recognition and praise from The Duke Endowment
- f. Direct feedback from The Duke Endowment
- g. Capacity building opportunities facilitated by The Duke Endowment
- h. The Duke Endowment providing access to knowledge, products, and/or information related to

- my organization's field
- i. Staffing/Talent management support
 - j. Communications support
 - k. Fundraising support
 - l. Leadership/Governance/Board support
 - m. Financial management support
 - n. Strategic planning support
 - o. Legal support
 - p. Technology support
 - q. Performance/Impact measurement support
 - r. Diversity, Racial Equity, and Inclusion Support
 - s. Other (please specify): _____

Perceptions About Improvement

The questions in this section ask you to think about The Duke Endowment's shift in grantmaking to center racial equity and rapidly respond to community needs that emerged as a result of the COVID-19 pandemic. In this section, think about what the Endowment can maintain for all future grantmaking, both emergency response and otherwise.

- 20. *If there were no limitations, what additional support would you like from the Endowment to more effectively support you as a grantee? (Open-ended text response)*
- 21. *In your opinion, how can the Endowment better center racial equity in future emergency response grantmaking? (Open-ended text response)*
- 22. *Please provide any additional recommendations you have for improving The Duke Endowment's COVID-19 emergency response grantmaking. (Open-ended text response)*

Demographics (required)

- 23. What is your role at your organization?
 - a. Executive Director
 - b. Other Senior Management
 - c. Project Director
 - d. Development Director
 - e. Other Development Staff
 - f. Program/Project Associate
 - g. Program/Project Manager or Coordinator
 - h. Grants Manager
 - i. Volunteer
 - j. Not Listed/Other (please describe): _____
- 24. How do you describe yourself? (Select one or more responses.)
 - a. American Indian/Indigenous

- b. Alaskan Native
- c. Asian or Asian American
- d. Black or African-American
- e. Hispanic or Latino/Latina
- f. Native Hawaiian or other Pacific Islander
- g. White or Caucasian
- h. Not listed (please describe) _____
- i. Prefer not to respond

25. What is your gender? (Select one or more responses.)

- a. Woman
- b. Man
- c. Transgender
- d. Two-spirit
- e. Genderqueer/Gender non-conforming
- f. Gender not listed (Please describe): _____
- g. Prefer not to respond

26. What is your annual organizational budget size?

- a. Less than \$100,000
- b. \$100,000 to \$199,000
- c. \$200,000 to \$299,000
- d. \$300,000 to \$399,000
- e. \$400,000 to \$499,000
- f. \$500,000 to \$999,000
- g. \$1MM to \$4.9MM
- h. \$5MM to \$24.9MM
- i. Greater than \$25MM

27. What is the number of **full-time** employees at your organization?

- a. Less than 10
- b. 10 to 29
- c. 30 to 39
- d. 40 to 59
- e. 60 to 79
- f. 80 to 99
- g. 100+

28. What is the number of **part-time** employees at your organization?

- a. Less than 10
- b. 10 to 29
- c. 30 to 39
- d. 40 to 59
- e. 60 to 79
- f. 80 to 99
- g. 100+

29. Does your **Board leadership** have 50% or more representation from people of color (i.e., Black/African American, Indigenous, and/or Latinx)?
- a. Yes
 - b. No
30. Does your **Executive leadership** have 50% or more representation from people of color (i.e., Black/African American, Indigenous, and/or Latinx)?
- a. Yes
 - b. No
31. What geographic focus area does your organization serve?
- a. Statewide
 - b. Regional
 - c. County
 - d. City
 - e. Other (Please Specify)_____

Wrap-Up

We're almost done. Providing your name and email address is not required. If you choose to provide your name and email, CRS will only use this information to send you compensation for your time to complete this survey. Your name and other identifying information will only be used to send compensation for your time, unless you check the box indicating that you would be open to the Creative Research Solutions Team following up with you about any of your responses. As mentioned, individual responses will not be reported to The Duke Endowment and only the Creative Research Solutions Team will have access to any potentially identifying information.

32. Would you like to receive compensation for completing this survey?
- a. Yes
 - b. No
33. Would it be okay for a member of the CRS team to contact you to obtain further clarification on your responses?
- a. Yes
 - b. No
34. Name (First Last)
- a. Textbox
35. Organization Name
- a. Textbox
36. Email Address
- a. Textbox with email address validation

Thank you for completing our survey! We look forward to reviewing your responses. If you have any additional thoughts, please do not hesitate to share them with us: amanda@creativeresearchsolutions.com

Appendix E. Not Funded Applicant Survey

The Duke Endowment Efforts to Center Racial Equity in COVID-19 Grantmaking

COVID-19 Applicant Survey

Dates Open: September 9-23, 2021

As you may be aware, The Duke Endowment developed criteria to enhance its coronavirus response by centering racial equity and maximizing support to communities most affected by the pandemic. The Endowment also prioritized support to organizations that are most proximate to communities that have been hardest hit by the pandemic and that have a demonstrated history of serving community needs.

Note: For the context of this survey, 'racial equity' is defined as a state in which all people have what they need to thrive regardless of racial or ethnic backgrounds.

Purpose

This survey is being conducted by Creative Research Solutions (CRS) on behalf of The Duke Endowment. The purpose is to capture information about strategies used to engage the community, challenges with the Endowment's emergency response grantmaking process, and what type of resources and support would most benefit the communities you serve. We value your input and will use the information gathered through this survey to address areas for improvement in the Endowment's grantmaking process.

How the Survey Data Will Be Used

Your individual responses will not be reported but will be combined with other responses. The findings will provide critical insights into lessons learned from the Endowment's efforts to center racial equity in its COVID-19 grantmaking. The Duke Endowment will use this information to improve future grantmaking practices.

Confidentiality

Please answer as openly and honestly as possible. You may skip any question you wish. We are really interested in hearing your thoughts about the COVID-19 emergency response grant application process. All responses will be kept private; no names will be used in reports, and only aggregated results will be shared. In addition, only select CRS staff will have access to individual responses. Neither your decision to participate or not participate nor your responses, will affect your ability to apply for or receive grants from The Duke Endowment.

This survey is designed to be completed within 15-20 minutes.

You will be compensated for your participation in this survey. To be compensated for your time to complete this survey, please include your name, organization, and email address in the space included at the end of the survey. Your name and other identifying information will only be used to send compensation for your time, unless you check the box indicating that you would be open to the Creative Research Solutions Team following up with you about any of your responses. As mentioned, **individual responses will not be reported to The Duke Endowment**

and only the Creative Research Solutions Team will have access to any potentially identifying information.

If you have any questions, please feel free to email Amanda Tyler, MPH at amanda@creativeresearchsolutions.com

Survey Questions

Awareness of Funding

The questions in this section ask about you/your organization's awareness of The Duke Endowment's COVID-19 emergency response funding.

1. Has your organization ever received funding from The Duke Endowment?
 - a. Yes, my organization has previously received funding from The Duke Endowment, but did not receive funding from the COVID-19 emergency response funds.
 - b. No, my organization has never received funding from The Duke Endowment
 - c. I'm unsure if my organization has ever received funding from The Duke Endowment
2. How did you/your organization hear about the Endowment's COVID-19 emergency response grantmaking?
 - a. Someone from the Endowment made me/my organization aware of the application
 - b. Someone from my professional network encouraged me to apply
 - c. Grants database
 - d. The Duke Endowment website
 - e. Press release
 - f. Internet search (i.e., Google)
 - g. Informal mailing list featuring grant opportunities
 - h. Social media
 - i. Other funders
 - j. I never heard about it/did not know about it.
 - k. Other (please specify): _____
3. Did someone from the Endowment **encourage you/your organization to apply** for a COVID-19 emergency response grant?
 - a. Yes, I was encouraged to apply by Endowment staff
 - b. No, I was not encouraged to apply by Endowment staff
 - c. I am unsure if my organization was encouraged to apply by Endowment staff
4. Did **you/your organization apply** for a COVID-19 emergency response grant?
 - a. Yes, I applied for a COVID-19 emergency grant
 - b. No, I did not apply for a COVID-19 emergency grant *skip logic to question 11*
 - c. I am unsure if my organization applied for a COVID-19 emergency grant *skip logic to question 11*

Applying for the Grant

The questions in this section ask about you/your organization's experience applying for a Duke Endowment grant. To answer these questions, please consider your experience with the grant application process for COVID-19 emergency response funds.

5. How would you describe the communities your organization serves for the project used to apply for funding? (Select one or more responses)
- a. American Indian/Indigenous community
 - b. Alaskan Native community
 - c. Asian or Asian American community
 - d. Black or African-American community
 - e. Hispanic or Latino/Latina community
 - f. Native Hawaiian or other Pacific Islander community
 - g. White or Caucasian community
 - h. Community not listed (Please describe): _____
 - i. Prefer not to respond

6. Please indicate to what extent you agree or disagree with the following statements:	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Not Applicable
The application was easy to understand for me/my organization						
The application requirements were clear to me/my organization						
The application took less time to complete than other foundation application experiences						
The Duke Endowment clearly communicated that the goal of this grant was to center racial equity						
The Duke Endowment was consistent in the information they provided throughout the application process						
The Duke Endowment exchanged ideas with my organization about how to center racial equity in the work funded by this grant						
The Duke Endowment understood my organization's local community needs						
The Duke Endowment understood my organization's proposed approach						
I/my organization made a change from regular practices to deliberately center racial equity to apply for The Endowments COVID-19 emergency response grant						
I/my organization felt supported by The Duke Endowment when needed during the application stage						

6. Which program area did you apply to for the COVID-19 emergency response grant?

- a. Child and Family Well-Being
 - b. Health Care
 - c. Higher Education
 - d. Rural Church
 - e. Other (please specify)
 - f. Unsure
7. In total, approximately how long did you spend on the proposal including the writing and review process?
- a. Less than 1 hour
 - b. 1 to 9 hours
 - c. 10 to 19 hours
 - d. 20 to 29 hours
 - e. 30 to 39 hours
 - f. 40 to 49 hours
 - g. 50 to 99 hours
 - h. More than 100 hours
8. What was **most helpful** to you/your organization when applying for the grant?
- a. The application requirements were clear
 - b. The grantee selection criteria were clear
 - c. The application could be completed quickly
 - d. Endowment staff were able to answer questions in a timely manner
 - e. Other (please specify): _____
9. What **challenges**, if any, did you experience during the application process for a COVID-19 emergency response grant? (Please select all that apply)
- a. The application process was too time-consuming
 - b. The application requirements were not clear
 - c. The application format was difficult to understand
 - d. The application required too many documents
 - e. The grantee selection criteria were not clear
 - f. The timeframe to complete the application was too short
 - g. The communication process with the Endowment was demanding (i.e., too many follow up questions and/or request for additional materials)
 - h. Other, please specify: _____
10. What additional support and/or resources from The Duke Endowment do you recommend to effectively support future applicants who apply for emergency response funds? (Please select all that apply)
- a. Technical and/or computer support for navigating the application
 - b. Technical and/or computer support for submitting the application
 - c. Support writing the grant application
 - d. A longer timeframe for completing the application
 - e. Other (please specify): _____
11. How did your organization meet the increased community demands caused by COVID-19? (Select all that

apply)

- a. We used our savings account
- b. Funding from other foundations or corporate philanthropies
- c. Government grants
- d. We used organizational funds set aside for general operating funds
- e. We used project restricted grant funds within my organization
- f. Other (please specify): _____

12. Thinking about the quality of the Endowment's emergency response, please indicate how much you agree or disagree with the following statements:

	Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	Not Applicable
I/my organization is satisfied with the quality of The Endowment's emergency response processes						
I/my organization is satisfied with the quality of The Endowment's emergency response communications						
I/my organization is satisfied with the quality of interactions we had with the Endowment for emergency response funds						

*Skip logic to question 15 applied here for respondents who chose b. or c. during question #4.

Transparency and Communication

The questions in this section ask about your perceptions of transparency and communication with The Duke Endowment while applying for your grant. To answer these questions, please consider your experience with the COVID-19 emergency response application.

13. Please indicate to what extent you agree or disagree with the following statements:	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Not Applicable
I/my organization was aware of the decision-makers for matters concerning my grant application						
Grant decision-makers were accessible to me/my organization throughout the application process						
Reasons for grant application decisions were clearly communicated to me/my organization						
I/my organization felt that there was open communication with the Endowment throughout the grant application process						
I/my organization understands why we did not receive a COVID-19 emergency response grant for this grantmaking period						

14. In thinking about your experience with The Duke Endowment's COVID-19 emergency response

grant application process, what **recommendations**, if any, do you have for how the Endowment can improve its communication process with you and other applicants in the future? (Open-ended text response)

Opportunities for Improvement

15. What specific recommendations do you have to better center racial equity in The Duke Endowment's COVID-19 emergency response grantmaking overall? (Open-ended text response)

Demographics (required)

16. What is your role at your organization?
- a. Executive Director
 - b. Other Senior Management
 - c. Project Director
 - d. Development Director
 - e. Other Development Staff
 - f. Program/Project Assistant
 - g. Program/Project Manager or Coordinator
 - h. Grants Manager
 - i. Volunteer
 - j. Other (please describe): _____
17. How do you describe yourself? (Select one or more responses)
- a. American Indian/Indigenous
 - b. Alaskan Native
 - c. Asian or Asian-American
 - d. Black or African-American
 - e. Hispanic or Latino/Latina
 - f. Native Hawaiian or other Pacific Islander
 - g. White or Caucasian
 - h. Not listed (please describe): _____
 - i. Prefer not to respond
18. What is your gender? (Select one or more responses)
- a. Female/Woman
 - b. Male/Man
 - c. Transgender
 - d. Two-spirit
 - e. Genderqueer/Gender non-conforming
 - f. Gender not listed (Please describe): _____
 - g. Prefer not to respond
19. What is your annual organizational budget size?
- a. Less than \$100,000
 - b. \$100,000 to \$199,000

- c. \$200,000 to \$299,000
- d. \$300,000 to \$399,000
- e. \$400,000 to \$499,000
- f. \$500,000 to \$999,000
- g. \$1MM to \$4.9MM
- h. \$5MM to \$24.9MM
- i. Greater than \$25MM

20. What is the number of **full-time** employees at your organization?

- a. Less than 10
- b. 10 to 29
- c. 30 to 39
- d. 40 to 59
- e. 60 to 79
- f. 80 to 99
- g. 100+

21. What is the number of **part-time** employees at your organization?

- a. Less than 10
- b. 10 to 29
- c. 30 to 39
- d. 40 to 59
- e. 60 to 79
- f. 80 to 99
- g. 100+

22. Does your **Board leadership** have 50% or more representation from people of color (i.e., Black/African American, American Indian/Indigenous, or Hispanic or Latino/Latina)?

- a. Yes
- b. No

23. Does your **Executive leadership** have 50% or more representation from people of color (i.e., Black/African American, American Indian/Indigenous, or Hispanic or Latino/Latina)?

- a. Yes
- b. No

24. What geographic focus area does your organization serve?

- a. Statewide
- b. Regional
- c. County
- d. City
- e. Other (Please Specify)_____

Wrap-Up

We're almost done. Providing your name and email address is not required. If you choose to provide your

name and email, CRS will only use this information to send you compensation for your time to complete this survey.

Your name and other identifying information will only be used to send compensation for your time, unless you check the box indicating that you would be open to the Creative Research Solutions Team following up with you about any of your responses. As mentioned, individual responses will not be reported to The Duke Endowment and only the Creative Research Solutions Team will have access to any potentially identifying information.

25. Would you like to receive compensation for completing this survey?

- a. Yes
- b. No

26. Would it be okay for a member of the CRS team to contact you to obtain further clarification on your responses?

- a. Yes
- b. No

27. Name (First Last)

- a. Textbox

28. Organization Name

- a. Textbox

29. Email Address

- a. Textbox with email address validation

Thank you for completing our survey! We look forward to reviewing your responses. If you have any additional thoughts, please do not hesitate to share them with us: amanda@creativeresearchsolutions.com

Appendix F: Template for the Grantee Document Review

Evaluation Questions:

To what extent did the Duke Endowment's grantmaking adhere to the COVID-19 Guiding Principles after the Guiding Principles were implemented?

How do grantees awarded using the COVID-19 Guiding Principles for Equity compare to those grantees awarded before the Guiding Principles were in place?

Grantee	CELT	Pre-CELT	Recommended for Funding (Y/N)	Why Recommended	Funded (Y/N)	Targets a Priority Community				
						African American	Latinx	Native American/ Indigenous	Other	None
Central Carolina Community Foundation	Yes	No			Y					
Circle de Luz	Yes	No			Y					
Darlington County First Steps	Yes	No			Y					
El Futuro	Yes	No			Y					
El Pueblo	Yes	No			Y					
Fiesta Cristiana United Methodist Church	Yes	No			Y					
HALOS	Yes	No			Y					
Interfaith Youth Core	Yes	No			Y					
ISLA	Yes	No			Y					
McLeod Health Foundation #1	Yes	No			Y					
McLeod Health Foundation #2	Yes	No			Y					
Native American Cooperative Ministry	Yes	No			Y					
NeighborHealth Center	Yes	No			Y					
North Carolina Community Action Association	Yes	No			Y					
North Carolina Community Foundation	Yes	No			Y					
Novant Health Forsyth Medical Center Foundation	Yes	No			Y					
Peletah Ministries	Yes	No			Y					
Prisma Health-Upstate	Yes	No			Y					
Robeson County Church and Community Center	Yes	No			Y					
SC Cancer Alliance	Yes	No			Y					
Silent Victims of Crime	Yes	No			Y					
Society of St. Andrew	Yes	No			Y					
South Carolina Network Of Childrens Advocacy Centers	Yes	No			Y					
The Conservation Fund/Resourceful Communities	Yes	No			Y					
U.S. Committee for Refugees and Immigrants	Yes	No			Y					
Central Carolina Community Foundation	No	No			Y					
Davidson College	No	No			Y					
Duke University	No	No			Y					
Feeding the Carolinas	No	No			Y					
Furman University	No	No			Y					
Furman University	No	No			Y					
Hinton Rural Life Center, Inc.	No	No			Y					
Johnson C. Smith University	No	No			Y					
North Carolina Healthcare Association	No	No			Y					
North Carolina Institute of Medicine	No	No			Y					
Atrium Health Foundation	No	No			N					
Disciple Bible Outreach Ministries of NC, Inc.	No	No			N					
Duke University School of Medicine	No	No			N					
El Pueblo	No	No			N					
Central Carolina Community Foundation	N/A	Yes								
North Carolina Healthcare Association	N/A	Yes								
Feeding the Carolinas	N/A	Yes								
Davidson College	N/A	Yes								
Furman University	N/A	Yes								
Johnson C. Smith University	N/A	Yes								

[illegible]

Appendix G. Sensemaking Session Summary



CREATIVE RESEARCH SOLUTIONS

The Duke Endowment Summary of the Sensemaking Session

On November 8, 2021, Creative Research Solutions (CRS) conducted a sensemaking session with select Duke Endowment (“the Endowment”) staff.

The main themes that emerged from both the larger group discussion and breakout sessions included (1) implications of the COVID-19 grantmaking process on Endowment staff, (2) optimizing the Guiding Principles for Racial Equity at The Endowment, and (3) the sustainability of the COVID-19 grantmaking process. The summary of the findings from the sensemaking session is presented below.

Overview of the Sensemaking Session

Goal: To understand the evaluation information collected and go beyond the numbers to explore the story behind the data.

Objectives: (1) Review and discuss preliminary findings from the COVID-19 evaluation; (2) Understand the implications of the findings; and, (3) Co-develop recommendations to inform the evaluation report and future grantmaking at the Endowment

Participants: The Endowment staff (n = 31) were invited to participate. Attendees (n = 29) represented grantmaking (n = 16), functional staff (n = 6), and senior administrative associates (n = 7).

Implications of the COVID-19 Grantmaking process on the Endowment staff

During the breakout group discussion, sensemaking participants were not surprised by the increased burden placed on the COVID-19 Equity Lens Taskforce (CELT) during this grantmaking process. This was a novel way of doing grantmaking at the Endowment and the Endowment may not have had all the resources (i.e., an online application for CELT reviewed grantees) when they implemented the Guiding Principles for Racial Equity and the equity criteria for grantees. Some sensemaking participants expressed they were surprised by the evaluation findings that staff felt there was a *lack of transparency* throughout the grantmaking process. Since the survey was open to both grantmaking and non-grantmaking staff at the Endowment, it is likely the method and frequency of communication between both of these groups varies throughout the grantmaking process. Because of this, the Endowment may wish to reflect on how it can communicate grantmaking priorities to both grantmaking and non-grantmaking staff.

Optimizing the Guiding Principles for Racial Equity at the Endowment

All five breakout groups discussed incorporating the Guiding Principles for Racial Equity into the Endowment’s regular practice. Several sensemaking participants were surprised but happy to hear about the positive grantee perceptions and were glad that the grantmaking approach had its intended effect of providing resources to Endowment identified target populations. Sensemaking participants expressed wanting to generate structures within the Endowment to better support equity and continue to build trust with the target populations in a meaningful way. For instance, the breakout groups comprised of grantmaking staff mentioned that it was easier to identify Black/African American and Latino organizations compared to Native American/Indigenous organizations to fund for the COVID-19 emergency response grant. To build on the current Guiding Principles for Racial Equity, the Endowment could explore ways to increase outreach to the Native American/Indigenous community to ensure an equitable distribution of Endowment funds.

Sustainability of the COVID-19 Grantmaking Process



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As grantees successfully work to meet the needs of their respective communities, additional funding will be needed to sustain grantee impact. Sensemaking participants felt that the strategies used in the COVID-19 grantmaking response could be optimized for other work at the Endowment. In addition to funding grantees, more funding will be needed at the Endowment to hire additional grantmaking staff to reduce the burden of increasing grantmaking efforts in the community. It should be noted that sustainability was also a concern of grantees survey respondents, as many are aware this was a one-time grant opportunity (though the grantees shared that their communities will be impacted by the COVID-19 pandemic for many years).

Recommendations

During the sensemaking session, participants were invited to share what they would recommend the Endowment consider for its future grantmaking practices. All breakout groups comprised of grantmaking staff recommended keeping equity at the forefront of the Endowment's work. Sensemaking session participants expressed wanting to adopt the Guiding Principles for Racial Equity and the equity criteria into all the Endowment's emergency grantmaking response work. It was also recommended to reflect on how equity is showing up in general grantmaking at the Endowment. Other recommendations that are closely aligned with the equity criteria include being more intentional about selecting grantees that are vetted within the communities they serve.

The only recommendation that emerged not related to the Guiding Principles for Racial Equity was regarding increasing transparency within the Endowment. Both staff survey respondents and sensemaking participants identified wanting more internal communication around what grants are being made. During the sensemaking session, non-grantmaking staff participants mentioned that unless someone is a CELT team member, there is limited exposure to the grantmaking process. Sensemaking participants recommended having a survey or other information sharing process internally so all staff can be engaged throughout the process and can provide meaningful feedback when asked to participate in evaluation activities.

Action Steps for Consideration

In the section below, CRS has provided potential action steps for the Endowment's consideration. We recommend the following be reflected on by the Endowment's leadership and staff to better center equity in grantmaking.

Adopt the Guiding Principles for Racial Equity into the Endowment's grantmaking process

One of the recurring themes that emerged during this evaluation is to keep equity at the forefront of the work at the Endowment. From grantee survey feedback and discussion during the sensemaking session, it is clear that the Endowment wants to make a meaningful contribution to the communities it serves. By adopting the Guiding Principles for Racial Equity into all of the internal grantmaking processes, the Endowment can continue to be a leader in the field of philanthropy and ensure equitable grantmaking practices will be in place during the next emergency response. One suggestion to help move the guiding principles forward would be for the Endowment staff to intentionally reflect internally about what adopting the Guiding Principles for Racial Equity into all grantmaking practices would look like for Endowment staff, future grantees, and the communities they serve.

Increase transparency across all Endowment staff

Sensemaking participants who were non-grantmaking staff and non-CELT grantmakers expressed wanting to know more about the CELT process for the COVID-19 emergency response grant. The focus on equitable grantmaking that occurred through the CELT review team can be applied to other areas of grantmaking (see action step 1) and

by increasing transparency around the process, all staff can be ready to use the equity criteria to ensure the communities in most need are getting the resources provided by the Endowment.

Appendix H. Overview of Grants Included in the Evaluation Sample