



Assessing grantmaker performance through grantee feedback in East Africa

Results and lessons from a comparative survey
of the grantees of eight East African Grantmakers

October 2009

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I am grateful to all of you.

Andre Proctor

October 2009

Executive summary

This report presents the results of an innovative pilot project to collect comparable feedback on grantmaker performance from the grantees of eight East African grantmakers.

The pilot was designed to test a new approach to measuring and reporting the performance of grantmakers and promoting dialogue for improvement. It drew from an established model in the US, adapted to the African environment.

It addresses a major gap in social change evaluation. Despite the fact that grantmakers are key constituents of social change processes, there is little real assessment and reporting of how effectively grantmakers contribute to social change. This is one important aspect of a wider problem: that current systems of planning, monitoring, evaluation and reporting tend to be weak and provide little reliable data for decision makers.

It makes the case that systematic feedback from those most affected presents an exciting new approach to monitoring performance, while simultaneously giving voice to those who traditionally have least power in development relationships.

This project explores the value of comparative grantee feedback to improving the effectiveness of grantmaking in East Africa, and through this, to enhance the effectiveness of those that implement social programmes on the ground.

METHOD

A questionnaire¹ was used to collect perceptions anonymously from 305 grantees of 8 East African grantmakers on key aspects of grantmaker performance. Areas of inquiry included grantees' experience and perceptions of the nature of the funding, application and approval processes, the value of non-financial support, the reputation and expertise of the grantmaker, the reporting, monitoring and evaluation (M&E) requirements, the quality of the grantmaker's communications, and the quality of the relationship in terms of openness of dialogue, mutual learning and trust.

Each grantmaker was presented with a confidential report in which the feedback from their grantees was compared to what other grantees said about their respective grantmakers. The survey generated quantitative data so that each grantmaker could immediately compare its performance to the performance of its peers across a wide range of specific questions. This provided clear performance benchmarks that pinpointed specific areas for improvement, demonstrated what levels of performance are possible, and provided a baseline that can be used to measure progress in the future.

The primary purpose of the survey was to provide new information to stimulate learning and improvement. Grantmakers were encouraged to reflect on the feedback and engage with their grantees to discuss how they can each contribute more effectively to the goals that they share.

KEY FINDINGS

Taken collectively, this report provides a snapshot of the state of grantmaking in East Africa in 2009 from the perspective of grantees. It shows how the grantmakers were rated across 23 specific questions.

According to the grantees that responded, the median size of all the grants made by participating grantmakers during 2008 was \$17,320. 55% of grants made were for a period of one year or shorter. 45% of grantees received funds from their grantmaker for less than one

¹ See Appendix 2 on page 61

year; and 19% for more than five years. 63% of the projects being funded have been running for less than two years. This suggests that grantmakers and grantees often pursue a short term and fragmented approach to tackling social change.

Across the field, grantee perceptions were most positive in 3 areas:

- 1 Grantees generally have a high regard for the quality of their relationships with their grantmakers. They feel listened to and treated with respect.
- 2 Grantees generally have a healthy respect for grantmakers' knowledge of the context and field in which they work, and their levels of expertise and influence.
- 3 Grantees are fairly satisfied with their grantmaker's application and approval processes, but they also feel grantmakers across the field could make real improvements in this area.

Across the field, grantee responses were generally less positive in the following areas:

- 4 Grantees do not find the monitoring and evaluation requirements and processes of their funders very useful – and often find them burdensome.
- 5 The performance area that scored the lowest satisfaction ratings was the quality of non-financial support offered by grantmakers (e.g. technical assistance, capacity building or advice).

These findings suggest an immediate agenda for action among participating grantmakers. The lessons may also be relevant for other grantmakers.

The whole area of non-financial support (including capacity building) needs serious review, with a view to identifying how to make it more useful for grantees what grantees need to become more effective. There is considerable room to innovate and improve monitoring and evaluation requirements, to make them less burdensome and more useful for grantees. There is scope to improve application and approval processes. Finally, grantmakers and grantees should discuss the impact of short term funding and explore options for lengthening grant periods.

Grantmakers could discuss among themselves how they could improve their own performance and the effectiveness of the entire field. For instance, examples of good practice identified by the survey could be celebrated and written as case studies to stimulate improvements. Progress could be monitored through future surveys.

These issues should also be discussed with the “big fish” – the donors who provide funds to the grantmakers participating in this survey. The conditions that they attach to their funding and other aspects of their work have a crucial role in shaping current practice. They can be part of making East African grantmaking work better for grantees.

IMPROVING THE SURVEY

The feedback from grantmakers during the report back meetings has highlighted many areas for improving the survey that we will apply in future in our wider work. We hope to conduct a follow up survey in East Africa in the near future. We will focus specifically on improving the validity and usefulness of comparative performance indices. We are keenly interested in following up with the East African grantmakers.

CONCLUSIONS

This pilot establishes, for the first time, a general method for publicly assessing and reporting grantmaker performance in East Africa. It puts the rhetoric of empowerment into practice, and provides specific, quantified data on 'good grantmaking' and 'bad grantmaking'.

Grantmakers have new data on how effectively they enable their grantees to change the world they live in. They can compare their performance as perceived by their grantees against each other. If the survey is repeated, they will be able to monitor trends and improvements. The survey also identified specific strengths and weaknesses of current grantmaking practice for individual grantmakers and across the field.

It is too soon to know if the survey has empowered grantees by attaching real executive importance to their views, but some grantmakers have begun a process of responsive dialogue for mutual learning and improvement with their grantees.

The grantmakers represented in this report that raise the funds for their grants from other donors have an important opportunity to distinguish themselves and increase fundraising success by utilizing grantee feedback data. Individual and corporate givers have choices and a re-granter who is investing seriously in learning with grantees is bound to be more attractive than those who are not. Feedback surveys and public reporting could become a powerful way of providing the reassurance that donors are looking for.

In addition, Keystone and its partners are working to ensure that we have local infrastructure to conduct surveys of this nature in future. We see this pilot as the first step in creating a model that African grantmakers can adopt to strengthen the field of African grantmaking.

THE FUTURE OF COMPARATIVE FEEDBACK

This report will be presented and discussed by the East African Association of Grantmakers in November 2009, along with options for additional grantee feedback surveys in East Africa. Keystone will conduct a similar survey of the grantees of 27 southern African grantmakers in late 2009. We will seek to promote further innovation and discussion there, and elsewhere, contributing to international debates on performance management and reporting in social change. New methods are urgently needed, and comparative feedback appears to have a role in contributing to sector-wide learning. We aim to collaborate with others working towards similar goals.

The findings from this survey can be used, in an anonymous form, to start building a new open-source data set for the sector. As more surveys are carried out, the more useful the data set will become, to identify practical and measurable performance benchmarks.

Finally, there is scope to apply similar principles to generate comparative feedback from the ultimate beneficiaries of interventions. These could add a rich new source of cost-effective comparative information for assessing and reporting impact. Keystone, and other organizations, are conducting a number of pilots in this area.

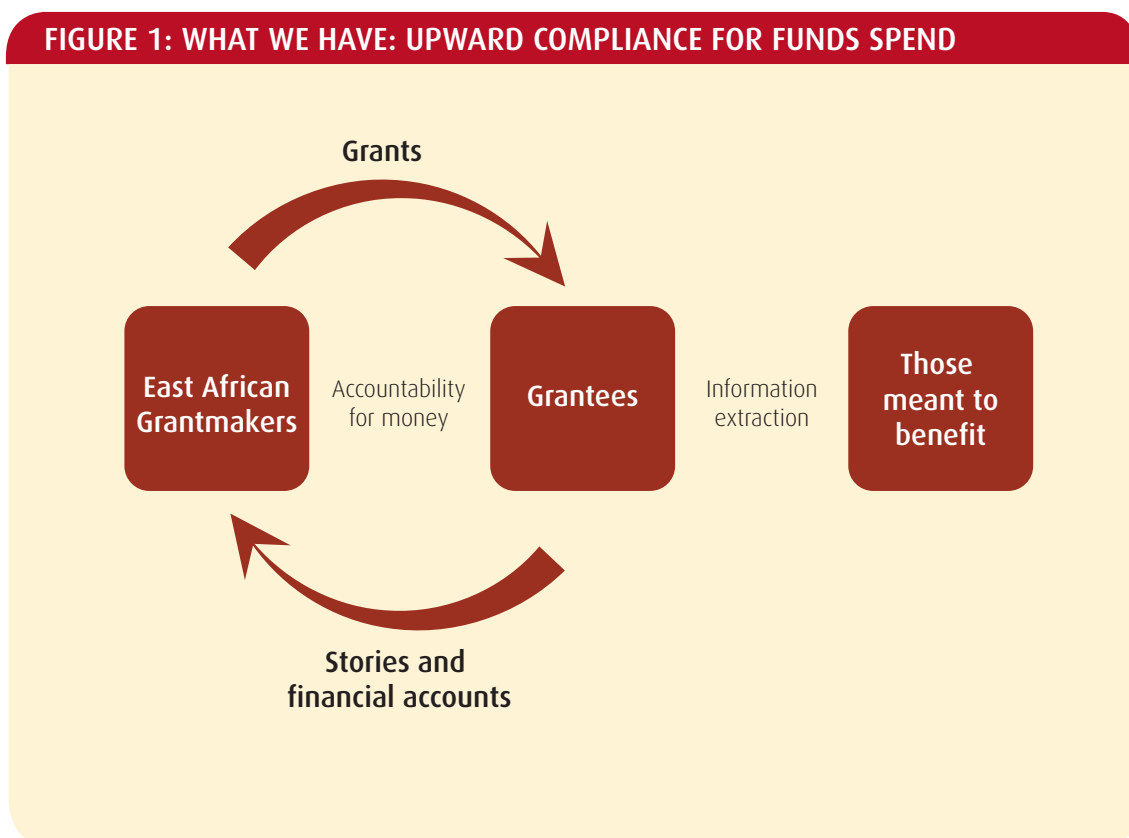
Part 1

Rationale, method and participants

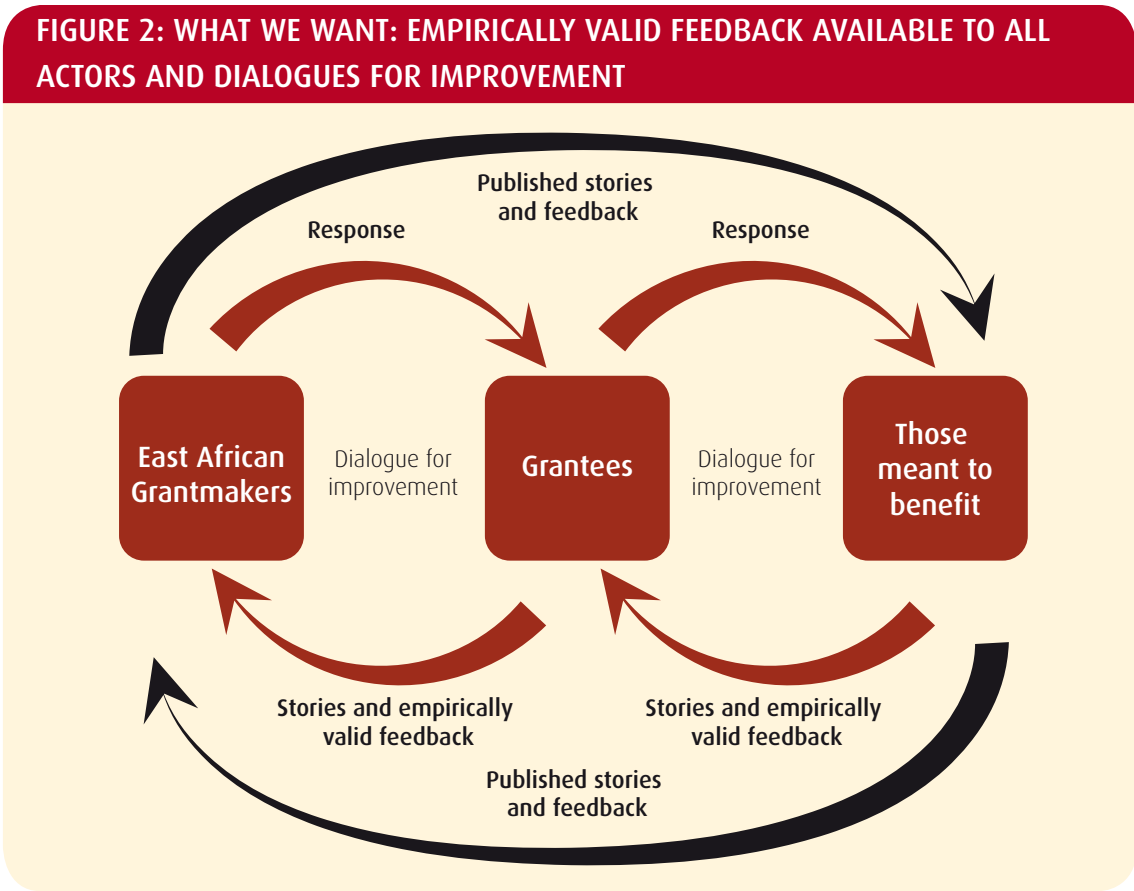
Rationale

Community-based development organizations have little to gain and much to lose by providing honest critical feedback to their funders. Funders seldom seek independent, unbiased feedback from their grantees, and when they do, there are few ways of doing so reliably. Both funders and implementing organizations have few ways of gathering independent unbiased feedback from those most affected by their work and in whose name they operate.

As a result, the system of planning, monitoring, reporting and evaluation that we have today is widely recognised as being weak. It tends to focus narrowly on accounting for how funds were spent in short term projects. In many cases the relationships between constituents may be distorted by perverse incentives and lack honesty, trust and deep common purpose. Figure 1 below describes the current situation.



A number of organizations, including Keystone, believe that robust feedback loops can change this by strengthening the voices of the least powerful actors, throughout the chain. They can stimulate better dialogue, improve the relationships, enhance transparency, confidence and trust, and improve the effectiveness of all constituents in development interventions: the funders, implementers and those meant to benefit. Figure 2 describes this alternative approach. The grantee feedback survey informing this report is one seminal building block in this improved picture. The other is to create similar feedback mechanisms from the ultimate beneficiaries.



This project enabled the grantees of 8 East African grantmakers to give open and honest feedback about how they experience being a grantee of a particular grantmaker and how the grantmakers policies and practices affect them. It sought also, in a methodologically rigorous way, to enable comparison and learning among grantmakers that could generate insights for the field of East African grantmaking as a whole.

The survey used a carefully designed questionnaire to collect perceptions anonymously from grantees on key aspects of grantmaker performance. Areas of inquiry included the experience and perceptions of: the application and approval processes, the reputation and expertise of the grantmaker, the reporting, monitoring and evaluation (M&E) requirements, the grantmaker’s communications, and the quality of the relationships (i.e., whether there is free and open dialogue and trust).

This overview report brings this project to an end; it draws on the responses of all participants (who remain anonymous) to identify important trends and issues across the field.

The project has generated a wealth of information that grantmakers can discuss with their grantees so both can improve the way they contribute to their shared objectives.

BENEFITS FOR GRANTMAKERS:

- Feedback generated in a safe, non-threatening way brings many different perspectives to the table and enables new insights to emerge about how the grantmaker impacts on its grantees.
- The feedback reports inform the grantmaker's assessment of its effectiveness and help it to learn and refine its approaches and strategies.
- Comparative data allow a grantmaker to understand its perceived strengths and weaknesses relative to other grantmakers. It provides an empirical basis for peer reflection and learning that could transform the practice of grantmaking.
- Repeat surveys offer longitudinal comparison that enables a grantmaker to assess changes in its performance over time.
- The surveys and follow up responses create an opportunity for grantmakers to renew their relationships with grantees on the basis of greater openness, confidence and trust.
- Reports provide a convincing quantitative representation of the deeper and often difficult to communicate qualitative aspects of a grantmaker's performance.
- Grantmakers grow in legitimacy as a result of their visible efforts to be accountable to their constituents – this can make them more attractive to individual and corporate givers seeking to entrust their funds to regranters with proven credibility.

BENEFITS FOR GRANTEEES AND THE FIELD OF GRANTMAKING:

- Empowers grantees by amplifying their voices.
- Encourages the more powerful actors in development – funders, governments, businesses and international NGOs – to rely less on their own counsel, and to take into account the perceptions and understanding of those in whose name they work.
- When published, comparative data helps all organizations in the field to refine their strategies.
- Assists third-party service organizations to develop appropriate technical assistance and resources to support organizations in the field.

BENEFITS FOR THE ULTIMATE BENEFICIARIES:

- Better grantmaker-grantee relationships should produce knock on benefits of improved effectiveness of delivery for the ultimate beneficiaries.
- For example, as grantmakers and grantees experience the value of feedback, they will be more likely to provide funding for and implement formal feedback mechanisms for beneficiary feedback.

Method

In 2008, the East Africa Office of the Ford Foundation awarded Keystone a grant to undertake Africa's first grantee feedback survey with a group of eight East African grantmakers. This report is based on the feedback of 305 of their grantees.

In this pilot survey, data was collected through an anonymous questionnaire, independently administered by Keystone with logistical support from Allavida (a Kenyan civil society organization based in Nairobi) from September to December 2008.

Every grantmaker supplied the names and contact details of all of their current grantees. English and Swahili versions of the questionnaire were developed. They were delivered to grantees by email, post or by hand.

The survey questionnaire was designed by Keystone building on the model of the highly regarded Grantee Perception Reports® of the Centre for Effective Philanthropy (CEP). The questionnaire was further refined in consultation with participating grantmakers and drawing on Keystone's own experience in the field.

A total of 602 questionnaires were sent out and 305 returned. This gives an overall response rate of 51%. Grantees were scattered throughout Kenya, Uganda and Tanzania from urban centres to remote rural villages. Grantees varied in size from very small community based organizations to established non government organizations.

Completed questionnaires were processed by a South African social research firm, Outsourced Insight. This included translating responses from Kiswahili to English, capturing the responses, coding open-ended responses, cleaning data, and statistical analysis.

Between April and July 2009, Keystone presented each individual grantmaker with its unique feedback reports in print and in face to face meetings with grantmakers where the findings and options for follow up were discussed.

To view a copy of the questionnaire used in this survey, please see [Appendix 2](#)

Participating grantmakers

The participating grantmakers included representatives from three segments of East African grantmaking:

TRUSTS AND COMMUNITY GRANTMAKERS

- Kenya Community Development Foundation (KCDF)
- Urgent Action Fund – Africa
- Kilimo Trust (Uganda)
- Social Action Trust Fund (SATF – Tanzania)
- Foundation for Civil Society (FCS – Tanzania)

INTERNATIONAL FOUNDATIONS

- Ford Foundation, East Africa
- The Aga Khan Foundation, East Africa

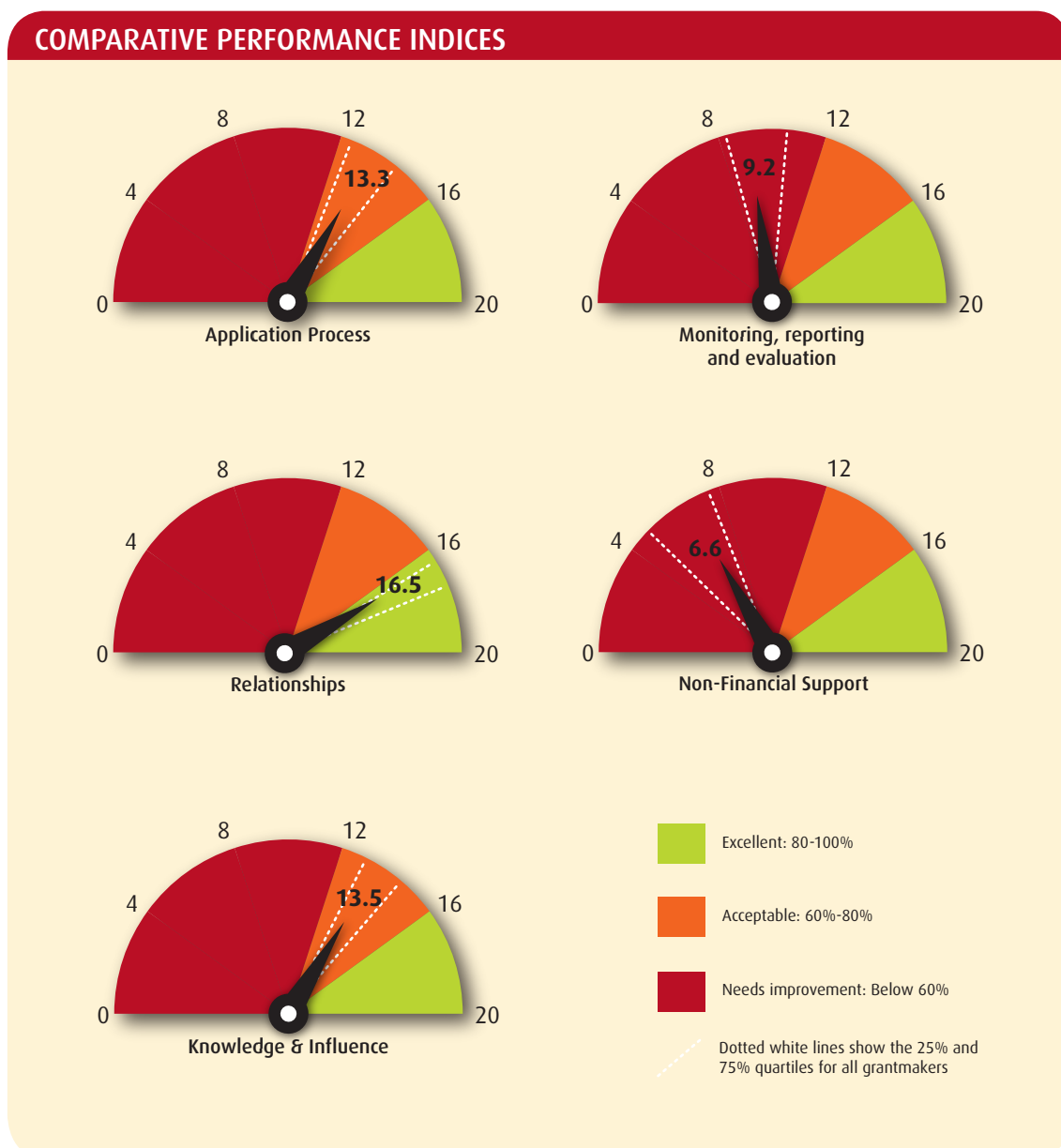
CORPORATE FOUNDATIONS

- KCB Foundation (Kenya Commercial Bank)

Part 2

Key findings for East African grantmakers

Comparative performance indices



AN EXPERIMENT IN CONSTITUENCY BASED RATING

We created five indices, based on comparable feedback from grantees on a large number of specific performance related questions. Each index converts responses to several specific questions about an area of grantmaker performance into a single rating, between 0 and 20. These provide summary performance ratings for each grantmaker, and for the group as a whole.

We feel that this has great potential to provide meaningful summary ratings of how a grantmaker performs in a particular performance area relative to others similar to it. They could be used by management or Board as an indicator of improvement or otherwise in that area of performance. A positive or improved rating could help attract investment and other support.

These indices present as a kind of dashboard that grantmakers can use to guide their efforts to better support their grantees on the five areas of grantmaker performance that emerged as most important during our research.

CALCULATING THE INDICES

The index scores are calculated by standardising the responses to a specific sub-set of questions in the survey that require grantees to make a judgement on a specific aspect of the grantmaker's performance. In this initial survey, we averaged the scores of these specific questions to make up the index score.

Over time, with more experience and more comparative data, the green-amber-red ratings can be based on standards derived from analysing a significant number of actual surveys. We also expect to improve the methods for calculating indices, for example, by weighting responses to specific questions that constituents feel are more important and are proven to have a correlation to downstream impact.

In the report back meetings, concerns were expressed at the validity of some of the feedback and some of the questions on which these indices was based. This was welcomed, and we will use this feedback to improve the process.

COMMUNICATING THE SATISFACTION RATING AS A DASHBOARD

In the individual reports received by each grantmaker, the needle in the dashboard graphs illustrated above shows their individual rating relative to two comparators.

The two white lines represent the upper and lower quartiles of the scores achieved by the entire group of grantmakers. The top 25% of grantmakers scored to the right of the right hand line. The bottom 25% of grantmakers scored to the left of the left hand line.

In addition, we experimented with a normative shaded background colour coded to symbolise the colours of a traffic light:

- 16 and above out of 20 is seen as good performance and symbolised by green
- 12 to 16 is acceptable and symbolised by the colour amber
- lower than 12 is shown as unsatisfactory and symbolised by the colour red

In this public report, the needle represents the average rating of all participating grantmakers.

IS SATISFACTION THE RIGHT WORD?

These indices are not absolute or objective ratings of grantmaker performance – and should not be used as such. They reflect only the level of satisfaction of one particular set of constituents – in this case grantees – with a number of aspects of grantmaker performance.

This is not the same as 'consumer or customer satisfaction' because grantees are clearly not customers in the commercial sense. Nevertheless, the relationship has some similarities, and for the want of a better word, we opted to use satisfaction and take it to mean the optimal quality level for the grantmaker - grantee relationship.

COMMENTARY

- 1** Grantees rated their grantmakers from 14.4 to 17.9 out of 20 for quality of relationships. The questions used in the survey that focus on the quality of relationships are derived from Jacobson, Habermas, Ellerman and other researchers who have sought to identify the essential preconditions for open, trusting and generative dialogue. They focus on areas like how free grantees feel to question the judgements of their grantmakers, to make suggestions, to report problems, and other things – as well as how responsive they feel that grantmaker is when they do raise suggestions. The average score for the quality of relationships was 16.5 out of a possible 20.

This suggests that grantees have a generally high regard for the quality of their relationships with their grantmakers. However, this is probably an area where the positive bias of respondents could be felt most strongly, and we need to look to the spread of responses to isolate this bias and understand what the relative quality of relationships is.

- 2** The area with the next most positive ratings was grantee perceptions of grantmakers' knowledge of the context and field in which grantee worked, and the level of expertise and influence of the grantmaker. Satisfaction with their grantmakers' knowledge and expertise ranged from 11.0 to 15.8, averaging at 13.5.
- 3** Satisfaction with the grantmakers' application processes in general was rated at an average of 13.3 out of 20 for the eight grantmakers. The scores ranged from 10.8 to 15.3. This suggests that according to grantees, grantmakers across the field could make real improvements here, moving towards and beyond the highest rated grantmaker in this first survey.

Grantee satisfaction ratings were lower in the following areas.

- 4** The monitoring, reporting and evaluation processes were rated much lower, from 5.2 to 11.0. The grantmaker average was 9.2. This suggests that grantees do not find the M&E requirements of their funders very useful – and often find them burdensome. From a grantee perspective, there is considerable room for innovation and improvement across the field in this area. Detailed survey questions and responses for specific grantmakers allow the issues to be isolated and addressed.
- 5** The performance area that scored the lowest satisfaction ratings of all was the quality of non-financial support offered by grantmakers (e.g. capacity building or advice). The average score for all grantmakers was only 6.6 out of 20, ranging from 1.8 to 7.8 out of 20.

This is something that many experienced development practitioners know intuitively, but surveys like this are the first time that the scale and depth of dissatisfaction can be measured and reported on a wide scale. Over time, this will be able to show whether and how the field of grantmaking is learning how to do this better.

How the different grantmakers performed within each index is shown in the overall comparative performance graph at the beginning of each section below.

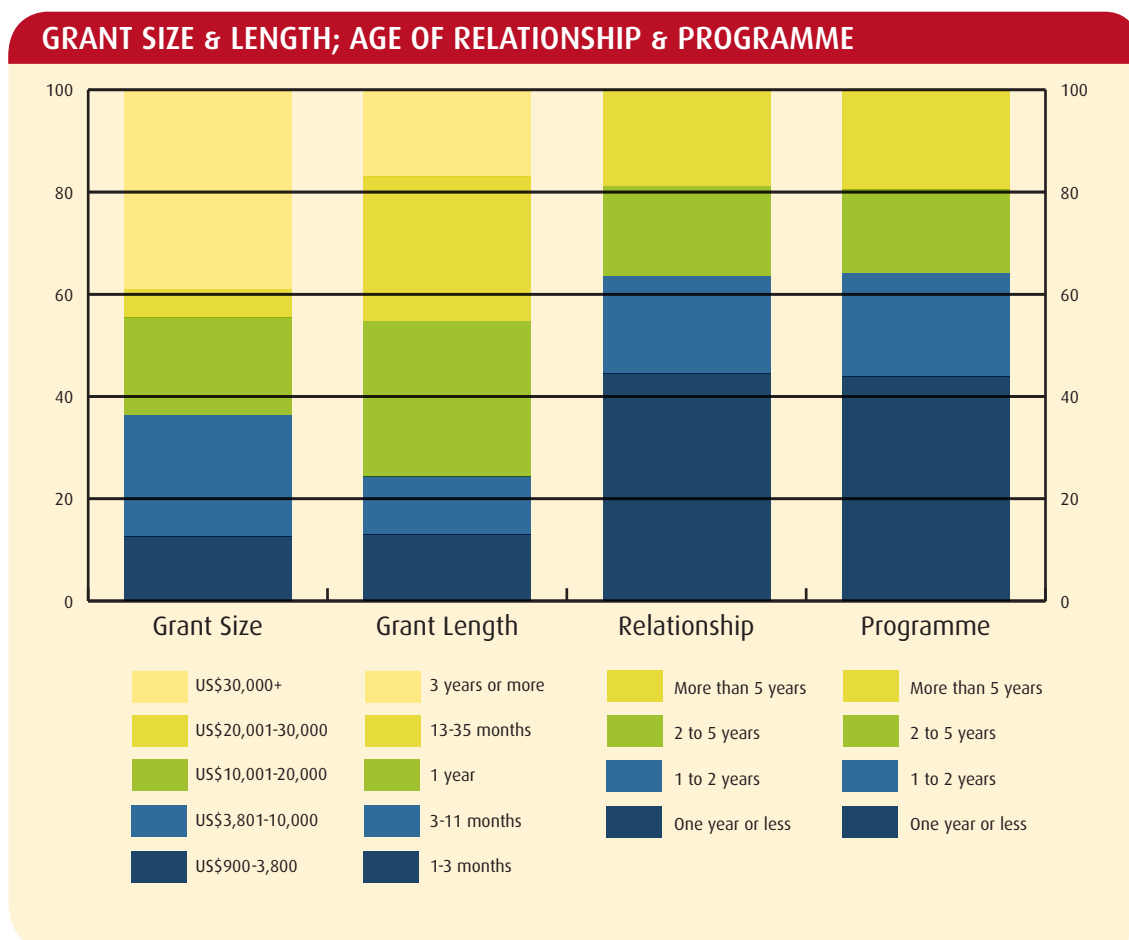
REFLECTIONS ON FEEDBACK-BASED RATING AND THE COMPARATIVE PERFORMANCE INDICES

Interest in ratings systems appears to be on the rise, and there are many self-styled ratings agencies attempting to rate and compare civil society organizations on the basis of often very superficial data and criteria that have little proven relationship to performance and effectiveness. The emphasis tends to be on what is easy to measure, such as administrative and financial management systems rather than real evidence of effective development practice. Most ratings agencies do not take much account of the perceptions and experiences of those affected by an organization's work or of the quality of relationships that an organization has with its constituents and stakeholders.

We offer these index graphs as possibly a more reliable and meaningful 'comparative performance index' – and how it might be constructed. We are acutely aware of the complexity of comparison and rating, and we do not take this lightly. But if we do not explore these possibilities, then we risk leaving the field in the hands of those that, intentionally or not, reward the wrong things.

We are aware that this is a preliminary experiment and that, given the diversity in size, focus and scope of the current sample of grantmakers, the reliability of the rating and comparison can and must be improved.

Nature of funding



SIZE OF GRANTS

- Across all the participating grantmakers, nearly two-fifths (39%) of grants made are of more than US\$30,000; 48% are between US\$30,000 and US\$3,801; and 13% are less than US\$3,800. Whereas the average size of grants is US\$62,484, the median across the eight grantmakers is only US\$17,320. The value of funding provided by the eight grantees amounts to US\$18,057,935 (excluding 16 grantees that did not divulge the amount received).
- The range is very wide - ranging from US\$3,800 to US\$1,039,261 across the eight grant makers surveyed. The very large grants were made by only three grantmakers - the two international foundations that include support for support large organizations, and Kilimo Trust which supports some large agricultural projects. The community development grantmakers tend to make large numbers of small grants.
- This is one area where comparison would be more meaningful across similar grantmakers.

Nature of funding

- As would be expected, a significant number (14%) of the open comments made by grantees expressed the view that the funding was inadequate. Nevertheless, they point to real problems from the grantee perspective, for example:

“Grantmaker should review grant sizes, e.g. small grant should be 10,000,000 Tsh instead of 5,000,000 Tsh”;

“The grant maker should not put the maximum amount; they should leave it open for people to apply for the amount they want for their projects”;

“The grantmaker should keep on funding those who used the amount correctly - if they write a new proposal, they should not (refuse them by saying) that they have already been funded”.

LENGTH OF GRANTS

- More than half (55%) of grants made are for one year or less. A further 28% are for between 13 and 35 months, and only 17% for three years or more.

LENGTH OF RELATIONSHIP

- Almost half (45%) of grantees have received funds from their grantmaker for less than a year; and 19% for more than five years.
- Short-term relationships are generally not seen as conducive to the implementation of sustainable developmental interventions.

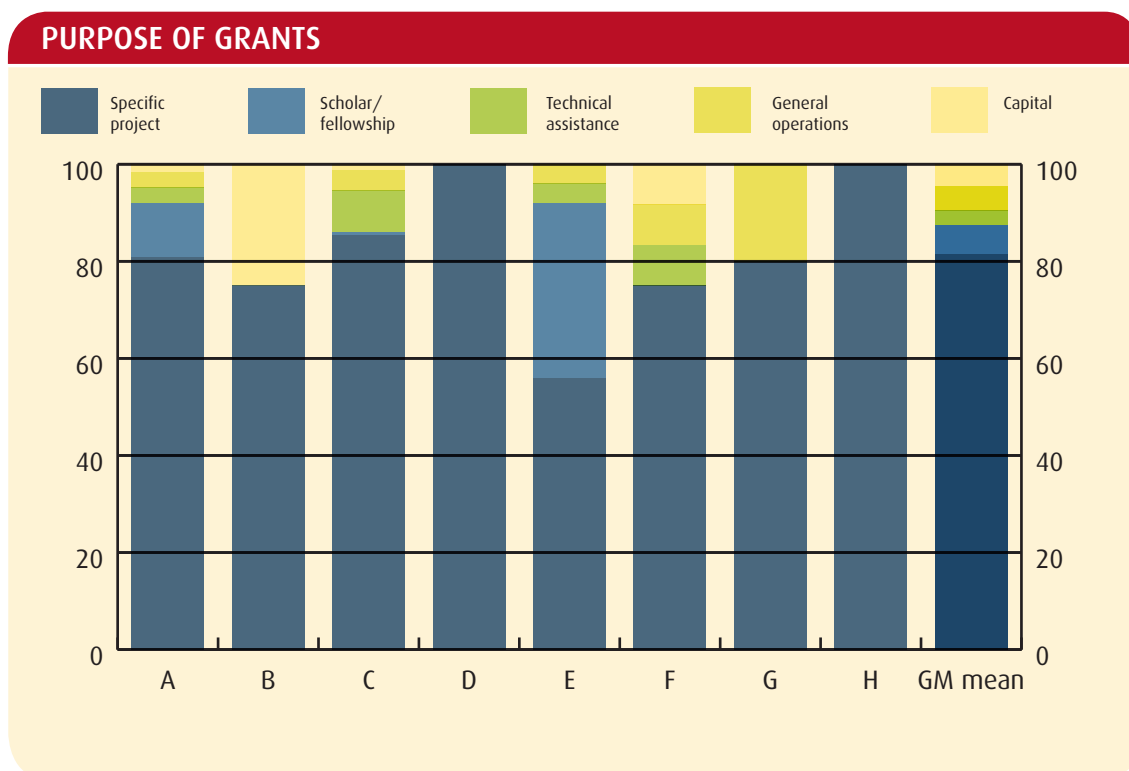
AGE OF PROGRAMMES

- 63% of the actual projects being funded have been running for less than two years, and 43% for less than one year.

Not surprisingly, these results confirm that East African grantmaking, with a few notable exceptions noted above, conforms to the general pattern of highly fragmented individual short term grants and isolated CSO initiatives.

It would appear that most grantmakers are reluctant to commit to long term relationships with grantees, or collaborative support for aligned and sustained action. This undercuts the sector’s ability to solve, or at least make significant systemic impact on the more complex social problems. CSOs find it difficult to sustain themselves, let alone develop and grow, and the system tends to incentivise competition for resources rather than collaboration for sustainable solutions.

Nature of funding



Note: this chart shows the single major purpose for each grant. It does not show a breakdown of purposes within grants.

- More than four-fifths (82%) of grantees received grants whose main purpose was for specific projects or programmes.
- Smaller proportions of grants were for scholarships or fellowships (6%), general operations (5%), capital projects (5%) or technical assistance (3%).

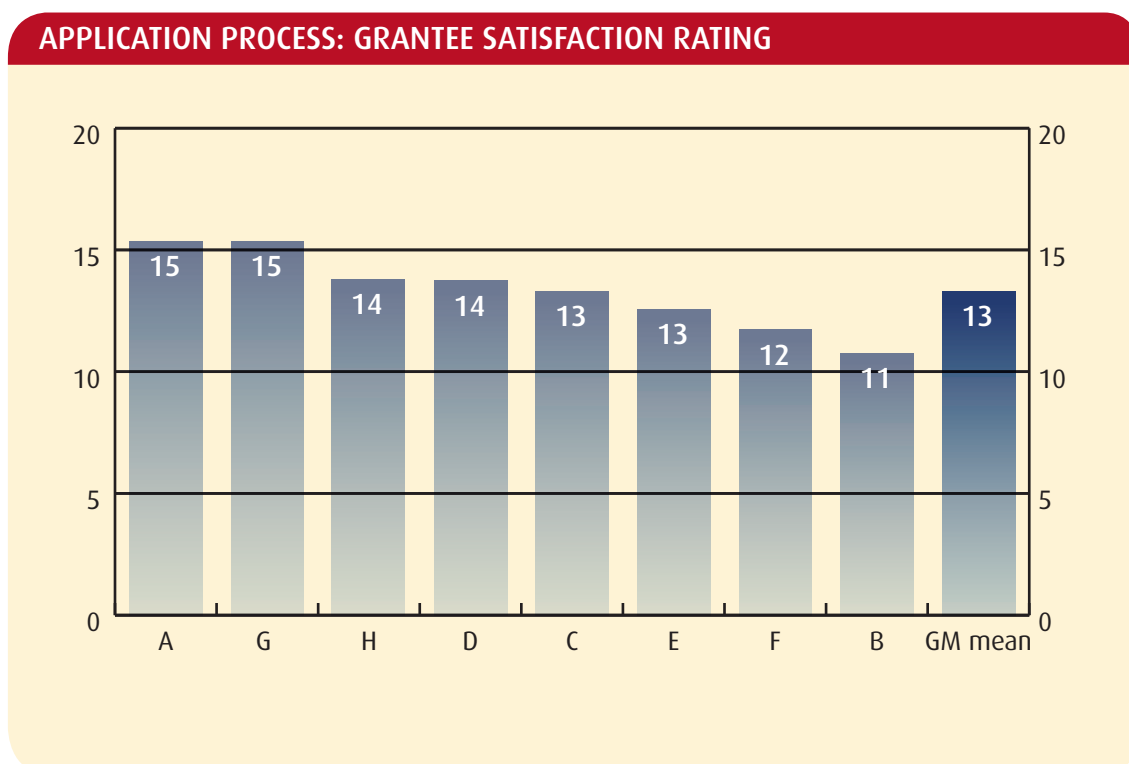
By requiring respondents to mark a single option as the main purpose of the grant, there is the risk that we undercount how much money there is for minor purposes within a grant – such as M&E, capacity building etc. Nevertheless, it does reveal a strong pattern that most funding tends to be for relatively short term projects – and that it is often very difficult for grantees to find resources for their own improvement and learning. Grantmakers should think about whether a narrow focus on individual ‘projects’ is the most effective strategy for supporting meaningful and sustainable change.

Nature of funding

KEY QUESTIONS

- What reasons do grantmakers give for preferring short term grants for specific projects only?
- Are these reasons persuasive when set against these granters views?
- Why do grantmakers tend to support projects rather than organizations?

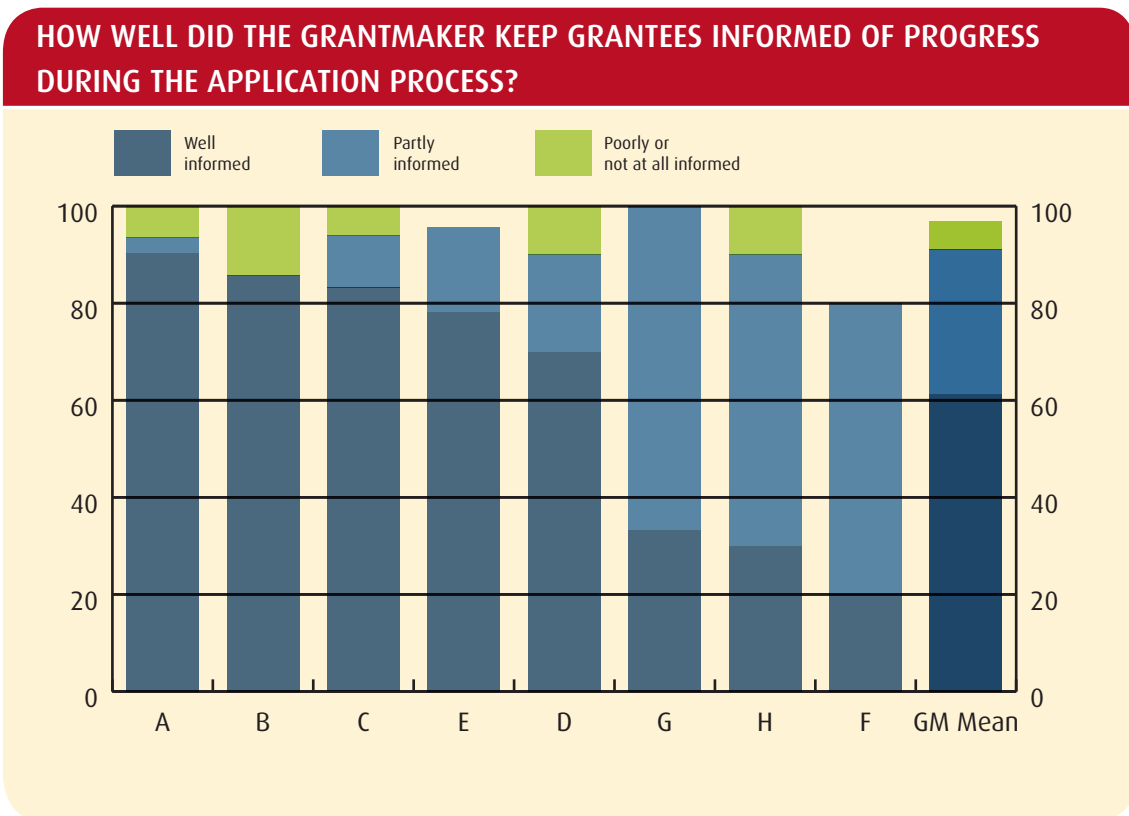
The grant application process



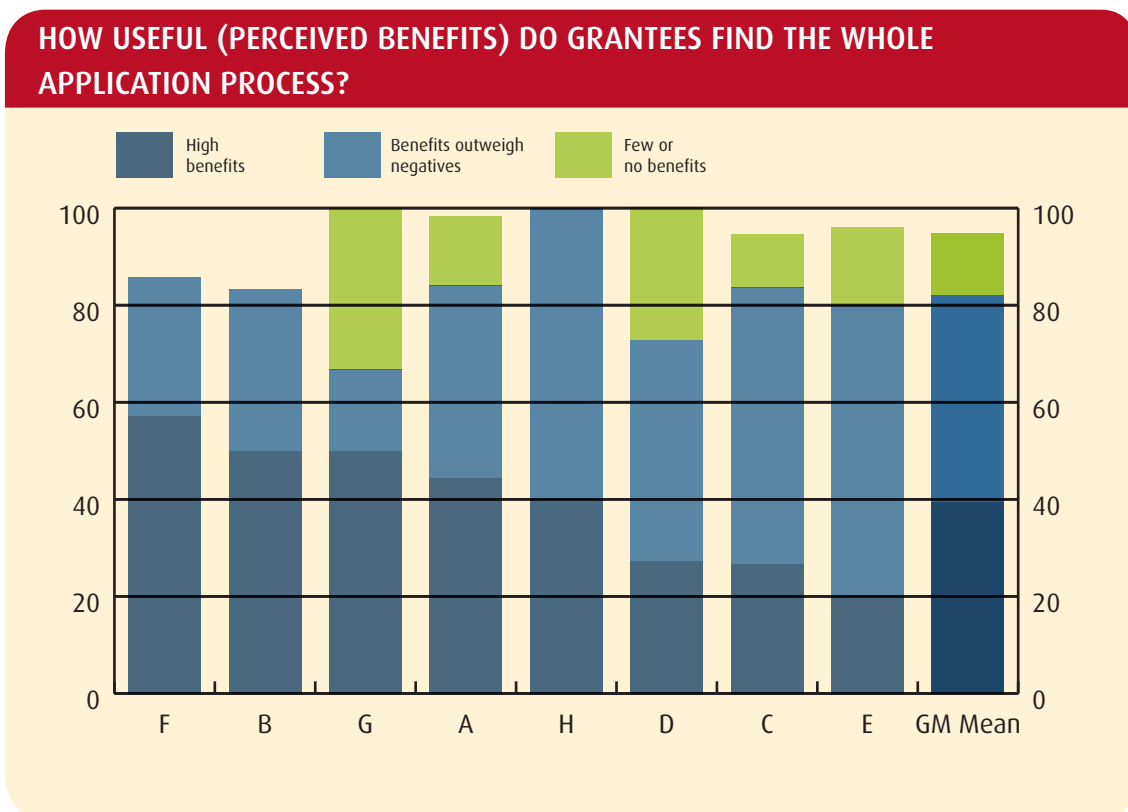
- This chart shows the satisfaction rating with the application process of each of the 8 grantmakers.
- Grantees were on the whole fairly satisfied with their grantmakers' application processes.
- The average rating of grantmakers is 13.3 out of 20.
- Nevertheless, there is a significant variance in the ratings of almost 25% between the highest rated and the lowest. Clearly there is room for some grantmakers to improve in addressing their grantees' perceptions about the usefulness, demands and clarity of their application and approval processes, as well as the time taken by these processes.
- This satisfaction rating combines responses from the questions in the survey, about the usefulness, demands and clarity of the grantmakers' application and approval processes. It may reflect an inherent positive bias.
- Some of the positive comments made by grantees were:
 - "it has challenged us in terms of how we manage the whole project that is funded knowing clearly that anything short of the required responsibility will make us forfeit the subsequent funding";
 - "I must say that the grant application and approval was timely. The issue we wanted to address was urgent and time-bound. Therefore the grant came in at the right time which enabled us to implement the activities that we had planned and eventually were able to achieve our objective";
 - "(We) attained more skills in project fundraising, implementation and evaluation through the many sessions together".

The grant application process

- Conversely, there were also criticisms but interpreting these was more difficult. Some grantmakers work closely with grantees to help them develop their capacity to write high quality funding proposals that meet funder expectations. In these cases, returning proposals until they meet acceptable standards, while it might frustrate the grantee, might be necessary. Future surveys will seek to correct for this.
 - “the approval process was a bit tedious as there was a lot of re-doing the budget and explanation”.
 - “it would be more beneficial if the application and approval is faster than it is currently; also, regular update on the application and approval is necessary”.

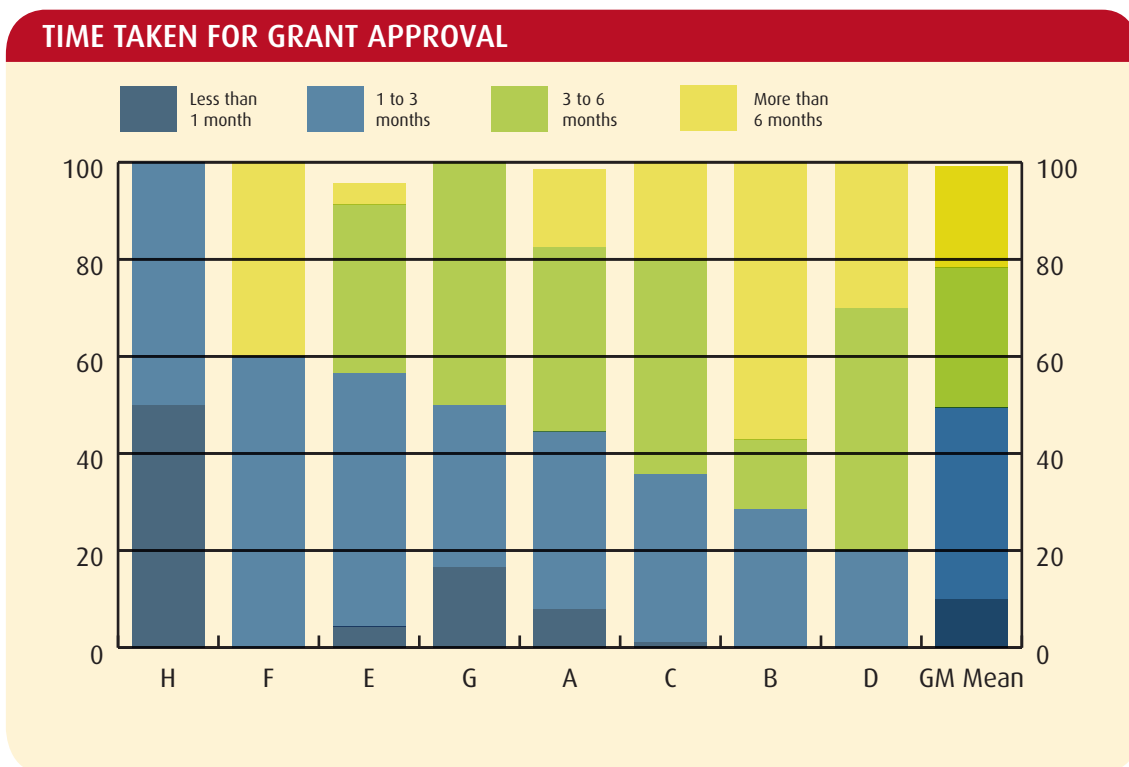


- Almost two-thirds (61%) of grantees across the eight grantmakers said they were kept well informed of progress during the application and approval process.
- Conversely, an average of 36% said they were ‘partly’ or ‘not’ informed. This is a worrying figure, as it suggests that one in three grantees experience a lack of due care and attention from their grantmakers. (Three percent did not know).
- In this measure, individual grantmaker performance varied widely from 20% to 90%. Some grantmakers take this seriously in a way that is respectful of their grantees, while others clearly do not. For this latter group, this is an area for urgent attention.



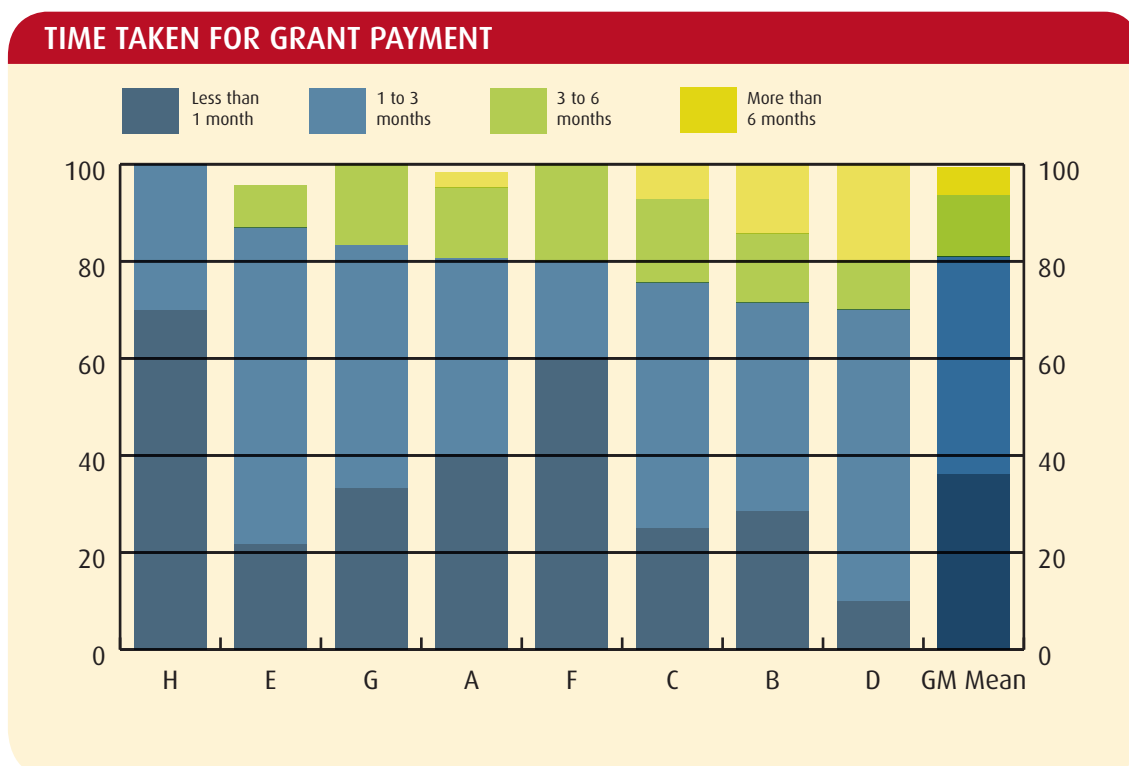
- Over the entire group of grantmakers 82% of grantees felt that the benefits of participating in their grantmakers' application processes outweighed the negatives.
- Of these, however, only 39% of grantees said that the benefits 'significantly' outweighed the negatives.
- Representative positive comments about grantee experiences with the application and approval process included:
 - “We attained more skills in project fundraising, implementation and evaluation through the many sessions together”.
 - “In general I would like to say that from application to approval of funds process, the procedure is fair”.
- Although generally positive, some individual grantmakers did not score highly here. The data here is consistent with the prior question and should leave low scoring grantmakers with no doubt to the opportunity here to make improvements.

The grant application process

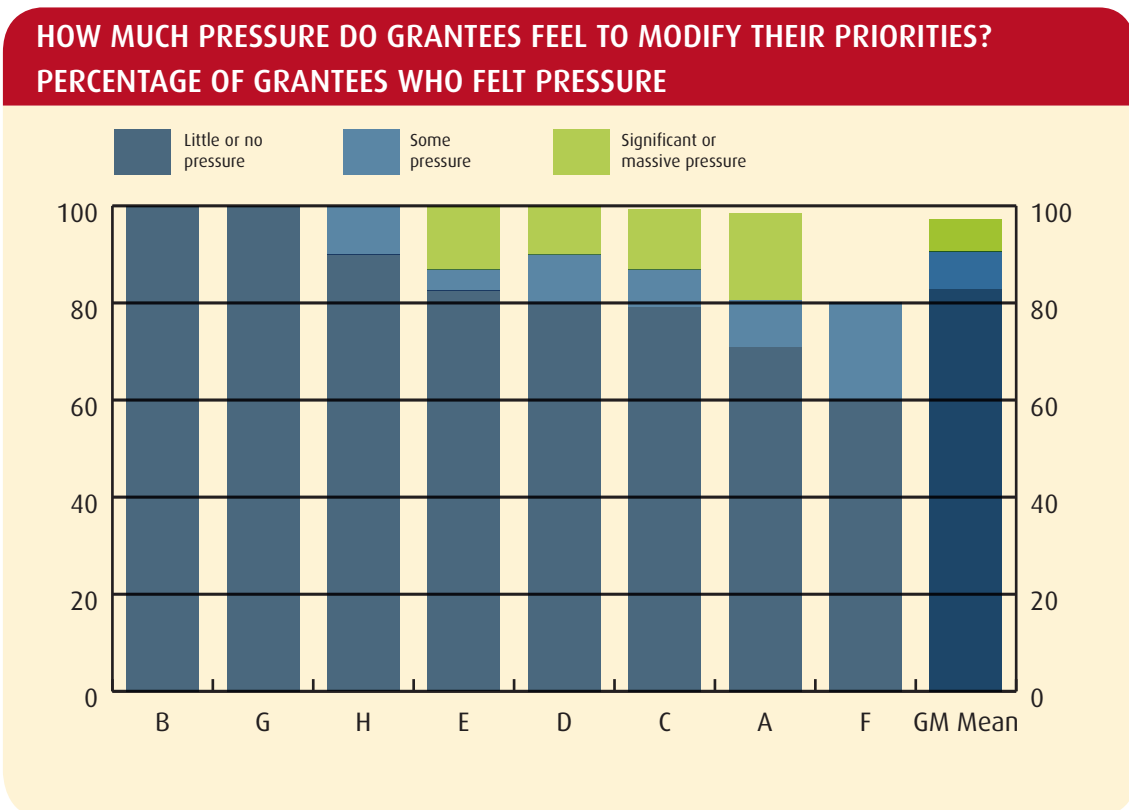


- Just less than half (49%) of grantees reported that their grantmakers took 3 months or less to approve their grant.
- Another 29% said that their grantmakers took 3 – 6 months.
- 21% of grantees said that they had to wait for more than 6 months, after submitting their proposal.
- Those who waited less than a month for approval were slightly more likely (93%) to say the application and approval process was beneficial to them than were those who waited from one to nine months (83%).

The grant application process



- 36% of grantees received the first payment of their grant less than one month after the grant had been approved.
- However, another 45% received their first payment 1 – 3 months after approval. And thirteen percent had to wait for 3 – 6 months, and 6% for in excess of six months.
- A large proportion (more than a third of grantees) commented on the lengthiness of the process, some requesting that the duration should be specified upfront, others mentioning increasing costs before funds arrived.
 - *“Things change and the sooner an organization gets funds, the sooner they will be able to address the problems faced by the community they serve”;*
 - *“I should advise the grantmaker to slightly reduce the waiting period”*
- These overall timeframes do not feel inappropriate. This is a potential area in which individual grantmakers can probably improve. Discussion with grantees is likely to facilitate such an improvement. It would be interesting if future surveys pick up any improvement here.

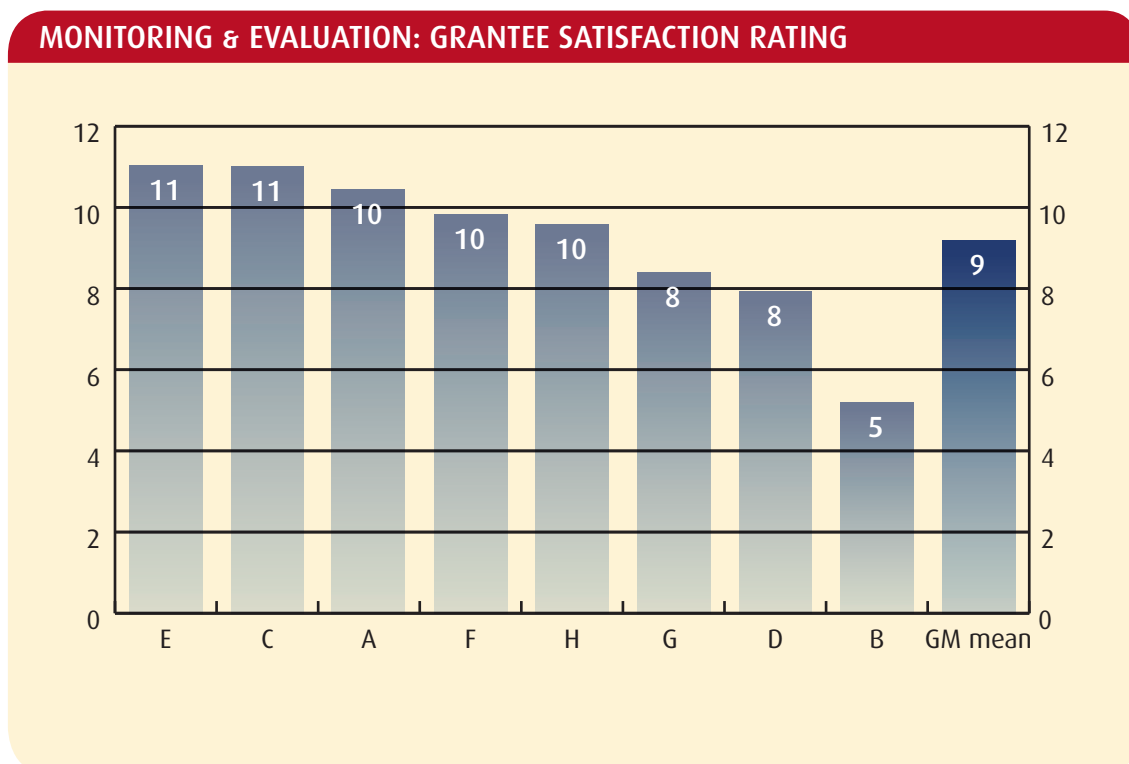


- Seven percent of grantees said that they felt ‘massive’ pressure or ‘significant’ pressure to modify their priorities during the application process.
- The majority, however, said that they felt little (19%) or no pressure (64%) to change their priorities. (One percent did not know).
- So, although it is not a problem for most grantees, some grantmakers put pressure on their grantees to change their proposals to meet their funding criteria.

KEY QUESTIONS

- What kind of pressure might grantees feel to change priorities? Is this always a bad thing?
- What practices foster trust and confidence?
- What are legitimate reasons for delaying funding decisions and fund disbursement? Are there ways in which grantmakers can become more efficient in this area?
- How can grantmakers seek to reduce the impact of funding delays on grantees?

Monitoring, reporting and evaluation



- Grantees rated their satisfaction with their grantmakers' monitoring, reporting and evaluation processes at an average of 9.1 out of 20. The range was from 5.2 to 11.0, thus no grantmakers had their M&E requirements rated highly. The significant variance shows that some grantees found the M&E and reporting requirements of their grantmakers less than useful.
- This satisfaction rating combines responses from eight questions² in the survey, about the usefulness, level of effort demanded by and provision of funding for the grantmaker's monitoring, reporting and evaluation processes.
- One-quarter of grantees expressed positive comments about the monitoring, reporting and evaluation. Examples included 'capacity has been built'; or 'the processes has been done well'; or "the grant maker agents were demanding and this led us to learn to attend to minute issues and taking record of each and every instance related to the project"; or "the trust by the grantmaker has been rewarding".
- Conversely, more than a third of grantees made critical comments, for example, "the feedback on our reports tends to be inconsistent and too formal, a telephone conversation would work better..."; more than one in ten specifically mentioned that the funding for M&E had not been adequate.

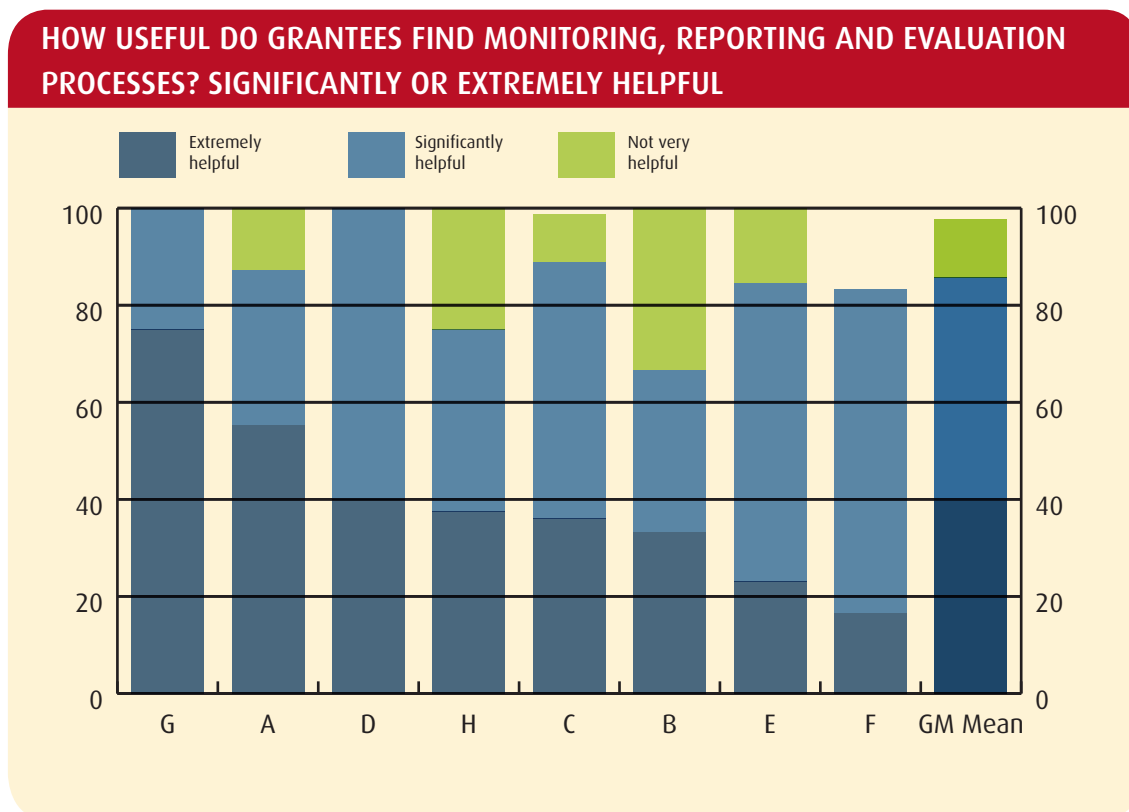
There was an interesting variance in the responses to broad general questions such as how useful do they find their grantmaker's M&E processes (very positive) to many of the more specific questions such as how much funding was provided for M&E.

² The maximum value of these eight questions was standardised to 20.

Monitoring, reporting and evaluation

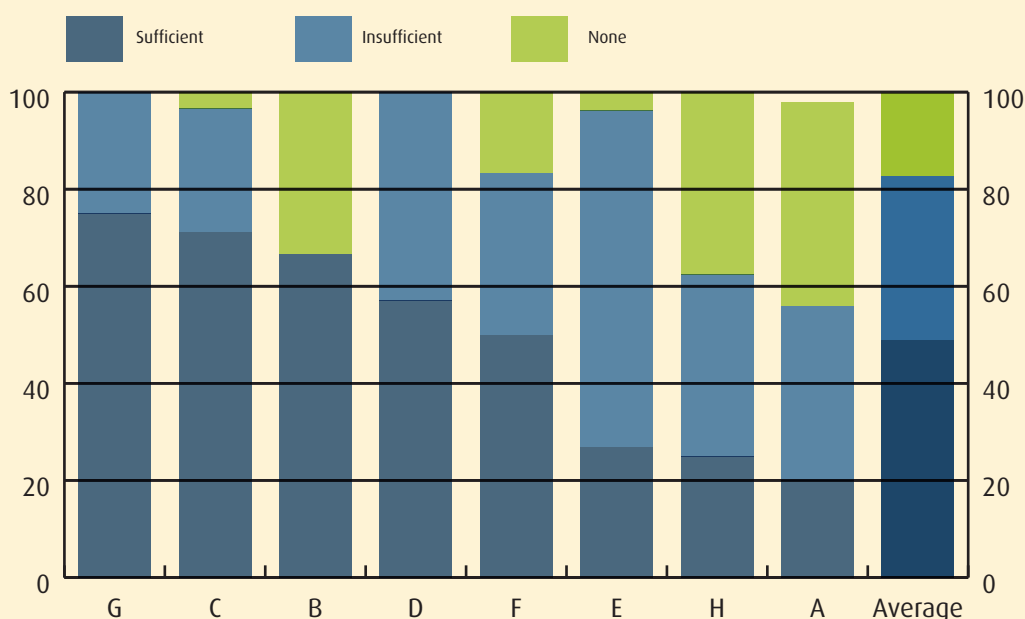
General and broad questions tend to elicit a much more positive response, while respondents are often more critical in more specific questions. There was some contradiction in the responses here indicating that special care is needed in phrasing questions.

Two questions that illustrate this are shown in the next two graphs.



- Most grantees said that they found their grantmakers' monitoring, reporting and evaluation processes 'significantly' (46%) or 'extremely' (40%) helpful in deepening their own learning and improving their work.
- This illustrates the positive bias often found in general questions.
- Twelve percent found these processes fairly, partly or not at all helpful. (Two percent did not know).
- On a related measure, 80% of grantees thought that the demands made on their organizations to monitor and report on their activities and performance to their grantmakers were "just right" while 6% found the demands to be "too much".

HOW MUCH FUNDING DO GRANTMAKERS PROVIDE FOR MONITORING, REPORTING AND EVALUATION?



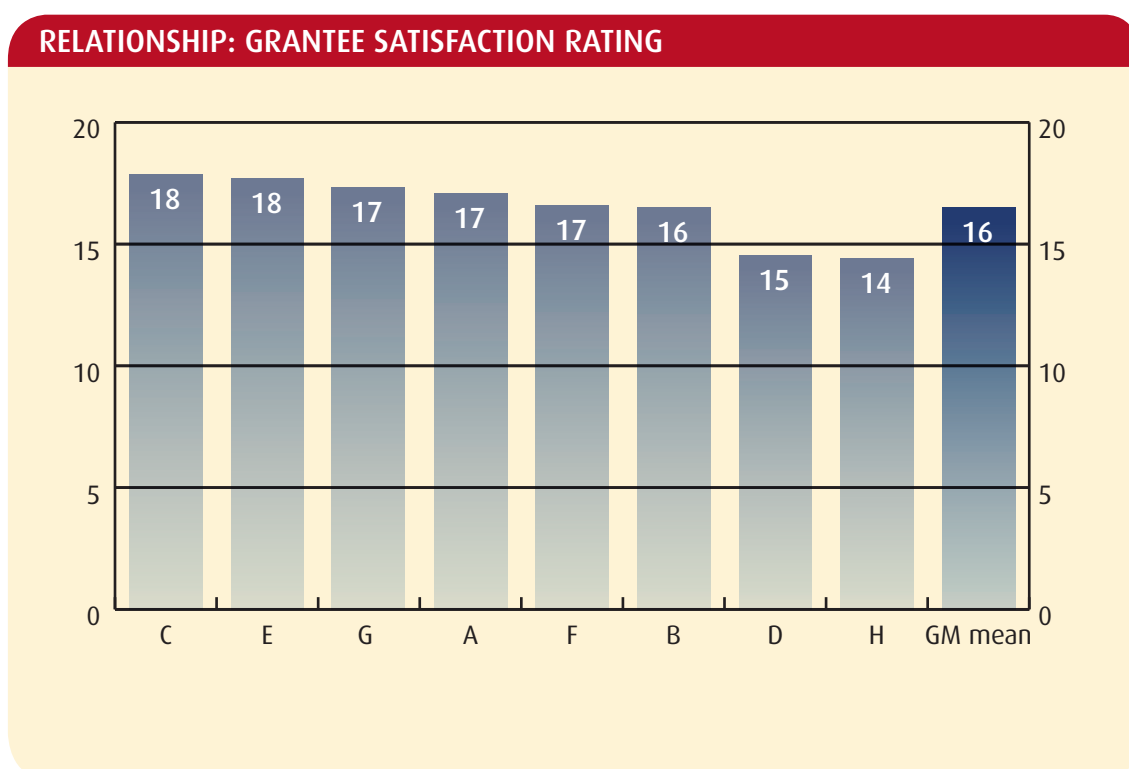
- Almost half (49%) of grantees said that their grantmakers provided sufficient funds for them to comply with the grantmakers' monitoring, reporting and evaluation processes.
- 34% of grantees said that their grantmakers do not provide sufficient funds for these processes and 17% said they provide no funds.
- When asked for general comments about the process, two representative suggestions were:
 - “M&E is a process that one needs to be fully committed with this connection when more time is spent and funds are mostly needed to make the process a success”; and
 - “I would prefer the grant maker to increase the amount of funds they released to development organizations, so that those funds will be also used for monitoring, reporting and evaluation as well. This part of funds may be retained by the grantmaker until the grantee submits the final report on time”.

Thus, although they found the demands reasonable, grantees felt that M&E needed more direct support from grantmakers.

KEY QUESTIONS

- How could grantmakers ensure that M&E and reporting requirements are more useful to more stakeholders?
- To what extent are the significantly lower scores in this index a factor of the lack of utility of M&E?
- What would happen if M&E was re-engineered to be directly helpful in making mid-course corrections and demonstrating impact – and was itself evaluated against this utility?
- Would it be useful for grantmakers to fund feedback surveys of their grantees' beneficiaries?
- What might this add to the picture that conventional monitoring and reporting offers?

Relationship during the grant period



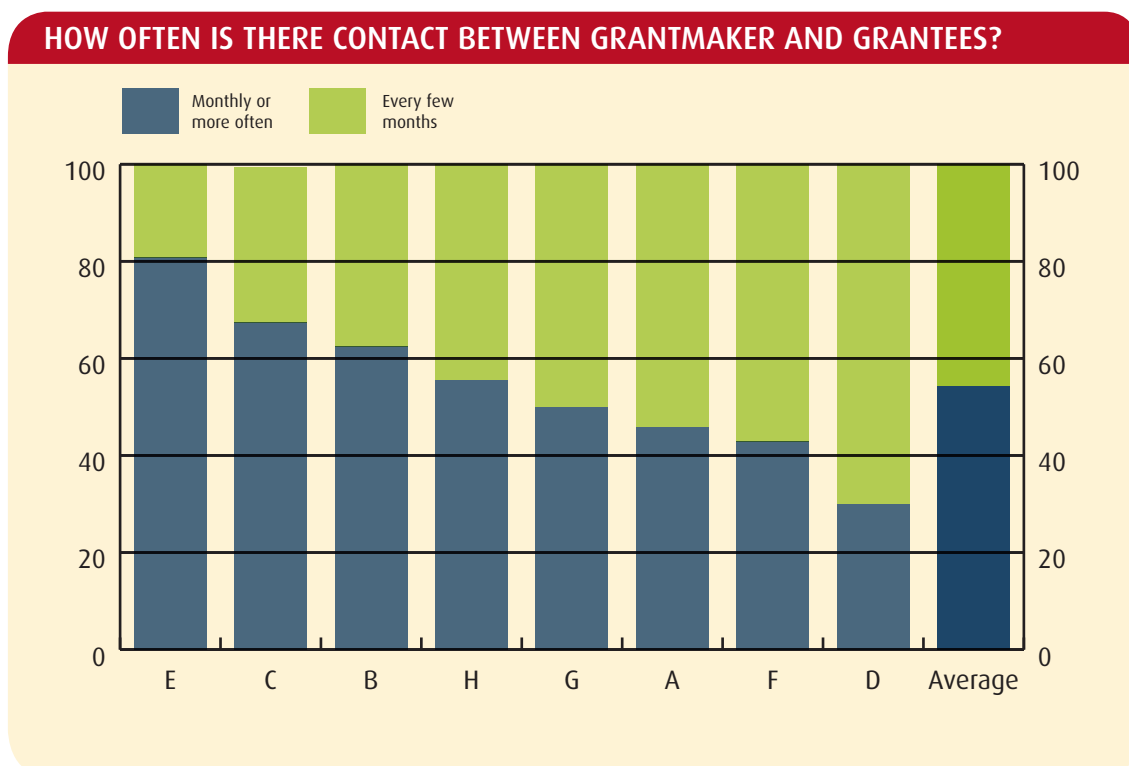
- Grantees rated their satisfaction with their relationship with their grantmakers at an average of 16.5 out of 20.
- The range between grantees of the eight different grantmakers was between 14.4 and 17.9.
- This satisfaction rating combines responses from seven questions³ about the relationship between the grantmaker and grantees. It includes areas like frequency of communication, responsiveness and how open and honest grantees feel able to be. These are essential for an equitable, mutually respectful and trusting relationship in which the balance of power is addressed and learning can take place.
- One finding in this survey was that responses were not as consistent across the grantmakers as we would have expected. Only two grantmakers scored consistently above average across all the questions while only one scored significantly below average. The others scored highly for some questions and poorly for others. We intend to explore this in future surveys and in follow-up discussions with grantees.
- For every negative comment from a grantee about communications with the grantmaker, there were two positive comments.

³ The scores for questions 36 to 42 were added together, excluding 'don't know' responses. The maximum value of 35 was standardised to a maximum value of 20.

Relationship during the grant period

- Typical positive comments were:
 - “the partners are free to air their views, thus better co-ordination”;
 - “it has led to mutual understanding and support”;
 - “the grantmaker has excellent communication and supportive relationship with the institution”;
 - “the communication was good because they listened to what we had to say and they believed in our project and the ideas that we brought, we used to ask questions and they got answered”;
- Some of the negative comments were:
 - “needs improvement in terms of person-to-person meeting”;
 - “communication is limited and too formal”;
 - “there has been a change of the chief executive officers, we are learning and trying to adjust to the system of the new executive”.
 - “project period too short to have known one another adequately and establish strong communication process”.

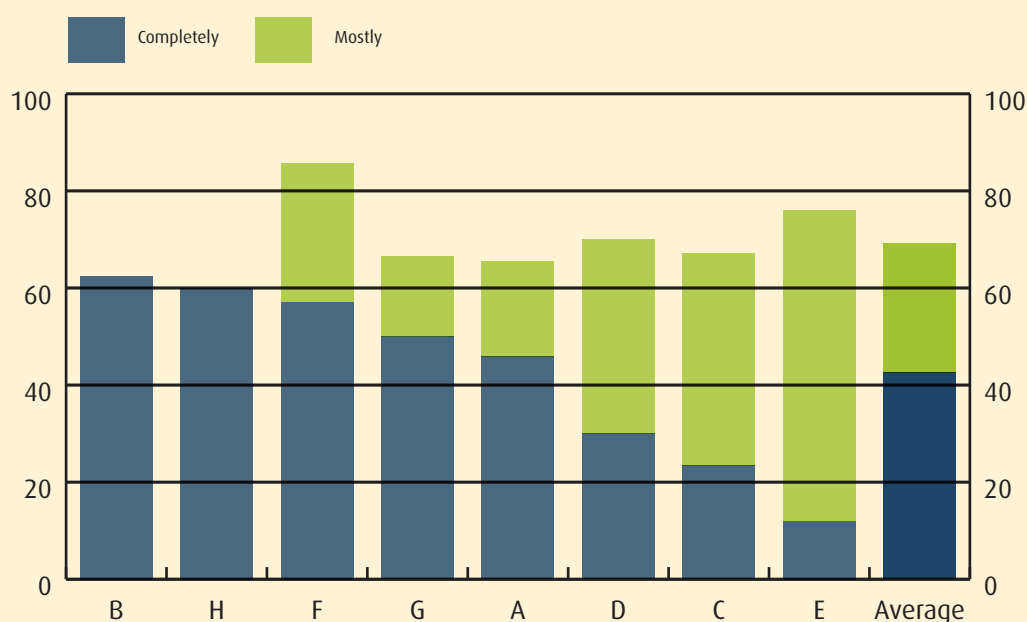
Relationship during the grant period



- Interestingly there was a significant correlation between frequency of contact and general satisfaction with the grantmaker. Lower levels of satisfaction were significantly more prevalent amongst grantees that had less frequent contact with the grantmaker than amongst those that interacted with the grantmaker monthly or more often.
- 54% of grantees reported that they had contact with their grantmakers every month, or more often, during the grant period. This was particularly so for the community grantmakers who tend to see themselves as more 'hands on' development partners.
- However, there is a high variation among grantmakers and, taken individually, some grantmakers only made contact at this level of frequency with 30% of grantees while others achieved this level of contact with 80% of their grantees.
- The other 46% of grantees reported contact with their grantmakers once every few months.
- About three-quarters (78%) of grantees were extremely or very satisfied about their experience with their grantmakers.
- Contact with the grantmaker was usually initiated equally by grantees and by the grantmaker in 79% of cases, by grantees in 10% of cases and by the grantmaker in 11% of cases.
- Sixty-six percent of grantees received a site visit from their grantmaker during the course of the grant. The others were either not visited (30%), or did not know whether a site visit had taken place (4%).
- One grantee commented that *"the grantmaker should consider paying more visits to the project which lasts one or more years. In doing so, the projects will be more improved and sustainable in such a way that the beneficiaries of the projects will know better their funders/donors"*.

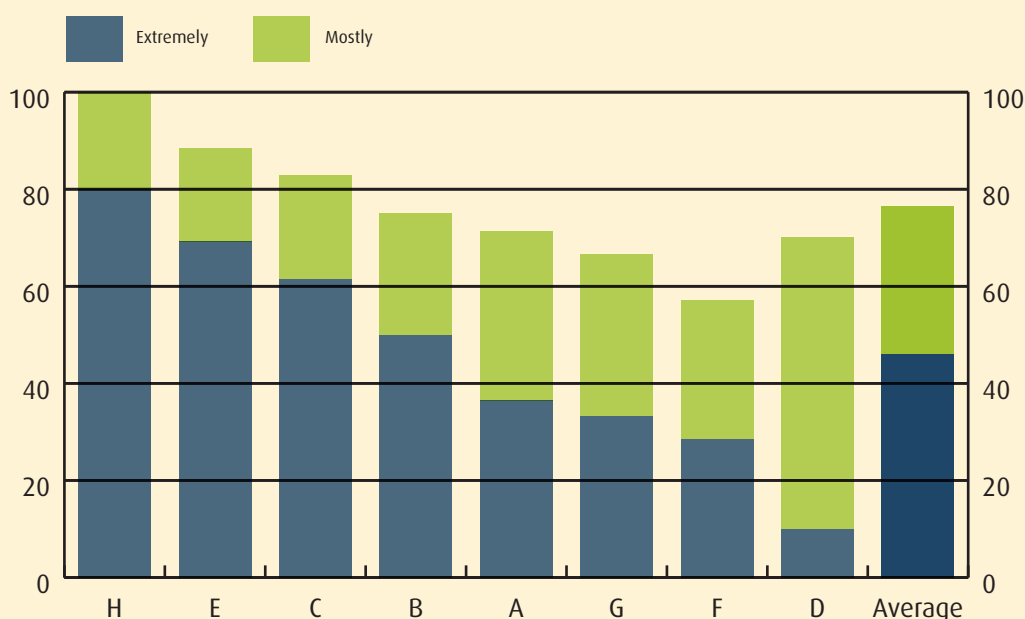
Relationship during the grant period

HOW FREE DO GRANTEES FEEL TO QUESTION THE GRANTMAKER'S UNDERSTANDING OF THEIR FIELD OR CONTEXT?



- There is a wide divergence in the grantee perceptions for individual grantmakers among those who feel completely free, but it evens out if we merge 'mostly' and 'completely' free.
- On average, only 43% of grantees said they felt completely free to question their grantmaker's understanding of their field or context and a further 27% of grantees felt "mostly" able to challenge the grantmaker's understanding.
- The sense of a complete freedom to question varied widely between grantees of different grantmakers, from as low as 12% to a high of 63%.
- Of those who did not feel completely or mostly free, 17% could challenge some things, 11% did not feel free to question their grantmaker's understanding of their context.
- This implies that more than half of grantees may want to challenge some parts of the grantmaker's understanding of their work, but feel nervous about being honest. The grantmaker is sometimes seen as unapproachable, and may not be learning about important issues which affect field work or working relationships.

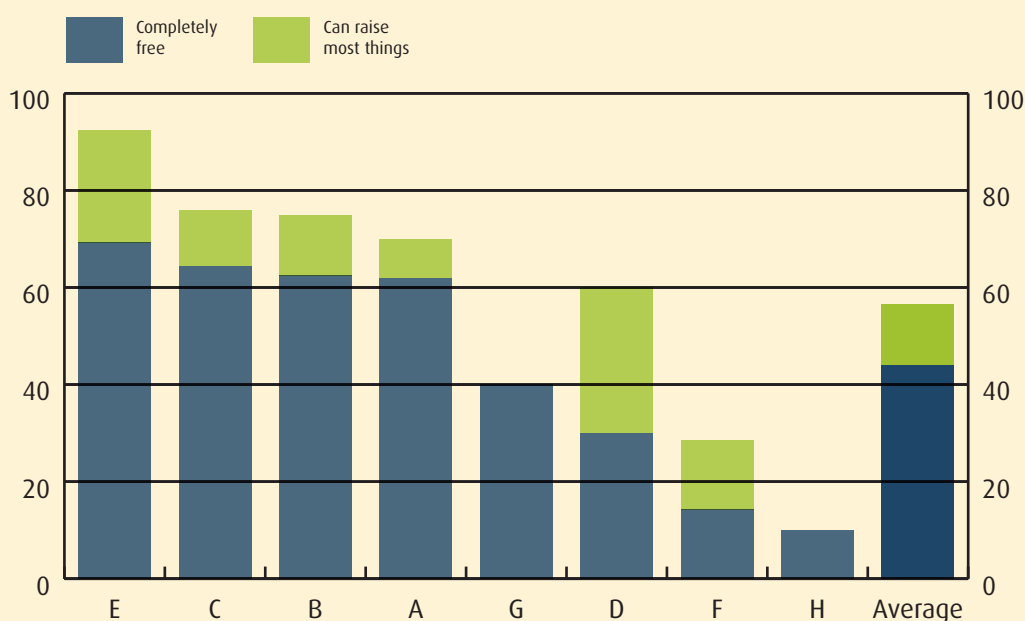
HOW COMFORTABLE DO GRANTEES FEEL APPROACHING THE GRANTMAKER IF A PROBLEM ARISES?



- Less than half (46%) of grantees said they felt 'extremely' comfortable approaching their grantmaker if a problem arises. Again the divergence is significant indicating that some grantmakers can improve significantly.
- A further 30% of grantees feel 'mostly' comfortable in this respect.
- One fifth (20%) of grantees feel 'fairly' comfortable, and the remaining 4% do not feel comfortable approaching their grantmakers about problems.
- It is clear that from the grantee perspective, some grantmakers are more open to acknowledging and discussing problems than others. This could have important implications for the truthfulness of reporting, the quality of learning and might even discourage grantees from tackling the more difficult issues that they face.

Relationship during the grant period

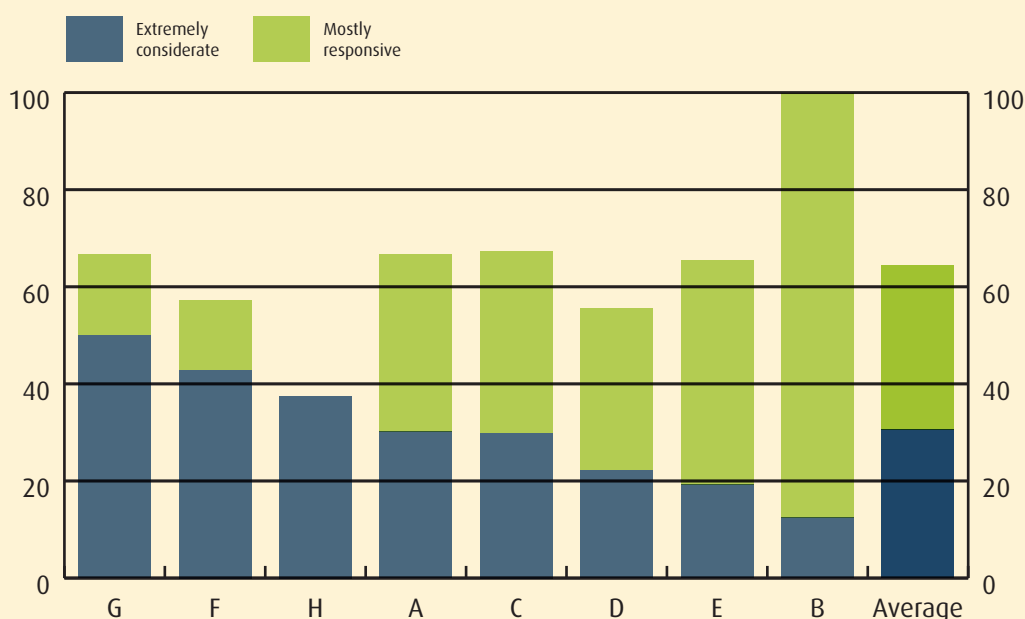
HOW FREE DO GRANTEES FEEL TO RAISE ANY PROPOSAL OR CRITICISM THEY MIGHT WISH TO MAKE? (ARE ALL ISSUES 'ON THE TABLE?')



- These responses show a similar divergence in individual results. On average less than half (44%) of grantees said they felt 'completely free' to raise proposals or criticisms with their grantmakers.
- A further 12% said they felt they could raise most things, 33% some things but taking care how it comes across; 4% could not raise most things and 1% did not feel at all free in this respect. Six percent did not know.
- These results suggest that some grantmakers may be seen as intimidating by their grantees.

Relationship during the grant period

DO GRANTEES FEEL THAT PROPOSALS OR CRITICISMS THEY MAKE ARE TAKEN SERIOUSLY AND ADDRESSED APPROPRIATELY?

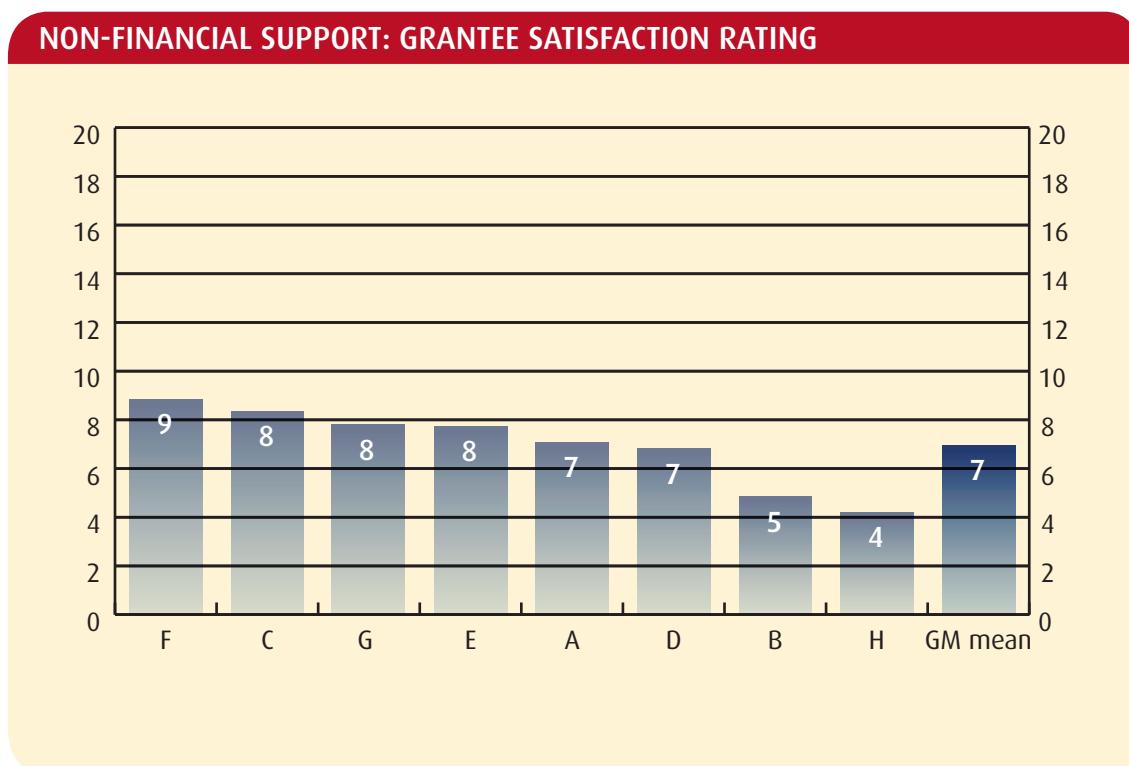


- On average, one in three (31%) grantees felt that their grantmakers address their suggestions in an extremely considerate and responsive way.
- A further 34% of grantees felt that their grantmakers 'consider and respond thoughtfully to most proposals and criticisms'.
- One in eight (12%) felt that the grantmaker considers and responds to proposals and criticisms but that the responses are often superficial.
- A further 7% said the grantmaker considers and responds to 'some' proposals; 1% said that the grantmaker was not at all responsive; and 15% did not know.

KEY QUESTIONS

- How could grantmakers improve the way that they listen and respond to feedback from grantees?
- How can grantmakers create a culture in which problems are seen as potential learning opportunities and grantees are encouraged to report failures and problems honestly and share lessons learned?
- What must grantmakers now do to ensure that this survey pilot project improves grantee relationships?

Non-financial support

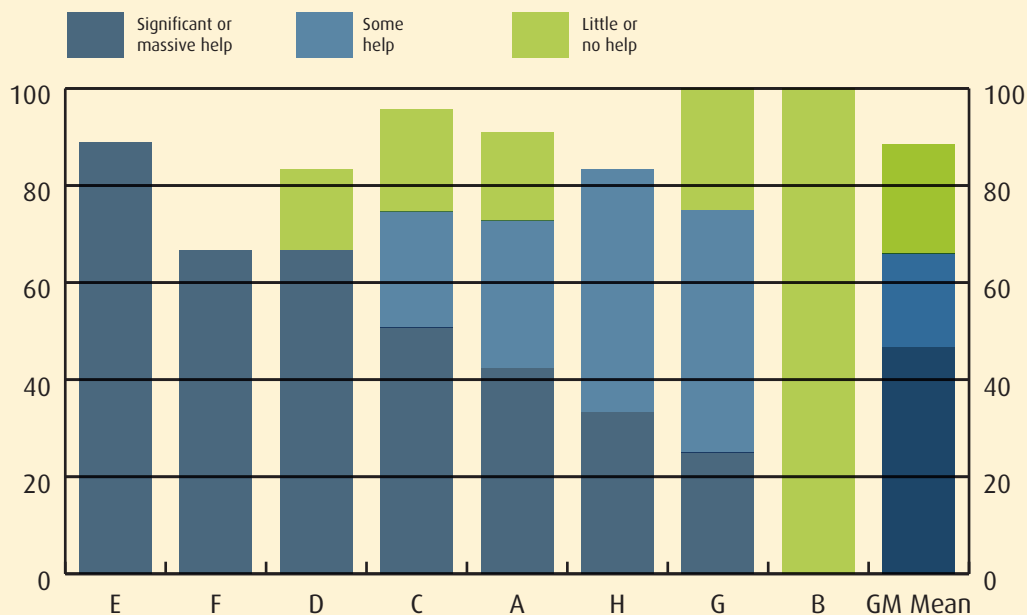


- This satisfaction rating combines responses from questions about sixteen forms of assistance covering support for further fundraising, management support and field-related support.
- 35% of grantees received none of the sixteen forms of non-financial support and a further 13% received fewer than five. So, on average grantees rated their satisfaction with the non-financial support received from their grantmakers at 7 out of 20 ranging from 4.2 – 8.8 out of 20.
- However, if separate calculations are done for each of the sixteen specified forms of non-financial assistance, satisfaction levels are high – with a mean rating of “very helpful” (12 to 16 out of 20) for most forms of support indicating that where they did receive support, grantees found it helpful.
- 27% of comments expressed the need for more management assistance, capacity-building, logistical help and technical assistance. For example: “the grantmaker did not involve us in training on financial management although the evaluators had recommended we get training”, and “grantmaker should think of short trainings to key project personnels.”
- At the same time, 26% of the comments of those grantees that did receive non-financial support said that they found this very valuable. Examples include: “through this project, we have been more felt at grassroots level throughout the country” and “(Grantmaker X) is not only a grantmaker but also a capacity builder and networking organization”.
- We have improved this section of the questionnaire for future surveys in order to communicate a better sense of what grantees received in relation to what they feel they need, and of the impact of non-financial support on grantee capacity and sustainability.

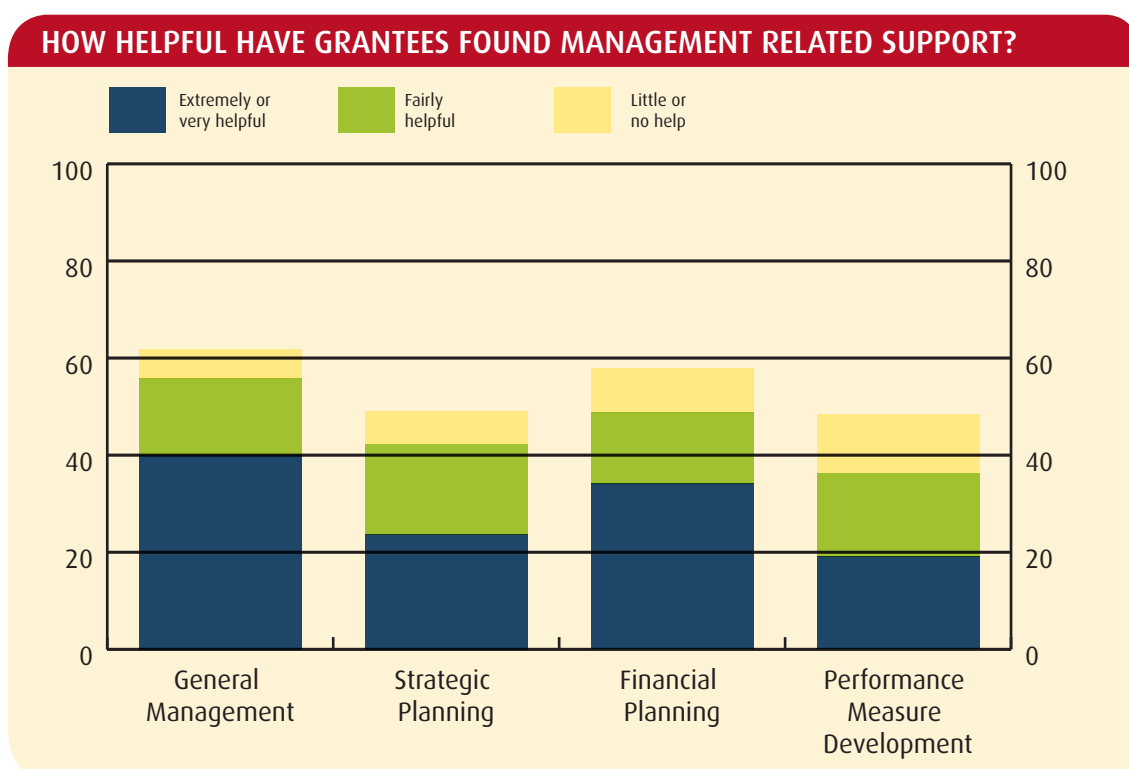
Non-financial support

- Nevertheless, the feedback from this survey suggests that this is an area in which grantmakers could invest more energy and resources than they do at present. There is need for real dialogue between grantmakers and grantees and among grantmakers themselves to collectively explore ways in which grantees can access a fuller range of quality support.

HOW MUCH HAS THE GRANTMAKER HELPED GRANTEES OBTAIN ADDITIONAL FUNDING FROM OTHER SOURCES? SIGNIFICANT OR MASSIVE HELP

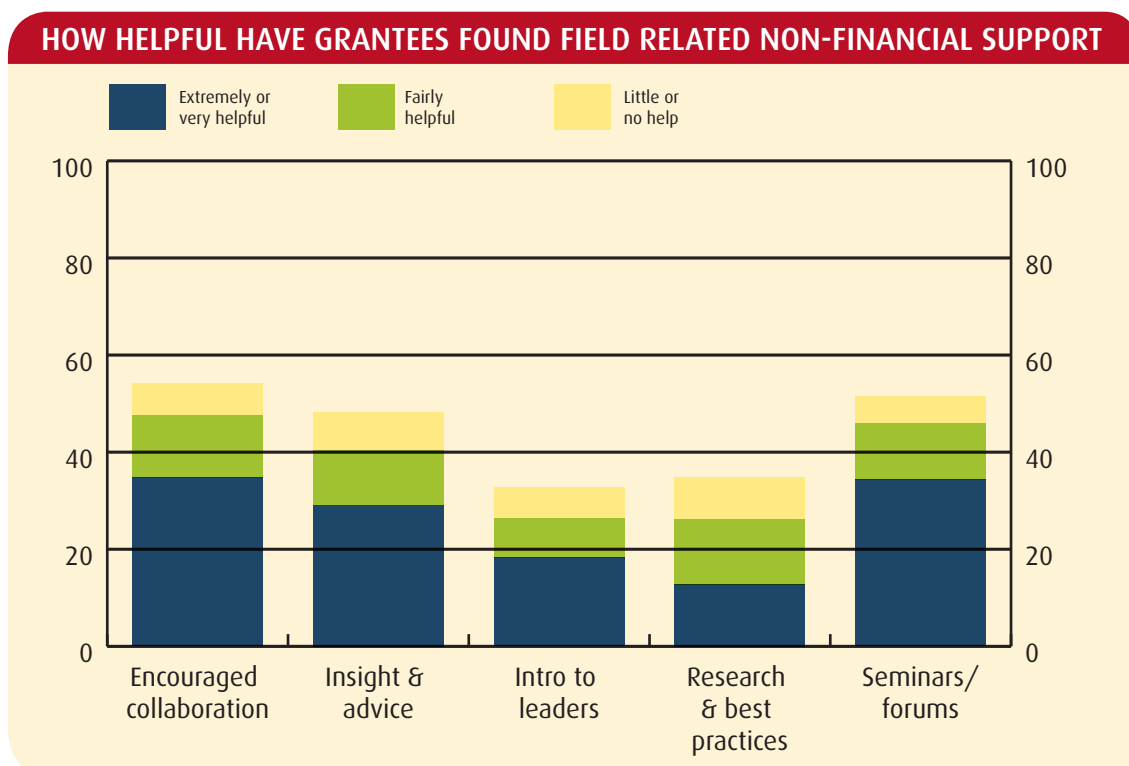


- In response to another question, 40% of grantees said that their grantmaker had actively helped them obtain additional funding from other sources.
- Of this 40%, the chart shows that 47% found the assistance 'significantly' or 'massively' helpful.
- 16% (of the 40%) said that the grantmaker provided 'massive' help.
- This is an area in which grantmakers can provide significant support at relatively little effort on their part. It could also perhaps begin to encourage thinking around collaborative funding and action.



- As the graph shows, those that received management related support make up roughly half of the total number of grantees surveyed. Between one-third and half of grantees were not offered these forms of assistance by their grantmakers.
- Of those grantees that received assistance, 40% received 'extremely' or 'very' helpful assistance from their grantmakers in general management and 34% in financial planning.
- Lower proportions received assistance of an 'extremely' or 'very' helpful nature in strategic planning (24%) and/or in the development of performance measures (19%).
- About one-quarter of grantees suggested that more capacity building would be helpful. Typical comments were:
 - "Grant maker should consider building the capacity of the organization's staff in the sustainability of the project, information technology advice, fundraising skills and linkages to other funders"; and
 - "The grantmaker should focus more on training and forming linkages for the groups they work with, especially in management and strategy development".
- Satisfied grantees commented
 - "The training for Board members on management skills, financial management and other trainings on resource mobilisation and community enhancement on the programme has given our organization strong credibility in our performance and we advocate a continuous process on such trainings"; and
 - "Our networking ability has been greatly enhanced".

Non-financial support

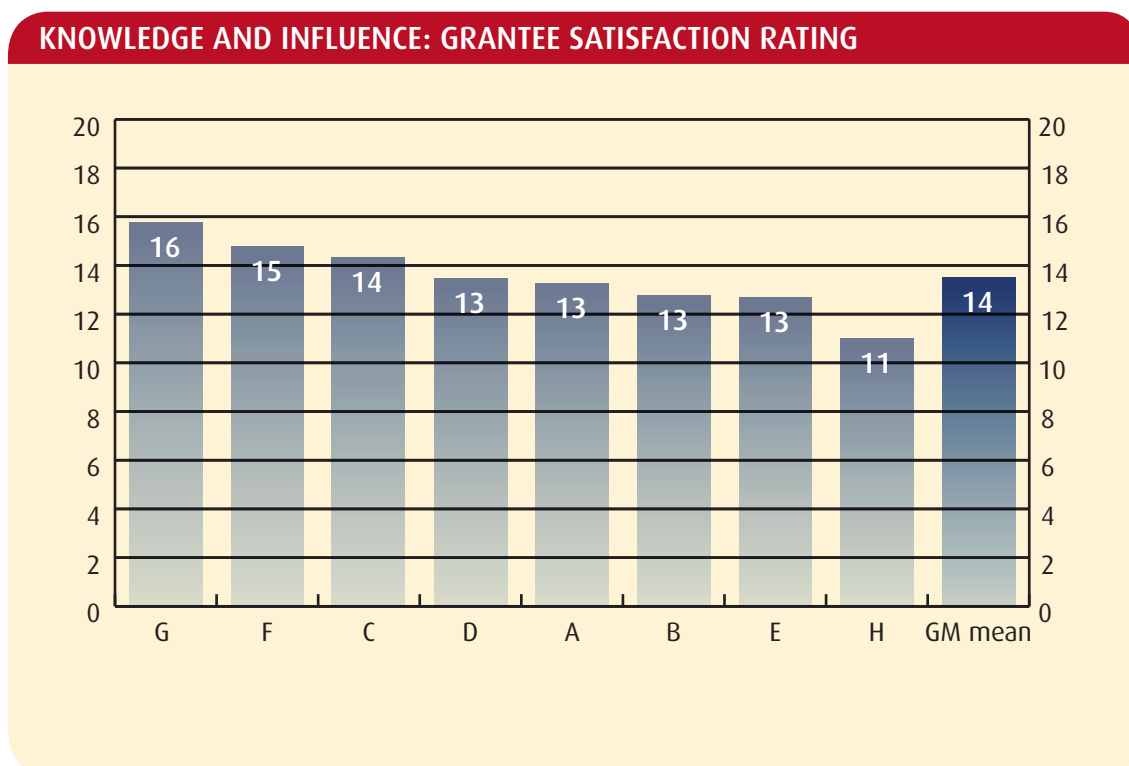


- About one third of grantees received field-related assistance from their grantmakers.
- The most common forms of field support given were the provision of seminars, forums or convenings; and encouragement or facilitation of collaboration with other parties.
- The assistance was rated extremely or very helpful by more than half of the recipients, with the exception of research and best practices, in which case only one-third of recipients found it extremely or very helpful.
- One grantee said
“... we have learned how to work with local area parliamentary representatives to support the bright, needy and well behaved students. Previously the gap between our organization and the elected political leadership was wide, partly because we did not take the initiative to link up”.

KEY QUESTIONS

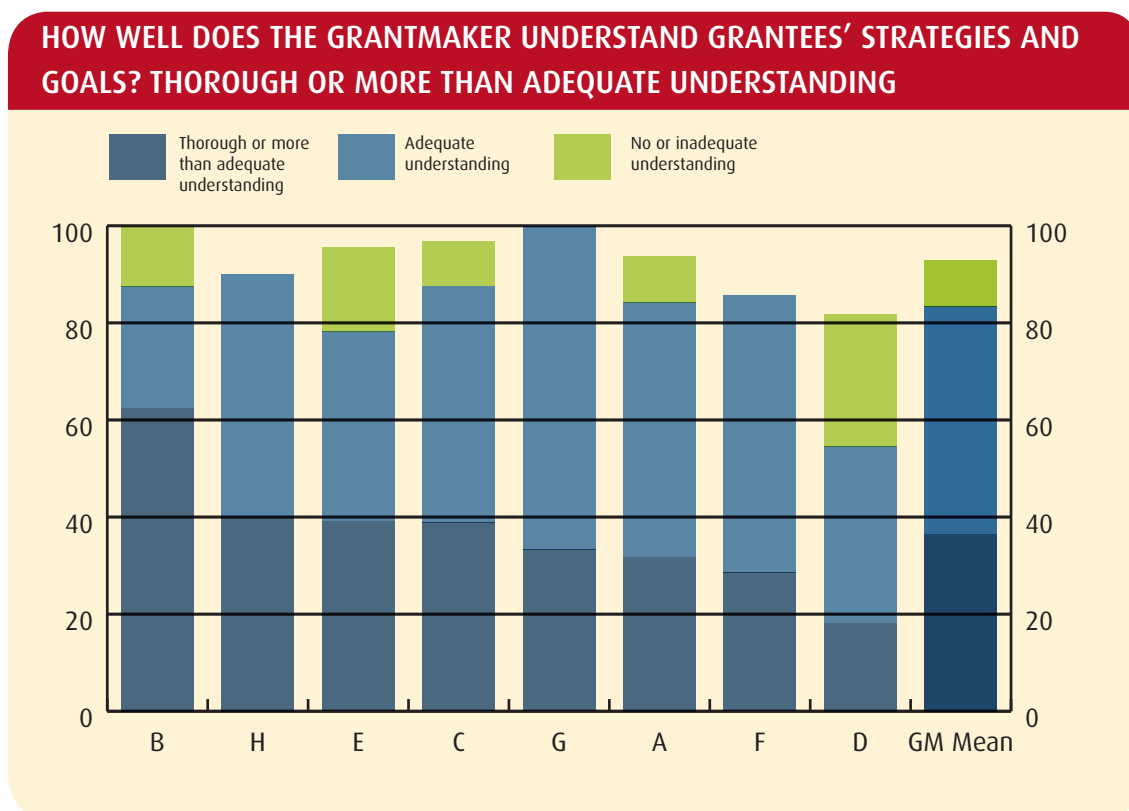
- How can we know what difference non-financial support makes?
- Of those options listed in the questionnaire, what are the easiest to do and what likely to be most effective?
- How can we assess the quality and effectiveness of non-financial support?
- Could grantmakers collectively support a market for better grantee capacity-building and support? What might this look like?
- What are the other possible innovations in the field of non-financial support, and in particular in evaluating its effectiveness?

Grantmaker's knowledge and influence



- Grantees are fairly satisfied with their grantmakers' knowledge of their work and their influence, rating them at an average of 13.5 out of 20. The variance between grantmakers was from a low of 11 to a high of 15.8.
- This satisfaction rating combines responses from six questions about two areas: (a) how well the grantmaker understands grantees' goals, contexts and the people they serve, and (b) how much the grantmaker has influenced wider learning and practice in the field.
- It suggests that while some grantmakers enjoy a high degree of confidence in their understanding of the field, others could improve.
- On a related measure, 68% of grantees see their grantmaker as a 'team player' that is open to collaborative ventures with other grantmakers and grantees. Nine percent hold the opposite view, while 23% do not know how to rate their grantmaker in this respect. Clearly there is support for the idea of more collaboration within the existing small, isolated grants paradigm even though the nature of funding suggests that the paradigm itself is still strong. Nevertheless, this is a positive response.

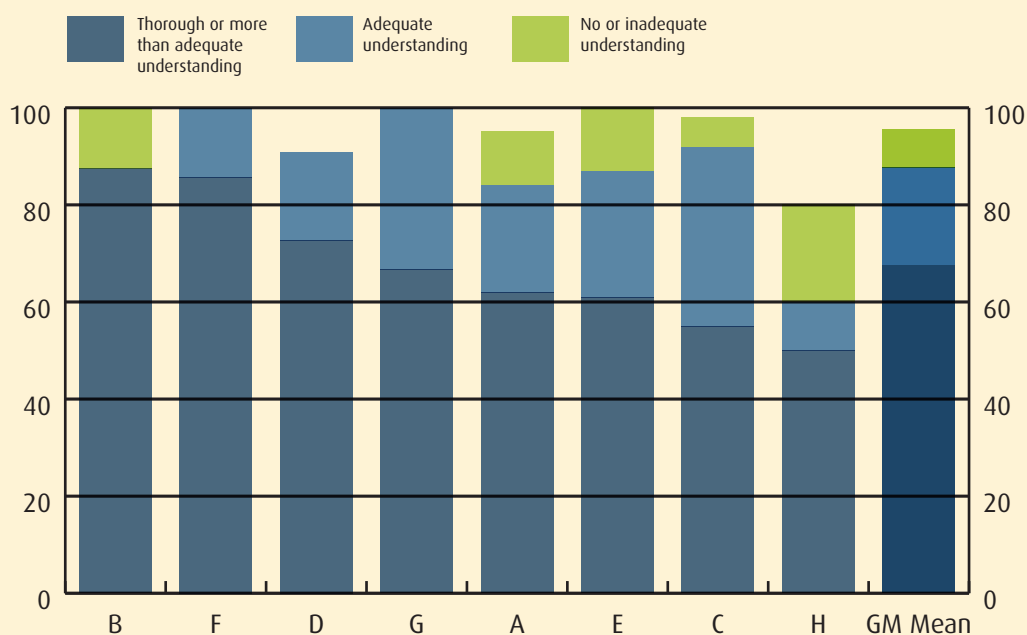
Grantmaker's knowledge and influence



- On this measure, 37% of grantees said they felt that their grantmakers have a 'thorough' or 'more than adequate' understanding of their strategies and goals.
- A further 47% said the understanding was 'adequate' and 9% felt it was inadequate or totally absent. This suggests significant scope for most grantmakers to improve their understanding of grantees' strategies and goals – or their ability to demonstrate this understanding.
- Seven percent did not know.

Grantmaker's knowledge and influence

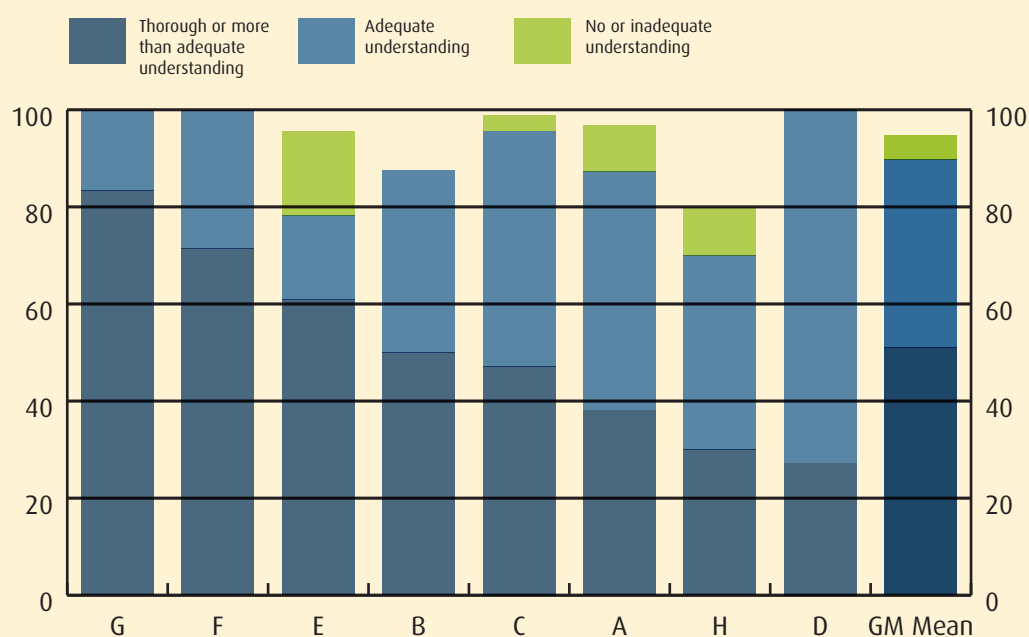
HOW WELL DOES THE GRANTMAKER UNDERSTAND THE COMMUNITIES OR GROUPS SERVED BY GRANTEES? THOROUGH OR MORE THAN ADEQUATE UNDERSTANDING



- More than two-thirds (68%) of grantees said that their grantmakers have a 'thorough' or 'more than adequate' understanding of the communities or groups that grantees serve.
- Of these, 21% said that the understanding is 'thorough'.
- Conversely, 9% of the grantees said that their grantmakers have an 'inadequate' or 'no' understanding of these communities or groups.

Grantmaker's knowledge and influence

HOW WELL DOES THE GRANTMAKER UNDERSTAND THE FIELD THAT GRANTEES WORK IN? THOROUGH OR MORE THAN ADEQUATE UNDERSTANDING



- More than half (51%) of grantees said they felt that their grantmakers have a 'thorough' or 'more than adequate' understanding of their field.
- Of these, 30% of grantees said that their grantmakers have a 'thorough' understanding.
- The remaining grantees were of the view that either their grantmakers have an 'adequate' understanding of the field in which they operate (39%), an inadequate or no understanding (5%) or did not know about their understanding (5%).
- Comparing the responses of the last three questions suggests that grantees think their grantmakers have a fair to good understanding of their field and context, but a slightly less adequate understanding of their specific strategies and goals.

Part 3

The story of the survey, reflections and learning

Reflections on the challenges and achievements of the pilot

The conditions under which Keystone conducted this first ever comparative grantee feedback survey outside the USA were challenging.

CHALLENGES

The pool of local grantmakers that we could approach to participate in the project was small, diverse and spread over three countries. At one end of the spectrum were large international private foundations like the Aga Khan Foundation, which supports relatively few long term 'internal' grantees that they have often helped to start and for which they remain the major if not the only funder. At the other end of the spectrum are the 'intermediary' African community grantmakers like Kenya Community Development Foundation, the Foundation for Civil Society, and Social Action Trust Fund who support hundreds of small community-based citizen organizations, often in remote settings.

Often these community grantmakers are dependent on funds from international 'wholesale' grantmakers that come with their own strict conditions. They are seldom able to make more than one or two-year grants given their own financial vulnerability.

The grantees ranged from large well-resourced and stable NGOs with offices in cities to literally hundreds of small, vulnerable and often young (about half were between one and two years old) community-based organizations across the three countries – creating real problems of access, communication, degree of survey-literacy, and meaningful comparison.

Keystone drew heavily on the successful Grantee Perception Reports® of the Centre for Effective Philanthropy in the USA on the design of its questionnaire. We adapted it considerably to suit the context and the concerns of the East African grantmakers, who participated in the revision. However, we still underestimated how different the contexts in fact are. This is especially true in the area of community grantmaking. The risk of misinterpretation of questions is higher than among professionally staffed and more survey-literate charities in the USA. What to ask and how to ask it needs to be acutely sensitive to these problems. Our post-mortem on the survey has produced a list of specific issues relating to specific questions. To illustrate with one example, it was clear that some community based grantees probably misinterpreted the question "What is the total amount of funding committed for this grant" to be the amount that they got in specific tranche payments and not the whole grant.

Scheduling report-back meetings to grantmakers was difficult and required three separate visits to East Africa. This underlines the need for capable local partners who can run, analyse and report on feedback surveys themselves. Fortunately Keystone was able to secure the highly competent administrative services of Allavida in Nairobi and we are sure that, with an improved survey tool and a streamlined method, Allavida or some other local partner will be able to conduct feedback surveys independently – while contributing their data to an emerging global databank of comparative data and drawing on it for particularly suitable comparators.

SOME ACHIEVEMENTS

Nonetheless, while still far from perfect, we were able to achieve considerable success in this first pilot. We are grateful to the participating grantmakers for the detailed feedback that they gave us during our presentation of their grantees' feedback to them.

We achieved a 51% response rate from grantees to the survey – which given the problems of communication and distribution described above, can be seen as very high and indicative of a high degree of interest and support from grantees. There is without a doubt a large pent up

demand among African civil society organizations to give expression to their experience of the funding relationship. It will be important to sustain this interest by ensuring that grantmakers do indeed engage with their grantees on their feedback and respond appropriately. A follow up survey in mid-2010 would be the best way to assess whether there has been engagement and improvement.

We have created an initial quantified description of performance across eight East African grantmakers. It provides a comprehensive benchmark for the practice of grant making in this context. It is now in the hands of East African grantmakers as to whether and how well they will use this benchmark.

We have contributed to the development of African professional capacity to conduct and evaluate high quality, professional feedback surveys.

One goal from the beginning was to begin building local capacity and the beginnings of a network of grantmakers committed to listening and responding to feedback from their grantees in East Africa. This project was run almost entirely by our South African office in partnership with Allavida in Nairobi. A second regional comparative grantee feedback survey is about to begin in Southern Africa. We will continue to build on this experience and hopefully soon extend feedback opportunities to include the ultimate beneficiaries of development interventions.

We have designed and tested a specific survey methodology, which despite many problems, was judged by the participating grantmakers to be valuable.

We were able to identify strong African professional partners – both in the form of social survey firms familiar with conducting surveys in African contexts, and graphic design and production partners to ensure an engaging, clear questionnaire format and a practical way of using both postal and email technology in an environment of limited internet access and low bandwidth constraints.

We designed a respondent-friendly survey instrument with questions that enabled grantees to give honest, anonymous feedback to their grantmakers across most areas of grantmaker performance.

We have learned about the postal system and innovated new forms of interactive email surveys that can reach remote organizations. In this survey, the overwhelming majority of responses were from small, remote rural and urban community-based grantees, both in absolute terms and compared to more established NGOs.

We have found simple ways of presenting complex data in clear and easy to read feedback reports, although there is scope for further improvements. Generally the reports were well received by grantmakers, and three of the eight grantmakers have approached us to ask how they can get in touch with the designer of the reports and the graphics for their own research and media.

We have begun to build a set of comparable feedback data that, as it grows, will enable much more useful comparison as grantmakers are able to compare their performance over time with previous years, and across sectors with other grantmakers similar to them from all over Africa.

It is too soon to evaluate how East African grantmakers have followed through with their undertakings to engage with grantees on the findings of the survey. Feedback from most grantmakers at the report-back meetings suggests that the survey did generate actionable insights. Feedback is both helpful where it is positive (especially for those intermediary grantmakers who can use the positive feedback as affirmation of their grantmaking models and

Reflections on the challenges and achievements of the pilot

in their appeals for support from international back donors) and where it is negative indicating areas for improvement. Keystone will conduct a survey in six months time to track results flowing from this pilot project.

We continue to keep contact with the East African Association of Grantmakers and hope that this will grow into a stable relationship to enhance the field. This survey report will be discussed at a meeting of the Association in November.

Conclusion

Keystone successfully carried out the first ever survey of grantees' perceptions of grantmakers in Africa. We have adapted a method proven in the US, and generated substantial quantified data on key aspects of grant making performance across eight grantmakers.

As such, we hope it marks a stake in the ground. Grantmakers can compare their performance against each other. If the survey is repeated, they will be able to monitor changes and improvements. Taken as a whole, the survey identifies specific strengths and weaknesses of current practice across the field. Finally, it establishes, for the first time, a general method for publicly assessing and reporting grantmaker performance as key constituents of development interventions which can be repeated and improved in the future.

We are excited about this, because it provides systematic performance data that puts the rhetoric of empowerment into practice. The exercise empowers grantees, by asking for their views and attaching real executive importance to them: their voice matters. This makes a link between the means of development and the ends of development. We believe it contributes to a solution to the problem of accountability in development work: quantifying views from the bottom up.

In addition, the exercise provides performance data on grantmakers' performance of a new kind that we hope will be of direct use for senior decision makers in these organizations – providing a fine grained differentiation between 'better grantmaking' and 'worse grantmaking', which they can use to drive improvements.

African grantmakers have engaged enthusiastically with the process. We hope to continue these relationships through the East African Association of Grantmakers. There is much in this report that can be analyzed and discussed by grantmaker gatherings across the continent.

There is significant scope to continue to refine the methodology. For instance, we will continue to improve specific questions and seek grantees' views on how the process can work better for them. We will also improve the generation of the comparative performance indices. However, with much of the basic research and infrastructure in place now, a follow up survey should cost considerably less than the first pilot. We have contributed to building capacity in the region, and will continue to work in close association with local regional partners.

The fundamental question we face is how to sustain the action research into how grantee feedback can best be harnessed to improve the practice of grantmaking and development practice in Africa.

With most foundations cutting back on their civil society strengthening programme budgets, learning is often the first casualty. It is difficult for many of the intermediary community grantmakers to pay much for this kind of survey unless this is specifically budgeted for in their own grants from their 'wholesale' funders.

Keystone will approach a wider set of African grantmakers to participate in future surveys and to cover at least part of cost of surveying their grantees in 2010. We hope that we can depend on the continued commitment of visionary grantmakers in different parts of Africa to take a lead in supporting innovation into how to improve grantmaking for African development.

Appendix 1

Field notes and more detailed learning process

This section discusses the process of conducting the survey in its different phases and some of the learning that was generated along the way.

ESTABLISH A GRANTEE DATABASE AND EAST AFRICAN INFRASTRUCTURE

Grantmakers were requested to give contact lists of all their current grantees. We insisted on this to minimize sample bias. A total of 684 grantees were originally included in the survey. This was reduced, as the process unfolded.

Allavida was contracted to provide comprehensive administrative services, to provide critical input on the questionnaire and method so that it remained sensitive to local contexts, and to become familiar with the methodology and the medium term goal of becoming a full East African implementing partner for constituency feedback surveys. They provided excellent service and valuable input into questionnaire.

Grantmakers wrote to all their grantees encouraging them to respond to the questionnaires using a letter template prepared by Keystone with the help of the Centre for Effective Philanthropy.

QUESTIONNAIRE (DESIGN, TRANSLATION AND ELECTRONIC FORMAT)

An initial draft of the questionnaire was prepared by Keystone based on the standardised questionnaire of the Centre for Effective Philanthropy.

A one day workshop with 11 grantmakers from Kenya and Tanzania was held on 20th May 2008 to refine the questionnaire – making sure that it covered all the areas on which they wanted feedback. At the meeting all the grantmakers present expressed the hope that they could get together again after the survey to discuss the feedback and the way forward.

For this pilot we did not seek grantee feedback into the design of the questionnaire – but in subsequent surveys we would like to consult with a sample of grantees to get their feedback on whether it enables them to say all the things that they felt needed to be communicated to grantmakers. We have subsequently developed an ethical framework that includes the practice of ‘inclusive design’: including the respondents in the design of any feedback instrument.

The meeting requested that the questionnaire be translated into Kiswahili and French. The French translation (done by the sole grantmaker that requested it) proved unusable, so only the Kiswahili and English version were used.

The matter of translation is highly complex. Many technical development terms do not translate easily so the questionnaire was initially translated by an academic institute at the University of Nairobi, then revised by the Foundation for Civil Society, then sent out for comment to a range of practitioners before it was finalized. The English questionnaire was also revised to make it as comprehensible and ‘plain English’ as possible. A major learning here is to avoid technical jargon wherever something can be said in plain English – or to check its translatability not only as a term, but as a concept in the language and cultures in which we work.

A graphic designer with a special interest and capability in surveys was identified and we went through a number of different designs before we settled on one that we felt was clear and attractive enough to make completing the questionnaire easy and fun for respondents who were generally not used to surveys.

During the design process we hit on a way of using the 'interactive forms' capability of Adobe Acrobat to create an extremely lightweight interactive pdf questionnaire that looked exactly like the printed version. Respondents with even the slowest form of email connection can receive the questionnaire by email (in full colour), complete it on their computers and hit a pre-programmed send button. This then sends only the data without any of the graphic formatting (very small file size) to a pre-programmed email address. When the receiver opens the form, it reconstructs the entire questionnaire which can then be saved. This method dramatically reduces the time and cost of conducting these surveys.

It is only in the practice that you learn how best to ask for information. In the report backs, for example, it emerged that there could have been some confusion in the way questions were asked (for example respondents may have indicated the length of specific tranches of funding rather than the length of the grant itself. This will be noted and addressed in future questionnaires).

We have documented the recommendations on the questionnaire and future revisions that emerged from the grantmaker report back meetings. These have already fed into future survey designs.

PRINTING AND DISTRIBUTION

The first delay was when the printed questionnaires, couriered from South Africa, were delayed for 10 days by Kenyan customs. These were eventually released when Allavida enquired and was able to show that they had no commercial value.

They were dispatched in 3 phases. In the first phase 148 English questionnaires were posted on the 8th September 2008; the next 266 Kiswahili questionnaires were posted on 16th September 2008. The last phase was 270 email questionnaires (in English) that were sent out on the 26th and 27th September 2008. All the feedback was expected back within the month of October 2008.

Actual printing and distribution costs were considerably more than originally estimated in budget due to larger numbers of respondents, the need for much more design time, and especially printing the feedback reports digitally in colour.

THE RESPONSE PROCESS

One of the problems encountered in Tanzania and Uganda was that the reply coupons that we had purchased for respondents to exchange for stamps had been phased out and were no longer valid to exchange for stamps in the respective countries. Grantees thus had to bear the cost of posting their questionnaires back. The willingness of grantees to do this is gratifying, but returns might have been higher if grantees had not had to pay for postage.

In future, we will need a local return address within each country rather than sending all to Kenya.

There were also problems with some of the email questionnaires with the automatic send email address not working properly. After investigating, we identified the problem was a clash between the latest and older versions of Acrobat Reader. Questionnaires were revised to counteract this problem and new questionnaires were sent to those who had not yet returned.

By the end of October only 184 (or 27% of respondents had returned their forms) in spite of the scheduled two email reminders to those who had not yet responded. We then embarked on a coordinated email and telephonic reminder blitz together with assistance from grantmakers. The support from grantmakers was crucial and by mid November the final return rate was 51%.

There were valuable lessons learned for the future: to ensure that we have a local return postal address within each country and that email reminders are sent from Allavida as well as from grantmakers early on in the process. These must be followed up with telephonic (where possible) or sms reminders as the deadline approaches. Reminders from both the grantmaker and Allavida elicited the best response rate. The technical problems with the email questionnaires have been resolved.

CAPTURE AND ANALYSIS OF RESPONSES

Completed questionnaires were catalogued by Allavida in Nairobi, photocopied for backup purposes, and then couriered in batches to Outsourced Insight for data capture and analysis. Answers to the open questions in Kiswahili were coded by a qualified Kiswahili speaking researcher in Pretoria and integrated with the English responses. Keystone worked with Outsourced Insight to specify significant cross-tabulations and other guidelines for the analysis of data.

During the analysis and reporting process, it became clear that three grantmakers would have to be removed from the comparative cohort. This reduced the number in the comparative cohort to 8 – but the comparative data is much more meaningful. Specific reasons are outlined below:

Only one questionnaire was returned from one of the grantmakers, and so it was excluded from the cohort.

Another grantmaker was also excluded after it was found that their questionnaires had been completed by selected grantee beneficiaries instead of grantee staff. This illustrates the ever-present danger of misinterpretation and the need for constant checking. The grantmaker had sent us the names of selected grantee beneficiaries instead of sending us the contact details of the grantee management. This was in spite of the fact that grantmaker representatives had attended the grantmaker workshop and had received all the guideline documentation. On investigation, it transpired that the responsibility for coordinating the survey had been passed from the programme director to two other junior and temporary staff in the organization in turn – without proper explanation of what they needed to do or documentation to guide them. This error was only detected when the report was presented – suggesting that we need to try to work with the same staff member for the entire process and confirm with each grantmaker representative that they clearly understand the process and what is required. We need to verify that the contacts given are correct before proceeding.

A third grantmaker, after initially being included, was removed from the cohort after it was eventually decided that their grantmaking practice was too different from the other grantmakers and would distort the comparative analysis.

GENERATING GRANTEE FEEDBACK REPORTS FOR INDIVIDUAL GRANTMAKERS

The entire comprehensive dataset was too complex and detailed to be useful to grantmakers, so an intensive 8 day period was spent with Keystone staff and Outsourced Insight selecting identifying the most meaningful feedback to report on, and which of the cross-tabulation would be most useful

This was followed by almost a week in which different graph styles were designed and tested.

Deciding how to represent the data graphically was one of the most difficult aspects of this work. We experimented with many different graph models before settling on the ones that you see in the final Grantmaker report format. This intense design effort, involving statisticians, Keystone staff and graphic designers was worthwhile as we have had very positive feedback on the readability of the reports and graphs – and this will not need to be done again – perhaps only refined – in future surveys.

A very clear conceptual clarification is needed here. These reports are ‘perception reports’ that reflect the perceptions of one constituent only – the grantee. They do not purport to be objective scientific assessments of the grantmaker’s absolute performance based on many different perspectives. They reflect the perceptions of grantees – one view of the relationship only – but it is a view that too often is not expressed. As such, the perception reports aim to establish a ‘reference point’ for further dialogue and learning. They bring onto the table perceptions that were not there before. They can be engaged with – respectfully and sensitively – but the grantmaker needs to decide how to respond.

Even if a negative perception is factually incorrect, this does not mean that the methodology has failed. The perception is still real. Both parties need to address why the misunderstanding exists and how to heal the perception and the relationship.

On the other hand, there is a natural positive bias in some responses. For many grantees, the grantmaker is their first and only experience of a grantmaker. They have little to compare their experience against and little experience of alternative practices or relationships.

Our expectation is that the more funders respond to feedback, and the more grantees come to appreciate that their voices are really heard and responded to, and as comparative feedback begins to highlight better practice, the more negative grantee feedback will become for a while. Ironically this could be a sign of an improving relationship rather than a deteriorating one. We need to develop a method for controlling for this effect.

Generating the individual grantmaker reports involves an average of 3-4 days of professional effort per report, including statistical analysis, the interpretation of the feedback in a comparative context, the editing and the layout of the report. We produced reports for ten grantmakers – which comes to 40 days of professional input for this task only. As we get better at it, we will be able to bring this down significantly – and the production aspects of the reports can be done by administrative staff. Our aim must be to arrive at a maximum of 2 days professional time per report.

THE REPORT-BACK MEETINGS

Report-back meetings were held during May and June 2009.

Conducting the report-back meetings at a distance posed problems – and poses a strong argument for working with local partners who have the capacity to conduct the entire survey and feedback process themselves. Three separate trips to East Africa had to be made to report back to all grantmakers.

The community grantmakers took the report-backs very seriously. KCDF, FCS, SATF, Urgent Action Fund and the Aga Khan Foundation marshalled senior management and most programme staff to attend and participate. However, others were reluctant to invest the time and resources

to really think about what the reports meant for them and how they should best respond. Very few of their directors attended, which suggests that many still do not see real value in this kind of feedback and relationship building.

We found that the optimal time for meetings was 3 to 3.5 hours. But most grantmakers were only willing to spare 2 hours, and some only one hour.

FEEDBACK AND LEARNING

Valuable feedback was received from grantmakers on how to improve future editions of the survey.

Comparability – In most areas of performance, comparison across the whole cohort is valid. However, there are some areas – especially relating to things like size of grant, where it would be more meaningful to divide the cohort and compare within subsets. This pilot, limited as it was to a relatively small sample of grantmakers from one region of Africa, made meaningful comparison in some areas difficult. However this diversity also shows up the different practices achieved by different types of grantmakers, and which are preferred by grantees.

As one grantmaker put it:

“It’s ... a useful initiative and could eventually create some ‘industry benchmarks’ as future iterations of the pilot are tweaked and nuanced further based on real experience and feedback on the ground. ...congratulations on a good start.... By customizing survey by categories of grantmakers for example the next round should be a better fit.... The findings at this stage will feed into our internal processes – as they are being considered a little anecdotal ... but will help draw out a few general areas for exploration (e.g. internal communications, visits etc.) Good luck with your efforts on this.”

Regional or country surveys might not be the best way of planning and conducting surveys like this. It might be better to plan future surveys that focus on similar kinds of grantmakers – even if they come from different regions. An advantage of this approach is also that some grantmakers (especially the international ones) work across countries.

However, it might be much more difficult to mobilise grantmakers across regions and raise funds to support this kind of survey as many funding offices have a fairly tight geographic focus.

We were not able, within the timeframe and budget of this pilot, to bring the participating grantmakers together again to discuss the learning that they have derived from this survey. There was a strong feeling expressed by grantmakers at the first workshop in 2008 that this would be important thing to do, but it was not planned or budgeted for in the initial proposal.

Finally, to be sustainable, feedback surveys must contribute real value to how participants monitor and evaluate their effectiveness and their impact. As such they should be funded as part of the grantmaker’s monitoring and evaluation resources. It is our assertion that feedback surveys will contribute greatly to organizational learning for a relatively small proportion of the M&E budget compared to other monitoring and evaluation activities.

Appendix 2

The Questionnaire (English version)



KEYSTONE'S EAST AFRICAN Grantee Feedback Survey 2008

Grantmakers are listening. Your response is important, and will help Grantmakers improve their support to CSOs like yourselves.

Grantmaker An institution that gives money and other support to civil society organizations, government agencies, individuals and businesses that work for the public benefit.

Keystone gratefully acknowledges the assistance of the Centre for Effective Philanthropy for allowing us to draw on their highly regarded *Grantee Perception Reports™* in the design of this survey, the Ford Foundation for providing funding and Allavida for administrative support.

Instructions

You have been selected for this survey because you are currently a grantee of [GRANTMAKER].

- Your answers should relate to this Grantmaker only – and not to any other Grantmakers. If you currently receive more than one grant from this Grantmaker, please choose only one of the grants and answer for that grant only.
- Please mark your choice by clicking on the button next to the option that is closest to how you see the situation. A black dot in the centre of the button indicates that you have made your choice.
- If you do not understand a question, or if it is not relevant to your organization, please select ‘not applicable’ or ‘I don’t know’.
- There is a glossary of technical terms used in this survey at the end. As you work through the survey, you will see glossary terms in bold.
- When you have completed the questionnaire, please submit it to us as soon as possible using one of the two options offered on Page 22 at the end of this document. To view these options click **here**.

Keystone treats all responses as completely confidential.

- No individual responses or identifying characteristics will be reported.
- We will only report the aggregated result of all the respondents combined.

About Keystone

Keystone is a civil society organization that is dedicated to improving the effectiveness and impact of development interventions by bringing the voices of all **constituents** into decision-making. It designs and supports practical systems for bringing constituency voice into planning and evaluating the relationships, processes and impacts of development interventions.

Grantee Feedback Surveys are one way of doing this.

- They provide Grantmakers with concrete data on the quality of the relationships between themselves and their grantees, and the impact of their policies and practices on their grantees.
- They help Grantmakers compare their performance with others in their field and identify best practice across the field of grantmaking.
- They provide meaningful data from which to begin a process of dialogue and learning between grantees and Grantmakers to strengthen their relationships and their mutual effectiveness.

General impressions of the Grantmaker

To start with, we would like to hear your quick, general impressions of the Grantmaker.

1 Overall, how does the Grantmaker impact on your organization?

1	2	3	4	5	6
No impact	Minimal positive impact	Some positive impact	Significant positive impact	Massive positive impact	Don't know

2 Overall, how does the Grantmaker impact on your field of work?

1	2	3	4	5	6
No impact	Minimal positive impact	Some positive impact	Significant positive impact	Massive positive impact	Don't know

**3 Overall, how does the Grantmaker impact on the local community?
If you do not work with a local community, please circle Option 6.**

1	2	3	4	5	6
No impact	Minimal positive impact	Some positive impact	Significant positive impact	Massive positive impact	Don't know/ not relevant

The nature of your funding

4 Which statement best describes the type of funding that you received with this grant. Please circle only *one* category.

1	<input type="radio"/>	Support for a specific project or programme (must be used mainly for direct costs of a specific project or programme only)
2	<input type="radio"/>	General operating grant (relatively unrestricted)
3	<input type="radio"/>	Capital support: Building or renovation
4	<input type="radio"/>	Capital support: Contribution to an endowment
5	<input type="radio"/>	Capital support: Other (vehicles, equipment etc.)
6	<input type="radio"/>	Scholarship or research fellowship
7	<input type="radio"/>	Technical assistance/capacity building

5 What is the total number of years (or months) of funding approved in this grant:

	years		months
--	-------	--	--------

6 What is the total amount of funding committed for this grant? Please use the currency in which the payment was made. If this is a multi-year grant please include the full value committed for this grant – and not just one year.

Currency	Amount
Ksh	
Tsh	
Ush	
US \$	

7 For how many years have you received funding from the Grantmaker? Include this grant and any other you might have received in the past.

1	<input type="radio"/>	One year or less
2	<input type="radio"/>	1–2 years
3	<input type="radio"/>	2–5 years
4	<input type="radio"/>	More than 5 years
5	<input type="radio"/>	Don't know/not applicable

The nature of your funding

8 If you received programme/project support, how long has your organization been running the programme/project for which this grant was awarded?

1	<input type="radio"/>	One year or less
2	<input type="radio"/>	1-2 years
3	<input type="radio"/>	2-5 years
4	<input type="radio"/>	More than 5 years
5	<input type="radio"/>	Don't know/not applicable

9 Do you expect that the grant may be renewed or followed by another similar grant if you perform well?

1	2	3	4	5	6
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Explicitly told that it is not renewable	No indication that it may be renewable	Some indication but no commitment, that it may be renewable	No commitment but strong indication that it may be renewable	Explicit commitment to renewal if performance is satisfactory	Don't know

The Grantmaker's application and approval process

10 Did you submit a proposal to the Grantmaker for this grant?

1	<input type="radio"/>	Yes
2	<input type="radio"/>	No (<i>skip to question 18</i>)
3	<input type="radio"/>	Don't know (<i>skip to question 18</i>)

11 As you developed your grant proposal, did you feel pressure to modify your organization's priorities in order to create a grant request that was likely to receive funding? How much pressure did you feel?

1	2	3	4	5	6
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
No pressure	Little pressure	Some pressure	Significant pressure	Massive pressure	Don't know

12 Did the Grantmaker keep you adequately informed of the progress of your grant request between your first contact and cash disbursement?

1	2	3	4	5	6
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Did not inform us at all	Provided very little information	Some information but not enough	Mostly kept us informed	Kept us fully informed	Don't know

13 Which of the following were part of the grant application and approval process? Please circle all that apply.

1	<input type="radio"/>	Letter of intent/letter of inquiry
2	<input type="radio"/>	Written proposal
3	<input type="radio"/>	Site visit
4	<input type="radio"/>	In-person conversations with Grantmaker staff at the Grantmaker's offices
5	<input type="radio"/>	Phone conversations with Grantmaker staff
6	<input type="radio"/>	Email correspondence
7	<input type="radio"/>	References (e.g., from other funders, from your constituents)
8	<input type="radio"/>	Previous evaluation
9	<input type="radio"/>	Verified or audited financial information from your organization
10	<input type="radio"/>	Other (please specify): <input type="text"/>

The Grantmaker's application and approval process

14 How much time elapsed from submission of the grant proposal to clear commitment of funding

1	<input type="radio"/>	Less than 1 month
2	<input type="radio"/>	1-3 months
3	<input type="radio"/>	3-6 months
4	<input type="radio"/>	6-9 months
5	<input type="radio"/>	9-12 months
6	<input type="radio"/>	More than 12 months
7	<input type="radio"/>	Don't know

15 How much time elapsed from commitment of funding to receipt of funds

1	<input type="radio"/>	Less than 1 month
2	<input type="radio"/>	1-3 months
3	<input type="radio"/>	3-6 months
4	<input type="radio"/>	6-9 months
5	<input type="radio"/>	9-12 months
6	<input type="radio"/>	More than 12 months
7	<input type="radio"/>	Don't know

16 Did a member of the Grantmaker's staff help you to develop your grant proposal?

1	2	3	4	5	6
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
No help at all	Provided very little assistance	Helped with some things but too little	Helped with the most important things	Provided all the assistance we needed	Don't know

17 Please estimate the total amount of time that you and your staff spent on writing the grant proposal and in the selection process:

1	<input type="radio"/>	Less than 1 day
2	<input type="radio"/>	2-3 days
3	<input type="radio"/>	4-6 days
4	<input type="radio"/>	7-10 days
5	<input type="radio"/>	More than 10 days (please specify how many): <input type="text"/>
6	<input type="radio"/>	Not applicable

The Grantmaker's application and approval process

18 How well/clearly did the Grantmaker explain its grant application and approval processes?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
Not at all clearly	Not very clearly	Fairly clearly	Clearly	Extremely clearly	Don't know

19 Did participating in the Grantmaker's grant application and approval process benefit your organization/programme?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
We did not benefit at all	Some benefits, but more negatives	Benefits and negatives were equally balanced	Benefits outweighed negatives	Benefits significantly outweighed negatives	Don't know

20 What did the Grantmaker want to know about you before deciding to fund your organization? Please rate how important you feel each of these factors was in the decision to fund your organization.

The Grantmaker wanted to know about	Not important	Fairly important	Very important	Extremely important	Don't know
The quality of your relationships with others	1 ●	2 ●	3 ●	4 ●	5 ●
Your reputation with other Grantmakers	1 ●	2 ●	3 ●	4 ●	5 ●
Your track record – evidence of past success	1 ●	2 ●	3 ●	4 ●	5 ●
Independent third party recommendations	1 ●	2 ●	3 ●	4 ●	5 ●
The quality and expertise of your board	1 ●	2 ●	3 ●	4 ●	5 ●
The quality and expertise of staff	1 ●	2 ●	3 ●	4 ●	5 ●
How you would benefit its reputation	1 ●	2 ●	3 ●	4 ●	5 ●

The Grantmaker's application and approval process

21 When finding out about the Grantmaker, please indicate which of the following communication resources you used. Then please rate how useful you found each of the resources that you used.

We used	Communication resources	Not helpful	Fairly helpful	Very helpful	Extremely helpful
1 ●	The Grantmaker's published funding guidelines	2 ●	3 ●	4 ●	5 ●
1 ●	The Grantmaker's website	2 ●	3 ●	4 ●	5 ●
1 ●	The Grantmaker's annual report	2 ●	3 ●	4 ●	5 ●
1 ●	Group meetings with Grantmaker staff	2 ●	3 ●	4 ●	5 ●
1 ●	Individual communication with Grantmaker staff	2 ●	3 ●	4 ●	5 ●
1 ●	Other	2 ●	3 ●	4 ●	5 ●

22 How consistent was the information provided by different communication resources that you used to learn about the Grantmaker?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
Very confusing – There are different messages from different resources	Some of the communication clear, but many inconsistencies	Reasonably consistent, but some confusing bits	Mostly clear and consistent	Very consistent	Not applicable – used only one or no resources

23 Is there anything you would like to say to the Grantmaker about your experiences with its grant application and approval process? Please comment on how it affected your strategy, implementation, effectiveness, or other aspects of your work:

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Grant Monitoring, Reporting and Evaluation

Questions 24–32 refer to any reporting, monitoring and evaluation that occurs after the grant has been approved.

24 Was there or will there be a formal reporting and/or evaluation process?
Please circle only one.

- | | | |
|---|-----------------------|---|
| 1 | <input type="radio"/> | Yes, there has been an evaluation or report (<i>continue to question 25</i>) |
| 2 | <input type="radio"/> | Yes, there will be a report/evaluation but it has not occurred yet (<i>skip to question 33</i>) |
| 3 | <input type="radio"/> | There was/will be no report or evaluation (<i>skip to question 33</i>) |
| 4 | <input type="radio"/> | Don't know (<i>skip to question 33</i>) |

25 What activities were involved in the evaluation or reporting process?
Please circle all that apply.

- | | | |
|----|-----------------------|---|
| 1 | <input type="radio"/> | Site visit from Grantmaker |
| 2 | <input type="radio"/> | In-person conversations with Grantmaker staff at the Grantmaker's offices |
| 3 | <input type="radio"/> | Phone conversations with Grantmaker staff |
| 4 | <input type="radio"/> | Email correspondence |
| 5 | <input type="radio"/> | External evaluator(s) used |
| 6 | <input type="radio"/> | Your own written reports describing what you did and what you achieved |
| 7 | <input type="radio"/> | Collection of information on the actual impact you have made (e.g. % decrease in HIV infection rate) |
| 8 | <input type="radio"/> | Submission of financial statements or report of uses of funding |
| 9 | <input type="radio"/> | Collection of information from stakeholders and primary constituents |
| 10 | <input type="radio"/> | Other (please specify): <input type="text"/> |

26 In its requirements for reporting, the Grantmaker asked you to:
Please circle all that apply.

- | | | |
|---|-----------------------|--|
| 1 | <input type="radio"/> | Describe your activities and outputs only |
| 2 | <input type="radio"/> | Describe the results of your work among target groups (the outcomes that you achieved) |
| 3 | <input type="radio"/> | Explain how you influence and work with other actors in your field |
| 4 | <input type="radio"/> | Analyse the actual difference that you are making towards sustainable benefits for target groups (your impact) |
| 5 | <input type="radio"/> | Discuss what you are learning from your experience and how you intend to improve your work going forward |
| 6 | <input type="radio"/> | Other (please specify): <input type="text"/> |

Grant Monitoring, Reporting and Evaluation

27 Please estimate the total amount of time that you and your staff have spent on Grantmaker-required monitoring, evaluation and reporting in this grant period:

1	<input type="radio"/>	Less than 1 day
2	<input type="radio"/>	1-3 days
3	<input type="radio"/>	4-8 days
4	<input type="radio"/>	9-15 days
5	<input type="radio"/>	More than 15 days
6	<input type="radio"/>	Did not occur

28 After submission of the evaluation or report, did the Grantmaker or the evaluator discuss it with you?

1	<input type="radio"/>	Yes	2	<input type="radio"/>	No	3	<input type="radio"/>	Don't know
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29 Was participating in the Grantmaker's evaluation or reporting process helpful in deepening your own learning and improving your organization or programme?

1	<input type="radio"/>	2	<input type="radio"/>	3	<input type="radio"/>	4	<input type="radio"/>	5	<input type="radio"/>	6	<input type="radio"/>
	Not at all helpful		Partly helpful		Fairly helpful		Significantly helpful		Extremely helpful		Don't know

30 The demands that your Grantmaker makes on you to monitor and report on your activities and performance are:

1	<input type="radio"/>	Too much and significantly detract from your purpose
2	<input type="radio"/>	A burden, but not too detracting from your purpose
3	<input type="radio"/>	Just right
4	<input type="radio"/>	Too little – You wish they engaged with you more about your performance and impact

31 Did the Grantmaker provide adequate funds and support for you to meet its monitoring, reporting and evaluation requirements?

1	<input type="radio"/>	2	<input type="radio"/>	3	<input type="radio"/>	4	<input type="radio"/>	5	<input type="radio"/>	6	<input type="radio"/>
	No funds at all		Too little funds and support		Partial funds and support		Just sufficient funds and support		Generous funds and support		Don't know

Grant Monitoring, Reporting and Evaluation

32 Is there anything you would like to say about your experiences with the Grantmaker's monitoring, reporting and evaluation processes? Please comment and describe how this has affected you.

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Interacting and communicating with the Grantmaker during the grant period

33 How often have you had contact with your Grantmaker representative during the period of this grant?

1 ●	2 ●	3 ●	4 ●	5 ●
Once a year or less often	Once every few months	Monthly	A few times a month	Weekly or more often

34 Did the Grantmaker conduct a site visit during the course of this grant?

1 ● Yes	2 ● No	3 ● Don't know
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35 Who most frequently initiated the contact you had with your Grantmaker representative during this grant period?

1 ●	Most frequently initiated by your Grantmaker representative
2 ●	Most frequently initiated by you
3 ●	Initiated equally by your Grantmaker representative and you
4 ●	Don't know

36 How clearly has the Grantmaker communicated its goals to you?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
Did not communicate its goals at all	Goals not at all clear	Goals partly clear	Goals are mostly clear	Goals are extremely clear	Don't know

37 How clearly did the Grantmaker communicate its strategy for how it intends to achieve its goals?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
Does not communicate a strategy at all	Little evidence of a clear strategy	Some strategy but not well communicated	Strategy fairly clearly communicated	Has a clear strategy and communicates it well	Don't know

38 Do you feel free to question or challenge the Grantmaker's understanding of your field or your local context?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
Not at all free	Can challenge some things but I do not feel free to question	Can challenge some things but must be careful	Can challenge most things, but some I cannot	Completely free to challenge everything	Don't know

Interacting and communicating with the Grantmaker during the grant period

39 How comfortable do you feel approaching the Grantmaker if a problem arises?

1	2	3	4	5	6
Not at all comfortable	Not very comfortable	Fairly comfortable	Mostly comfortable	Extremely comfortable	Don't know

40 Do you feel free to raise any proposal or criticism that you might wish to make? Are all issues 'on the table'?

1	2	3	4	5	6
Not at all free	Can raise some things but there is a lot I do not feel free to raise	Can raise some things but have to be careful how it comes across	Can raise most things, but there are a few things I dare not raise	Completely free to raise anything	Don't know

41 Do you feel that every proposal or criticism that you make is taken seriously and addressed in a respectful and appropriate way?

1	2	3	4	5	6
Not at all responsive to things we say	Considers and responds to some proposals	Considers and responds, but responses are often superficial	Considers and responds thoughtfully to most proposals and criticisms	Extremely considerate and responsive	Don't know

42 Does the Grantmaker make improvements in the way it works in response to feedback from you and others?

1	2	3	4	5	6
Not at all	Some improvements but not very effective	Some effective improvements	Significant effective improvements	Significant highly effective improvements	Don't know

43 Is there anything you would like to say about your experiences interacting and communicating with the Grantmaker? Please describe how this has affected you.

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The quality and impact of the Grantmaker’s support

44 Has the fact that you are funded by the Grantmaker helped you in your efforts to obtain additional funding?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
Not at all	Perhaps a little, but not significant	Its reputation gives us some credibility	Its reputation enhances our credibility	Its reputation and credibility is a great advantage	Don't know

45 Has the Grantmaker actively attempted to assist you in obtaining additional funding from other sources?

1 ●	Yes
2 ●	No (<i>skip to question 47</i>)
3 ●	Don't know (<i>skip to question 47</i>)

46 If yes, how much did the Grantmaker help your ability to obtain additional funding from other sources?

If the response is 1, skip to question 47

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
No help	A little help	Some help	Significant help	Massive help	Don't know

47 How did the Grantmaker assist you in obtaining additional funding from other sources?
Please circle all that apply.

1 ●	Suggested funders you should contact
2 ●	Personally introduced you to other potential funders
3 ●	Sent e-mails on your behalf
4 ●	Sent a letter of support to other funders
5 ●	Made phone calls on your behalf
6 ●	Attended meetings with you
7 ●	Funded development staff/consultant(s) for your organization
8 ●	Other (please specify): <input type="text"/>

The quality and impact of the Grantmaker's support

Please indicate all types of non-monetary assistance, if any, you received from staff or a third party paid for by the Grantmaker.
Please rate only those forms of assistance you actually received. (1 = not at all helpful, 5= extremely helpful)

If no other assistance was provided please skip to question 50

48 Management Assistance

Management assistance	Not helpful	A little helpful	Fairly helpful	Very helpful	Extremely helpful
General management advice	1 ●	2 ●	3 ●	4 ●	5 ●
Strategic planning advice	1 ●	2 ●	3 ●	4 ●	5 ●
Financial planning/accounting	1 ●	2 ●	3 ●	4 ●	5 ●
Development of performance measures	1 ●	2 ●	3 ●	4 ●	5 ●

49 Field-related Assistance

Field-related assistance	Not helpful	A little helpful	Fairly helpful	Very helpful	Extremely helpful
Encouraged/facilitated collaboration	1 ●	2 ●	3 ●	4 ●	5 ●
Insight and advice on your field	1 ●	2 ●	3 ●	4 ●	5 ●
Introductions to leaders in the field	1 ●	2 ●	3 ●	4 ●	5 ●
Provided research or best practices	1 ●	2 ●	3 ●	4 ●	5 ●
Provided seminars/forums/convenings	1 ●	2 ●	3 ●	4 ●	5 ●

50 Other Assistance

Field-related assistance	Not helpful	A little helpful	Fairly helpful	Very helpful	Extremely helpful
Board development/governance	1 ●	2 ●	3 ●	4 ●	5 ●
Information technology assistance	1 ●	2 ●	3 ●	4 ●	5 ●
Communications/marketing/publicity	1 ●	2 ●	3 ●	4 ●	5 ●
Use of Grantmaker facilities	1 ●	2 ●	3 ●	4 ●	5 ●
Staff/management training and capacity building	1 ●	2 ●	3 ●	4 ●	5 ●
Help with the design of the project/programme	1 ●	2 ●	3 ●	4 ●	5 ●
Other (please specify): <input type="text"/>	1 ●	2 ●	3 ●	4 ●	5 ●

The quality and impact of the Grantmaker's support

51 How much, if at all, has the Grantmaker improved your ability to sustain this work in the future?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
Not at all	Little contribution to sustainability	Some contribution to sustainability	Significant contribution to sustainability	Massive contribution to sustainability	We do not intend to sustain the work

52 Is the Grantmaker willing to support new, untested ideas and approaches?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
Not at all – supports only safe and familiar projects	Sometimes, but prefers safe and familiar projects	Likes to balance the secure and familiar with the new and innovative	Will support new approaches and accepts failure as long as we learn from it	Sees itself as a pioneer of new learning and innovative solutions to problems	Don't know or not applicable

53 Are there any forms of non-monetary support that the Grantmaker should consider providing to enhance your work and that of other grantees?

Are there any particular experiences that you would like to mention of how the Grantmaker has influenced your organization?

Please comment.

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The Grantmaker's influence on your field

54 How well does the Grantmaker understand your organization's strategy and goals?

1	2	3	4	5	6
No understanding	Inadequate understanding	Adequate understanding	More than adequate understanding	Thorough understanding	Don't know

55 How well does the Grantmaker understand the group(s) or community served by your organization?

1	2	3	4	5	6
No understanding	Little understanding	Fair understanding	Good understanding	Thorough understanding	Don't know

56 How well does the Grantmaker understand the field in which you operate?

1	2	3	4	5	6
No understanding	Inadequate understanding	Adequate understanding	More than adequate understanding	Thorough understanding	Don't know

57 To what extent has the Grantmaker advanced the state of knowledge in your field?

1	2	3	4	5	6
Not at all	Contributes little new knowledge	Contributes some new knowledge	Contributes significant new thinking	Leads the field in new thinking and practice	Don't know

58 How effectively does the Grantmaker encourage and support learning and the sharing of knowledge among actors in the field?

1	2	3	4	5	6
Not at all	Approves but does not encourage sharing and learning	Some positive encouragement of sharing and learning	Significant positive encouragement of sharing and learning	Massive positive encouragement of sharing and learning	Not applicable

The Grantmaker's influence on your field

59 To what extent has the Grantmaker helped to improve public policy in your field?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
Not at all	Minimal contribution to better policies	Some positive contribution to better policies	Significant contribution to better policies	Massive positive contribution to better policies	Not applicable

60 Is the Grantmaker seen as a 'team player' that is open to collaborative ventures with other Grantmakers and grantees?

1 ● Yes	2 ● No	3 ● Don't know
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61 Please comment on the Grantmaker's impact on your field and/or community.

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Other impressions

62 Overall, how satisfied are you with your experience with the Grantmaker?

1 ●	2 ●	3 ●	4 ●	5 ●	6 ●
Not at all	Little satisfied	Partly satisfied	Very satisfied	Extremely satisfied	Don't wish to answer

63 Are you more satisfied with the Grantmaker this year than you were last year? Please circle only one.

1 ●	2 ●	3 ●	4 ●
Not applicable	No, I am less satisfied	I am equally satisfied	Yes, I am more satisfied

64 How would you feel about recommending this Grantmaker to another organisation that you cared about?

1 ●	I would warn organisations to avoid this Grantmaker no matter how badly they needed funding
2 ●	I would advise organisations to look for an alternative to this Grantmaker if they could afford to
3 ●	I would cautiously recommend this Grantmaker but with strong reservations
4 ●	I would give a mostly positive recommendation with a few reservations
5 ●	I would strongly recommend this Grantmaker without any reservations

65 What improvements would you suggest in the Grantmaker's practices that would make them a better funder? You may also use this space to make any other comments.

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About your organization and about you

66 In which country are you based?

1	<input type="radio"/>	Kenya
2	<input type="radio"/>	Tanzania
3	<input type="radio"/>	Uganda

67 What is the approximate annual operating budget of your organization? Please answer only in the currency in which your grant was made.

● Kenya shillings		
1	<input type="radio"/>	Less than Ksh 1 million
2	<input type="radio"/>	At least Ksh 1 million but less than Ksh 2.5 million
3	<input type="radio"/>	At least Ksh 2.5 million but less than Ksh 5 million
4	<input type="radio"/>	At least Ksh 5 million but less than Ksh 10 million
5	<input type="radio"/>	More than Ksh 10 million
6	<input type="radio"/>	Don't know or I do not wish to answer
● Tanzanian shillings		
1	<input type="radio"/>	Less than Tsh 20 million
2	<input type="radio"/>	At least Tsh 20 million but less than Tsh 50 million
3	<input type="radio"/>	At least Tsh 50 million but less than Tsh 100 million
4	<input type="radio"/>	At least Tsh 100 million but less than Tsh 200 million
5	<input type="radio"/>	More than Tsh 200 million
6	<input type="radio"/>	Don't know or I do not wish to answer
● Uganda shillings		
1	<input type="radio"/>	Less than Ush 25 million
2	<input type="radio"/>	At least Ush 25 million but less than Ush 50 million
3	<input type="radio"/>	At least Ush 50 million but less than Ush 120 million
4	<input type="radio"/>	At least Ush 120 million but less than Ush 250 million
5	<input type="radio"/>	More than Ush 250 million
6	<input type="radio"/>	Don't know or I do not wish to answer
● US Dollars		
1	<input type="radio"/>	Less than USD 17,000
2	<input type="radio"/>	At least USD 17,000 but less than USD 42,000
3	<input type="radio"/>	At least USD 42,000 but less than USD 84,000
4	<input type="radio"/>	At least USD 84,000 but less than USD 170,000
5	<input type="radio"/>	More than USD 170,000
6	<input type="radio"/>	Don't know or I do not wish to answer

About your organization and about you

68 How many years has your organization been operating:

1	<input type="radio"/>	Less than one year
2	<input type="radio"/>	1-2 years
3	<input type="radio"/>	2-6 years
4	<input type="radio"/>	6-10 years
5	<input type="radio"/>	More than 10 years

69 Are you currently receiving funding from the Grantmaker? Please answer “No” if your grant(s) from the Grantmaker has ended and you are no longer receiving funding from the Grantmaker.

1	<input type="radio"/>	Yes	2	<input type="radio"/>	No	3	<input type="radio"/>	Don't know
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70 Have you ever been declined funding from the Grantmaker?

1	<input type="radio"/>	Yes	2	<input type="radio"/>	No	3	<input type="radio"/>	Don't know
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71 What is your position in your organisation? Circle one.

1	<input type="radio"/>	Executive Director/CEO Development Director
2	<input type="radio"/>	Other Senior Management Other Development Staff
3	<input type="radio"/>	Project Director
4	<input type="radio"/>	Other (please specify): <input type="text"/>

72 What is your gender? (optional)

1	<input type="radio"/>	Male	2	<input type="radio"/>	Femaie
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73 What gender is your Grantmaker representative or primary contact at the Grantmaker? (optional)

1	<input type="radio"/>	Male	2	<input type="radio"/>	Femaie
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74 Is your Grantmaker representative or primary contact person at the Grantmaker

1	<input type="radio"/>	A local citizen	2	<input type="radio"/>	An expatriate
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Glossary

We have had to use a number of technical terms in this survey. But as we all know, technical terms often are used differently by different people. We therefore include this glossary, not to say that our usage is the only one, but to help respondents understand what we mean when we use these technical terms.

Outcomes: Outcomes are actual changes that an organization achieves as a result of its activities. Outcomes are the reason why the organization exists.

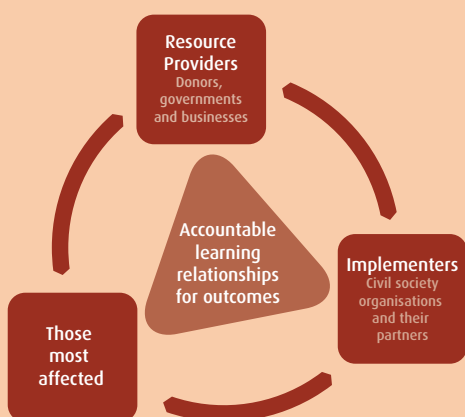
Outputs: Outputs are the activities, products and services that an organization does (workshops, shelters, training programmes and materials, ARVs, advice, reports etc.) in order to achieve its intended outcomes.

Impact: Impact may be the development term most often used in different and confusing ways! In the language of logical frameworks, impact is used to mean long-term, sustainable system-wide change. We use it in its more general everyday sense of any lasting change (or outcome) that an organization can show that it has played an important part in bringing about. Specific short-term impacts (e.g., new jobs created) can lead to long-term system-wide impact over time (e.g., a new and growing business enterprise, or even industry) – but it is more difficult to claim that this is attributable to the work of any single organization.

Stakeholders: all the people and institutions that are affected positively or negatively by an organization's decisions and actions.

Constituents: There can be different notions of which groups can claim to be core constituents of a developmental intervention. Typically, there are three core constituents: those that provide resources (funders), those that implement programs (often CSOs or partnerships), and those most affected by the interventions. The relationship between constituents can change.

Primary Constituents: Those groups or communities that are most affected by the organization and in whose name the organization defines its mission. A commonly used term is 'beneficiary' – but the passivity that this term implies makes it unsuitable in developmental processes.



The core constituents of a Development Intervention

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